

Mapping the dynamics of urban land creation from hilltop removing and gulley filling projects in the river-valley city of Lanzhou, China

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1 **Mapping the dynamics of urban land creation from hilltop removing and gulley**
2 **filling projects in the river-valley city of Lanzhou, China**

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12 **Abstract**

13 To expand urban area and protect farmland effectively, Hilltop Removing and Gulley Filling Projects
14 (HRGFP) in the river-valley city of Lanzhou, China have been carried out over the last decades. However,
15 monitoring the dynamic characteristic and scale of the projects and the impact on the local eco-
16 environment caused by HRGFP is necessary. Here, we conducted field investigations and used aerial
17 remote sensing images and the Spatial Expansion Intensity Index (SEII), Terrain Niche Index (TNI),
18 Biophysical Composition Index (BCI), and Remote Sensing Environment Index (RSEI) to monitor the
19 dynamic characteristics of new plots and changes in the local environment. The total area of the new
20 plots from HRGFP around Lanzhou was about 203.18km² in 1989-2016 with a continuous shift away
21 from the urban area to the low hills, gentle slopes, and gullies in the north, which has greatly
22 enlarged the urban area and increased economic development. We found that the new plots were
23 converted to new forest and grassland in addition to buildings. RSEI indicated that the environment
24 quality improved in 3984 km² of the study area, or 55.73% of the total area, after a short period of
25 degradation. Our results indicated that HRGFP in Lanzhou have enlarged the urban area and
26 increased economic development, and improved environment under the guidance of the local
27 government.
28

29 **Key words**

30 land reclamation, plot, remote sensing monitoring, center, indicator
31

1 Introduction

As a scarce natural resource, land cannot be used by human beings without limitation because of its fixed location and limited area (Fischer et al., 2012; Steduto et al., 2012). In China, the national land survey shows that by the end of October 2006, the total area of farmland in the country was about 121.8M hectares and per capita farmland area is less than 0.093 hectares, which is only 40% of the world average area (Wen, 2016; Yang and Wang, 2014). Therefore, the Chinese government stipulated that the farmland area of 120M hectares is “red line” and nobody can change its use. With the development of China's economy and the advancement of urbanization, there is an inevitable contradiction between the scarcity of land resources and the growing economy, especially in cities with limited topographic expansion such as Lanzhou, Yan'an, and Shiyan. The main problem faced by local governments is how to provide the land necessary for economic development without breaking through the threshold of 120M hectares of farmland. In addition to saving land and improving the efficiency of existing land use, the gradual development and utilization of unused land around these cities is a way out of urban space development supported by the local governments (Hang et al., 2009; Li et al., 2014; Liu et al., 2016; Liu and Li, 2014; Liu et al., 2013; Wen et al., 2018).

In recent years, China is experiencing a boom in city-building, and the city-building of Lanzhou in the mountainous area also reflects the process of urbanization in China. As a typical river-valley city, Lanzhou roads are crowded and air pollution is serious, and the narrow space between the north and the south severely restricts urbanization. However, there are about 7.618×10^3 km² of unused land around Lanzhou such as barren hills, gentle slopes, and gullies, accounting for 57% of its total area. Therefore, in the 1990s, the local government has focused on developing the surrounding barren mountains, some of which have been leveled. In 2007, the Lanzhou government began to actively promote the comprehensive development and utilization of unused land. In 2012, with the approval of the Ministry of Land and Resources of China (Li et al., 2020; Pu et al., 2016), Hilltop Removing and Gully Filling Projects (HRGFP) were initiated. The projects have mainly included bulldozing about 700 hills to fill in valleys and creating flat lands for urban land development and ecological improvement by converting barren land to forest and grassland.

These large geotechnical projects in the collapsible Loess area in the world (Li et al., 2014) have aroused wide social debates (Li et al., 2014; Liu and Li, 2014; Ma, 2016), because some disasters have been taken place in several land creation regions in China. For example, the land creation projects in Shiyan have caused some landslides and floods in 2007 (Ma, 2016), the surface subsidence in Yan'an new urban region was caused by heavy rainfall in April 2012 (Yang et al., 2016), and the Shennongjia airport project impacted the surrounding ecological environment due to a lack of an environmental assessment in 2013 (Wu and Fu, 2017; Xu et al., 2016). Therefore, dust pollution, vegetation destruction, geological structure change, and Loess subsidence are also the main problems faced by HRGFP in Lanzhou (Li et al., 2014; Liu and Li, 2014; Ma, 2016). However, other views argued that HRGFP in Lanzhou were based on the full evaluation of experts from the fields of geology, hydrology, soil and water conservation, as well as many engineering tests and government planning. Thus, it is argued that the aforementioned problems in Lanzhou can be completely eliminated through engineering and technology (Liu and Li, 2014; Ma, 2016; Zhang et al., 2009). Among these debates and views, the biggest challenge is how to monitor the changes and impacts caused from HRGFP rather than theoretical and hypothetical debate.

Recently, remote sensing technology has been widely used to monitor and classify land use and

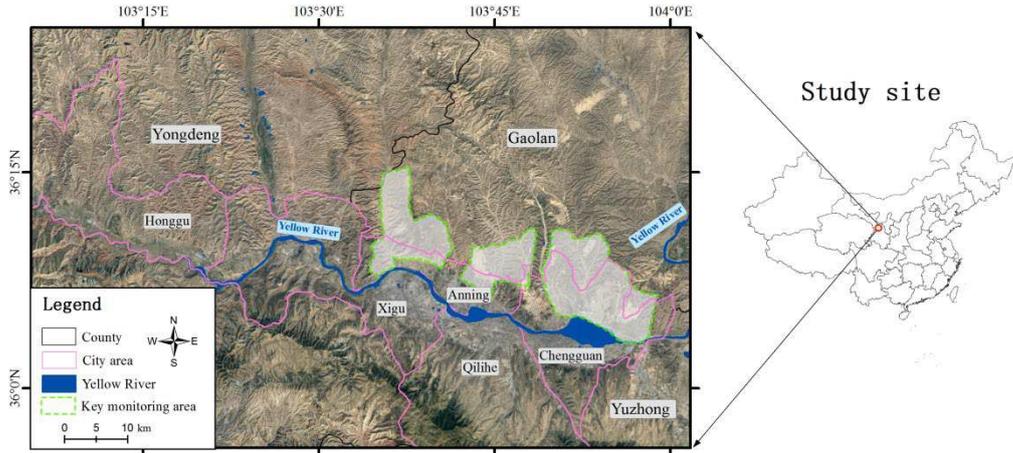
76 Land cover change (LUCC) and evaluate environmental changes ([Hassan et al., 2016](#); [Olorunfemi](#)
 77 [et al., 2018](#); [Zoungrana et al., 2015](#)). Long-term, time-series Satellite images with different spatial
 78 resolutions have been successfully used to identify land types via various classification and dynamic
 79 change analysis ([Green et al., 1994](#); [Liu et al., 2015](#); [Mundia and Aniya, 2005](#); [Niu et al., 2019](#)).
 80 Several ecological indicators, such as Spatial Expansion Intensity Index (SEII) ([Al-Sharif et al.,](#)
 81 [2014](#); [Zhou and He, 2006](#)), Terrain Niche Index (TNI) ([Rao et al., 2007](#); [Yu et al., 2001](#)), Biophysical
 82 Composition Index (BCI) ([Deng and Wu, 2012](#)), and Remote Sensing Environmental Index (RSEI)
 83 ([Li et al., 2015](#)) have been used to monitor and evaluate environmental change. Therefore, using
 84 remote sensing big data technology with suitable algorithms can well monitor the spatial-temporal
 85 characteristics and impacts of HRGFP projects.

86 With the rapid development of HRGFP in Lanzhou, it is necessary to monitor where the HRGFP
 87 sites were, how many new plots were created, and how much influence HRGFP caused on local
 88 eco-environment. Therefore, the main objective of this study was to (a) map urban land reclamation
 89 with multi-source remote sensing data for 1989-2016, (b) explore the annual spatial change
 90 characteristics of new urban land, and (c) quantify the influence of HRGFP on the local eco-
 91 environment.

92

93 **2 Materials and Methods**

94 **2.1 Study area**



95

96 **Fig.1** Study area (mainly including three counties (Yongdeng, Gaolan, and Yuzhong) and five districts
 97 (urban area: including Chengguan, Qilihe, Anning, Xigu, and Honggu). The areas with a green line are
 98 the key monitoring areas, from west to east are Shazhong-Shengou, Yanchi-Maocha-Jiuzhou, and
 99 Qingshi, respectively.)

100

101 Lanzhou City, the provincial capital of Gansu province, is located on the upper reaches of the
 102 Yellow River in Northwest China, and includes three counties (Yongdeng, Yuzhong, and Gaolan)
 103 and five districts(Chengguan, Qilihe, Anning, Xigu, and Honggu) (Fig.1). As a geographic center
 104 of China's land territory ([Niu et al., 2010](#); [Yu et al., 2009](#)), it has a long history and splendid culture.
 105 However, East China is developed, and Western backwardness is a real problem. In recent years, to
 106 further develop its weak economy, the policies of developing and constructing the economy of the
 107 western region have been implemented by the Chinese government, and Lanzhou is also facing
 108 unprecedented opportunities. Surrounded by mountains in the north and south, and with the Yellow

109 River passing through the city from west to east, Lanzhou has the characteristics of an urban river-
110 valley basin with extremely limited space for expansion. With the rapid growth of the urban
111 population, the shortage of land for urban construction has seriously limited the development and
112 improvement of the function of the city, resulting in a series of social problems, such as the excessive
113 population density, air pollution, serious traffic jams, and rapid increases in the cost of housing.
114 Therefore, to develop the economy and protect farmland, it has been effective for Lanzhou to expand
115 the urban area towards the unused low hills, gentle slopes, and gullies. Because of the higher
116 mountains, deeper valleys, and limited unused land in its south, the main sites for land creation in
117 Lanzhou are in the mountainous area to the north, which was mostly low loess hills, gentle slopes,
118 and intermountain basins. And in recent years, land creation projects in these sites are booming. To
119 further quantify the plots caused by land creation projects, we also focused three key monitoring areas,
120 Shazhong-Shengou, Yanchi-Maocha-Jiuzhou, and Qingshi.

121

122 **2.2 Data**

123 **1) Aerial image data**

124 The aerial image datasets mainly include digital elevation model (DEM) and digital orthophoto
125 map (DOM), which were produced by Gansu Surveying and Mapping Geographic Information
126 Bureau (GSMGIB) of China with full digital photogrammetry technology and covered the entire
127 study area. Aerial images from three periods were used to monitor the changes from the land-
128 creation projects. The images from the first period were taken by an RC-10A camera in July 2000
129 with photographic scale of 1:35,000. After drawing maps, the resolution of Grid-DEM is 12m, the
130 ground resolution of DOM is 1m, and the DLG data consists only of contour, elevation points, and
131 annotations of toponym. The images from the second period were taken from July to December
132 2010 with an Airborne Digital Sensor 80 (ADS80). The ground resolution of its true color DOM is
133 1m and the resolution of Grid-DEM is 5m. The images from the third period were taken from May
134 to September 2016 with ADS100. The DOM is true color, with ground resolution of 0.5m and Grid-
135 DEM of 5m. All these data sets were in the 2000 national geodetic coordinate system and the 1985
136 national elevation base.

137

138 **2) National geoinformation survey dataset**

139 The national geoinformation survey dataset mainly includes DEM, land cover, the spatial
140 distribution of resources, and economic data, which is an important part of the basic national
141 geoinformation data ([Li et al., 2018](#)). To meet the needs of economic and social development as
142 well as ecological conservation, the Chinese government decided to carry out the first national
143 geoinformation survey project (NGSP) in January 2013 and it lasted three years. Its purpose was to
144 systematically obtain authoritative, objective, and accurate information on the geographic
145 conditions of the country in order to provide an important foundation for promoting ecological
146 environmental protection and building a resource conserving and environmentally friendly society
147 ([Li et al., 2018](#)). Using the global navigation satellite system (GNSS), remote sensing (RS),
148 geoinformation system (GIS), and other modern surveying and mapping technologies, the national
149 geoinformation survey dataset was dynamically and quantitatively obtained, and mainly formed
150 three types of key data: land topography (including DEM, slope, and aspect), LULCC (including 10
151 major classes, such as farmland, garden land, and forestland), and social geographical units
152 (including educational facilities, hospitals, administrative units, boundaries, and other urban

integrated functional units). The greatest advantage of the dataset is that it is highly accurate with a spatial resolution of 0.5m and provides useful information for the local government to promote ecological environmental protection and disaster prevention and mitigation.

3) Remote sensing data

We used long-term Landsat data for 1989-2016 to monitor the spatial-temporal distribution of new land reclamation every year in study area as well as environmental change. Due to the Landsat7 ETM+ data gap caused by Scan Line Corrector (SLC) after 2003, we used Landsat5 TM data in 1989-1998 and 2003-2010, and Landsat7 ETM+ in 1999-2002. Landsat7 ETM+ data in 2011-2012 were used after data gap processing in ENVI5.0. We used Landsat8 OLI data for 2013-2019. The three Landsat datasets were downloaded from <https://www.gscloud.cn/> and <https://earthexplorer.usgs.gov/>, respectively. The preprocessing mainly included radiometric calibration, atmospheric correction, and geometric correction. Among them, we selected one period of Landsat data from spring or autumn every year and in total 32 images were chosen to obtain the spatial-temporal distribution of new plots caused by HRGFP.

4) Inventory data

The expansion of the main urban area in Lanzhou is limited, and the population density of the built-up areas is much higher than in other cities in China (Pan, 2016). Hence, seeking urban expansion space is always a very urgent task for local government. We used inventory data from three sources in our study. The primary inventory data came from the *General Plan for the Comprehensive Development and Utilization of Unused Land* compiled (2012-2030) by the Lanzhou Bureau of Land and Resources in 2012. It includes low hills, gentle slopes, and gullies of Lanzhou, a five-year plan for national economic and social development, and the overall plans of land use and urban construction (General Office of Lanzhou Municipal People's Government, 2014). The plan divided the entire land-creation region into six areas, included three key monitoring areas (Shazhong-Shengou, Yanchi-Maocha-Jiuzhou, and Qingshi) (Fig.1). The second data source was the *Overall Planning of Lanzhou City* (2011-2020) (General Office of Lanzhou Municipal People's Government, 2016) and Land Use Data of Lanzhou, completed in 2016, which were used to analyze land use and land cover change (LULCC) during the period of land-creation projects. The third source was statistical yearbooks, including the *Development Yearbook of Gansu Province*, *Statistical Yearbook of Gansu Province*, and the *Population Statistics Yearbook of Lanzhou City*, which were mainly used for monitoring the spatial and temporal changes of the landscape surface and analyzing its driving factors.

2.3 Methods

2.3.1 Interpretation of the new plots formed by HRGFP

The new plots formed by HRGFP were interpreted from the aerial images with higher spatial resolution of 0.2um processed by photogrammetry technology. In our study, only the new urban plots with an area larger than 2000m² were counted. In order to obtain the new plots with consistent spatial position, we used the data set produced in 2016 as a benchmark, those produced in 2000 and 2010 were processed with polynomial geometry correction and resampling based on the dataset in 2016.

In the study region, the main terrain features are hilly and mountainous, and the sites of land creation were mainly located at the junction of flats and hills (slope \geq 3°). Based on on-site surveys,

197 the ranges of plots were extracted as follows. First, we roughly painted the boundary of the new
 198 plots at the junction of hills and flats based on the DEM and DOM from 2000. Second, the
 199 approximate plots were verified by the difference images of DEMs in two periods using the software
 200 ArcGIS10.2, that is, the DEM difference images were calculated from 2010 to 2000 and 2016 to
 201 2010, respectively. Third, we checked its boundaries by overlaying the DOMs in 2010 and 2016 and
 202 further revised them. Finally, the area of new urban plots was calculated, and the attributions were
 203 identified.

204 2.3.2 Monitoring annual spatial distribution of new urban plots

205 The annual spatial distribution of HRGFP plots was monitored using Landsat images in 1989-
 206 2016. Due to its resolution, we mainly used these images to extract the spatiotemporal distribution
 207 of new urban plots in study area. First, we projected Landsat images into China Geodetic Coordinate
 208 System in 2000 (CGCS2000) and corrected with the DOM from 2016. We used false color images
 209 composited using the near infrared (NIR), red, and green bands of Landsat data to extract the yearly
 210 spatial plots using visual interpretation with ENVI and ArcGIS10.2 (Fisher et al., 2016). The
 211 specific methods are as follows. We first superimposed the image of 1990 on the image of 1989,
 212 and the spatial plot from land creation in 1989-1990 was extracted by visual interpretation. Then,
 213 the spatial plot in 1989-1990 were overlaid on the 1991 image to extract the spatial plot in 1990-
 214 1991. We repeated this process sequentially from 1992 to 2016 to develop annual change maps. We
 215 simultaneously further corrected the error using the three-period aerial images (2000, 2010, and
 216 2016) and Google Earth online images.

217 2.3.3 Spatial-temporal change analysis for LULCC

218 The LULCC data for our study area were classified by artificial interpretation from three-
 219 period DOMs (2000, 2010, and 2016), including farmland, grassland, garden land, forest, building,
 220 road, structure, bare land, and water. To analyze the features of LULCC in study area caused by
 221 HRGFP, three parameters (transfer matrix, spatial expansion intensity index(SEII), and terrain niche
 222 index(TNI)) were calculated to quantitatively analyze the spatial-temporal changes of LULCC.

223 1) Transfer matrix is a form to show the conversion relationship between land cover types in
 224 two periods, and reflects the dynamic change among different land cover types (Chen et al., 2018;
 225 Moulds et al., 2015). The main expression is as follows:

$$226 \quad p_{ij} = \begin{bmatrix} p_{11} & \cdots & p_{1n} \\ \vdots & \ddots & \vdots \\ p_{n1} & \cdots & p_{nn} \end{bmatrix} \quad (1)$$

227 Where, p_{ij} is the area of the land cover type i converted to the land cover type j . n is the number
 228 of the land cover types.

229 2) Because of the complexity and multi-directionality of LULCC, we used the spatial
 230 expansion intensity index(SEII) to express its dynamic change, and predict its future change (Al-
 231 Sharif et al. 2014; Zhou and He 2006). The SEII can be calculated as follows:

$$232 \quad \beta_1 = \frac{\left[\frac{(KLA_{i,t+n} - ULA_{i,t})}{n} \right]}{TLA_t} \times 100\% \quad (2)$$

$$233 \quad \beta_2 = \frac{\left[\frac{(WLA_{i,t+n} - ULA_{i,t})}{n} \right]}{TLA_t} \times 100\% \quad (3)$$

$$234 \quad NLA_{i,t+n} = KLA_{i,t+n} + ULA_{i,t} - WLA_{i,t+n} \quad (4)$$

235 Where, β_1 is the annual average expansion intensity of a land type i . β_2 is the annual average
 236 contraction intensity of a land type i . $KLA_{i,t+n}$ is the annual expansion area of the land type i
 237 during $t+n$ years. $WLA_{i,t+n}$ is the annual contraction area of the land type i during $t+n$ years.
 238 TLA_t is the total land types area in t year. $ULA_{i,t}$ is the area of the land type i in t years.
 239 $NLA_{i,t+n}$ is the total area of the land type i in $t+n$ years.

240 To further analyze the trend of LULCC, SEII is graded according to the following rules:

- 241 ① $-1 < \beta_1 + \beta_2 < -0.4$ and $|\beta_1 - \beta_2| \geq 0.1$, Relative stability
 242 ② $\beta_1 + \beta_2 < -1$ and $-0.1 < \beta_1 - \beta_2 < -0.01$, Slower contraction
 243 ③ $\beta_1 + \beta_2 < -1$ and $\beta_1 - \beta_2 < -0.1$, Rapid contraction
 244 ④ $\beta_1 + \beta_2 > -0.4$ and $-0.01 < \beta_1 - \beta_2 < 0.1$, Slower expand
 245 ⑤ $\beta_1 + \beta_2 > -0.4$ and $\beta_1 - \beta_2 > 0.1$, Rapid expand

246 3) The constraints of terrain conditions on land use are often affected by the combination of
 247 slope and elevation. In order to comprehensively reflect the spatial differentiation of land use change
 248 in terrain conditions, we use the geographic information modeling method to combine the elevation
 249 and slope into a terrain niche index (TNI) (Rao et al., 2007; Yu et al., 2001), and quantitatively
 250 analyze the relationship between LULC and the terrain conditions. Its formula is as follows:

$$251 \quad TNI = \log \left[\left(\frac{E}{\bar{E}} + 1 \right) \left(\frac{S}{\bar{S}} + 1 \right) \right] \quad (5)$$

252 Where, E and \bar{E} represent elevation and average elevation of any point in study region,

253 respectively. S and \bar{S} represent slope and average slope, respectively. A point with higher the

254 elevation and slope, its TNI is the bigger.

255 2.3.4 Environmental change analysis

256 Greenness, wetness, and dryness are important indicators that are often used to evaluate the
 257 quality or condition of vegetation (Gupta et al., 2012; Jing et al., 2020). In this study, we used the
 258 Normalized Difference Vegetation Index (NDVI), calculated from near infrared and red bands of
 259 Landsat images to represent greenness because it is closely related to vegetation coverage, leaf area
 260 index, and photosynthetic capacity (Pettorelli et al., 2005). The components of brightness, greenness,
 261 and wetness from Tasseled Cap Transformation (TCT) have been extensively used in ecological
 262 monitoring studies. Therefore in our study the wetness indicator was TCT calculated from satellite
 263 images (Landsat5 TM and Landsat8 OLI) (Baig et al., 2014). Heat is expressed by Land Surface
 264 Temperature (LST) which was inverted by brightness temperature and ratio radiation (Dobrovolný,
 265 2013). The heat of Landsat5 TM images is obtained from land surface temperature (Sobrino et al.,
 266 2004), and the heat of Landsat8 OLI images is obtained from the Atmospheric Correction Parameter
 267 Calculator (NASA, 2016; Yu et al., 2014). Based on the date and time of the satellite overpass and
 268 the geographical location, we computed the LST data of the study area.

269 Due to lower vegetation cover and intense human activities in our study area, we used the
 270 Biophysical Composition Index (BCI) as dryness indicator, which can combine information on bare
 271 soil and urban impervious surface and is more suitable for monitoring ecological environment of
 272 the dryness and low vegetation coverage area (Deng and Wu, 2012). The BCI was calculated as
 273 follows. First, we identified water pixels and masked out using an unsupervised classification.
 274 Second, brightness, greenness, and wetness were linearly normalized within the range from 0 to 1

275 after carrying out the function of TCT. Then, the BCI was calculated using eq.(6).

$$276 \quad BCI = [0.5(H + L) - V] / [0.5(H + L) + V] \quad (6)$$

277 where, H is “high albedo”, normalized brightness; L is “low albedo”, normalized wetness; and V is
 278 “vegetation”, normalized greenness.

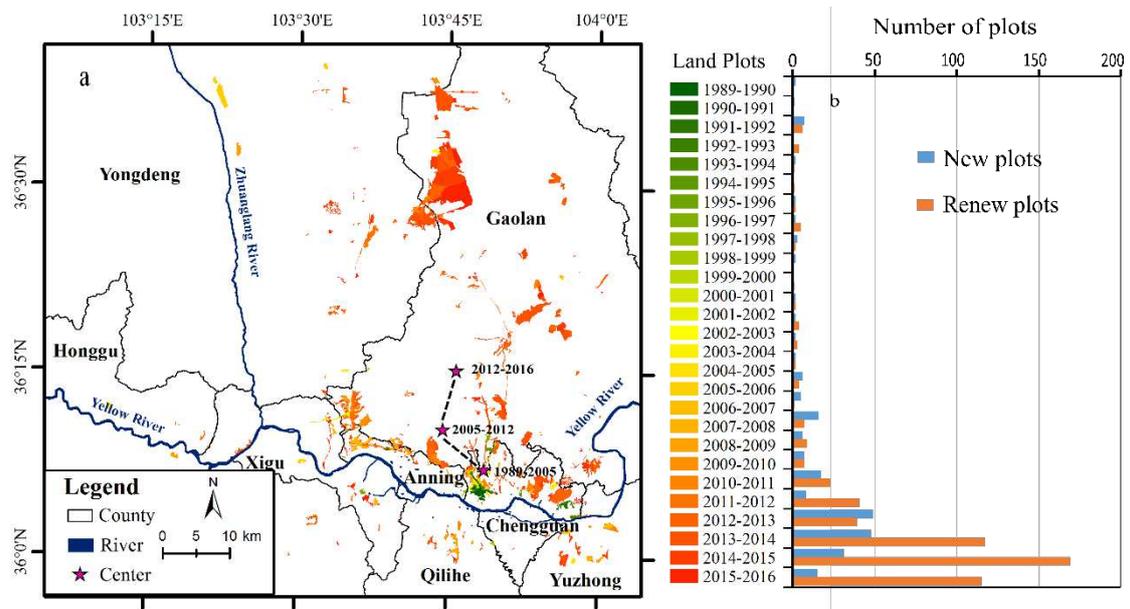
279 Finally, the Remote Sensing Environmental Index (RSEI) was calculated by integrating the four
 280 indicators via Principal Component Analysis (PCA) rather than a traditional weighted method.
 281 Because each indicator has a different unit and data range, it is necessary to normalize the values of
 282 the four indicators to within [0,1] before PCA performed. RSEI can be expressed as a function of
 283 the four normalized indicators and the original ecological index is obtained from the result of the
 284 first component from PCA (Li et al., 2015). RSEI is obtained by normalizing the values of the
 285 original ecological index within [0, 1]. When the value of RSEI is closer to 1, the ecological
 286 environment quality is better. On the hand, when the value of RSEI is closer to 0, the ecological
 287 environment quality is poor.

288

289 3 Results

290 3.1 Spatial-temporal dynamics of new land reclamation

291



292

293 Fig.2 Spatial-temporal distribution and statistics of new land reclamation in 1989-2016 (a, Spatial distribution,
 294 three stars from south to north express the centers of new plots in 1989-2005, 2006-2012 and 2013-2016,
 295 respectively. b, The number of new and renew urban plots)

296

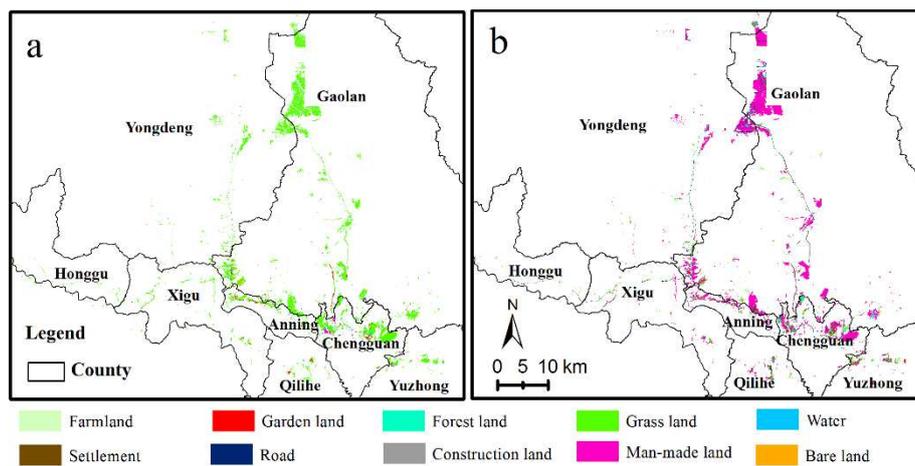
297 The plots of new land reclamation obtained by remote sensing images, aerial images, and in
 298 situ data were scattered over the study area in 1989-2016 (Fig.2a). Most of new urban plots were in
 299 the low hills and gentle slopes north of the Yellow River, and some also were found in narrow gullies
 300 and valleys in the south. According to the local government policies and the process of HRGFP, the
 301 1989-2016 period was divided into three stages, 1989-2005, 2005-2012 and 2012-2016. Before
 302 2005, the HRGFP sites were mostly near urban Lanzhou and we found from field investigation that
 303 most of them were originally man-made piling and digging plots, whose area is about 14.1km² with
 304 average annual growth speed of 0.875 km²/a. In this stage, the scale is small with a feature of single-

305 center expansion mode. In 2005-2012, the HRGFP sites gradually moved northward and were
 306 mainly located in the low hills and gentle slopes around the city with very little vegetation cover. In
 307 this period, the scale of HRGFP is three times the area of the first stage (1989-2005) with an average
 308 annual expansion rate of 6.702 km²/a and multi-center expansion mode. During the third stage
 309 (2012-2016), the HRGFP projects expanded rapidly with bare land area being about 144.01km² with
 310 an average annual expansion speed of 36.003km²/a. It also showed that the new plots first increased
 311 and then decreased, while the renewed plots on the original plots continuously increased (Fig.2b),
 312 especially in 2013-2014 when the area reached a maximum. Although the total area of new urban
 313 land reclamation in 2015-2016 decreased by 26.3km² compared with that in 2013-2014, it was still
 314 far larger than before 2012, and most of them are renewed plots, accounting for 72.4% of the area.

315 The new urban land reclamation in 1989-2016 also showed obvious differences in space and
 316 scale. To further analyze the change plots from HRGFP, we calculated the distributional centers in
 317 1989-2005, 2006-2012, and 2013-2016, respectively. It showed that from the first (1989-2005) to
 318 second (2006-2012) stage, the center shifted 8.6km northwest. After the third stage, the centers
 319 shifted 9.1km northeast. During the study period, the center of HRGFP generally showed a trend of
 320 continuous shift from south to north, and shifted 15.5 km northwest (Fig.2a).

321
 322

3.2 LULCC transfer analysis in 2000-2017



323
 324
 325
 326

Fig.3 LULCC transfer and distribution in 2000-2017
 (a), LULCC before 2010; (b), LULCC after 2010

327 Before 2000 in study area, LULC occurred mainly in low-cover grassland and dry farmland.
 328 Grassland was the largest land cover type with an area of 122.47km², which mainly were on the
 329 barren hills, and accounted for 75.98% of the study region. Dry farmland, with an area of 27.48 km²
 330 and accounting for 17.05% of the region, were mostly distributed in the smaller gully flats. The
 331 proportion of man-made piling and digging land, garden land, and forest only were about 1%~2%.
 332 The areas of other land cover types, such as construction land, roads, bare land, and water were less
 333 (Fig.3a, Table 1).

334 During 2000-2017, the most common type of land cover was man-made, which obviously was
 335 converted from other land types, such as grassland and farmland, and accounted for 63.05% of the
 336 region. The second type was grassland, accounting for 11.10%, which were mainly from artificial
 337 planting on man-made land after HRGFP and from abandoned land after HRGFP. The structures

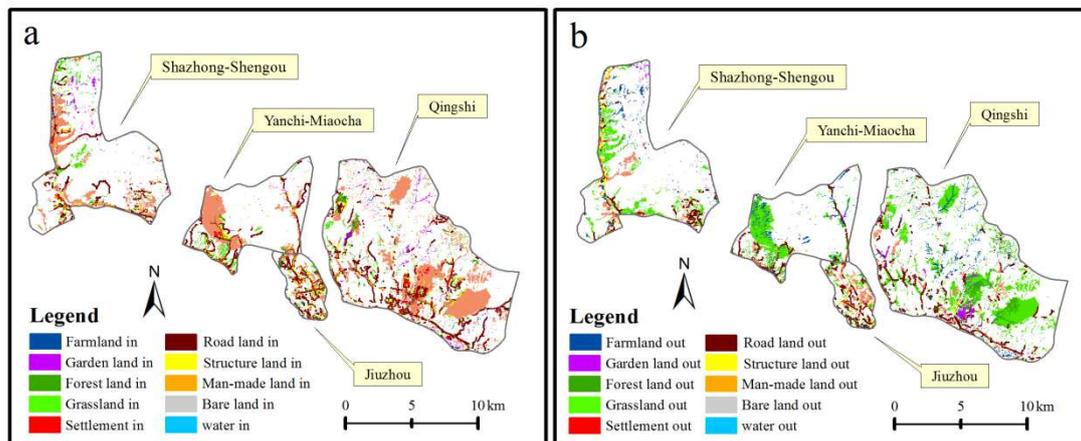
338 mainly were the hardened revetment on both sides of the highway and railway and accounted for
 339 8.10% of the region. Roads (including highway and railway) accounted for 6.98%. Buildings
 340 (including residential buildings, offices of industrial and mining enterprises, etc.) accounted for
 341 4.39%. In addition, the land types with very small areas were garden land, forest, and water area
 342 (Fig.3b, Table 1).

343 From 2000, the land cover type with the largest loss of area was grassland with an area of 104.69
 344 km². The second was farmland and garden land, among which the farmland area decreased by 24.97
 345 km² and garden land area decreased by 1.61 km². The land type with the largest increase in area was
 346 man-made land, which increased by 96.97km². Other land cover types with an increase in area were
 347 from large to small was structures, roads, buildings, and forest. During this time, there was little
 348 area change for bare land and water (Table 1).

349

Table1 Area and proportion of LULCC in 2000 and 2017

Land types	Area (km ²)		Percentage (%)		ΔArea(km ²)
	2000	2017	2000	2017	
Farmland	27.48	2.51	17.05	1.56	-24.97
Garden land	2.47	0.86	1.53	0.54	-1.61
Forest	1.8	4.71	1.12	2.94	2.91
Grassland	122.47	17.78	75.98	11.10	-104.69
Building	0.43	7.03	0.27	4.39	6.60
Road	0.37	11.19	0.23	6.98	10.82
Structure	0.76	12.98	0.47	8.10	12.22
Man-made land	4.06	101.03	2.52	63.05	96.97
Bare land	1.21	1.29	0.75	0.80	0.08
Water	0.13	0.88	0.08	0.55	0.75



350

Fig.4 Transfer in and out of LULCC in key monitoring areas in 2000-2016

351

(a), Transferring in (b), Transferring out

352

353

We also analyzed LULCC of the three key monitoring areas in the study region (Fig.4). In
 354 2000-2016, the total area of LULCC in the key monitoring areas was 84.52km² (Table 2). According
 355 to the area of LULCC transfer-out, the largest to smallest were: grassland > farmland > garden land >
 356 man-made land > forest > bare land > structure > building > road > water. Among them, grassland
 357 was the largest transfer-out type with an area of 58.43km². The second was farmland with an area

358 of 10.14km². Meanwhile, from LULCC transfer-in, the area from largest to smallest were: man-
 359 made land > grassland > structures > buildings > forest > garden land > road > bare land > farmland >
 360 water. And the largest transfer-in type was man-made land with an area of 38.79km². The second
 361 and third were forest and grassland, with area of 13.76km² and 9.65km², respectively.

362

363

Table2 Transfer matrix of LULCC in key monitoring areas in 2000-2016 (unit: km²)

Land type	GRL	RL	BDL	FAL	SL	BL	FOL	MML	WA	GDL	Out
GRL	-	2.06	2.24	0.69	3.97	2.04	13.12	33.23	0.18	0.90	58.43
RL	0.24	-	0.03	0.01	0.07	0.00	0.07	0.12	0.00	0.01	0.55
BDL	0.14	0.07	-	0.02	0.24	0.00	0.04	0.19	0.00	0.00	0.70
FAL	3.50	0.18	0.65	-	0.50	0.02	0.12	2.22	0.01	2.94	10.14
SL	0.46	0.09	0.33	0.01	-	0.00	0.09	0.48	0.00	0.01	1.47
BL	0.71	0.02	0.02	0.00	0.03	-	0.00	0.83	0.00	0.00	1.62
FOL	1.97	0.25	0.17	0.04	0.42	0.01	-	0.72	0.00	0.03	3.60
MML	1.31	0.50	0.68	0.03	0.86	0.03	0.17	-	0.02	0.01	3.61
WA	0.05	0.00	0.00	0.00	0.01	0.00	0.01	0.06	-		0.13
GDL	1.26	0.24	0.71	0.52	0.44	0.00	0.13	0.94	0.01	-	4.25
In	9.65	3.41	4.82	1.33	6.53	2.10	13.76	38.79	0.23	3.90	84.52

364

GRL=Grassland, RL=Road land, BDL=building land, FAL=Farmland, SL=Structure land, BL=Bare land, FOL=Forest land,

365

MML=Man-made land, WA=Water, GDL=Garden land

366

367

3.3 The feature of new urban land reclamation from SEII and TNI

368

According to the sites and scale of HRGFP (we only counted the plots with an area $\geq 2000\text{km}^2$),

369

in 2000-2010, about 412 sites were interpreted from aerial images in study region, which had an

370

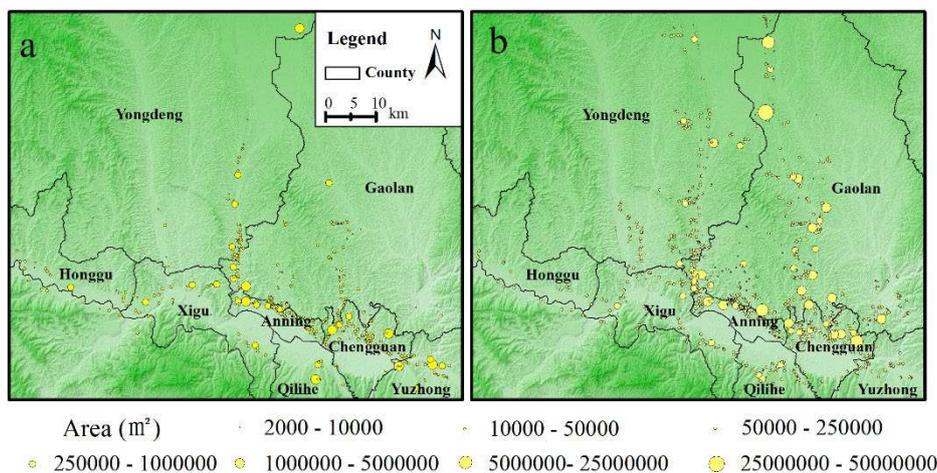
area of 35.55km² (Fig.5a), and increased by 3.56km² per year. In 2010-2016, compared with the last

371

ten years, 527 new and renew sites from HRGFP were interpreted, and their area was 132.58km²

372

with a growth of 22.10km² per year, and most of them were renew plots on original sites (Fig.5b).



373

374

Fig.5 The site and scale of land-creation (the center of yellow circle expresses the site of land-

375

creation, and size indicated its scale). (a), 2000-2010 (b), 2010-2016

376

377 To analyze the overall trend of LULCC in our study region, we also calculated SEII of land
 378 types in 2000-2010 and 2010-2016 (Table3). In 2000-2010, the land types with relatively stability
 379 were farmland and garden land. Buildings, roads, structures, bare land, and water area showed
 380 relatively slower expansion in a short time. On the other hand, grassland contracted rapidly, and
 381 forest and man-made land quickly expanded, which indicated the obvious human activity on these
 382 land cover types, such as HRGFP and afforestation projects.

383 Table3 SEII of land types in 2000-2010

Land types	β_1	β_2	$\beta_1+\beta_2$	$\beta_1-\beta_2$	SEII grades
Farmland	-0.55	-0.43	-0.98	-0.12	Relative stability
Garden land	-0.28	-0.24	-0.52	-0.04	Relative stability
Forest	0.13	-0.35	-0.22	0.47	Rapid expansion
Grassland	-7.62	-6.75	-14.37	-0.87	Rapid contraction
Settlement	-0.03	-0.09	-0.12	0.06	Slower expansion
Road	-0.02	-0.06	-0.08	0.04	Slower expansion
Structure	0.01	-0.08	-0.08	0.09	Slower expansion
Man-made land	0.23	-0.08	0.15	0.32	Rapid expansion
Bare land	-0.06	-0.11	-0.17	0.04	Slower expansion
Water land	-0.01	-0.01	-0.02	0.00	Slower expansion

384 From 2010 to 2016, garden land and bare land were relatively stable. However, farmland, forest,
 385 and grassland showed rapid contraction, that is, these three land types were continuously transfer-
 386 out in this period. Meanwhile, water area showed a relatively slower expansion, while building,
 387 road, structure and man-made land all showed relatively rapid expansion (Table4), which also
 388 indicated that in this period the process of HRGFP was strengthening and urban expansion and
 389 construction was developing rapidly.

390 Table4 SEII of land types in 2010-2016

Land types	β_1	β_2	$\beta_1+\beta_2$	$\beta_1-\beta_2$	SEII grades
Farmland	-0.81	-0.45	-1.26	-0.36	Rapid contraction
Garden land	-0.38	-0.42	-0.79	0.04	Relative stability
Forest land	-1.34	-1.19	-2.53	-0.16	Rapid contraction
Grassland	-11.16	-9.55	-20.71	-1.61	Rapid contraction
Settlement	-0.07	-0.23	-0.31	0.16	Rapid expansion
Road	-0.04	-0.15	-0.19	0.12	Rapid expansion
Structure	-0.03	-0.19	-0.22	0.16	Rapid expansion
Man-made land	1.24	-0.42	0.81	1.66	Rapid expansion
Bare land	-0.24	-0.23	-0.47	-0.02	Relative stability
Water land	-0.02	-0.03	-0.05	0.00	Slower expansion

391 TNI indicated that in 2000-2010, the distribution of new plots increased first and then
 392 decreased with the change of elevation, and most were at 1500-1800m. In 2010-2016, the area of
 393 new plots in elevation zones increased significantly and the maximum elevation interval was 1900-
 394 2000m. In 2000-2010, the new urban plot distribution was mainly concentrated on slopes of 0-5°,
 395 while in 2010-2016, they were mainly on slopes of 5-25°. We further graded TNI into seven classes
 396 (Table5) and found that the changes in TNI in 2000-2010 and 2010-2016 were basically the same

397 and mainly concentrated in the TNI classes of 0.5-0.6 and 0.6-0.7. Combined with DEM and slope,
 398 we found that the two TNI classes were mainly located in the areas with relatively low elevation
 399 and steep slopes or relatively high elevation and shallow slopes.

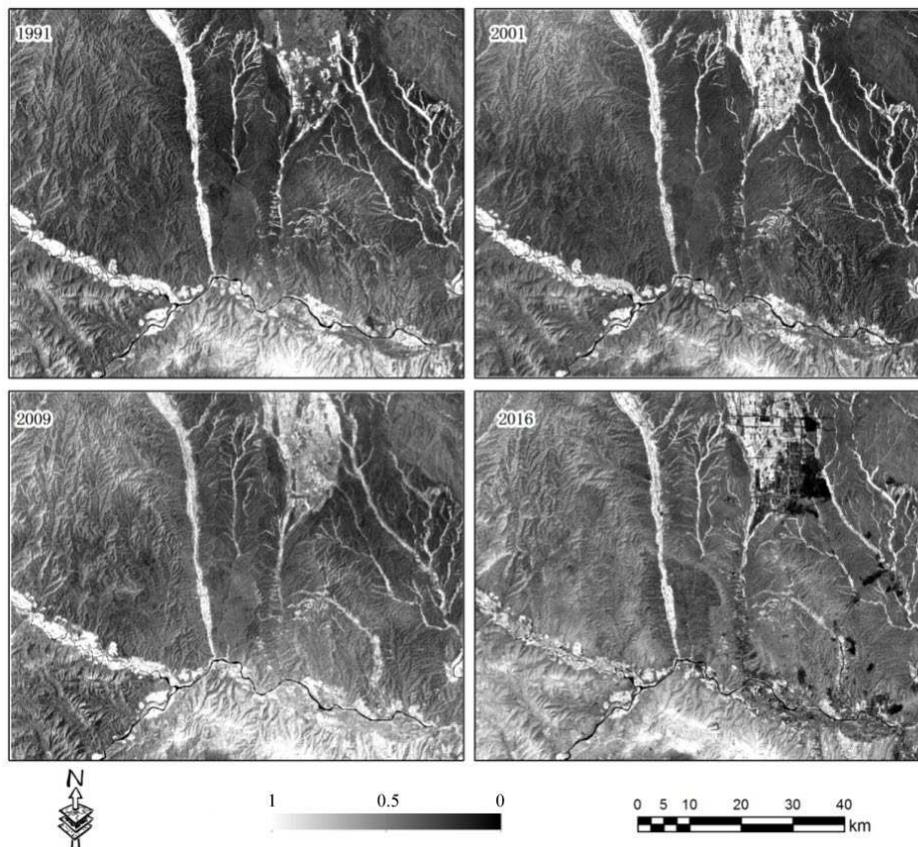
400 Table5 TNI classes statistics in 2000-2010 and 2010-2016

TNI classes		0.3-0.4	0.4-0.5	0.5-0.6	0.6-0.7	0.7-0.8	0.8-0.9	0.9-1.0
2000-2010	Area (km ²)	0.416	1.705	12.693	20.64	0.077	0.001	/
	Percentage	1.17	4.80	35.72	58.09	0.22	0.00	/
2010-2016	Area (km ²)	1.661	6.565	48.383	75.64	0.304	0.003	/
	Percentage	1.25	4.95	36.50	57.06	0.23	0.01	/

401

402 **3.4 Environmental evaluation with RSEI**

403 To analyze the environmental quality in study region during HRGFP, based on Landsat
 404 TM/ETM+ images, we calculated NDVI, Humidity, LST, and BCI. The RSEI in 1991, 2001, 2009,
 405 and 2016 were obtained by PCA and further normalized to 0-1(Fig.6). The statistics found that RSEI
 406 average value from small to large were 2001,1991, 2009, and 2016 with value of 0.272, 0.297, 0.309,
 407 and 0.406, respectively. From 1991 to 2009 the environmental quality slightly decreased, then
 408 slowly increased, and substantial improved in 2009-2016. In 1991-2016, the proportion of the area
 409 with ecological grades of highest, high, and medium increased from 16.3% to 35.9%, and the
 410 proportion of low and lowest decreased from 83.72% to 62.12% (Table6). The area with improved
 411 environmental quality in study area was about 3984 km², or 55.73% of the total area, while the area
 412 with degraded environmental quality was only 565.8km², accounting for 7.91% of the total area.



413

414

415

Fig.6 RSEI Trend in 1991-2016

416

Table6 Statistics of RSEI grades in 1991,2001,2009 and 2016 (*PCT=percentage*)

<i>RSEI Grades</i>	1991		2001		2009		2016	
	Area (km ²)	PCT (%)						
lower(0-0.2)	3700.64	51.76	3765.64	52.67	2934.73	41.05	1408.30	19.70
low(0.2-0.4)	2284.62	31.96	2306.46	32.26	2817.12	39.41	3175.56	44.42
medium(0.4-0.6)	626.56	8.76	582.54	8.15	873.64	12.22	1727.48	24.16
High(0.6-0.8)	302.31	4.23	272.94	3.82	356.26	4.98	584.16	8.17
Higher(0.8-1)	235.31	3.29	221.85	3.10	167.68	2.35	253.93	3.55

417

418 **4 Discussions**419 **4.1 The role of local government in HRGFP**

420 Lanzhou is located in the long, narrow valley of the Yellow River Basin, and the Yellow River
421 passes through the main city, forming a 50 km long east-west and narrow north-south strip city. With
422 the development of urbanization, the contradiction between urban economic development and
423 limited spatial expansion was very acute. The strategy from local government to deal with the
424 quandary was to expand toward the unused land of barren hills of north, which is an effective mode
425 to open up new space of construction land for urban and industrial development without or with less
426 farmland. Therefore, the local government issued a series of measures to vigorously promote the
427 development of the HRGFP. For example, in 1988, the Lanzhou government approved Jiuzhou
428 Economic Development Zone, which was the beginning of the HRGFP. In 2004, the local
429 government made its urban spatial expansion strategy of extending from east and west, and
430 expanding from south and north, which thrust HRGFP into a period of rapid development. In 2007,
431 the unused land around Lanzhou were actively promoted toward the comprehensive development
432 and utilization. In 2012, the local government wrote the Scheme of Planning and Construction for
433 the Comprehensive Development and Utilization of Wasteland such as low hills, gentle slopes, and
434 gullies in Lanzhou, which was approved by the National Ministry of Land and Resources. After that
435 was the fastest expansion year for the HRGFP ([General Office of Lanzhou Municipal People's
436 Government ,2014, 2016](#)).

437 Our results showed that the new land reclamation and the effects of urban space expansion and
438 economic development caused by HRGFP were apparent, which gradually developed subregions in
439 stages. The LULCC Interpreted from remote sensing images also showed that more new land types,
440 especially buildings, structures, and green parks have been built on the new urban land. The result
441 was a new Lanzhou City that had become more spacious and prosperous.

442 **4.2 The protection of the environment in HRGFP**

443 Originally, the eco-environmental risk caused by land-creation projects drew the attention of the
444 local government ([Lanzhou bureau of land and resources, 2013](#)). A series of regulations was issued
445 by the Chinese government to effectively limit the eco-environmental risk caused by land-creation
446 projects. According to the National Land Law, reclaiming unused land for another purpose must be
447 scientifically evaluated. In 2013, the policy on further strengthening the management of urban dust
448 was issued by the Lanzhou government, which required that the land reclamations must not be
449 carried out without an environmental impact assessment (EIA). Due to the characteristics of Loess
450 hills, the problems of eco-environmental risk in Lanzhou usually included construction dust,
451 soil erosion, vegetation destruction, and farmland reduction. The premise of land-creation projects

452 is to protect the eco-environment. Fortunately, some new effective technologies summarized from
453 other projects in China were adopted in the Lanzhou land-creation projects ([Ma, 2016; Zhang et al.,](#)
454 [2009](#)). For example, to prevent and control the dust, water-flushing operations, bare-soil coverings,
455 and a prohibition on working on windy days effectively reduced the dust. Some reasonable
456 construction procedures and silt dams were adopted to control soil erosion. With a series of policies,
457 field investigations showed that about 806 geo-disasters and potentially dangerous events were
458 avoided through the land-creation projects ([Liu and Li, 2014](#)). Moreover, some of new land types,
459 such as forest, grassland, and farmland were increased to compensate the original loss in vegetation
460 cover. Therefore, the influence on local eco-environment caused by land reclamations is still unclear,
461 and the impact on geo-disasters also needs to be evaluated over the long term. Using RSEI and 26
462 years of time series images, we showed that the eco-environment in Lanzhou first declined and then
463 slowly improved over the length of the land reclamations projects (Fig.8). That is, although land-
464 creation projects would bring certain impact on the local environment in the early states, the urban
465 expansion and economic development were immediate.

466 **5 Conclusions**

467 In the tide of urbanization in Lanzhou, China, land creation by hilltop removing and gully filling
468 is a realistic model to solve the restriction of river-valley urban terrain. In this study, we mainly have
469 monitored the process, changes in plot characteristics, and the eco-environmental impact of land-
470 creation projects with remote sensing information technology rather than the suitability of land
471 development and utilization and establishment of environmental impact assessment system. Our
472 results from the latest multiple aerial remote sensing datasets and field investigation show that urban
473 space expansion and economic development caused by land-creation projects is very apparent, with
474 a continuous shift from the traditional urban area to the north where there were low hills, gentle
475 slopes, and gullies. We found that large scale land-creation projects in Lanzhou mainly occurred in
476 2012-2016. During this period, a series of Chinese government policies and specifications were
477 issued to greatly promote and guide the land-creation projects. Our field survey found that most of
478 geo-disasters and hidden danger points in the study area were eliminated after the land-creation
479 projects. Remote sensing images indicated that forest and grassland increased on the new plots
480 in addition to buildings, which also enhanced the gradual improvement of local eco-environmental
481 quality. Our results indicated that land-creation projects in Lanzhou were increasing urban space
482 expansion and economic development, which also were leading to improved eco-environmental
483 conditions under the guidance of the local government.

484

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Figures

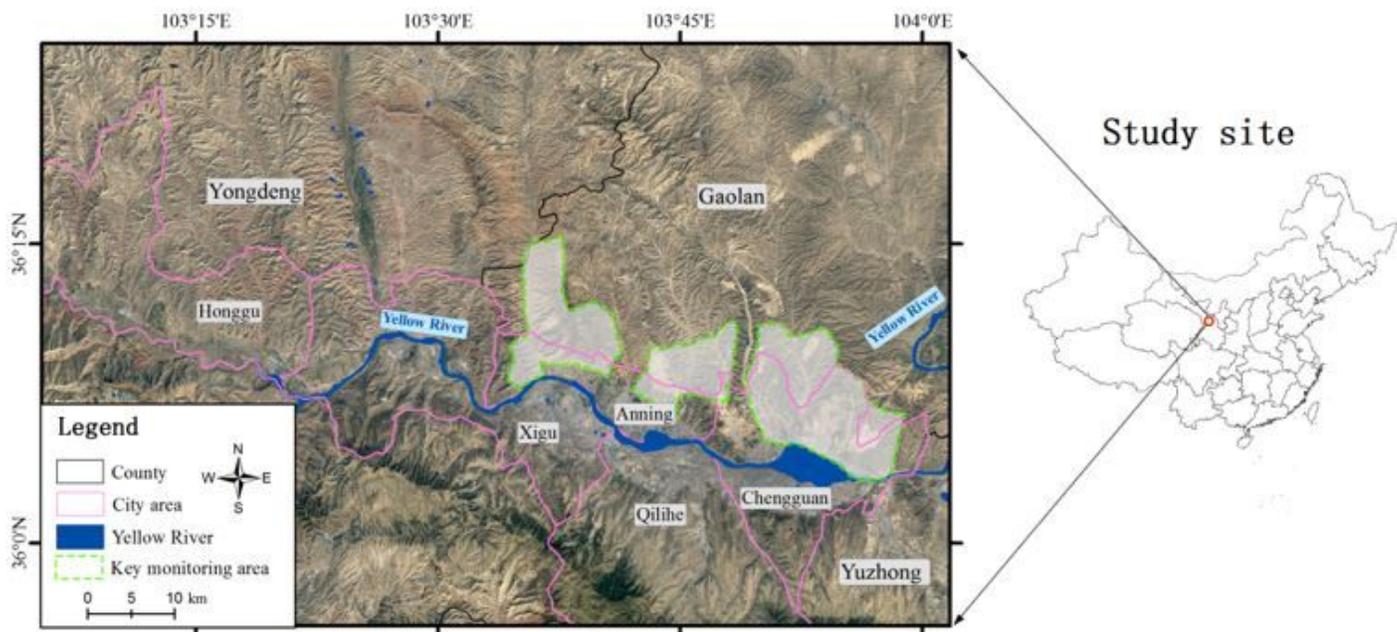


Figure 1

Study area (mainly including three counties (Yongdeng, Gaolan, and Yuzhong) and five districts (urban area: including Chengguan, Qilihe, Anning, Xigu, and Honggu). The areas with a green line are the key monitoring areas, from west to east are Shazhong-Shengou, Yanchi-Maocha-Jiuzhou, and Qingshi, respectively.) Note: The designations employed and the presentation of the material on this map do not imply the expression of any opinion whatsoever on the part of Research Square concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries. This map has been provided by the authors.

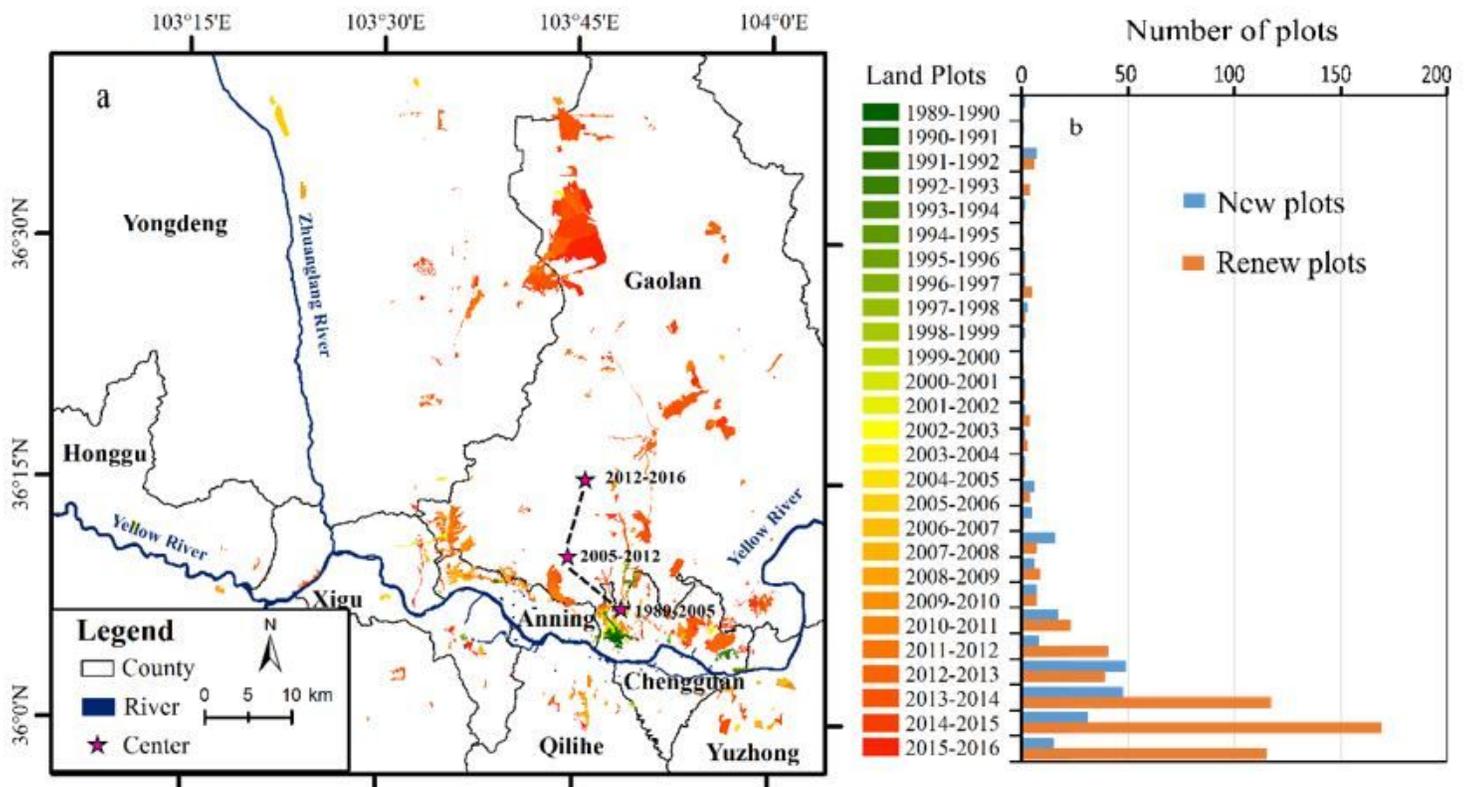


Figure 2

Spatial-temporal distribution and statistics of new land reclamation in 1989-2016 (a, Spatial distribution, three stars from south to north express the centers of new plots in 1989-2005, 2006-2012 and 2013-2016, respectively. b, The number of new and renew urban plots). Note: The designations employed and the presentation of the material on this map do not imply the expression of any opinion whatsoever on the part of Research Square concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries. This map has been provided by the authors.

3.2 LULCC transfer analysis in 2000-2017

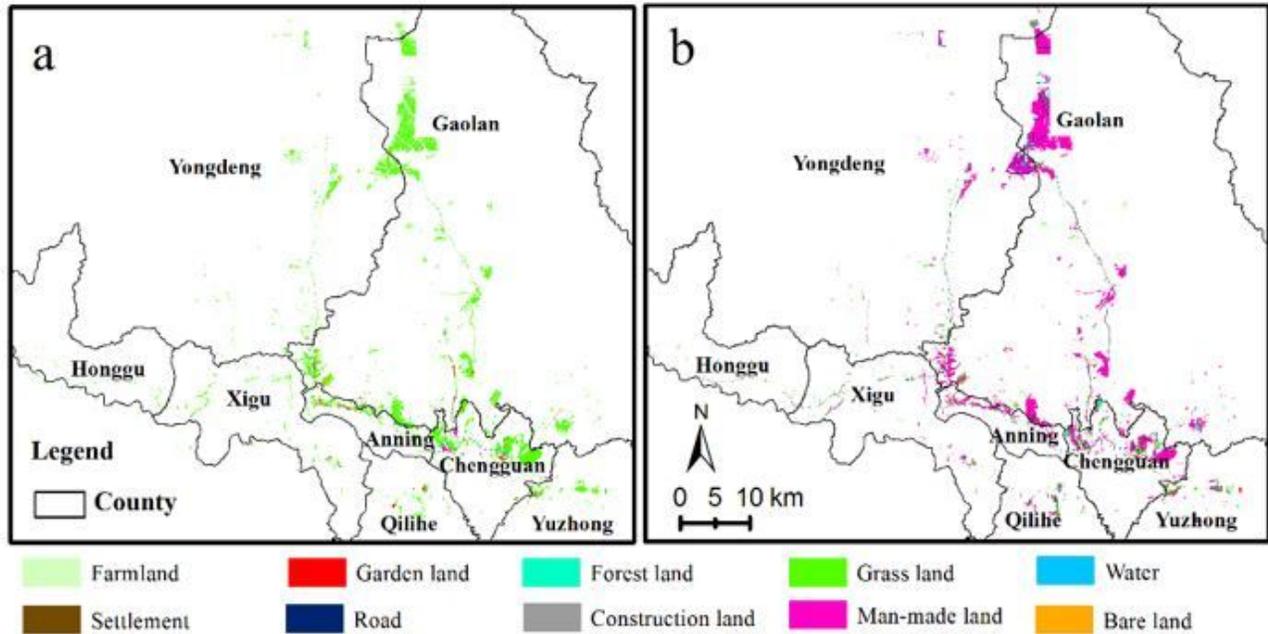


Figure 3

LULCC transfer and distribution in 2000-2017 (a), LULCC before 2010; (b), LULCC after 2010. Note: The designations employed and the presentation of the material on this map do not imply the expression of any opinion whatsoever on the part of Research Square concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries. This map has been provided by the authors.

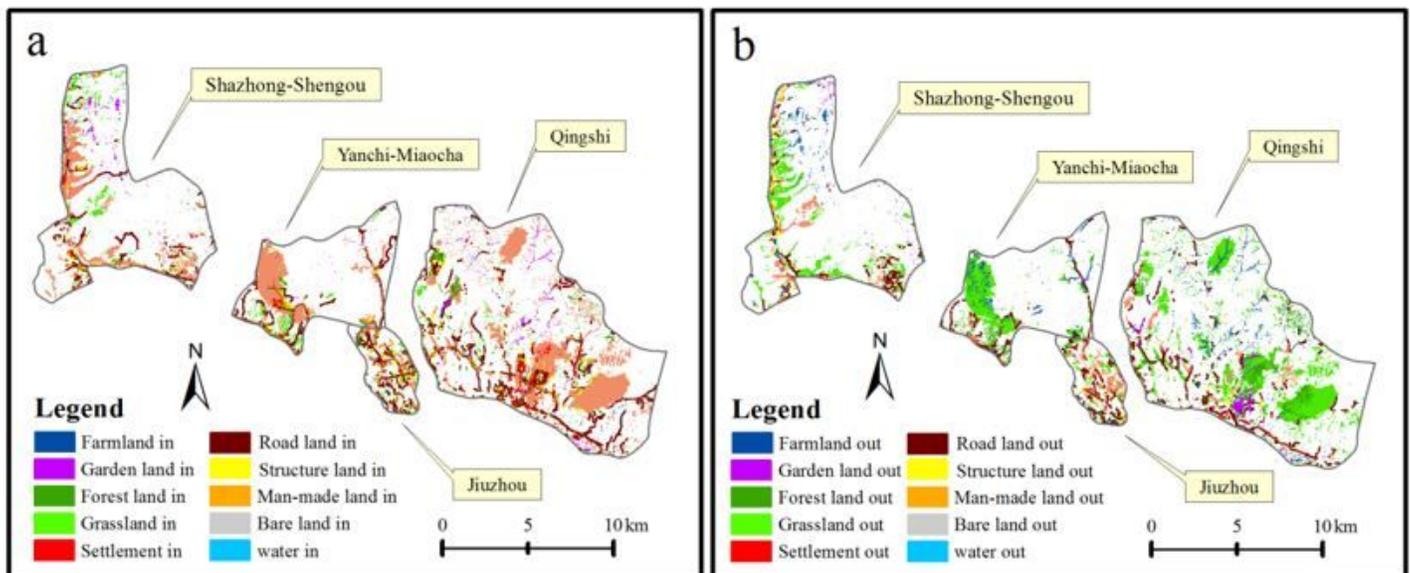


Figure 4

Transfer in and out of LULCC in key monitoring areas in 2000-2016 (a), Transferring in (b), Transferring out. Note: The designations employed and the presentation of the material on this map do not imply the expression of any opinion whatsoever on the part of Research Square concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries. This map has been provided by the authors.

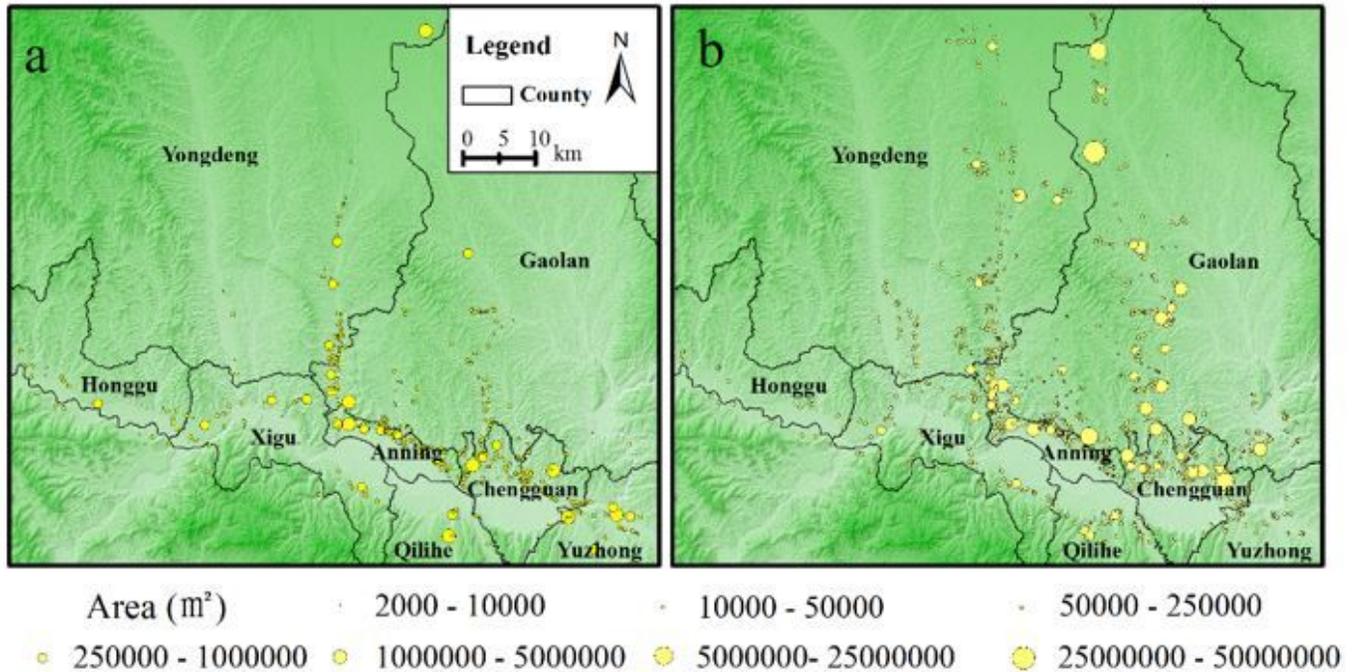


Figure 5

The site and scale of land-creation (the center of yellow circle expresses the site of land-creation, and size indicated its scale). (a), 2000-2010 (b), 2010-2016. Note: The designations employed and the presentation of the material on this map do not imply the expression of any opinion whatsoever on the part of Research Square concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries. This map has been provided by the authors.

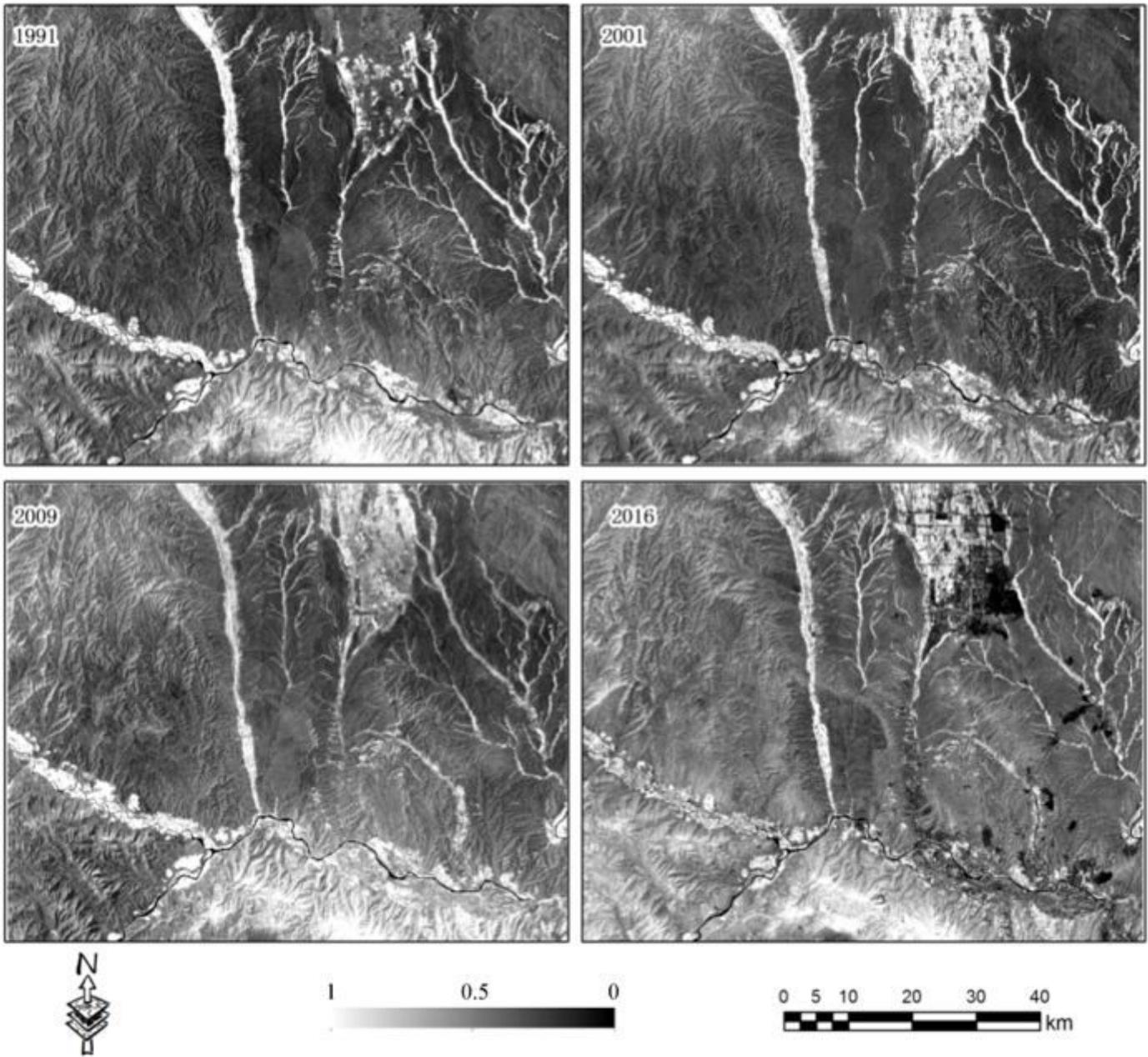


Figure 6

RSEI Trend in 1991-2016