

Fairness analysis and compensation strategy in the Triangle of Central China driven by water-carbon-ecological footprints

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1 **Fairness analysis and compensation strategy in the Triangle of Central China**
2 **driven by water-carbon-ecological footprints**

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23

24 **Abstract:** This study proposes water–carbon–ecological footprints to form footprint
25 family indicators for identifying the ecological compensation and regional
26 development equilibrium in the Triangle of Central China (TOCC). The occupation of
27 natural capital stock and flow consumption can be illustrated through a
28 three-dimensional ecological footprint model, and Gini coefficient is integrated into
29 the evaluation framework for fairness measurement from various aspects.

30 Quantificational ecological compensation standards can be given with concerns of
31 ecological resource conversion efficiency and willingness to pay indicators. Results
32 reveal that there exist rising trends in ecological and carbon footprints in the TOCC
33 from 2000 to 2015, while its water footprint presents a fluctuating trend. A majority of
34 average Gini coefficients exceed the warning value (i.e., 0.4) under different
35 footprints, implying a relatively poor overall fairness of regional development. In
36 terms of water footprint, the relatively higher compensation expenses exist in Jingmen,
37 Xiangtan, and Yichun, while Yichang, Zhuzhou, and Fuzhou have higher received
38 compensation values as compared with other cities. When it comes to carbon footprint,
39 Wuhan, Loudi, and Xinyu should pay higher compensation expenses due to their
40 overuse of biological resources. The highest amounts of compensation expense appear
41 in Nanchang and Wuhan from the perspective of ecological footprint.

42

43 **Keywords:** Ecological compensation; Footprint family; Gini coefficient; Fairness
44 measurement; Triangle of Central China

45

46 **1. Introduction**

47 **1.1. Significance**

48 Unreasonable utilization of natural resources has led to contradictions between
49 natural capital supply-demand in China (Kaczan, et al., 2013; Wang et al., 2018).
50 Some environmental issues associated with climate anomalies, resources exhaustion,
51 and water security have already played serious impacts on China's natural ecosystems
52 and human living environments (Araujo et al., 2019), which forced the society to
53 re-examine the traditional concept of development which focuses on economic growth.
54 Sustainable development has become a common concern (Shulla et al., 2020), and
55 involves three aspects (Fedele et al., 2019): (a) further development of biodiversity
56 and ecosystem services, (b) coordinated development of the economic, social and
57 human well-being, and (c) economic development and environmental protection
58 complement each other. With these concerns, China's sustainable development should
59 maintain long-term ecological sustainability and regional equity. The environmental
60 footprint theory simplifies the complex urbanization process to the balance of
61 ecological supply and demand, and has become an effective method to solve the
62 contradiction between sustainable development and ecological sustainability.
63 However, the single footprint index cannot meet the needs of sustainable development
64 evaluation (Kinzig et al., 2011), especially with increasingly obvious characteristics of
65 the interaction, complexity and integrity of the earth ecosystem. With response it, the
66 concept of footprint family (FF), such as ecological, carbon and water footprints, has

67 received much attention to integrate ecological conservation and socio-economic
68 development (Song et al., 2018; Dabkieni  et al., 2020).

69 **1.2. Literature review**

70 **1.2.1. Review of combining footprint indicators**

71 Footprint method is a frontier method in resource-environmental pressure
72 assessment, which originated from the term of ecological footprint and was formally
73 introduced to the scientific community in the 1990s (Fang et al., 2014). The widely
74 used ecological footprint is considered as one of the most important achievements in
75 the field of sustainable development. Numerous footprint type indicators have been
76 formulated for supplementing the ecological footprint over the past decades, such as
77 water, carbon, energy, phosphorus, and nitrogen footprints. Recently, footprint-related
78 researches have gradually shifted from a single footprint measurement to multiple
79 footprints due to the complexity in resource-environmental issues. The term of FF
80 was first advocated by Giljum et al. (2008) and Stoeglehner and Narodoslowsky
81 (2008). Combination of ecological, water and carbon footprints are regarded as a
82 more common model within FF approaches, which comprehensively considers the
83 issues of land carrying capacity, water resources carrying capacity, and carbon
84 emissions/sinks. It embodies the basic connotation of resource conservation and
85 environmental friendliness required by the construction of ecological civilization.
86 Numerous effects regarding FF have been made for design of the regional
87 resource-environmental system. For example, Kissinger and Dickler (2016) used FF
88 (i.e., ecological, land, water, and carbon footprints) for calculating beef consumption

89 in the state of Israel and balancing the tradeoffs between various biophysical
90 components. [Vanham et al. \(2019\)](#) applied FF for comprehensive understanding of
91 environmental issues, policy formulation, and assessment of trade-offs between
92 different environmental concerns. [Li et al \(2020\)](#) developed an integrated model for
93 determining optimal crop planting area, irrigation water, and nitrogen fertilizer under
94 multiple uncertainties, where water-carbon- energy-ecological footprints were
95 analyzed to jointly evaluate the resource re-allocation.

96 **1.2.2. Review of ecological compensation**

97 There are certain differences in economic development and resource utilization
98 in different regions, resulting in certain unfairness in the use of ecological resources
99 and environmental protection between regions. In response to such differences,
100 ecological compensation is an important way to promote regional coordinated
101 development ([Wang et al., 2020](#)). Recently, international exploratory studies have
102 been made to forest ecological compensation in China ([Jiang et al., 2016](#)). For
103 example, [Fan and Chen \(2019\)](#) established a comprehensive evaluation framework for
104 identifying the spatial characteristics of land uses and ecological compensation from
105 2000 to 2015 in Sichuan Province, China. [Jiang et al. \(2019\)](#) advanced a stochastic
106 differential game model for determining transboundary pollution control options
107 between a compensating and compensated region. Findings can help decision makers
108 identify relative ecological and economic thresholds for deploying ecological
109 footprint contracts across China. [Guo et al. \(2020\)](#) centered on the influencing factors
110 of watershed ecological compensation system in the Eastern Route of South-to-North

111 Water Transfer Project. Results revealed that the upstream governments would get
112 about 78% of ecological benefits owing to the implementation of watershed
113 ecological compensation system. [Yang et al. \(2020\)](#) focused on ecological
114 compensation standards of national scenic spots in Taibai Mountain of China based on
115 ecological footprint method, which can reduce the touristic ecological footprint and
116 improve implementation of the compensation mechanism.

117 **1.2.3. Review of regional fairness analyses**

118 With increasingly close relationship between economic development and
119 biological resources consumption, it is particularly critical to maintain the fairness
120 between their development ([Figueras and Duro, 2015](#)). There are many efforts
121 undertaken for the fairness analyses. For example, [Chen et al. \(2017\)](#) used Gini and
122 deviation indexes for evaluating differences in the per capita consumption of fossil
123 energy across 30 Chinese provinces from 1997 to 2013. Results revealed that the Gini
124 rate of Chinese inter-provincial fossil energy consumption was less than 0.3. [Dai et al.](#)
125 [\(2018\)](#) developed a Gini-coefficient based stochastic optimization model for
126 supporting water resources allocation at a watershed scale in Lake Dianchi watershed,
127 China. Results provided a proper tradeoff between system benefit and water allocation
128 equity. [Shu and Xiong \(2018\)](#) constructed a non-grouped Gini index for identifying
129 regionally balanced development of economy and environment in China. [Yang and](#)
130 [Fan \(2019\)](#) applied energy ecological footprint to analyze the spatial-temporal
131 differences and fairness of the Silk Road Economic Belt. Results indicated that its
132 economic contribution and energy ecological support Gini coefficients ranged from

133 [0.19, 0.25] and [0.30, 0.35], respectively.

134 **1.3. Novelty and contribution**

135 In spite of numerous effects undertaken for ecological compensation assessment,
136 some issues have not been substantially resolved, such as lack of institutional
137 standardization and compensation standards. It is thus necessary to propose a novel
138 method for determining compensation standard (He et al., 2018), especially in China
139 with a top-down administrative management system (Wang and Wall, 2016). In
140 response to this concern, a comprehensive ecological compensation framework based
141 on FF analysis is regarded as one of the most practical manner. The aim of FF is to
142 track natural resource occupancy, greenhouse gas emissions, and water resources
143 consumption generated by human activities from the biosphere, atmosphere and
144 hydrosphere (Galli et al. 2013). Compared with the traditional compensation methods,
145 FF method can effectively avoid the influence of subjective factors, which can
146 objectively determine subject and object of ecological compensation and its specific
147 amounts. Moreover, there are considerable differences in the spatial distribution of
148 China's biological resources consumption within different land-use types, and the
149 resulting ecological environment problems are unresolved (Xue et al., 2014). With
150 consideration of the asymmetry of economic growth, it is significantly desired to
151 judge fairness between FF and the regional economic development (White, 2017).
152 Gini coefficient is an indicator tool for quantitative determination of balances based
153 on the Lorentz curve, which has been widely used to evaluate the regional balanced
154 development (Teng et al., 2011; Shu and Xiong, 2018).

155 **1.4. Objective and paper organization**

156 The objective of this study targets to develop a comprehensive ecological
157 compensation model driven by water-carbon-ecological footprints. Gini coefficient
158 will be used for measuring fairness of the regional development. The developed
159 model will then be applied to the Triangle of Central China (TOCC). Some critical
160 questions will be answered, such as footprints deficit or surplus, regional development
161 equilibrium, and compensation strategies. Findings will provide a robust
162 decisionmaking reference for the sustainable development in the TOCC. The structure
163 of this paper is presented as follows: Section 2 shows the detailed materials and
164 methods; Section 3 displays the solutions in association with water-carbon-ecological
165 footprints, their corresponding compensation, and differences in regional development;
166 Section 4 presents discussion, and Section 5 shows conclusions.

167 **2. Materials and methods**

168 **2.1. Problems statement**

169 The TOCC (108°21'E~118°28'E and 20°09'N~33°20'N) consists of Hubei,
170 Hunan, and Jiangxi Provinces, which has an area of $32.61 \times 10^4 \text{ km}^2$ with a center of
171 Wuhan. The TOCC mostly includes the four city groups, i.e., Poyang Lake City
172 Group (PLCG), Chang-Zhu-Tan City Group (CZTCG), Wuhan Metropolitan Area
173 (WMA), and Xiang-Jing-Yi City Group (XJYCG) (Figure 1). It should be specially
174 mentioned that WMA and XJYCG are integrated as one urban agglomeration named
175 as WMA& XJYCG. Table 1 gives the specific city division. The TOCC is an
176 important part of the Yangtze River Economic Belt, China, and has four biodiversity

177 protection ecological function zones with important ecological service functions.

178 **Figure 2** shows the spatial distribution of per unit of GDP and population in the

179 TOCC across Yangtze River Economic Belt. In 2017, its total population reached 125

180 million with a GDP of 7.90 trillion RMB ¥ (ranking fifth in China’s urban

181 agglomeration). The TOCC has created 9.6% of the total economic output on basis of

182 3.4% and 9.0% of China’s land area and population, respectively. In recent years, the

183 excessive concentration of heavy chemical industries and extensive resource

184 utilization resulted in huge amounts of water resources consumption and sewage

185 discharge. Generally, the pressure of ecological environment and problems of

186 ecological security in the TOCC during economic development are more prominent.

187 -----

188 Place Figures 1-2 and Table 1 here

189 -----

190 **2.2. Footprint family indicators**

191 **(a) Water footprint model:** water footprint refers to the area of water resources

192 needed for human life, production and natural environment. It can be divided into

193 domestic, production and ecological water footprints according to the water-use

194 characteristics.

195 $TWF = M \cdot WF = M \cdot bb_w \cdot (B / h_w)$ (1)

196 $TWC = M \cdot WC = (1 - aa) \cdot cc \cdot bb_w \cdot (D / h_w)$ (2)

197 $WD = WF - WC$ (3)

198 where TWF represents water footprint (hm²); TWC denotes water carrying capacity

199 (hm²); *WF* denotes per capita water footprint (hm²/cap); *WC* denotes per capita water
 200 carrying capacity (hm²/cap); *WD* denotes water deficit; *bb_w* represents the global
 201 equilibrium factor of water resources; *h_w* represents the global average water
 202 production (m³/hm²); *B* represents per capita water consumption (m³/cap); *cc*
 203 represents water resources production factor that is a ratio of the average output of
 204 regional water resources to the average output of global water resources; *D* represents
 205 regional water resources availability.

206 **(b) Carbon footprint model:** the coefficient method is used for determining the
 207 amounts of carbon absorption (*CA*) and carbon emissions (*CE*), as follows:

$$208 \quad CA = \sum AR_i \cdot ss_i \quad (4)$$

$$209 \quad CE = \sum xx_j \cdot yy_j \cdot zz_j \quad (5)$$

$$210 \quad NCE = CE - CA = \sum xx_j \cdot yy_j \cdot zz_j - \sum AR_i \cdot ss_i \quad (6)$$

211 where *AR_i* denotes the area of *i*th land type (hm²); *ss_i* denotes the carbon absorption
 212 coefficient (tC/hm²); *xx_j* denotes the amount of energy consumption (t); *yy_j* denotes
 213 standard coal conversion coefficient; *zz_j* denotes the emission coefficient of *i*th energy
 214 (tC/t); *NCE* denotes the amount of net carbon emissions (tC). In addition, the carbon
 215 carrying capacity (*CC*) and carbon footprint (*CF*) can be stated as follows:

$$216 \quad CF = \frac{NCE}{N} \cdot \left(\frac{R_f}{NSP_f} + \frac{R_g}{NSP_g} + \frac{R_a}{NSP_a} \right) \quad (7)$$

$$217 \quad CC = \frac{CA}{N} \cdot \left(\frac{R_f}{NSP_f} + \frac{R_g}{NSP_g} + \frac{R_a}{NSP_a} \right) \quad (8)$$

$$218 \quad CD = CF - CC \quad (9)$$

219 where *NSP_f*, *NSP_g*, and *NSP_a* denote the carbon sequestration capacity of forest,
 220 grassland, and cultivated land (tC/hm²), respectively; *R_f*, *R_g* and *R_a* denote the

221 proportions of carbon sequestration in terms of forest, grassland, and cultivated land,
 222 respectively; N is the total population; CD denotes carbon deficit.

223 **(c) Ecological footprint model:** the traditional ecological footprint (EF) model
 224 is presented as follow, where EC denotes the total regional ecological capacity that
 225 refers to the total area of bio productive land for providing human survival and
 226 development (hm^2); i refers to a certain natural capital category; n refers to the total
 227 number of natural capital categories; j refers to different land-use type; r_j refers to
 228 equilibrium factor; y_j refers to yield factor; p_j and c_j refers to average production
 229 capacity and consumption level of a certain natural capital category, respectively; a_i
 230 refers to land area converted by a certain natural capital category (hm^2); A_j denotes the
 231 actual land use area (hm^2); N denotes the population; ef_e and ec_e denote the ecological
 232 footprint and carrying capacity (hm^2/cap), respectively; ED denotes ecological deficit.

$$233 \quad EF = N \times ef_e = N \times \sum_{i=1}^n (r_j \times a_i) = N \times \sum_{i=1}^n r_j \left(\frac{c_i}{p_i} \right) \quad (10)$$

$$234 \quad EC = N \times ec_e = N \times \sum_{j=1}^6 A_j \times r_j \times y_j (j=1,2,\dots,6) \quad (11)$$

$$235 \quad ED = EF - EC \quad (12)$$

236 The traditional ecological footprint model focuses on the measurement of flow
 237 capital, while ignoring stock capital that plays a critical role in regional ecosystem
 238 balance. In response to such concern, the three-dimensional ecological footprint (EF_{3D})
 239 model introduces two indexes (footprint depth and breadth) to represent the extent to
 240 which humans consume natural capital stock and occupy natural capital flows. The
 241 formula is as follows:

242 $EF_{3D} = EF_{depth} \times EF_{size}$ (13)

243 where EF_{depth} is ecological footprint depth that refers to the multiples of land area
 244 theoretically required to maintain the existing level of resource consumption in the
 245 region. EF_{depth} reflects the consumption of natural capital stock that exceeds the
 246 ecological carrying capacity. EF_{size} is ecological footprint size that refers to the area
 247 occupying biologically productive land within the region's carrying capacity. It
 248 reflects the level of natural capital flow occupied by human beings (Fang, 2015).

249 $EF_{depth} = 1 + \frac{ED}{EC} = 1 + \frac{\sum_{i=1}^n \max\{EF_i - EC_i, 0\}}{\sum_{i=1}^n EC_i}$ (14)

250 $EF_{size} = \sum_{i=1}^n \min\{EF_i, EC_i\}$ (15)

251 where ED is the total ecological deficit; EC is the total ecological carrying capacity.
 252 When EF_{depth} equals to 1, it means that flow capital can just meet the demand for
 253 resource consumption; when EF_{depth} is greater than 1, it means that flow capital cannot
 254 meet consumption demand, and stock capital must be consumed.

255 **2.3. Regional fairness analysis**

256 The traditional Gini coefficient (G) is employed for evaluating regional fairness
 257 of the income distribution of residents (Eliazar and Cohen, 2014). It should be
 258 specially mentioned that the basis of interval division is consistent with income
 259 division during application of the Gini coefficient in environmental resource fairness
 260 (Druckman and Jackson, 2008). According to Refs (Yang and Fan, 2019; Kong et al.,
 261 2019), 0.4 is considered as the warning line of the Gini coefficient.

262 $G = 1 - \sum_{i=1}^n (x_i - x_{i-1}) \cdot (y_i + y_{i-1})$ (16)

263 where x_i represents the cumulative percentage of the equity evaluation indicators of
 264 city i after their ranking; y_i is the cumulative percentage of water-carbon-ecological
 265 footprints of city i ; when $i=1$, x_{i-1} and y_{i-1} equal to zero. The values of Gini
 266 coefficient range from 0 to 1. A high Gini coefficient corresponds to a low fairness
 267 level; a low Gini coefficient leads to a high fairness level.

268 **2.4. Ecological compensation model**

269 The amount of ecological compensation deserved in each area can be determined
 270 according to FF approach, during which the ecological resource conversion efficiency
 271 and willingness to pay indicators are considered.

272 **(a) Ecological resource conversion efficiency**

$$273 \quad U_R = \frac{ef_R}{p_R} \quad (17)$$

274 where the subscript of R denotes a specific city; U represents water/carbon/ecological
 275 footprint per ten thousand-yuan GDP; ef is per capita water/carbon/ecological
 276 footprint; p denotes per capita GDP.

277 **(b) Willingness to pay indicator**

$$278 \quad W_R = \frac{p_R \times l_R}{\bar{p}} \quad (18)$$

$$279 \quad l_R = \frac{1}{1+e^{-t}}, t = \frac{ln_R}{In} \quad (19)$$

$$280 \quad In = \frac{A \times m + B \times n}{m+n} \quad (20)$$

281 where W denotes the indicator of willingness to pay; l denotes a city's development
 282 stage coefficient; \bar{p} denotes a province's per capita GDP; ln denotes a city's per

283 capita income; \bar{m} denotes a province's per capita income; A is the urban per capita
 284 disposable income; m is the urban population; B is rural per capita net income; n is the
 285 rural population.

286 **(c) Ecological service supply coefficient**

$$287 \quad \beta_R = \frac{EC_R}{\sum EC} \quad (21)$$

$$288 \quad V_R = M \times \beta_R \quad (22)$$

289 where β is the supply coefficient of ecological services; EC is water/carbon/ecological
 290 carrying capacity; V is the amount of money arising from supply of ecological
 291 services; M is the total amount of ecological services in each province, which is
 292 represented by regional investment in pollution control in this study.

293 **(d) Ecological service consumption coefficient**

$$294 \quad Rec_R = \frac{U_R \times W_R}{U \times W} \quad (23)$$

$$295 \quad \alpha_R = \frac{EF_R \times Rec_R}{\sum_{R=1}^n (EF_R \times Rec_R)} \quad (24)$$

$$296 \quad F_R = M \times \alpha_R \quad (25)$$

297 where Rec is the comprehensive correction coefficient; \bar{U} is average ecological
 298 footprint of ten thousand-yuan GDP in a province; \bar{W} is average willingness to pay in
 299 a province; α is ecological service consumption coefficient; F is ecological service
 300 consumption values.

301 **(e) Amount of ecological compensation**

$$302 \quad X_R = V_R - F_R \quad (26)$$

303 where X is the amount of received ecological compensation. A positive value of X

304 means that the city's ecological compensation amount is a net inflow; otherwise,
305 it is a net outflow.

306 **2.5. Data sources**

307 In this study, the social-economic data are mostly obtained from Hunan, Jiangxi
308 and Hubei Provincial Statistical Yearbook from 2000 to 2015. This study uses ArcGIS
309 with spatial resolution of 1km×1km to extract land classification that is divided into
310 six categories (i.e., cultivated land, grassland, forest land, water land, construction
311 land, and fossil fuel land). The data associated with biological resource consumption
312 and energy consumption are collected for calculating different footprints. Among of
313 them, biological resources are divided into agricultural, animal, forest and aquatic
314 products. Energy resources are divided into industrial consumption of energy and
315 electricity (Table 2). For example, Table 3 presents some average socio-economic data
316 in different urban agglomerations. The annual average precipitation ranges from 1134
317 to 2239 mm, and the altitude is between 20 and 3105 m. Cultivated land, forest land,
318 and water have a major position of the regional land uses (Figure 3).

319 -----
320 Place Figure 3 and Tables 2-3 here
321 -----

322 **3. Results analysis**

323 **3.1. Spatial-temporal dynamic analysis of water-carbon-ecological footprints**

324 The general ecological and carbon footprints of different urban agglomerations
325 keep rising during the periods from 2000 to 2015 (Figure 4). For example, carbon

326 footprint in the WMA&XJYCG increases from 0.302 hm²/cap in 2000 to 0.593
327 hm²/cap in 2015; that in the PLCG increases from 0.267 hm²/cap in 2000 to 0.662
328 hm²/cap in 2015. In terms of ecological footprint, its value raises from 2.087 hm²/cap
329 in 2000 to 4.360 hm²/cap in 2015, with an annual growth rate of 5.0%. In comparison,
330 water footprint in all urban agglomerations shows a fluctuating trend. [Figure 5](#)
331 presents the detailed solutions of water footprint in different urban agglomerations.
332 Results show that its average values range from 0.606 hm²/cap (Yichang, W5) to
333 1.435 hm²/cap (Jingmen, W6), from 0.632 hm²/cap (Hengyang, C7) to 1.120 hm²/cap
334 (Xiangtan, C3), and from 0.628 hm²/cap (Jingdezhen, P3) to 1.283 hm²/cap (Yingtang,
335 P4) in the WMA&XJYCG, CZTCG, and PLCG, respectively. The corresponding
336 average water carrying capacity ranges from 0.446 hm²/cap (Xiaogan, W8) to 4.949
337 hm²/cap (Xianning, W10), from 2.286 hm²/cap (Xiangtan, C3) to 5.530 hm²/cap
338 (Zhuzhou, C2), and from 4.308 hm²/cap (Jingdezhen, P3) to 13.151 hm²/cap (Fuzhou,
339 P9). As shown in [Figure 6](#), high water carrying capacity mostly appears in the
340 southeast of TOCC, especially in Fuzhou and Yingtang of the PLCG. By contrary, low
341 water carrying capacity exists in the northwest of TOCC due to its highly intensity of
342 population and economics, especially in Wuhan and Xiaogan of the WMA&XJYCG.

343 -----
344 Place Figures 4-6 here
345 -----

346 [Figure 7](#) illustrates the changes of carbon footprint in different urban
347 agglomerations. The general carbon performance is not optimistic because of a

348 majority of their carbon deficit greater than zero, especially in the WMA&XJYCG
349 and PLCG with average values of 0.4248 and 0.4624 hm²/cap. Specifically, the
350 average carbon footprints in the WMA&XJYCG, CZTCG, and PLCG reach 0.4411,
351 0.4338, and 0.4919 hm²/cap, respectively. The highest carbon footprints of these three
352 urban agglomerations exist in Ezhou, Loudi, and Xinyu with average values of 1.181,
353 1.330, and 1.431 hm²/cap, respectively. This is mainly due to the large consumption
354 of coal in these areas. When it comes to the average carbon carrying capacity in the
355 three urban agglomerations, its values reach 0.0163, 0.0189, and 0.0337 hm²/cap,
356 respectively. About 94.2% of the total carbon absorption is contributed by forest land,
357 followed by water land (4.02%). Ji'an and Yichang have a high contribution rate to the
358 total carbon carrying capacity, with areas of 0.2736×10⁶ hm² and 0.2684×10⁶ hm²,
359 respectively. Such a circumstance is mostly due to these two cities with wide area of
360 forest land and crops, and thus resulting in a strong carbon sequestration capacity.
361 [Figure 8](#) displays the spatial-temporal dynamic variations of carbon footprint and
362 carbon carrying capacity. In the southeast of TOCC, carbon carrying capacity is
363 relatively high, while low carbon carrying capacity is mainly distributed in the
364 northeast and southwest areas. A high-level economic development is normally
365 accompanied by a large carbon footprint (e.g., Wuhan); on the contrary, the
366 urbanization level of Xiantao and Tianmen is relatively slow with a low amount of
367 coal consumption, resulting in their relatively low carbon footprints.

368 -----

369 Place Figures 7 and 8 here

370 -----

371 The solutions of ecological footprint in different urban agglomerations are
372 presented in [Figure 9](#). Results reveal that average ecological footprint in the
373 WMA&XJYCG increases from 2.435 hm²/cap in 2000 to 5.465 hm²/cap in 2015 with
374 an annual growth rate of 5.55%; that in the CZTCG raises from 2.231 hm²/cap in
375 2000 to 4.126 hm²/cap in 2015 with an annual growth rate of 4.52%; that in the PLCG
376 increases from 1.416 hm²/cap in 2000 to 3.245 hm²/cap in 2015 with an annual
377 growth rate of 5.34%. From 2000 to 2015, the relationship of per capita ecological
378 footprint under different land-use types in TOCC is: grassland>cultivated land>fossil
379 fuel land>forest land>water area>built-up land. The per capita ecological footprint
380 from grassland and cultivated land accounts for about 82.58% of the overall, and that
381 from fossil fuel land is 15.71% of the overall. In comparison, the ecological carrying
382 capacity levels only reach 0.3301, 0.3009, and 0.4229 hm²/cap in the WMA&XJYCG,
383 CZTCG, and PLCG, with ecological deficits of 3.6098, 3.2546, and 2.1334 hm²/cap,
384 respectively. From 2000 to 2015, among the various land types in the TOCC, the
385 ecological carrying capacity of water area and construction land has an increased
386 trend, while that in other land types declines. Compared with 2000, the ecological
387 carrying capacity of cultivated land and forest land decrease by 0.31 hm²/cap in 2015.
388 In general, the ecological footprint in TOCC shows an increased trend over the
389 periods from 2000 to 2015. Ezhou has the largest contribution to the growth of
390 ecological footprint of urban agglomerations, which is due to its high-intensity
391 population and energy consumption ([Figure 10](#)).

392 -----

393 Place Figures 9 and 10 here

394

395 Summarily, the kernel distribution map of water-carbon-ecological footprints in
396 different urban agglomerations present unimodal patterns (Figure 11), implying that
397 the water-carbon-ecological performances in TOCC are not reach the extent of
398 becoming divided. The ecological, water, and carbon footprints in the
399 WMA&XJYCG mostly lie in the intervals of [2, 4], [0.5, 1.5], and [0, 0.5] hm²/cap;
400 those in the CZTCG mainly exist in the intervals of [2, 4], [0.8, 1.0], and [0.2, 0.4]
401 hm²/cap; those in the PLCG mostly appear in the intervals of [1, 2], [0.6, 0.8], and [0,
402 0.5] hm²/cap, respectively.

403

Place Figure 11 here

404

405

406 **3.2. Regional fairness analysis based on water-carbon-ecological footprint**

407 The Gini coefficient can reflect fairness of water, carbon and ecological
408 footprints in spatial distribution with respect to different influencing factors (i.e.,
409 water resources, population, GDP). The following criteria are used to classify the
410 matching degree: $G < 0.2$ for absolute match; $0.2 \leq G < 0.3$ for comparative match; 0.3
411 $\leq G < 0.4$ for relative match; $0.4 \leq G < 0.5$ for general mismatch; $0.5 \leq G < 0.6$ for
412 comparative mismatch, and $G \geq 0.6$ for serious mismatch.

413 From the perspective of water footprint (Figure 12a and Figure 13b), its
414 population Gini coefficient has a slight change over the periods from 2000 to 2015,
415 with an annual average of 0.373 basically below the warning value. Its average GDP
416 Gini coefficient reaches 0.450 at a general mismatch state, suggesting that the water

417 resource footprint and GDP growth match poorly. In terms of water resources Gini
418 coefficient, its average value is 0.442 from 2000 to 2015, with a majority of water
419 resources Gini coefficient at a general mismatch state except for the periods of 2006
420 and 2014. In 2012, the water resources Gini coefficient significantly exceeds the
421 warning value, reaching 0.553 with a comparative mismatch state. The above
422 variations are mostly due to the large change in precipitation yet slight change in
423 water footprint in these years, resulting in the mismatch between water resources and
424 water footprint. In general, the relationship among population distribution, economic
425 development, water resources and water footprint are not harmonious due to the
426 comprehensive Gini coefficient reaching 0.421. In terms of carbon footprint ([Figure](#)
427 [12b and Figure 13 d-f](#)), there are increased trends in its population, GDP, and water
428 resources Gini coefficients during the periods from 2000 to 2015. Its population and
429 GDP Gini coefficients from 2000 to 2010 are below the warning value of 0.4 and at a
430 relative match state. However, its population Gini coefficient from 2011 to 2015
431 exceeds the warning value, with a general mismatch state. Most of the water resources
432 Gini coefficients lie in the states of general mismatch and comparative mismatch. Its
433 comprehensive Gini coefficient increases from 0.2573 in 2000 to 0.4423 in 2015.
434 From the perspective of ecological footprint ([Figure 12c and Figure 13 g-i](#)), its
435 population, GDP, and water resources Gini coefficients change slightly from 2000 to
436 2015, ranging from 0.365 to 0.444 (with an average value of 0.395), from 0.415 to
437 0.506 (with an average value of 0.457), and from 0.472 to 0.593 (with an average
438 value of 0.516), respectively. The average value of comprehensive Gini coefficient is

439 0.456, which is in the state of general mismatch. It is worth noting that both GDP and
440 water resources Gini coefficients are above the warning line, while population Gini
441 coefficient is higher than the warning value only after 2011.

442 -----
443 Place Figure 12 and Figure 13 here
444 -----

445 **3.3. Spatial-temporal dynamic analysis of compensation strategies**

446 According to the concerns of ecological service supply and consumption, the
447 amount of ecological compensation among different cities can be determined. Results
448 indicate significant differences in ecological service consumption values of different
449 urban agglomerations. For example, the average ecological service consumption
450 values in the WMA&XJYCG increase from 6556.76×10^4 RMB ¥ in 2000 to
451 12149.54×10^4 RMB ¥ in 2015; that in the CZTCG raise from 19574.50×10^4 RMB
452 ¥ in 2000 to 400000×10^4 RMB ¥ in 2015; that in the PLCG increase from
453 15154.50×10^4 RMB ¥ in 2000 to 360000×10^4 RMB ¥ in 2015. Specifically, about
454 29.78% of total service consumption values of water resources within the
455 WMA&XJYCG exist in Wuhan and Jingzhou with values of 21754.61×10^4 and
456 26541.14×10^4 RMB ¥, respectively (Figure 14). The relatively higher service
457 consumption values of water resources in the CZTCG appear in Changsha and
458 Changde with values of 225301.02×10^4 and 190999.06×10^4 RMB ¥, accounting for
459 approximately 37.82% of the total value in the CZTCG. Nearly 42.98% of total
460 service consumption values of water resources in the PLCG come from Yichun and

461 Nanchang with values of 336322.06×10^4 and 187155.96×10^4 RMB ¥, respectively. In
462 terms of carbon concern, its relatively higher service consumption values in the
463 WMA&XJYCG exist in Jingmen and Yichang with values of 32374.34×10^4 and
464 38309.34×10^4 RMB ¥, which contribute approximately 43.58% to the total values.
465 The carbon service consumption values in Loudi and Yueyang reach 617613.70×10^4
466 and 186529.42×10^4 RMB ¥, accounting for about 73.07% of the total values in the
467 CZTCG. Above 55% of total carbon service consumption values in the PLCG are
468 contributed by Xinyu and Jiujiang with values of 405088.21×10^4 and 316757.95×10^4
469 RMB ¥, respectively.

470 -----

471 Place Figure 14 here

472 -----

473 The compensation strategies in different urban agglomerations from the
474 perspective of water-carbon-ecological footprints are illustrated in [Figure 15](#). From
475 aspect of water footprint, Wuhan and Jingmen in the WMA&XJYCG pay higher
476 compensation expenses with average values of -11093.30×10^4 and -20339.23×10^4
477 RMB ¥, respectively, while Yichang has a relatively higher amount of received
478 compensation with a value of 20339.23×10^4 RMB ¥. In terms of the per capita level,
479 its higher compensation expenses appear in Ezhou and Tianmen with values of -58.78
480 and -23.49 RMB ¥, while 82.41 and 50.85 RMB ¥ of compensation can be received
481 by Xianning and Yichang. In the CZTCG, its higher compensation expenses exist in
482 Changsha and Xiangtan with values of -64602.40×10^4 and -69140.82×10^4 RMB ¥,

483 respectively; their corresponding per capita compensation values reach -93.59 and
484 -244.48 RMB ¥. The higher amount of received compensation in the CZTCG exist in
485 Yiyang and Zhuzhou with values of 61131.41 and 57344.15 RMB ¥. Loudi has less
486 population compared with Yiyang, which results in a higher per capita received
487 compensation value (146.77 RMB ¥) in Loudi, followed by Zhuzhou (139.13 RMB ¥).
488 As for the PLCG, Xinyu and Yichun have relatively higher compensation expenses
489 over the periods from 2000 to 2015, reaching -34679.24 and -137876.25 RMB ¥,
490 respectively. Their resulting per capital compensation expenses are -302.10 and
491 -252.58 RMB ¥/cap. Its higher received compensation value exists in Fuzhou with
492 values of 118267.82×10^4 RMB ¥ and 260.26 RMB ¥/cap. When viewed from time
493 dimension, the overall per capital compensation expenses in the WMA&XJYCG
494 increase from -1.35 RMB ¥/cap in 2000 to -8.58 RMB ¥/cap in 2015. The received
495 compensation in the CZTCG raises from 0.19 RMB ¥/cap in 2000 to 0.88 RMB ¥/cap
496 in 2015. The compensation strategy in the PLCG is at a payment status, while it
497 changes to an obtaining status.

498 In the view of carbon footprint, its higher compensation expenses in the
499 WMA&XJYCG exist in Wuhan (i.e., average value of -24136.4×10^4 RMB ¥) and
500 Ezhou (i.e., average value of -20207.9×10^4 RMB ¥), while its most of received
501 compensation appear in Huanggang (i.e., average value of 24103.2×10^4 RMB ¥) and
502 Xiangfan (i.e., average value of 18218.5×10^4 RMB ¥). Its higher per capita
503 compensation expenses can be seen in Ezhou and Huangshi with values of -187.7 and
504 -58.1 RMB ¥/cap, while Xianning and Huanggang have higher received compensation

505 with averages of 49.1 and 33.6 RMB ¥/cap, respectively. In the CZTCG, Loudi and
506 Xiangtan have greater compensation expenses with averages of -500533.5×10^4 and
507 -46297.1×10^4 RMB ¥, respectively. Their corresponding per capital compensation
508 expenses amount to -1274.5 and -163.7 RMB ¥/cap. In comparison, Changde and
509 Hengyang have some carbon-emission surpluses with higher received compensation
510 of 148313.4×10^4 and 151091.5×10^4 RMB ¥, respectively. When it comes to the PLCG,
511 its relatively higher compensation expenses can be found in Xinyu and Pingxiang
512 with averages of -377589.2×10^4 and -167642.5×10^4 RMB ¥, respectively, while its
513 greater received compensation can be observed in Shangrao (i.e., average value of
514 205932.1×10^4 RMB ¥) and Ji'an (i.e., average value of 229428.3×10^4 RMB ¥). From
515 the perspective of per capita level, Fuzhou with low population has relatively higher
516 received compensation with a value of 501.6 RMB ¥/cap compared with Shangrao.
517 Generally, the amount of compensation expenses increases from -5.5 RMB ¥/cap in
518 2000 to -27.3 RMB ¥/cap in 2015, from -11.8 RMB ¥/cap in 2000 to -216.7 RMB
519 ¥/cap in 2015, and from -30.9 RMB ¥/cap in 2000 to -798.2 RMB ¥/cap in 2015 in the
520 WMA&XJYCG, CZTCG, and PLCG, respectively.

521 In terms of ecological footprint, the highest amount of compensation expense of
522 the PLCG appears in Nanchang with an average value of -142883.8×10^4 RMB ¥; in
523 comparison, the highest amount of received compensation exists in Shangrao (i.e.,
524 171102.4×10^4 RMB ¥). In the WMA&XJYCG, Wuhan pays the greatest amount of
525 compensation expense (i.e., -13951.6×10^4 RMB ¥), while Yichang receives about
526 16496.3×10^4 RMB ¥ of average received compensation from 2000 to 2015. From the

527 per capita level, the highest compensation expense and received compensation exists in
528 Xinyu and Shangrao with averages of -476.7 and 258.6 RMB ¥/cap. When it comes to
529 the CZTCG, Yueyang (-125.1 RMB ¥/cap) and Zhuzhou (160.4 RMB ¥/cap) have the
530 highest compensation expense and received compensation over the periods from 2000
531 to 2015. In the WMA&XJYCG, its greatest amount of compensation expense appears
532 in Ezhou (-84.3 RMB ¥/cap) and Yichang (41.2 RMB ¥/cap), respectively. In general,
533 the cities that pay for ecological compensation are mostly concentrated in the central
534 of each urban agglomeration, with rapid economic development and high GDP. The
535 amount of ecological resources consumed by economic development exceeds the
536 regional ecological carrying capacity, and the ecological resources of other regions
537 need to be occupied and compensated. Due to geographic location and terrain
538 constraints, the compensated area has slowed economic development and strong
539 ecological carrying capacity, which can provide ecological services to other cities and
540 obtain corresponding ecological compensation.

541 -----
542 Place Figure 15 here
543 -----

544 **4. Discussion**

545 Two major reasons are presented for driving this study. Firstly, a general
546 footprint evaluation framework frequently targets at ecological concern. However, the
547 footprint induced by economic development and human activities in the urban
548 agglomerations is not limited by only one. This study integrates water, carbon, and

549 ecological footprints into a comprehensive compensation evaluation framework for
550 illustrating the change track of environmental impact in the TOCC. Secondly, most of
551 the previous studies can hardly set reasonable standards and measure regional fairness
552 caused by the differences in biological resources consumption. With these concerns,
553 this study proposed a footprint family-based compensation approach, which can
554 effectively avoid the influence of subjective factors. The Gini coefficient is then
555 merged into the footprint family evaluation framework and is used to identify the
556 fairness among different cities and urban agglomerations. However, two concerns
557 need to be paid attention in future studies. One is that the developed model did not
558 consider multiple uncertainties normally expressed as interval, fuzzy, and stochastic
559 parameters into the general framework. The introduction of these uncertainties
560 probably leads to significant differences in water-carbon-ecological footprints and
561 compensation amounts. The other one is to apply reliability–resilience–vulnerability
562 indexes to the footprint family problems (Lu et al., 2019), which is beneficial to
563 comprehensively evaluate regional environment safety and to establish management
564 policies for joint long-term control of RRV at the regional scale (Asefa et al., 2014).

565 **5. Conclusions**

566 In this study, a footprint family-based compensation model is developed for
567 describing the spatial-temporal dynamics in water-carbon-ecological footprints and
568 compensation strategies at the city scale across the TOCC, China. This is the first
569 attempt to improved footprint family-based compensation model for identifying
570 regional environment pressure, service providers and beneficiaries, and equity in

571 urban development. The conclusions can be summarized as follows: (a) during the
572 periods from 2000 to 2015, ecological and carbon footprints in the TOCC keep rising,
573 while water footprint has a fluctuating trend. In general, most of the ecological, water,
574 and carbon footprints in the WMA&XJYCG lie in the intervals of [2, 4], [0.5, 1.5],
575 and [0, 0.5] hm²/cap, respectively; those in the CZTCG appear in the intervals of [2,
576 4], [0.8, 1.0], and [0.2, 0.4] hm²/cap, respectively; those in the PLCG exist in the
577 intervals of [1, 2], [0.6, 0.8], and [0, 0.5] hm²/cap, respectively; (b) in the view of
578 water footprint, its average population, GDP, and water resources Gini coefficients
579 reach 0.373, 0.450, and 0.442 from 2000 to 2015, respectively. In terms of carbon
580 footprint, these are increased trends in its population, GDP, and water resources Gini
581 coefficients during the periods from 2000 to 2015, especially its population and water
582 resources Gini coefficients exceeding the warning value. From the perspective of
583 ecological footprint, its population, GDP, and water resources Gini coefficients vary
584 slightly with averages of 0.395, 0.457, and 0.516, which should be paid more
585 attention due to most of them higher than 0.40; (c) When considering water footprint,
586 Wuhan, Jingmen Changsha, Xiangtan, Xinyu and Yichun have relatively higher
587 compensation expenses; in comparison, Yichang, Yiyang, Zhuzhou, and Fuzhou have
588 relatively higher received compensation values. In terms of carbon footprint, Wuhan,
589 Ezhou, Loudi, Xiangtan, Xinyu and Pingxiang should pay higher compensation
590 expenses due to their overuse of biological resources. As for ecological footprint, the
591 highest amounts of compensation expense of the PLCG and WMA&XJYCG appear
592 in Nanchang and Wuhan, respectively. Generally, the cities that pay for ecological

593 compensation are mostly concentrated in the center of each urban agglomeration with
594 a high GDP. The ecological resources consumed by economic development exceed
595 the regional ecological carrying capacity, and the ecological resources in other regions
596 will be occupied and compensated.

597

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613 Conceptualization, Project administration, Supervision; Youfeng Qiao: Data curation,
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775

776 **List of Figure Captions**

777 Figure 1. The location and land use of TOCC in China.

778 Figure 2. Spatial distribution of per unit of GDP and population in the TOCC across Yangtze River
779 Economic Belt.

780 Figure 3. The precipitation and land-use types in the TOCC.

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Figures

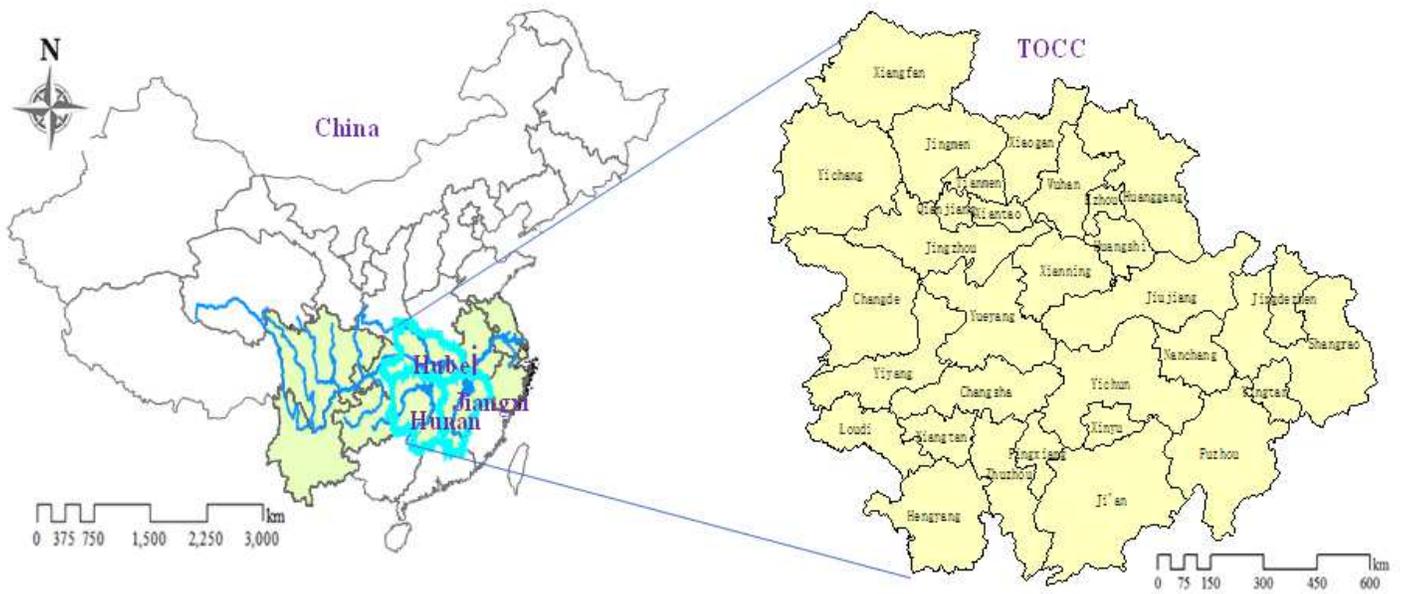


Figure 1

The location and land use of TOCC in China. 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.

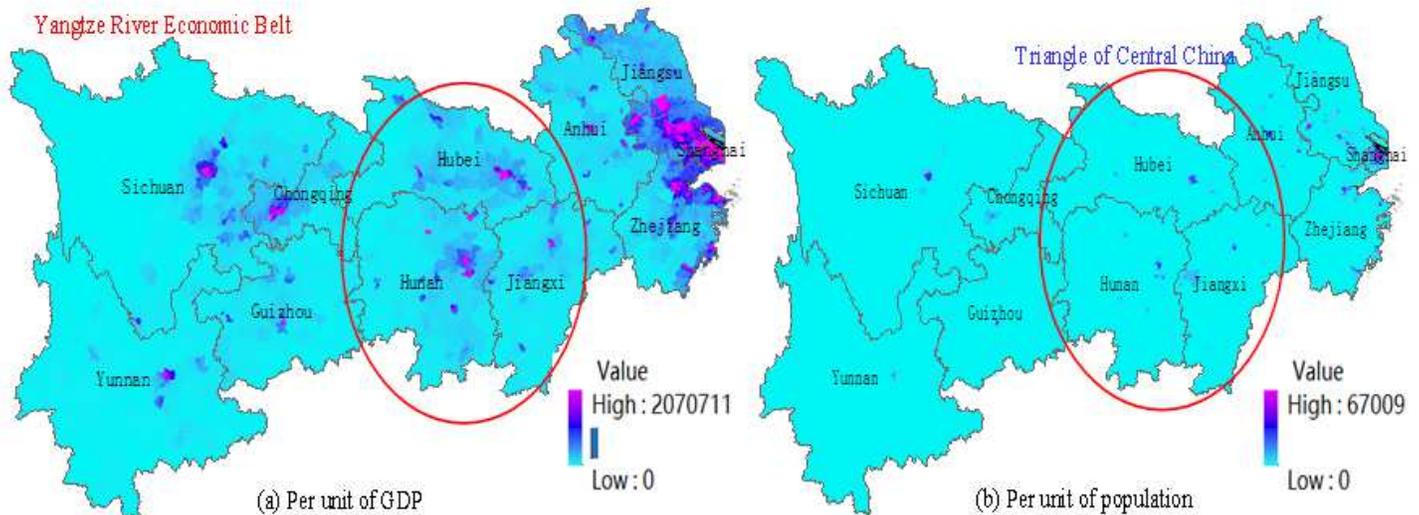


Figure 2

Spatial distribution of per unit of GDP and population in the TOCC across Yangtze River Economic Belt. 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.

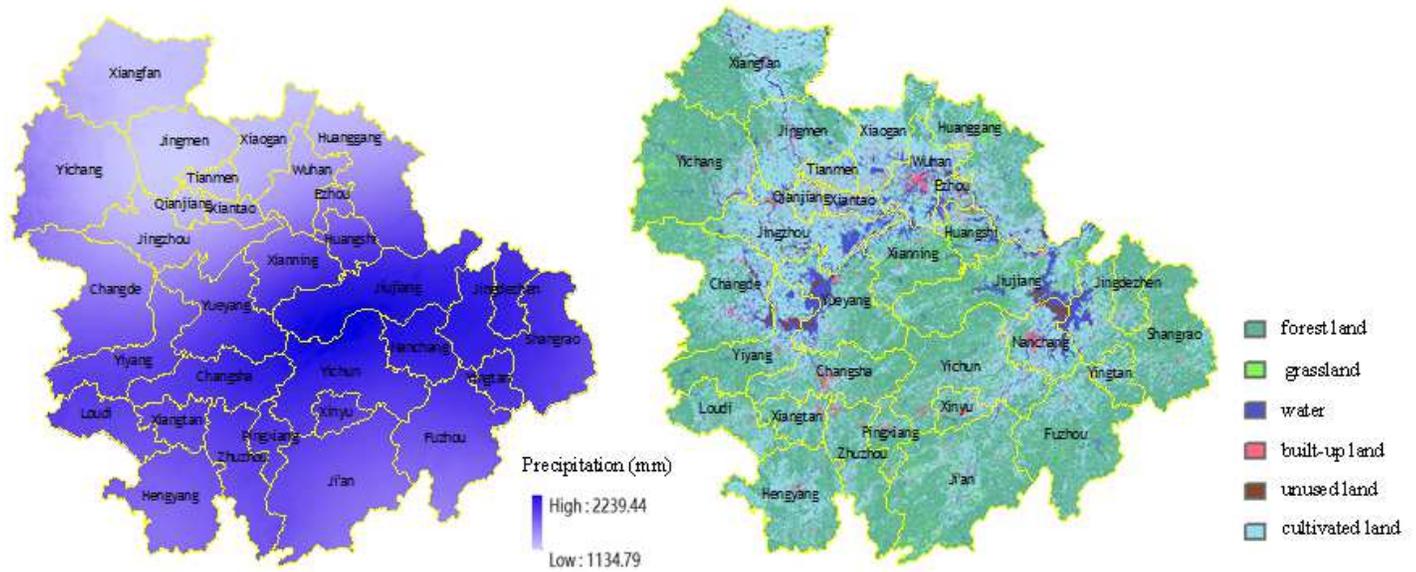


Figure 3

The precipitation and land-use types in the TOCC. 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.

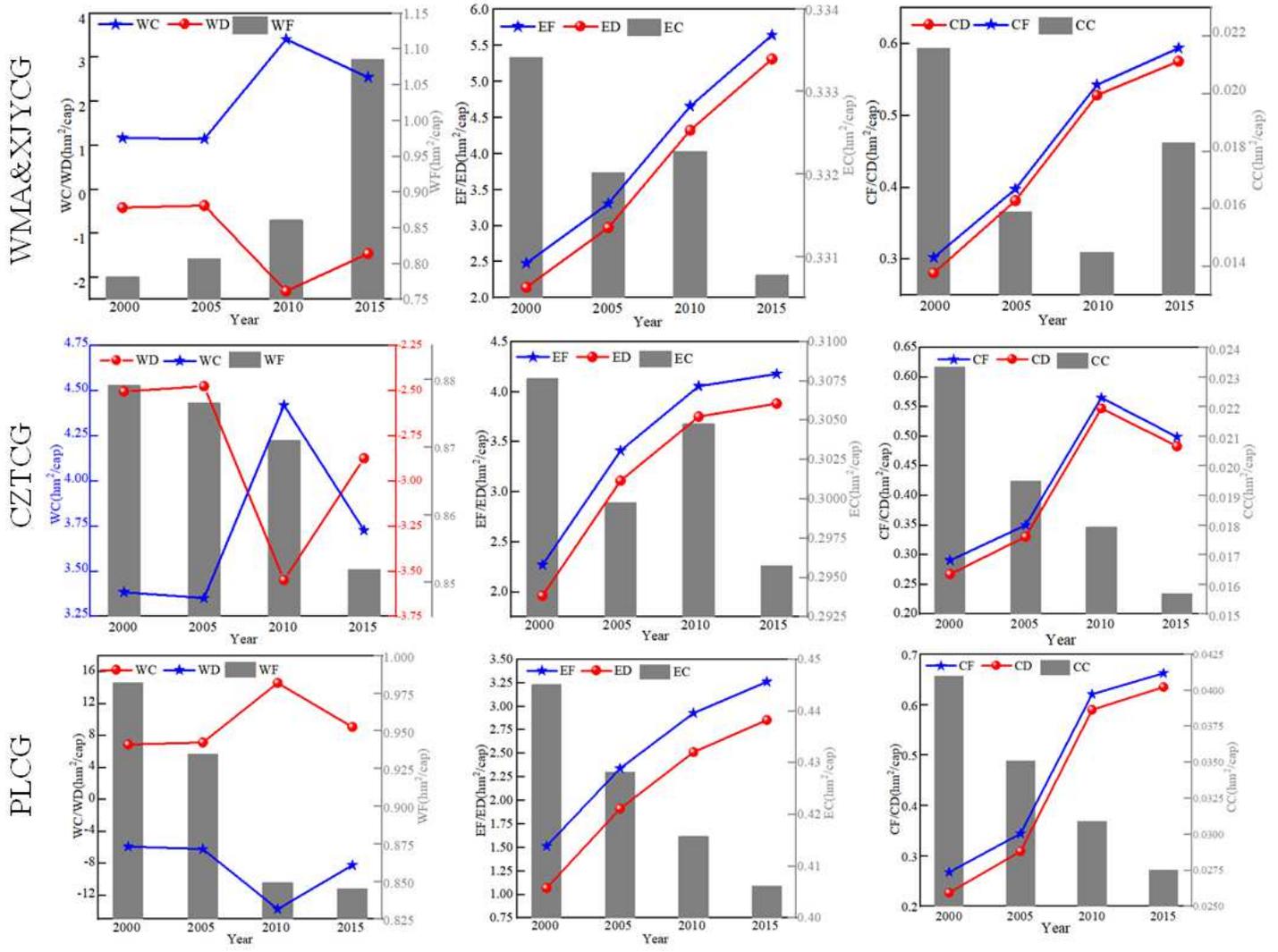


Figure 4

Variations in water-carbon-ecological footprints of different city groups.

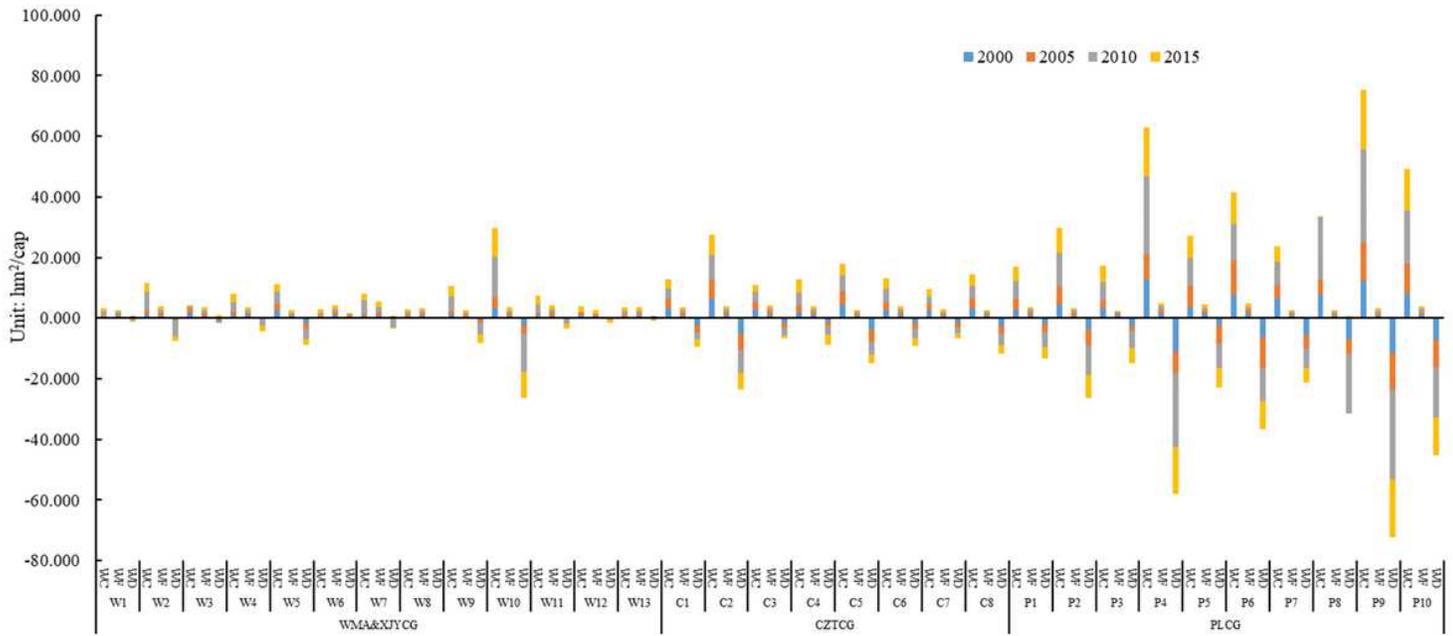


Figure 5

Solutions of water footprint in different urban agglomerations.

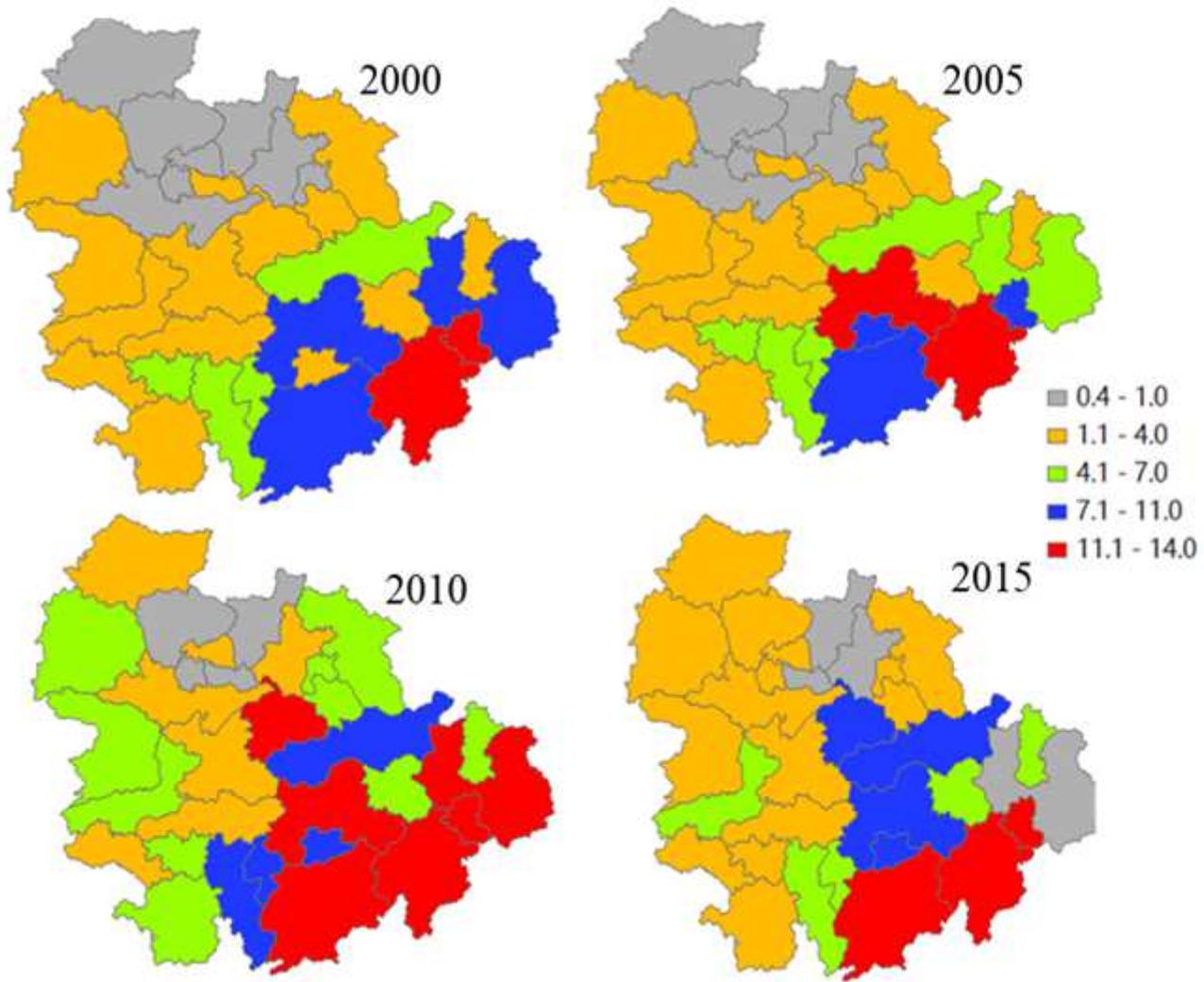


Figure 6

Spatial-temporal dynamic variations of water carrying capacity across the TOCC. 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.

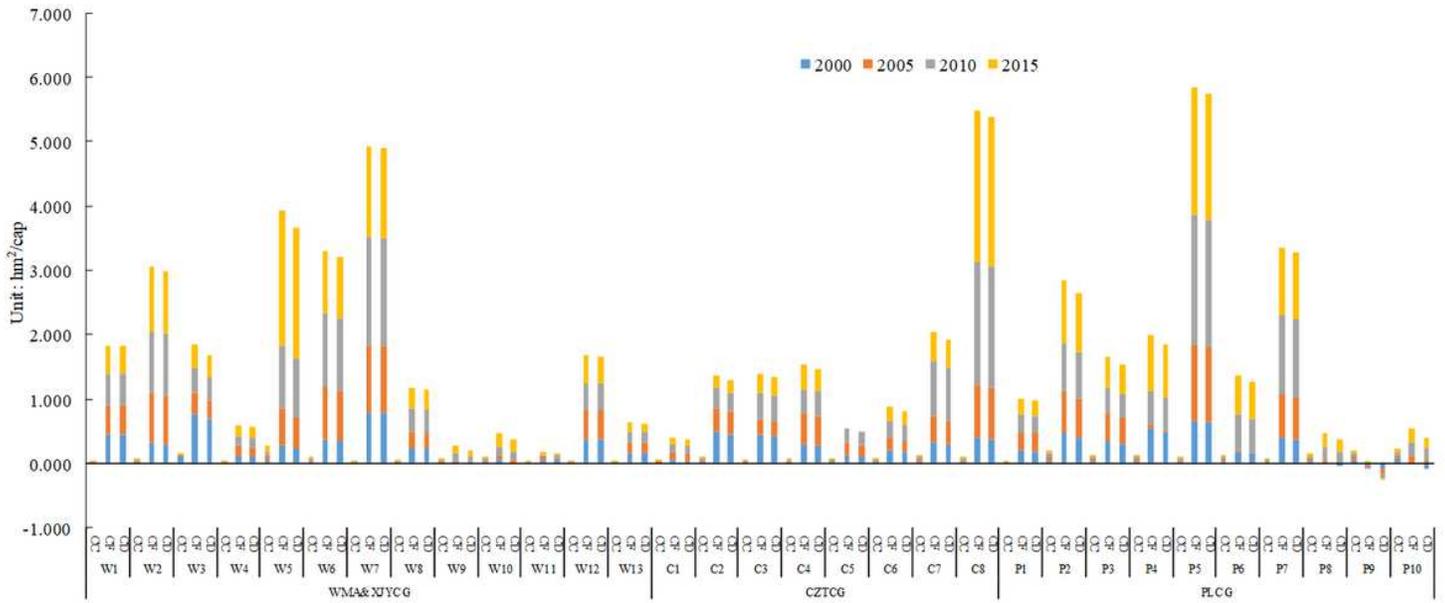


Figure 7

Solutions of carbon footprint in different urban agglomerations.

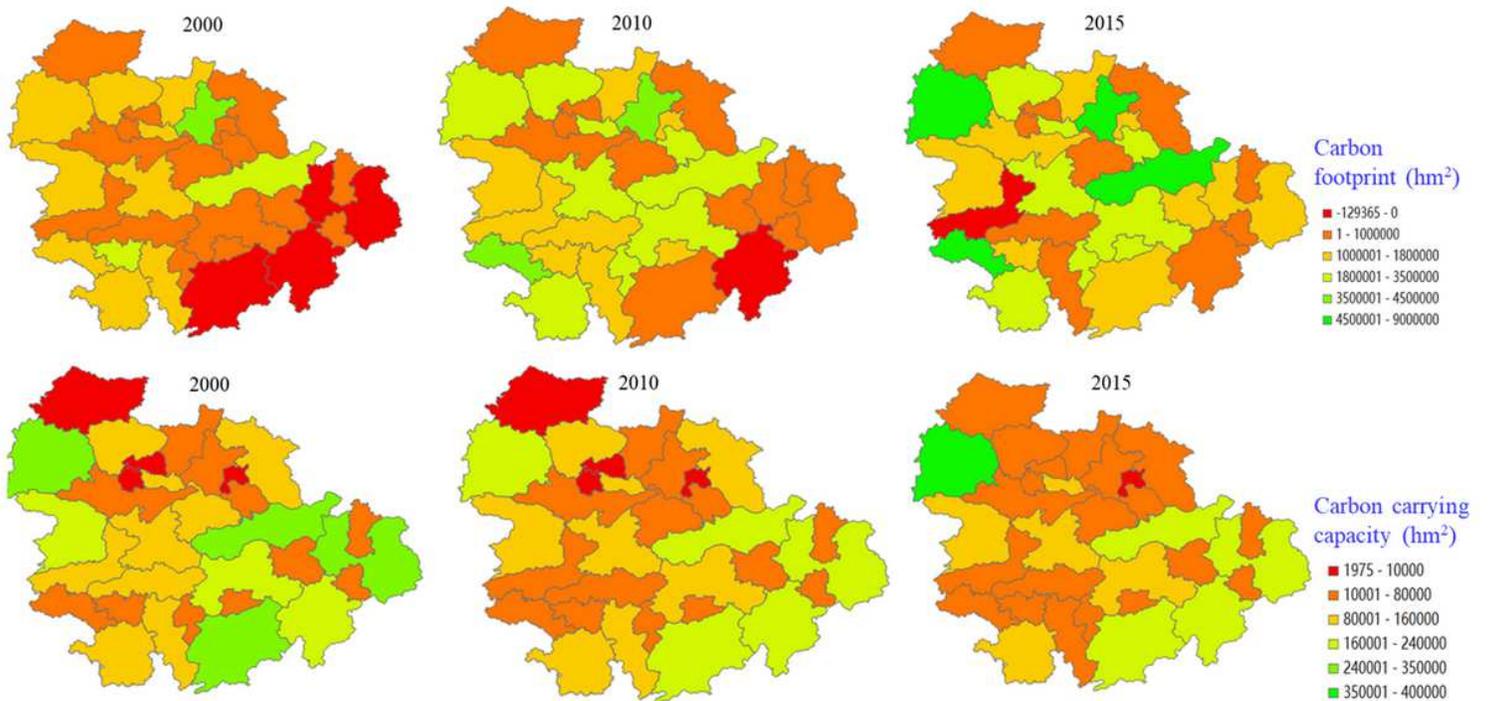


Figure 8

Spatial-temporal dynamic variations of carbon footprint and carbon carrying capacity across the TOCC. 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.

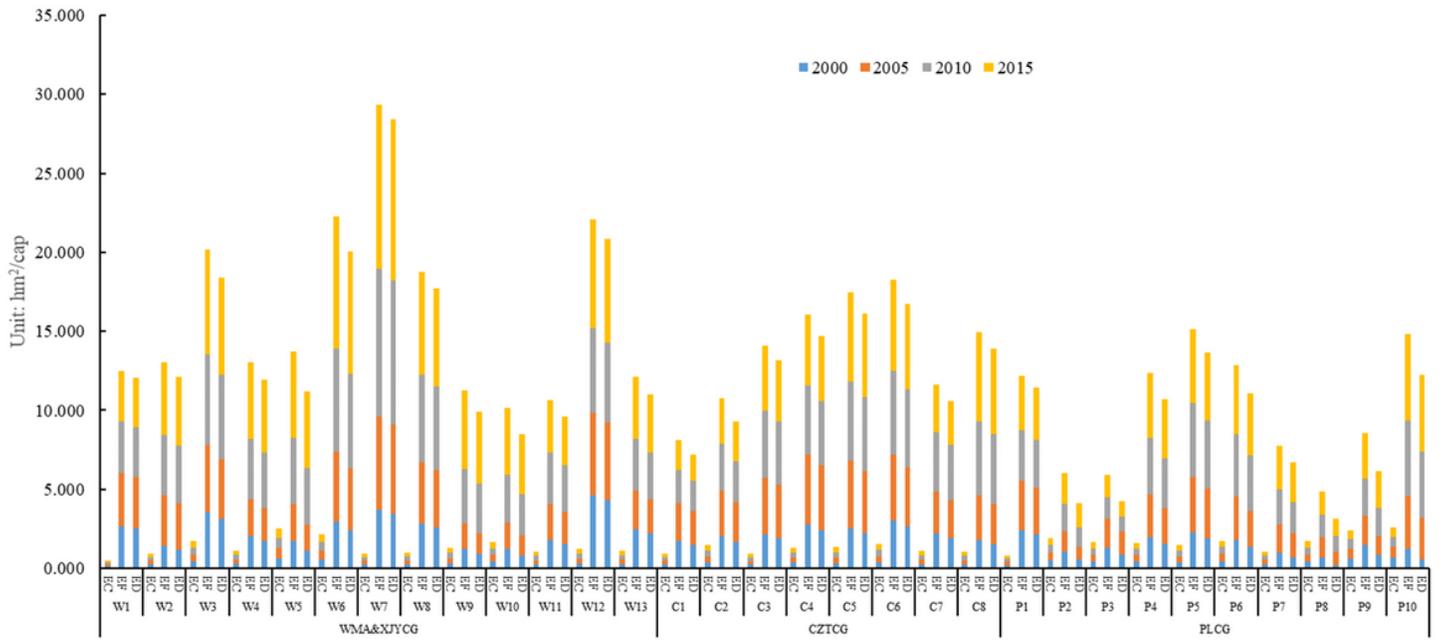


Figure 9

Solutions of ecological footprint in different urban agglomerations.

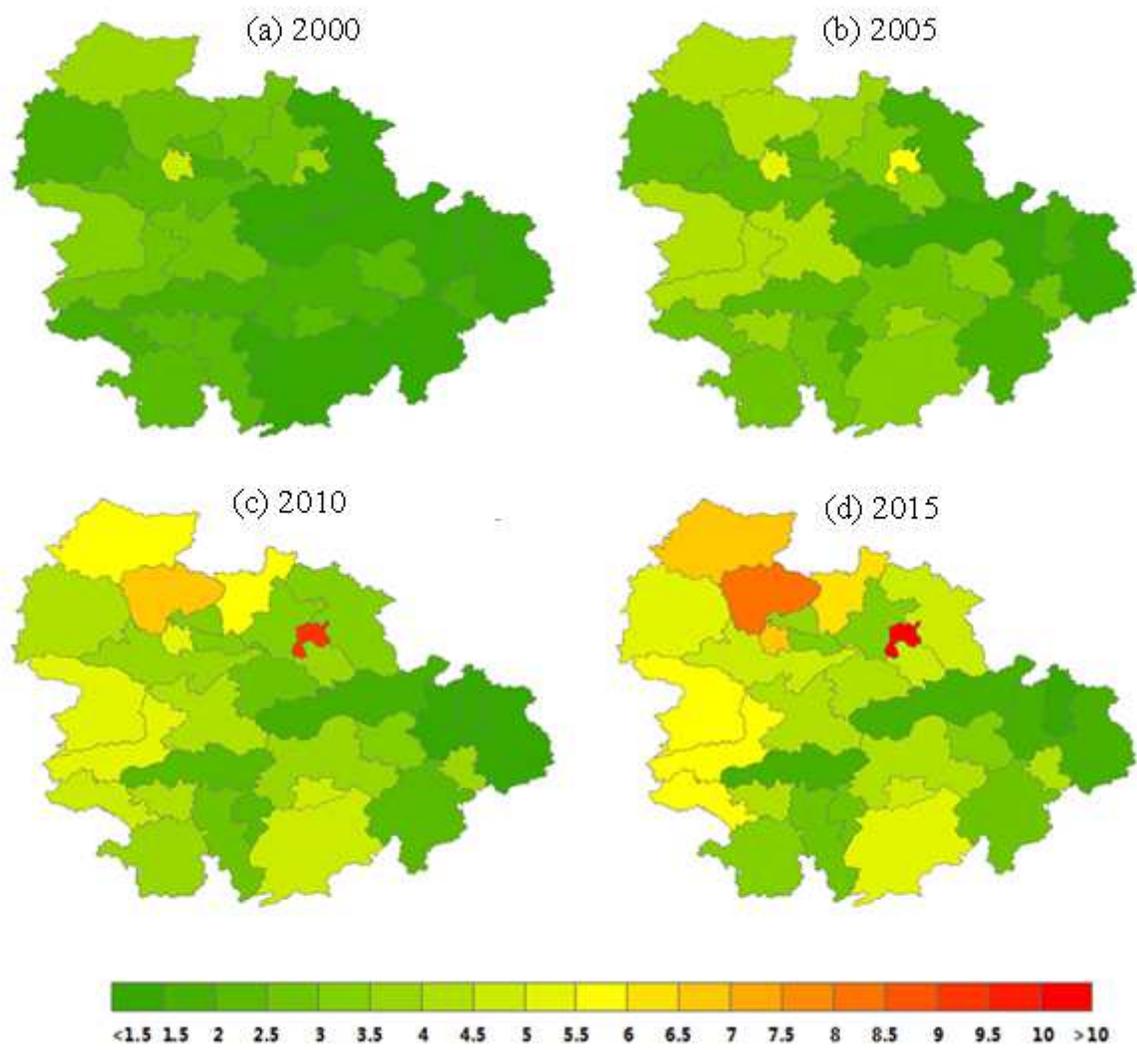


Figure 10

Spatial-temporal dynamic variations of ecological footprint in the TOCC. 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.

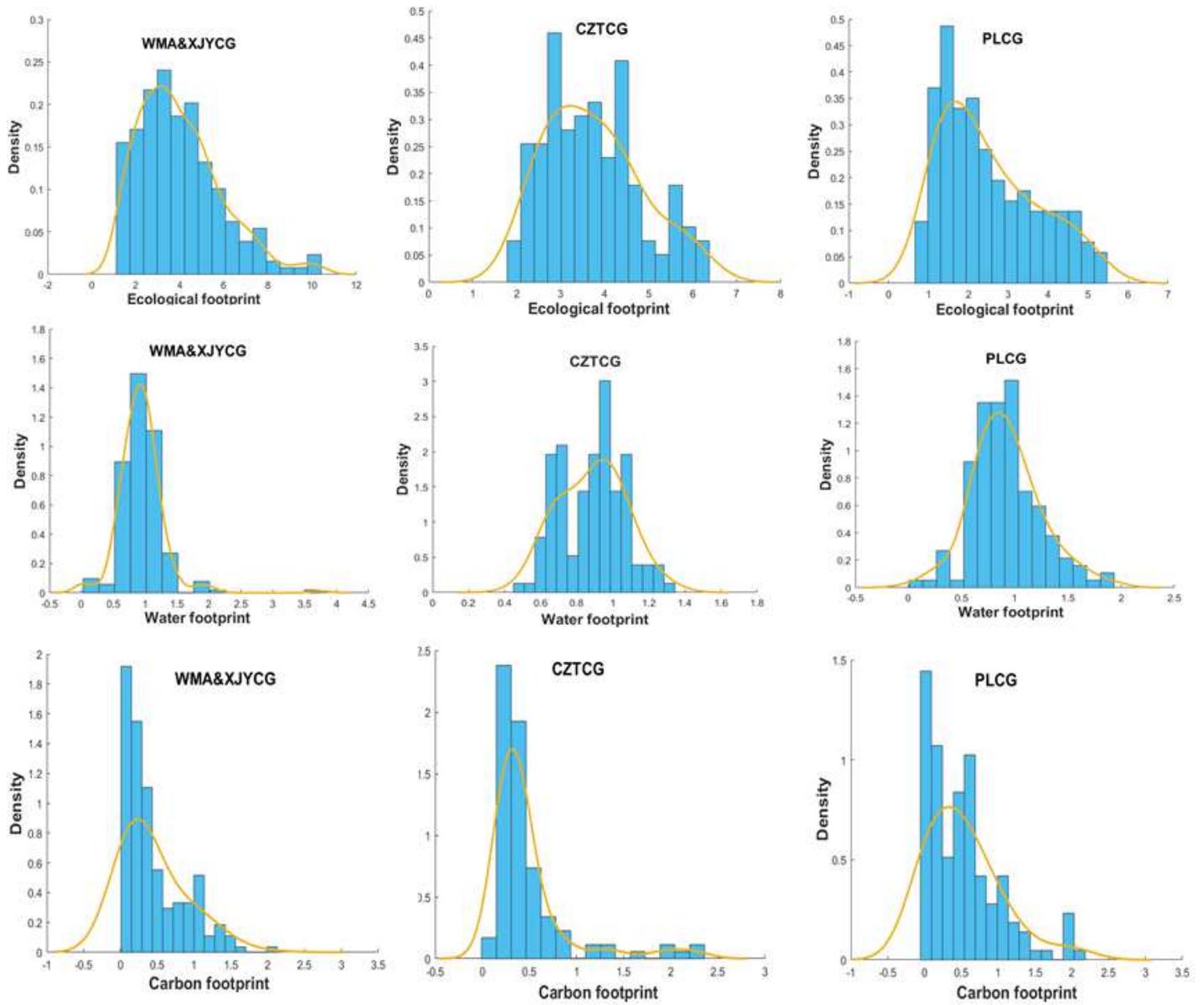


Figure 11

The kernel distribution map of water-carbon-ecological footprints in different urban agglomerations.

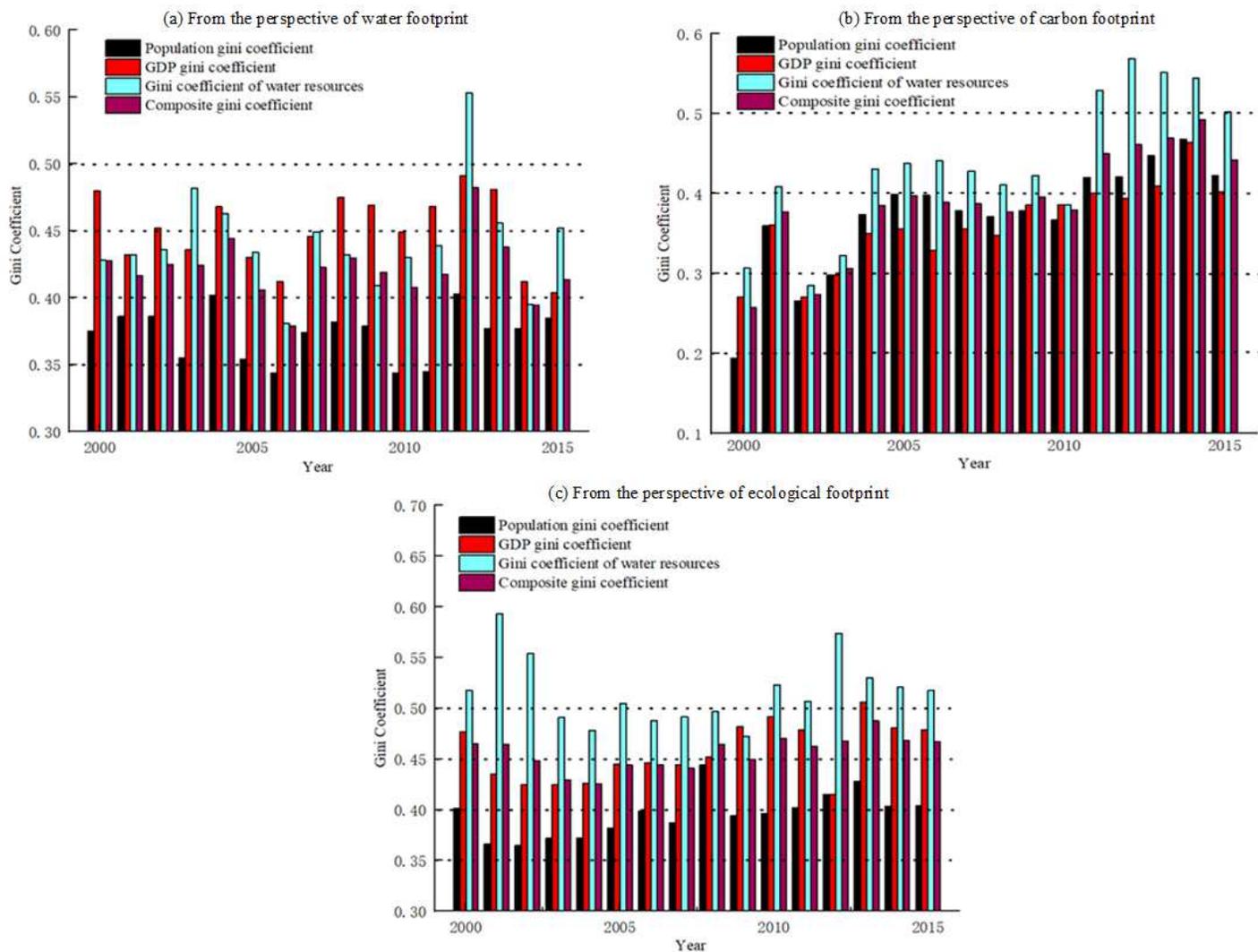


Figure 12

Variations of population, water, and GDP Gini coefficients from perspective of different footprints across the TOCC.

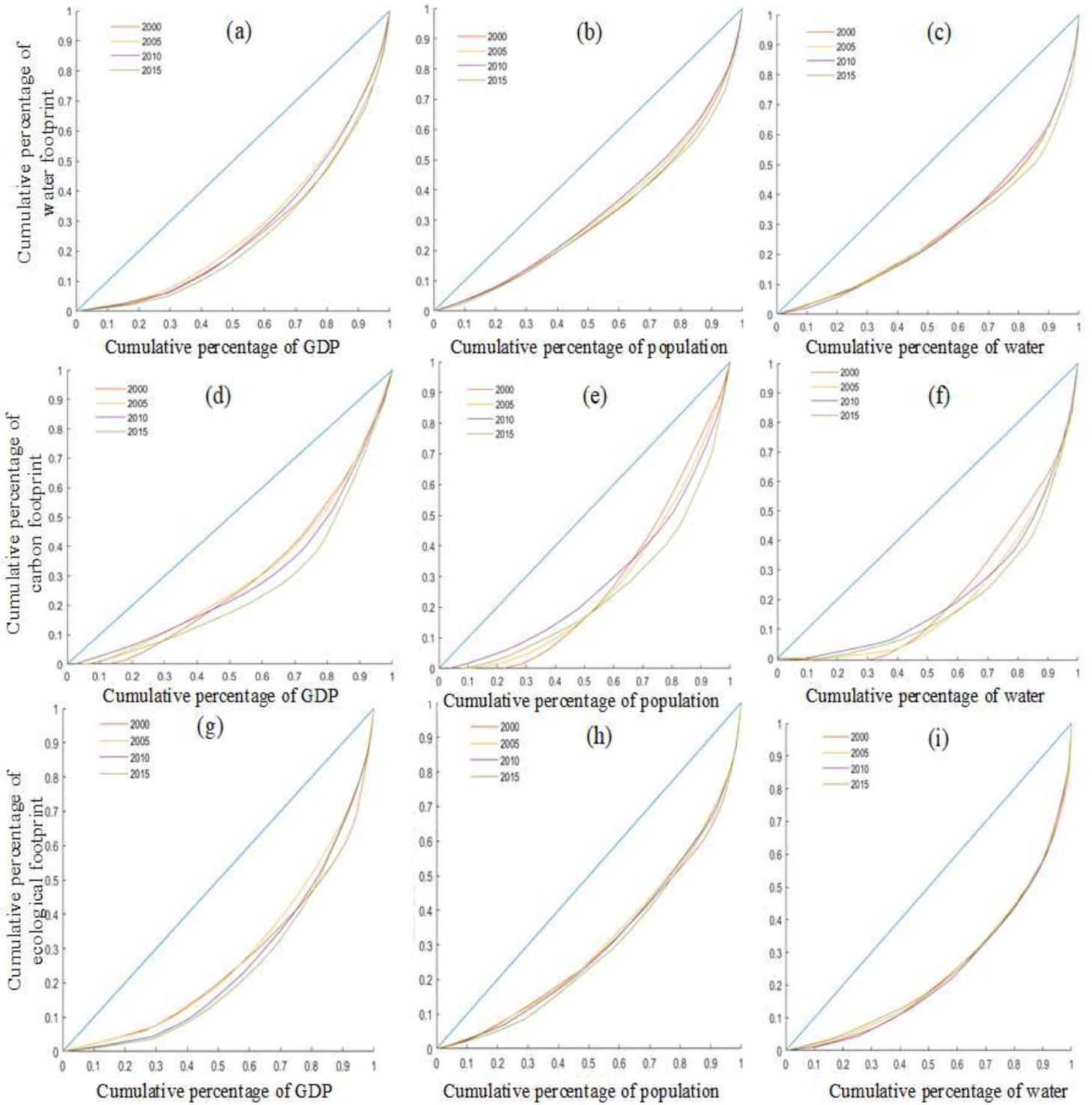


Figure 13

Lorenz curve of the economic contribution, population, and water resources of the TOCC.

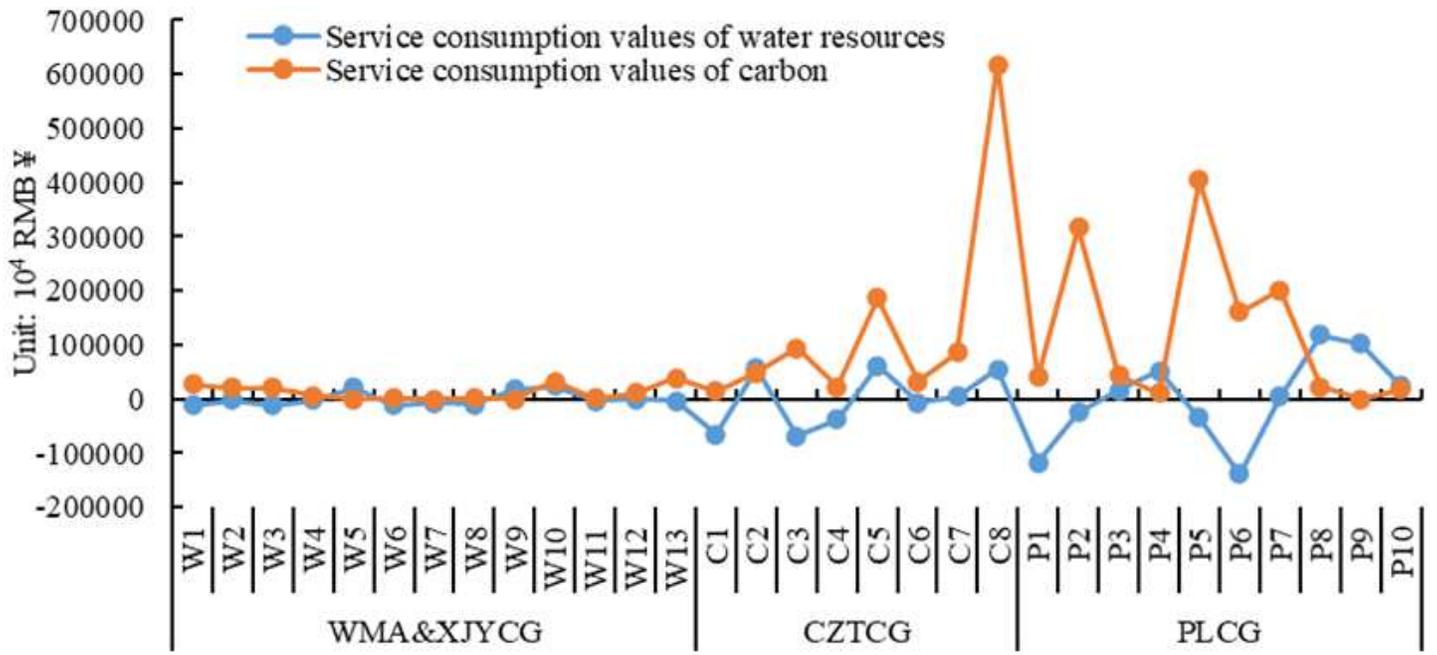


Figure 14

Variations in the average service consumption values of carbon and water resources in different urban agglomerations.

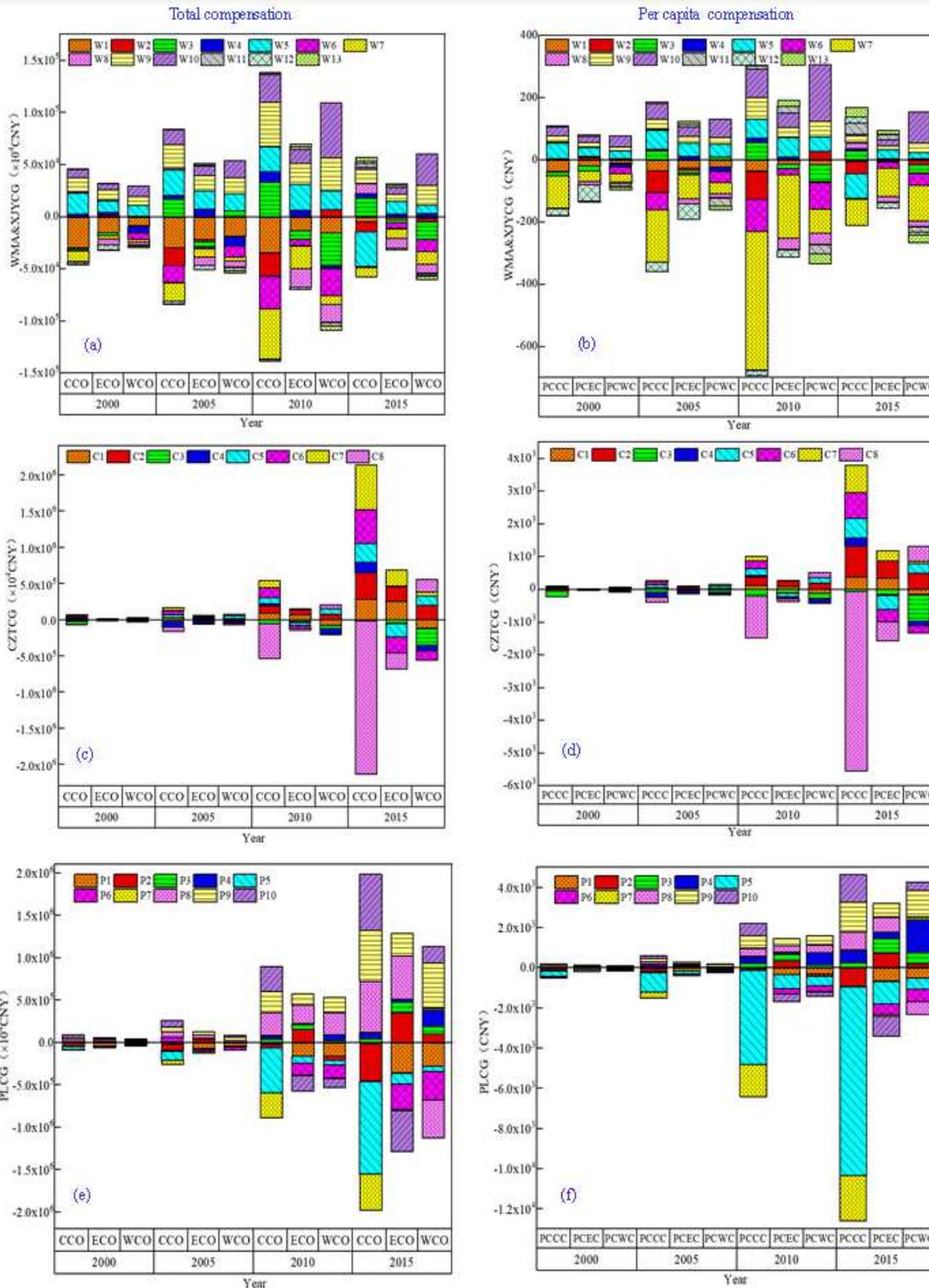


Figure 15

Compensation strategies in different urban agglomerations from the perspective of water-carbon-ecological footprints, where WCO, CCO, and ECO denote the total water, carbon, and ecological compensation strategies; PCWC, PCCC, and PCEC denote the per capita water, carbon, and ecological compensation strategies.