



1 Application of a new productivity coupling hydrothermal factors (PCH)  
2 model for evaluating net primary productivity of grassland in Southern  
3 China

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11 **ABSTRACT**

12 Grassland ecosystems play important roles in the global carbon cycle. The net primary productivity (NPP) of  
13 grassland ecosystems has become the hot spot of terrestrial ecosystems. To simulate grassland NPP in Southern  
14 China, a new productivity coupling hydrothermal factors (PCH) model was built and validated based on data  
15 recorded from 2003 to 2014. The results show a logarithmic correlation between grassland NPP and mean annual  
16 temperature and a linear positive correlation between grassland NPP and mean annual precipitation in Southern  
17 China, both highly significant relationships. There was a highly significant correlation between simulated and  
18 measured NPP ( $R^2 = 0.8027$ ). Both RMSE and RRMSE were relatively low, showing that the simulation results of  
19 the model were reliable. The NPP values in the study area had a decreasing trend from east to west and south to  
20 north. Mean NPP was  $471.62 \text{ g C m}^{-2}$  from 2003 to 2014. Additionally, the mean annual NPP of Southern  
21 grassland presented a rising trend increasing  $3.49 \text{ g C m}^{-2} \text{ yr}^{-1}$  during the past 12 years. These results document  
22 performance and use of a new method to estimate the grassland NPP in Southern China.

23 **KEY-WORDS:** grassland NPP, PCH model, mean annual precipitation, mean annual temperature, Southern  
24 China

25



## 26 **1 Introduction**

27 Grassland is one of the major biological communities in the world. It covers more than 40% of the total land area  
28 on the planet, and plays an important role in the global biogeochemical cycle and energy transformation process  
29 (Chen and Zhang, 2000; Mosier et al., 1991). The impacts of the climate on grasslands are quite complicated. On  
30 one hand, different types of grasslands have their own spatial distributions controlled by temperature and  
31 precipitation; on the other hand, a rise in temperature will alter some processes in the ecosystem (such as  
32 evapotranspiration, decomposition and photosynthesis). Therefore, temperature exerts a significant effect on  
33 biological community productivity (Douglas and Geoffrey, 1997). Net Primary Productivity (NPP) is an indicator  
34 that measures the production capacity and economically and socially significant products of the plant community  
35 under natural conditions (Sun et al., 2013). Changes in NPP directly reflect the response of ecosystems to climatic  
36 conditions, therefore it can be used as a research index in the relationship between ecosystem function and climate  
37 change (Zhou et al., 2014). It also has an important theoretical and practical significance for evaluating the  
38 environmental quality of terrestrial ecosystems, regulating ecological processes and estimating the terrestrial  
39 carbon sink to master the inter-annual variation rule of terrestrial NPP (Cao, 2013; Richardson et al., 2012; Picard  
40 et al., 2005; Zhang et al., 2011; Xu et al., 2012).

41 Estimation methods, most based on models, to calculate grassland NPP were discussed in previous research  
42 (Gill et al., 2002). Models demonstrate advantages over other methods in global, regional and other large scales  
43 studies, becoming an important tool in macro ecological research of grasslands. Grassland NPP estimation models  
44 have been used by some researchers for dynamic monitoring and forecasting (Raich et al., 1991; Matsushita and  
45 Tamura 2002) providing theoretical and technical support for ecological improvement and recovery of grasslands  
46 (Christenson et al., 2014). A large number of studies were conducted by domestic and foreign scholars to  
47 understand the influences brought by climate change to the ecosystem processes, including grassland productivity  
48 and grassland C circulation. Although many researchers have studied the influences on a national or regional scale



49 (Parton et al., 1995; Hall et al., 1995; Braswell et al., 1997; Cao and Woodward, 1998; Fang et al., 2001; Ni, 2002;  
50 Mantgem and Stephenson, 2007; Wunder et al., 2013; Gang et al., 2015), there has been little research on  
51 relationships between grassland NPP and climate factors in Southern China. Grassland resources are abundant in  
52 China, with an area of nearly 400 million ha, nearly 1/6 of that in Southern China. As the grassland in northern  
53 areas are continues to deteriorate and desertize, the ecological system of grassy hills and slopes in Southern China  
54 are becoming increasingly important. Study of the relationship between NPP and climatic factors, together with  
55 their dynamic simulation will provide insights on the effective management and reasonable utilization of  
56 grasslands in Southern China, and the promotion of global change research. Our objectives were the following:  
57 (1) to build an ecological model (PCH) based on the statistical analysis of the relationship between measured NPP,  
58 precipitation and temperature; (2) to modify the adjustment coefficient and the parameter of the model based on  
59 the grassland types and their ecological characteristics; (3) to simulate NPP using the PCH model and analyze its  
60 changing trends on the spatial and temporal pattern from 2003 to 2014; (4) to verify the accuracy of the PCH  
61 model by comparing it with field observation data; (5) to explore the dominant hydrothermal factor for  
62 determining the NPP change of the study area.

## 63 **2 MATERIALS AND METHODS**

### 64 **2.1 Study area**

65 The grassy hills and slopes of Southern China, centered on 110°0'E, 27°30'N, was the focus of research. The site  
66 encompassed 17 provinces and an area of about 60 million ha (Figure 1). The grasslands of Southern China are  
67 mainly composed of typical grassland, wetland grassland, lowland meadow and upland meadow. The Southern  
68 grasslands are scattered and distributed among areas of forest land and cultivated land, and mostly located on  
69 slopes. Most regions of Southern grasslands are managed with grazing and some regions with enclosure and  
70 cutting. The climate characteristics in this area include hot and rainy summer, and mild and rainy in winter, with  
71 the frost-free period being more than 300 days per year. The annual mean precipitation is between 800–1600 mm



72 and the annual mean temperature is greater than 15 °C. These climate conditions contribute to a suitable  
73 environment for grassland.

## 74 **2.2 Data acquirement and processing**

75 NPP data acquirement: in July of 2011, 2012 and 2013, 66 sample plots were investigated in several provinces of  
76 the study area. Large quadrats were set in each representative sample plot (10m×10m), and five small squares  
77 (1m×1m) were set on corners and in the center of large quadrats. Above-ground biomass and the latitude and  
78 longitude information were recorded in each small quadrat, with an average level calculated after sampling. Every  
79 2.2 g dry matter was converted into 1g carbon, leading to the grass NPP in each sample area, represented in the  
80 form of carbon ( $\text{g C m}^{-2}$ )(Fang et al., 2001).

81 Climate data acquirement: temperature and precipitation data from year 2003 to 2014 were acquired from the  
82 ground stations of China Meteorological data sharing service system (<http://cdc.cma.gov.cn/>) (Figure 1). Kriging  
83 interpolation from Geographic information system (GIS) interpolation tool was utilized to analyze meteorological  
84 data according to the latitude and longitude information of each station. Then the image projection transformation  
85 converted data into a raster image with a latitude and longitude network and 1000 m resolution. Finally,  
86 temperature and precipitation information was extracted according to latitude and longitude corresponding to the  
87 investigation points.

88 The distribution map of grassland in the study area (Figure 2): the 1980 Chinese grassland resource inventory  
89 and MOD12Q1 data acquired in 2004 were used to generate the land cover, land use map and the grassland  
90 distribution map. Open shrubs, woody savannas, savannas, grasslands and permanent wetlands were included as  
91 the grassland of Southern China based on the land use and land cover classification project proposed by the  
92 International Geosphere–Biosphere Programme (IGBP).

## 93 **2.3 Model establishment and validation**

94 Modeling methods: based on the statistical analysis of the relationship between measured NPP, precipitation and



95 temperature, the preliminary structure of the model was developed. Then the nonlinear fitting algorithm was  
96 utilized to optimize and determine the parameters of the model.

97 Model validation: in order to verify the reliability of the simulation results, both Root Mean Square Errors  
98 (RMSE) and Relative Root-Mean-Square Errors (RRMSE) were applied to the model for testing and evaluating  
99 the simulation effects. RMSE and RRMSE were expressed as:

$$100 \quad RMSE = \sqrt{\frac{1}{n} \sum_{i=1}^n (O_i - S_i)^2} \quad (1)$$

$$101 \quad RRMSE = \sqrt{\frac{1}{n} \sum_{i=1}^n (O_i - S_i)^2} / O_a \quad (2)$$

102 where  $O_i$  was the real value,  $S_i$  was the simulated value,  $O_a$  was the average of real value,  $n$  was the total number  
103 of samples.

## 104 **3 RESULTS**

### 105 **3.1 Relationship between grassland NPP and temperature**

106 Grassland NPP is a joint result of the regional light, temperature, precipitation, soil and other natural conditions,  
107 which reflects the ability of using natural environmental resources (Gang et al., 2015). Under natural conditions,  
108 temperature and precipitation were the two dominate influential factors to grassland NPP in Southern China (Sun  
109 *et al.*, 2014). The results of the analysis of the relationship between grassland NPP and temperature in Southern  
110 China showed that: (1) between 10 and 20 C there was a linear positive correlation between temperature and the  
111 NPP, and (2) a para-curve relationship was found between from 20 °C to 30 °C. Generally, the relationship  
112 between temperature and grassland NPP was logarithmic with correlation coefficient  $r$  being 0.4629, reaching a  
113 significant level ( $P < 0.01$ ). As a result, the relationship could be presented as a logarithmic equation.

### 114 **3.2 Relationship between grassland NPP and precipitation**

115 Precipitation is a key factor in many NPP estimation models (Huston, 2012; Yu et al., 2008). Mean monthly  
116 precipitation in the grassland ecological system of Southern China presented a large range throughout a year with



117 min precipitation being 40 mm and max being over 200 mm. NPP also showed a regular distribution according to  
 118 the precipitation, with a typical linear positive correlation. The correlation coefficient  $r$  was 0.7836, reaching a  
 119 very significant level ( $P < 0.01$ ). Therefore, the influences of precipitation on grassland NPP could be expressed as  
 120 a linear equation.

### 121 3.3 Estimation model of grassland NPP

#### 122 3.3.1 Model establishment

123 According to the analysis results, a positive relationship existed between grassland NPP and mean annual  
 124 temperature and annual precipitation in Southern China. Thus it is feasible to express the relationship with  
 125 logarithmic and linear equations, respectively. However, the results varied greatly when temperature was directly  
 126 used as the equation factor and any data below zero C would fail to be processed. Thus it was necessary to  
 127 introduce a temperature adjustment coefficient, described here as:

$$128 \quad T_a = \ln(T/t_1 + a_1) \quad (3)$$

129 where  $T_a$  was the temperature adjustment coefficient,  $T$  was the mean annual temperature (°C),  $t_1$  was the model  
 130 parameter,  $a_1$  was a constant, it was set to 2.5 in the paper.

131 Compared with the temperature, the precipitation has the same situation. Growth stopped when moisture was  
 132 below a certain level. So another adjustment coefficient was introduced and expressed as following:

$$133 \quad W_a = \sqrt{W/w_1 + a_2} \quad (4)$$

134 where  $W_a$  was the adjustment coefficient,  $W$  was the mean annual precipitation (mm),  $w_1$  was the model  
 135 parameter,  $a_2$  was a constant and being set to 0.5 in the paper.

136 According to the above information, the estimation model of grassland NPP in Southern China could be  
 137 written as following:

$$138 \quad NPP = T_a \times W_a \times (T + W/6) \quad (5)$$

#### 139 3.3.2 Calculation of model parameters



140 The acquisition of model parameters was a quite complicated process, and would directly affect the accuracy of  
141 the final results. Based on the measured data from 2009 to 2010, by adopting the contraction expansion algorithm  
142 of the nonlinear fitting and MATLAB programs (Conway and Wilcox, 1970), those parameters were calculated as  
143  $t_1=5.8$ ,  $w_1=560.4$ .

### 144 3.3.3 Model validation

145 The measured grassland NPP data from 2014 in Southern China were used to validate the simulation results. The  
146 results indicated that there was a strong and significant correlation between the simulated and measured NPP ( $R^2$   
147 = 0.802,  $P<0.01$ ). The RMSE of the simulation was  $58.351\text{ g C m}^{-2}$ , the RRMSE was 0.326, and both were small.  
148 All those results indicated that the simulation of precipitation and temperature model for Southern grassland NPP  
149 was feasible. The trends of the simulated and measured grassland NPP were similar (Figure 3), which also  
150 indicated that the results were reliable.

### 151 3.4 Spatial-temporal variations of grassland NPP from the year 2003 to 2014

152 The spatial distribution map of grassland NPP produced by the estimation model was beneficial to monitor the  
153 grassland resource. This paper built the spatial distribution map of Southern grassland NPP using the estimation  
154 model of grassland NPP based on climatic conditions (Figure 4). Figure 4 showed that the minimum of mean  
155 annual NPP of Southern grassland was  $57.83\text{ g C m}^{-2}$  and the maximum was  $1328.06\text{ g C m}^{-2}$  in recent 12 years.  
156 The NPP of Southern grassland had an obvious zonal distribution. The NPP value was lower in northwest regions  
157 and higher in southeast and south regions, especially in Jiangxi, Guangdong and Hainan province.

158 Fig. 5 showed the variation of mean annual NPP of Southern grassland in recent 12 years. The trend of mean  
159 annual NPP presented an increasing tendency of the whole Southern grassland (Figure 5). The variation range of  
160 the mean annual NPP was from  $430.31$  to  $519.82\text{ g C m}^{-2}$ , and the mean was  $471.62\text{ g C m}^{-2}$ . The minimum of the  
161 mean annual NPP appeared in 2006, and the maximum value appeared in 2013. The tilt rate of the mean annual  
162 NPP of Southern grassland in recent 12 years was  $3.49\text{ g C m}^{-2}\text{ yr}^{-1}$  (Fig. 4b), which indicated that the NPP



163 increased about  $3.49 \text{ g C m}^{-2}$  every year.

#### 164 **4 Discussion**

165 Research on the relationships between the NPP and climate factors in global or regional ecological systems started  
166 in mid-1800s (Nemani et al., 2003; Zhou et al., 2014). As revealed in these studies, the vegetation index showed  
167 periodic variations with corresponding climate indices including temperature and precipitation, during the growth  
168 process of most plants. Temporal and spatial variations were quite distinct in grassland NPP, since climatic factors,  
169 especially precipitation and temperature, were factors directly linked to periodic variations (Ronnenberg and  
170 Wesche, 2010). This study showed that a temperature rise would cause a certain level rise in the grassland NPP in  
171 Southern China, especially in the high temperature zones. However, these results differed from some previous  
172 reports (Mcguire et al., 1993). In addition, there was a significant positive correlation between precipitation and  
173 NPP. When mean annual precipitation increased, grassland NPP would also increase significantly. This conclusion  
174 is consistent with previous studies (Sala et al., 2000; Knapp and Smith, 2001; Mohamed et al., 2004).

175 The ultimate goal of those studies on the relationship between climate and terrestrial ecosystem NPP is to  
176 predict the possible impacts on climate change and to take scientific countermeasures (Pablo et al., 2007), and  
177 establishing a model is an efficient means to make these predictions. Through modeling and simulation, one could  
178 reveal the quantitative change and trend of NPP caused by climate change. That was why the research of NPP  
179 model had attracted a vast amount of attention (Ren et al., 2011). This study establishes an estimation model for  
180 the grassland NPP of Southern China by using the statistical analysis of the relationship between the Southern  
181 grassland NPP and precipitation and temperature combined with biological process. The relationship between  
182 simulated and observed values reached a highly significant level. This and the low RMSE validated the reliability  
183 of the model. Therefore, it was feasible to estimate the grassland NPP in Southern China by using the PCH model  
184 described in this paper.

185 The estimation of grassland NPP is a complex process. It is not only affected by climatic factors such as





186 precipitation and temperature, but also by the grassland vegetation's own inner physiological process, fire severity,  
187 slope position and aspect, grazing, human activities, cutting frequency and grassland ecotypes (Pereira et al., 2016;  
188 Shaw et al., 2016; Lu et al., 2015; Lin et al., 2015; Poehlau et al., 2016; Roosendaal et al., 2016). Grassy hills and  
189 slopes in Southern China had a wide distribution with various vegetation types, therefore the NPP distribution was  
190 uneven. Although the model estimation worked well, some imperfection exists. Firstly, a classification for grass  
191 hills and slopes is needed, without of which the NPP estimation fell into a single type (Hu et al., 2016). Secondly,  
192 the NPP estimation results were representative of the entire year, while arbitrary NPP estimation for a single  
193 month has not been verified yet. Thirdly, as an important ecological parameter, MODIS normalized difference  
194 vegetation index (NDVI) needs to be added into the model (Gong et al., 2015). Then, precision of the model could  
195 be improved in the process of evaluating the changes of grassland in Southern China. Fourth, grassland soil  
196 coarseness needs to be taken into account as a result of nutrient cycling and respiration in grassland (Lü et al.,  
197 2016). The last is a sensitivity issue. The study indicated that the simulation results by the PCH Model were  
198 slightly large in a small fraction of areas with relatively low NPP, while small in a part of area with high NPP. It  
199 may be caused by the limited time span, and other factors including the influences from different types of  
200 grasslands. Hence, there might be some uncertainty to estimate the lower or higher grassland NPP using the  
201 estimation model. Further study is required to solve these problems.

## 202 **5 Conclusion**

203 In this study, a new productivity coupling hydrothermal factors (PCH) model was built to simulate the NPP in  
204 Southern China's grasslands. The PCH model is a productivity coupling hydrothermal factors model that can be  
205 expressed by the transformation of the model parameters, mean annual temperature and mean annual precipitation,  
206 which are the most critical two factors affecting the NPP of Southern China's grasslands. The results show that  
207 there is a logarithmic correlation between grassland NPP and mean annual temperature, and a linear positive  
208 correlation between grassland NPP and mean annual precipitation in Southern China. There was a very significant



209 correlation between simulated and the measured NPP ( $R^2 = 0.8027$ ). Meanwhile, both RMSE and RRMSE stayed  
210 at a relatively low level, showing that the simulation results of the model were reliable. The NPP values in the  
211 study area had a decreasing trend from east to west and south to north respectively. The mean NPP was 471.62 g  
212  $C\ m^{-2}$  from 2003 to 2014. Additionally, the mean annual NPP of Southern grassland presented a rising trend and  
213 the rate of change was  $3.49\ g\ C\ m^{-2}\ yr^{-1}$  in recent 12 years.

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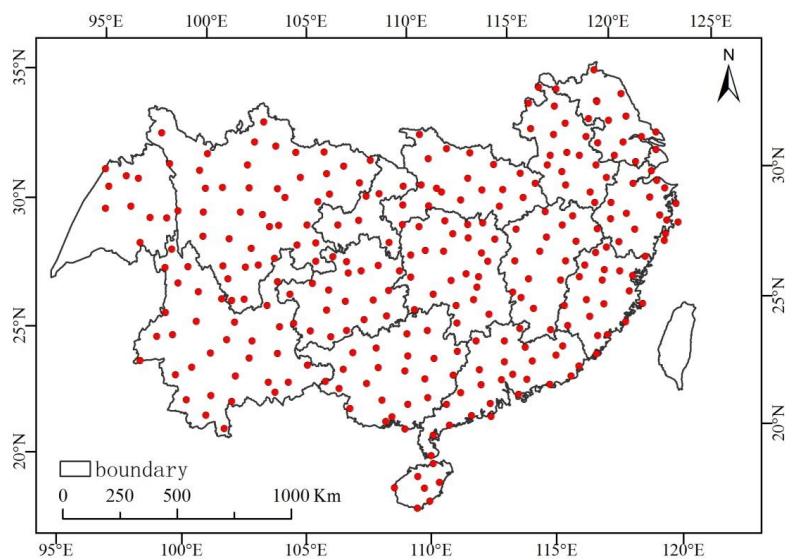


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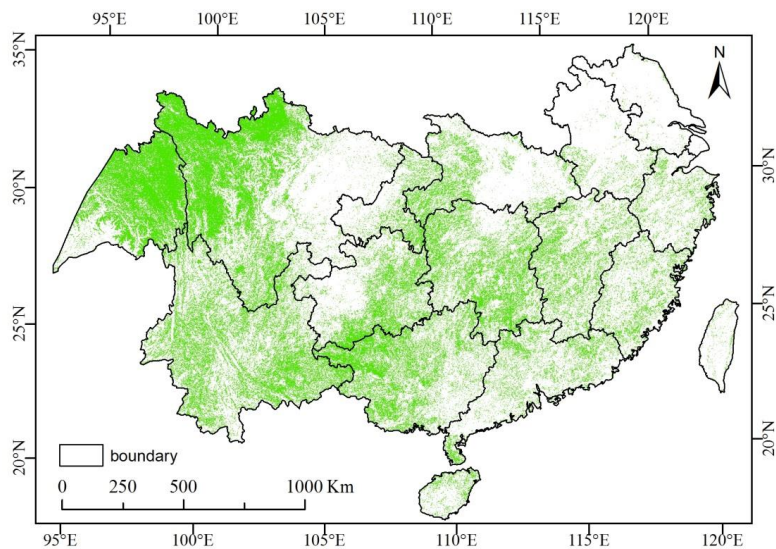
350 **Fig. 1** Study area and meteorological stations in Southern China.



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353 **Fig. 2** The distribution map of grasslands of Southern China.



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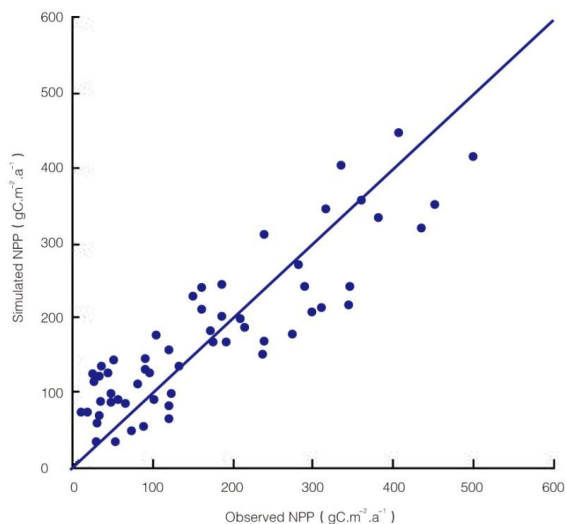




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357 **Fig. 3** Comparison between simulated and observed grassland NPP (net primary productivity) of Southern China.



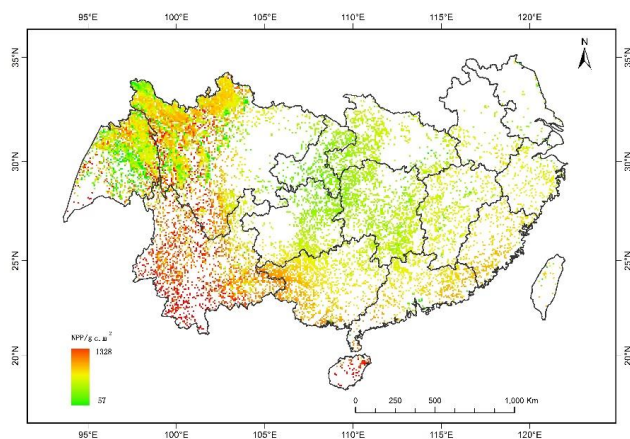
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362 **Fig. 4** Spatial characteristics of grassland NPP of Southern China from 2003 to 2014.



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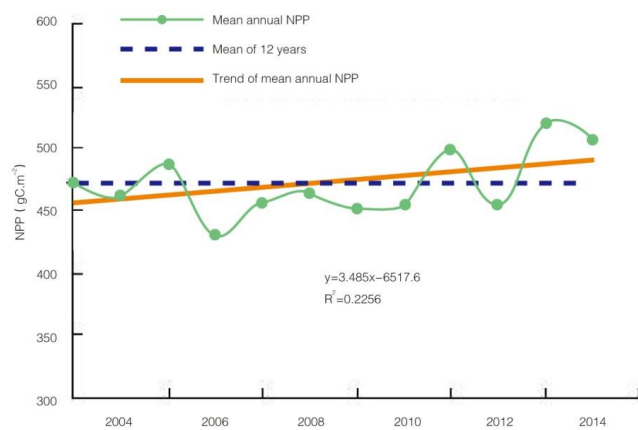
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367 **Fig. 5** The inter-annual variation of grassland NPP of Southern China from 2003 to 2014.



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