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## 5 Digital mapping of structural conservation practices in the Midwest U.S. croplands: 6 Implementation and preliminary analysis

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- 14 Abstract

The application of best management practices is a long-term conservation effort in Midwest U.S. 15 16 croplands, and many farmers have adopted structural conservation practices (SCPs) to reduce soil 17 erosion and surface water runoff, such as terraces and grassed waterways. Despite that, the geographic 18 distribution of these practices is barely known in the region, and mapping initiatives are required to 19 develop timely and spatially explicit inventories of SCP areas. This study presents the first mapping of 20 SCPs in the agricultural areas over 12 Midwest U.S. states. Semantic segmentation model (adapted U-21 Net) and National Agriculture Imagery Program 2018-2019 data were used to map the SCP areas at 2-m 22 spatial resolution (490.2 billion pixels). In general, mapping results achieved 78.2% overall accuracy across 20 counties. Our results indicate that 52% of SCP areas are distributed over Iowa (26%), Illinois 23 24 (15%) and Nebraska (11%). In contrast, the states with lowest SCP areas are Michigan and North 25 Dakota, with less than 4% of SCP areas. Since the SCP extent is also dependent on the number of 26 cropland areas per state, the percentage of SCP per cropland area was calculated. Specifically, the 27 average percentage of SCP area per cropland is ~1.19%, ranging from 0.8 (e.g., North Dakota and south 28 Minnesota) to 5.5% (e.g., northeast Kansas and southwest Iowa). Interestingly, results also illustrate that 29 regions with high soil erosion rates present the largest percentage of SCP areas in croplands as well, 30 indicating conservation efforts by farmers. While this preliminary analysis shows some limitations in the 31 mapping quality (mislabel, non-accurate location or discontinuity of SCP areas), the framework has a 32 potential for operational conservation monitoring. The development of such mapping has positive

33 implications for conservation programs, and this geospatial inventory is an easily accessible information

34 for large-area evaluation of conservation practices across Midwest U.S. croplands.

35 Keywords: Conservation, terraces, grassed waterways, semantic segmentation, U-net model.

36 1. Introduction

37 Agricultural conservation practices are widely recognized across the world (Friedrich et al., 2012; 38 Jat et al., 2013; Kassam et al., 2009; 2019), and the adoption of alternative production methods in farm 39 practices and land management (e.g., no-tillage farming, extensive crop rotations, and biomass mulch 40 soil cover) becomes relevant to maintain soil structure and crop productivity (Triplett et al., 2008; 41 Tscharntke et al., 2012). In the United States, farmers in the Midwest region have implemented 42 conservation practices that benefit both agricultural production and environmental protection (Hobbs et 43 al., 2007; Knowler and Bradshaw, 2007; Kassam et al., 2009; Floress et al., 2018). Despite the efforts to 44 minimize nutrient loss and soil erosion (Carpenter et al., 1998; Schoumans et al., 2014), agricultural non-45 point source pollution remains a major concern for water quality in the United States (Stoddard et al., 46 2016). Sediment transport and nutrient export from crop fields lead to degradation of water quality in 47 freshwater systems by increasing algal growth and turbidity levels (Kröger et al., 2013). The Gulf of 48 Mexico "Dead Zone" is one example of the ecological impact caused by nutrient-laden water from the 49 Mississippi River reaching the coastal waters (Rabalais et al., 2002; Diaz and Rosenberg, 2008; Dale et 50 al., 2010). As a result, the U.S. Environmental Protection Agency established a goal of 45% reduction of 51 nutrient loads (nitrogen and phosphorus) to surface waters along the Mississippi basin (Dale et al., 2010). 52 In these efforts, USDA Natural Resources Conservation Service has provided financial and technical 53 assistance for adopting best management practices (BMPs) at farm-level.

Agricultural BMPs are a set of guidelines, practices, and structural controls designed to preserve soil and water resources in agricultural fields. Some examples of structural conservation practices (SCPs) are i) grassed waterways, ii) contour buffer strips, iii) terraces, iv) filter strips, v) riparian buffers, and others. These practices are typically implemented in the most sensitive areas (e.g., highly erodible lands), and each of them has a specific role in the agricultural landscape. For instance, terraces are earthen ridges around a hillside that prevent soil erosion on steep slopes (Tarolli et al., 2014), while grassed waterways are natural or constructed vegetated channels that control surface runoff, erosion, and nutrient 61 loss in the drainage pathways (Fiener and Auerswald, 2003). Recent studies have quantified the benefits 62 of these BMPs in cropland areas (Zhang and Zhang, 2011; Reimer et al., 2012; Liu et al., 2013; Liu et al., 63 2017). Kröger et al. (2012) reviewed BMP effectiveness in row-crop agriculture over the Lower Mississippi 64 Alluvial Valley and they demonstrated that nine BMPs provide a significant reduction of nutrient loss 65 (range: 15 - 100%), such as total nitrogen and phosphorus. Similarly, Panagopoulos et al. (2011) showed 66 that filter strips reduce the delivery of total phosphorus (up to 50%) in the surface water of a Western 67 Greece catchment. In a modeling approach, Haas et al. (2017) showed that buffer strips reduce nitrate 68 loads reduction (up to 10%) in the catchment of the river Treene, Given the relevance of conservation 69 techniques (Liu et al., 2017; Xiong et al., 2018), conservation agencies and research organizations are 70 promoting local networks and access to information to increase the engagement of farmers towards 71 sustainable practices (Baumgart-Getz et al., 2012), such as North Central Region Water Network 72 (https://northcentralwater.org/) and Iowa Learning Farms (https://www.iowalearningfarms.org/).

73 In this perspective, the accurate mapping of structural conservation practices becomes crucial for 74 the spatial overview of current practices and its function in the agricultural landscape. Recently, the 75 Agricultural Conservation Planning Framework (ACPF) was implemented to provide meaningful 76 conservation plans at the watershed level (Tomer et al., 2015; Lewandowski et al., 2020). The framework 77 incorporates geospatial data to identify vulnerable areas and recommend conservation options. However, 78 existing practices are not considered in this framework, and the watershed plan often targets areas with 79 already implemented BMPs. Rundhaug et al. (2018) compared the existing and potential ACPF practices 80 in three lowa watersheds, and they emphasized the importance of BMP mapping as support in the 81 development of conservation scenarios. Regarding the soil erosion modeling, Panagos et al. (2015) 82 highlighted that conservation practices are typically neglected in the soil erosion risk modeling because 83 they are difficult to assess and quantify for large areas. Conceptually, assuming no conservation or 84 constant values, significant uncertainties may be introduced in the erosion estimates, especially in 85 agricultural areas. These examples show the benefits of geospatial information of conservation practices 86 for environmental analysis, but mapping initiatives are barely presented in the literature. In this context, 87 Iowa BMP Mapping Project (IBMP) is a unique initiative that offers a detailed spatial database about 88 vegetative/structural practices across lowa watersheds (ISU, 2016). The mapping framework includes the

visual interpretation of National Agriculture Imagery Program (NAIP) aerial imagery (2007-2010) and LiDAR-derived products. While a comprehensive inventory is a valuable data resource (Lam et al., 2011; Rundhaug et al., 2018), the product generation is dependent on manual classification performed by multiple GIS specialists/interns and takes multiple years for completion. This limitation reinforces the demand for a timely and reliable framework for SCP mapping which will support the evaluation of other U.S. states.

95 This study evaluates the preliminary results of structural conservation practices (SCP) mapping 96 across Midwest U.S. croplands. The framework includes the classification of SCP areas using high-97 resolution NAIP aerial imagery (2018 - 2019 and semantic segmentation U-Net algorithm). The 98 classification was performed over ~490.2 billion pixels at 2-m resolution, and the computational strategies 99 for efficient implementation were detailed in this study. The results of SCP areas were reported by state, 100 and then, normalized by cropland area for further evaluation of its spatial distribution. In addition, we 101 investigated the relationship of high/low occurrence of SCPs with landscape characteristics, such as soil 102 properties and topographic-related variables. Note that agricultural BMPs represent a variety of 103 conservation practices (cover crops, nutrient management, crop rotations and tillage practices), and this 104 study is only focused on structural practices, such as terraces and grassed waterways. These preliminary 105 results are promising, and the potential implications and challenges were discussed in the Section 4.

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#### 107 2. Material and methods

The proposed framework applies publicly available imagery (NAIP) and semantic segmentation U-Net method to generate a SCP/non-SCP mask in agricultural areas. The U-Net is a deep learning model that explores spatial-spectral features for image classification and further details are presented in the section 2.3.1. The procedures are shown in Fig. 1 and broadly described as: 1) NAIP pre-processing; 2) model training; 3) SCP classification and 4) validation and spatial analysis. These steps are detailed in the following sub-sections.



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## 119 2.1. Study area

120 The study area includes one of the major cropland areas in the world: Midwest United States. A 121 total of 12 states were selected for this analysis, and they represent the most grain productive region of 122 the United States (Table S1). For example, Iowa is a leader of U.S. corn production (68.5 million tons of 123 corn) with approximately 87,500 farms (lowa Corn, 2019). The region presents mostly a hot-summer 124 humid climate and cold winters, and commercially and environmentally relevant U.S. rivers are crossing 125 the region such as Mississippi and Missouri rivers. While cropland areas are the most predominant land 126 cover, the natural landscape consists of prairie and savanna, forests, and wetland areas. The terrain landscape is typically flat or moderately rolling hills such as in southwest Wisconsin or western Iowa. The 127 128 frequency of corn/soybean areas illustrates the importance of selected states for national crop production 129 (Fig. 2), and consequently, the conservation efforts are highly expected in this region.



Fig. 2. Location of Midwest U.S. states (study area). The crop frequency of corn\soybean is colored from
dark blue (1 year) to light yellow (10 years) in the 2010-2019 period. Source:
https://nassgeodata.gmu.edu/CropScape/.

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136 2.2. Data

## 137 2.2.1. High-resolution aerial imagery

138 National Agriculture Imagery Program (NAIP) is a comprehensive program administered by the 139 USDA's Farm Service Agency (FSA) that acquires high-resolution aerial imagery across the United 140 States. The NAIP imagery are mostly collected during the agricultural growing season (leaf-on) and have 141 the appropriate resolution for a variety of land cover and environmental studies (Basu et al., 2015; Peter 142 et al., 2018; Martins et al., 2020). Beginning in 2003, NAIP projects were developed on a 5-year cycle to 143 collect images at natural color (RGB) using film cameras. Recently, NAIP imagery are acquired by digital 144 sensors with four spectral bands (blue, green, red and near-infrared), 8-bit of radiometric resolution and 145 spatial resolution of 1-m. The clear-sky images are collected on different flight dates during late summer 146 and early fall and provided for public as orthorectified imagery for each U.S. county. The dataset is 147 available by USDA Natural Resources Conservation Service at Geospatial Data Gateway (Direct 148 download: https://nrcs.app.box.com/v/naip).

149 In this study, false-color NAIP imagery were obtained for entire Midwest U.S in 2018 and 2019. A 150 total of 1,054 county-based image were delivered in MrSID compressed format, resulting in ~1.98 TB of 151 data. For the pre-processing step (Fig. 1), these images were decoded to GeoTiff format and then 152 resampled from full 1-m resolution to 2-m resolution using nearest neighbor method. This resampling 153 reduces the storage needs and keeps sufficient resolution for our analysis. After that, the entire dataset 154 was re-projected to USA Contiguous Albers Conic Equal Area (ESRI:102003). Note that this study does 155 not perform a temporal analysis because older NAIP images present different number of bands and 156 image quality compared to recent data. Also, we did not use the LiDAR-derived product as input variable 157 because they are not available at high spatial resolution (< 2 m) for all states. Moreover, state-based 158 LiDAR products are often distinct in terms of pre-processing steps, vertical error, project's year, spatial 159 extent, and final quality. The uncertainties of different data sources and its coverage restrict the model 160 application for entire Midwest, so then, we decided to only use false-color NAIP images. Additional 161 discussion of current limitations is presented in Section 4.4.

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## 2.2.2. Reference samples for model training

164 The development of large training datasets is one of the major challenges for deep learning 165 applications. The training of semantic segmentation methods, such as U-Net model (Section 2.3.1), 166 requires fully labeled image patches, and this study exploits the Iowa BMP dataset to generate these 167 training samples (Fig. S1). As described, the Iowa BMP project has been funded by multiple institutions 168 and produced a BMP inventory in geodatabases for the 2007-2010 timeframe. The Iowa-BMP is focused 169 on a baseline of conservation practices, such as terraces, WASCOB, grassed waterways, strip cropping 170 and contour buffer strips. The project developed a protocol for visual interpretation of BMP areas using 171 optical image and LiDAR-derived products, and later, the quality assessment is performed by trained lowa-DNR staff before data release. Therefore, this dataset is reference source for a variety of 172 173 environmental assessment, and the complete set of BMPs is available at watershed-level through the project's website (https://www.gis.iastate.edu/gisf/projects/conservation-practices). Further information is 174 175 also provided in the project handbook (ISU-IBMP, 2017). Among these BMPs, this study investigates two 176 relevant structural conservation practices (SCPs): grassed waterways and terraces. These practices are 177 the most abundant in the Iowa inventory (> 90% of areas in BMP project), and they are typically observed 178 within cropland boundaries. Here, it should be emphasized that these practices are visually identified in 179 the images, but they are difficult to separate using optical data due to similar spectral response and shape in some cases (even by human interpretation). So, binary classification (SCP/non-SCP) is 180 181 appropriate for this study, and this limitation is further discussed in Section 4.4. For this training dataset, 182 SCP polygons were firstly converted to raster files, creating a binary label (SCP: 1, non-SCP: 0). All these 183 labeled patches are stored with corresponding false-color images from NAIP 2010 data, as used in the 184 Iowa BMP project. The next step was the random selection of 500,000 pair samples (image + label), 185 where 90% of these samples have SCP areas and the other 10% of samples have non-SCP areas, such 186 as grassland, building, road and forest targets. This combination of SCP and non-SCP patches gives a 187 comprehensive dataset (size: 122 GB) for model training, and this dataset is publicly available at 188 https://doi.org/10.5281/zenodo.3762370.

## 189 2.3. Methodology

## 190 2.3.1. Semantic segmentation with deep learning

191 Recently, fully convolutional network became a prominent deep learning architecture for semantic 192 segmentation tasks (Long et al., 2015; Ronneberger et al., 2015; Badrinarayanan et al., 2017; Jégou et 193 al., 2017). These architectures are well-established in remote sensing applications and have been used 194 to map land cover (Stoian et al., 2019), forest degradation (Wagner et al., 2020), building (Xu et al., 2017) 195 and roads (Zhang et al., 2017). A detailed review of different studies is described in Ma et al. (2019). In 196 this research, an adapted U-Net network was used to perform a binary segmentation of a 197 vegetative/structural SCP areas. Briefly, U-Net is a deep fully convolutional network that was originally 198 designed for semantic segmentation of biomedical images (Ronneberger et al., 2015). This model 199 presents the advantage of 2D feature extraction to explore spatial-contextual information compared to 200 standard pixel-based methods (e.g., random forest and support vector machine). The U-Net has an 201 encoder-decoder architecture where (i) the encoder part extracts spatial features from the input image 202 and (ii) decoder constructs the segmentation map from the encoded features. By following Wagner et al. 203 (2020), we adapted the U-Net architecture with three-band input image and additional convolutional block 204 to explore deeper features of our large training dataset. Furthermore, we added batch normalization and

dropout layers to prevent overfitting in each block. In general, our network contains five blocks with two convolutional (3 x 3) layers followed by ReLU activation function and max pooling (2 x 2) in the encoder part. In the decoder part, a sequence of upsampling and convolutional layers reconstructs the dimension of input patch until the end of network. Finally, the last layer has convolutional layer (1 x 1) with sigmoid activation function and generates the confidence map with the same dimension of input. The SCP label is attributed to pixels with output layer values higher than 0.5.

211 The adapter U-Net model was trained with 500,000 image patches. The first 90% of the dataset is 212 used for training (450,000 patches), while the last 10% is used for validation (37,500 patches) and testing 213 (12,500 patches). For network training, a custom data generator was designed to feed the model (batch-214 by-batch) because there is not enough memory to load all the 500,000 samples at the same time. We 215 used the Adam optimizer (learning rate = 0.001) and the binary cross-entropy as loss function, which is 216 most appropriate for this segmentation task. The number of epochs was set as 100 (batch size of 32) 217 since the improvement did not exceed 0.002 of accuracy after 80 epochs. This model was trained in the 218 ISU HPC Pronto cluster with Intel Xeon Silver 4114 CPU @ 2.20GHz, and GPU NVIDIA Tesla v100 219 32GB. Note that this adapted U-Net architecture has 31,099,429 trainable parameters, and large GPU 220 memory is needed for this application. The total training takes up to 13 days (~10,850 secs per epoch). 221 The training, validation, and testing accuracies were similar (0.983, 0.974, 0.975, respectively), which 222 indicates small or no overfitting during the training. All these experiments are conducted with Python's 223 high-level package Keras (TensorFlow backend) in Python environmental and its open-source libraries, 224 such as GDAL, NumPy, and Scikit-image.

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## 226 2.3.2. SCP classification and post-processing

This product generation demands computational resources for fast processing of large volume of high-resolution data across the Midwest region; more specifically, this study classified ~490.2 billion pixels. In this research, we performed all the classification process in the High-Performance Computing (HPC) Condo cluster at Iowa State University. There are relevant aspects for the efficient processing of these high-resolution images. The county-based images are large files (range: 300 MB to 17 GB) and imposes a high load on the nodes with intense read/write of files and memory limitations for multiprocessing jobs. To solve that, the first step was the subdivision of original image in 18 small parts, and 234 then, perform the parallel processing of these small image files. This step takes advantage of multiple 235 cores in HPC nodes and we run dozens of image parts simultaneously using 15 nodes. Another part of 236 patch-based classification is the sliding window process. One of the main advantages of FCNs is the 237 "dense" prediction where all pixels are labeled in the output patch, and this reduces the redundancy in the 238 classification. However, SCPs are typically long and continuous areas, and some overlap is needed to 239 maintain the spatial-contextual features on the border and between adjacent patches. We adopted stride 240 of 192 pixels between input patches (in other words, overlap area equal to 64 pixels) to balance running 241 time and quality of results. Finally, the entire Midwest U.S. is classified in five days (processing time: ~14 242 min per 100 km<sup>2</sup> of image), generating 1.39 TB of mapping results. After that, a post-processing step is 243 implemented for the final product, including the filter of non-cropland areas and noise areas. The cropland 244 data layer (CDL) from USDA was used to filter the non-cropland areas. The cropland mask was created 245 with corn or soybean areas occurring at least 5 times between 2010 and 2019 (see areas in Fig. 2 with 246 frequency  $\geq$  5). Since noise and isolated pixels are likely expected at 2-m classification, and we filtered 247 out small areas (up to 20 pixels). Finally, we aggregated all tiles to produce a binary mask (SCP/non-248 SCP) per county.

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## 250 2.4. Accuracy assessment

251 For classification assessment, we developed a reference dataset using stratified random 252 sampling design (Cochran, 2007). Briefly, a total of 9,270 reference samples were labeled in 20 Midwest 253 counties (Fig. S2). In the first step, 250 blocks of 2 x 2 km dimension were randomly created for each 254 county, and then, we choose 50 blocks with high presence of SCP areas as possible. This block-based 255 stratification allows the consideration of spatial variability of SCP areas compared to simple random 256 sampling, which increases the probability of SCP samples in this reference dataset. In the second step, 257 we created five random points for each block and these samples were labeled as either SCP or non-SCP 258 pixels by visual interpretation of high-resolution imagery from NAIP data and ArcGIS image online 259 service. After this step, additional samples were included to match the number of SCP and non-SCP 260 samples per block. When a particular block does not present any SCP on cropland area, this previous 261 step is skipped, and only randomly selected points were labeled. An example of block-based sampling of

SCP and non-SCP pixels is illustrated in Fig. S2. By using 9,270 reference samples, the confusion matrix was calculated in this per-pixel accuracy assessment, including other metrics such as overall accuracy (OA), producer's accuracy (PA), user's accuracy (UA) and F-1 score (Congalton et al., 1991; Strahler et al., 2006).

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$$Accuracy = \frac{TP + TN}{TP + TN + FP + FN}$$
(1)

$$\text{Recall} = \frac{\text{TP}}{\text{TP+ FN}}$$
(2)

$$Precision = \frac{TP}{TP+FP}$$
(3)

F1-score = 2 x 
$$\frac{\text{Precision x Recall}}{\text{Precision + Recall}}$$
 (4)

Where, true positive (TP) and true negative (TN) represent the samples that were correctly classified as SCP and non-SCP, respectively. In turn, the false positive (FP) samples are those pixels mistakenly classified as SCP, while the false negative (FN) samples are those pixels mistakenly classified as non-SCP areas. The F1-score uses a harmonic average of the precision and recall metrics, ranging from 0 to 100. Precision is the proportion of classified samples that in fact belong to this class and it is similar to user's accuracy (1 – commission error). Recall is the proportion of reference samples that were classified as SCP locations and it is similar to producer's accuracy (1 – omission error).

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## 275 2.5. Spatial analysis and ancillary products

The spatial analysis includes the discussion of SCP distribution, spatial autocorrelation (Global Moran's I test), and Local Indicators of Spatial Association analysis. The SCP areas were calculated per grid with regular size (10 x 10 km), and then, Anselin Local Morans I analysis was performed. Furthermore, the adoption of conservation practices is potentially affected by a variety of factors such as soil and terrain properties (Knowler and Bradshaw, 2007), and the association between SCP and some variables was evaluated in the high and low clusters of SCP extent. The used variables are described as follows: 283 Topographic-related features: The 30-m elevation product from Shuttle Radar Topography Mission 284 (SRTM) was used to calculate the topographic-related features, such as slope and topographic wetness index (TWI). The index calculation is described by TWI =  $\ln(A_s/\tan(\beta))$ , where  $A_s$  is the upslope 285 286 contributing area, and  $\beta$  is the local slope (Quinn et al., 1995). The SRTM 30-m images were acquired in 287 the web interface (SRTM Tile Downloader, https://dwtkns.com/srtm30m/) for Global Change Master 288 Directory dataset (https://gcmd.nasa.gov). While 30-m SRTM DEM has inherent uncertainties, the data 289 source is well-established in the literature and was used to derive averaged values of slope and TWI 290 within 10 x 10 km grid.

291 *Soil-related features*: Saturated hydraulic conductivity (µm/s), bulk density (g/cm<sup>3</sup>), and soil organic matter 292 (kg/m<sup>2</sup>) were used in this study. These products were distributed by SoilWeb portal 293 (<u>https://casoilresource.lawr.ucdavis.edu/</u>) from California Soil Resource Lab at UC Davis, and they were 294 derived by aggregating USDA-NCSS soil survey data (SSURGO back-filled with STATSGO where 295 SSURGO is not available) within 800m<sup>2</sup> grid cells.

Soil erosion rate: Global Soil Erosion 2012 (tons/ha/yr) and K-factor maps from Borrelli et al. (2017) were used in this study. This 25 km resolution product is a re-sampled version of the original soil erosion map derived from RUSLE-based Global Soil Erosion Modelling platform. The product is available at European Soil Data Centre (<u>https://esdac.jrc.ec.europa.eu/content/global-soil-erosion</u>) (Panagos et al., 2012), and more details of soil erosion mapping are found in Borrelli et al. (2017).

301 All these variables were re-projected to Albers Conic Equal Area projection and filtered by 302 cropland mask, and the average values of these variables were calculated for each 10 x 10 km grid.

303

## 304 3. Results

## 305 3.1. Classification performance and error sources

This section presents the results of accuracy assessment and examples of SCP mapping using semantic segmentation approach. The confusion matrix is presented in Table 1, and the overall accuracy and F1-score of the SCP mapping are 78.2% and 68.5%, respectively. This validation shows large number of false negatives (1927) and low recall of 53.3% which suggest the underestimation of areas in

310 this mapping with high omission error. In turn, the precision of 95.9% and small false positives samples 311 suggest a low commission error. The visual inspection shows some positive aspects of 2-m product (Fig. 312 3). In the Figs. 3a and 3b, we observed the successful classification of terraces and grassed waterways in 313 different context. For instance, we observed the performance in both vegetated and fallow areas with 314 correct label (Fig. 3b versus 3e) and even in the transition areas. It is worth emphasizing that urban and 315 forest pixels were filtered out by cropland mask, but we did not observe a systematic error in the raw 316 product, and they are typically classified as non-SCP pixels as expected. Another example of SCP 317 mapping illustrates the performance of our results (Fig. S3). In this example, the terrace locations are 318 consistent with contours in hillshade map, and different shapes and dimension of terraces are well-319 represented.

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Table 1. Confusion matrix of SCP mapping across 20 counties.

All states			Overall acc	curacy: 78.2 %;	F1-score: 68.5%
Classified	Reference	SCP	Total	Recall (%)	Precision (%)
Non-SCP	50/8 (TNI)	1027 (ENI)	6975	53 3	95.9
		1927 (TN)	0375	00.0	30.3
SCP	94 (FP)	2201 (TP)	2295		
Total	5142	4128	9270		



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Fig. 3. Classification of structural conservation practices (SCP) in different contexts (a-e). *First row*: NAIP natural color image. *Second row*: SCP mapping (black).

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326 While this overall accuracy can be claimed as satisfactory for this general analysis, the farm-level 327 analysis is potentially affected by omission/commission errors. Fig. S4 shows some limitations of this 328 mapping. For example, the discontinuity of SCP area is one of the most common omission errors, where 329 the grassed waterway is partially mapped, or terraces are missed (Fig S4a). In fact, as suggested in the 330 confusion matrix, the omission of SCP area is the main error source in this mapping and can lead to 331 certain underestimation of SCP areas. In another way, the commission error is also observed in the 332 regions where the crop surfaces are visually complex and quite heterogeneous. We observed that wetter areas present erroneous mislabels of SCPs in the crop field. Such errors are expected as the model 333 334 performance is dependent on clear distinction of spatial pattern between SCP and non-SCP targets. In 335 the same context, it should be emphasized that irrigated areas are not common practices across lowa,

which makes it poorly represented in the training samples. As consequence, we found a critical confusion of SCP areas in the central pivot irrigation areas where the pivot wheel path or edges of irrigated areas are confused as conservation practice (Fig. S4b). Lastly, the flooding farmlands present complex water paths, and some errors were observed in North Dakota and Wisconsin. Despite these aspects, this preliminary analysis shows sufficient quality for overview analysis of SCP distribution across the U.S. Midwest.

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## 3.2. SCP distribution in the Midwest U.S.

Fig. 4 shows the absolute SCP areas per state and the number of funded terraces and grassed 344 waterways by NRCS conservation programs between 2005 and 2019. In general, a total of 6,642 km<sup>2</sup> 345 346 was classified as SCP areas in the cropland across the entire region. We observed that 52% of SCP 347 areas are distributed over Iowa (26%), Illinois (15%) and Nebraska (11%). The states with lowest SCP 348 areas are the North Dakota and Michigan, with 4% of total. The largest SCP areas and practice counts 349 are both observed in lowa, which might indicate the importance of these programs towards achieving 350 conservation goals. Interestingly, we observed several terraces across Kansas but there are no records 351 of NRCS funding for this practice during 2015-2019 period. The small SCP areas in North Dakota and 352 Michigan also agrees with low number of NRCS records for terrace/grassed waterways projects. This 353 overview of classified SCP and NRCS records is relevant to discuss the effectiveness of cost-share 354 programs.

355 Regarding the spatial distribution, the evaluation of SCPs requires the normalization by cropland 356 areas. For this reason, we calculated the percentage of SCPs per cropland area, and spatial distribution 357 of % SCP is shown in Fig. 5a. In addition, Local Moran's I cluster map and cropland mask are presented 358 in Fig. 5b and Fig. 5c, respectively. The map shows the grids with higher than 10% of cropland within 10 x 359 10 km. Overall, the values range from 0 to 8% of SCP in croplands and the spatial distribution indicates 360 large variability of % of SCP and different conservation efforts across the states. For example, the largest 361 extent is clearly observed in the western and eastern lowa, while north central lowa, also known as Des 362 Moines Lobe due to its post-glacial landscape, has low SCP areas (< 1%). Interestingly, Ohio shows 363 more than 1% in the middle of state, but the rest of state has lower than 0.8% of SCP in croplands.

364 Southern Minnesota, Michigan and North Dakota represent the areas with lowest % of SCP. In turn, 365 Illinois shows similar distribution of % SCP percentage across state. By visual inspection, we observed that classified SCPs in northeastern Kansas are mainly terraces, which highlights the conservation needs 366 367 in this region. In addition, the cluster and outlier analysis is also illustrated in the same Fig. 5. The Global 368 Moran's I shows a spatial autocorrelation of % SCP values (clustered, p-value < 0.05) and clustering 369 results demonstrate that high-high clusters occur in large extent over Iowa, Kansas and Nebraska. As a 370 hotspot region, the gridded SCP areas present high similarity with their neighbors, and average SCP 371 percentage of 2.65% (± 0.73) is observed in the high-high cluster. In contrast, North Dakota, Minnesota 372 and Michigan present most areas of low-low clusters, which indicate fewer efforts (or no need) in the SCP 373 implementation.



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Fig. 4. (a) Comparison of structural conservation practices (SCP) areas among the U.S. states. (b)
Numbers of grassed waterway and terrace practices funded by Natural Resources Conservation Service
(NRCS) in 2015-2019 period. Source: <u>https://www.nrcs.usda.gov/Internet/NRCS\_RCA/reports/</u>, (e.g.,
"cp\_ia.html" for Iowa). U.S. state abbreviations: Illinois (IL), Indiana (IN), Iowa (IA), Kansas (KS), Michigan
(MI), Minnesota (MN), Missouri (MO), Nebraska (NE), North Dakota (ND), Ohio (OH), South Dakota (SD),
Wisconsin (WI).





Fig. 5. (a) Spatial distribution of structural conservation practices (SCP) in terms of percentage within
agricultural areas across Midwest U.S. region. (b) Results of cluster and outlier analysis (Anselin Local
Moran's I) at 5% significance level. (c) Cropland mask. Note that average % of SCPs is calculated within
10 x 10 km grid area, and only grids with more than 10% of cropland mask are used in this map. U.S.
state abbreviations: Illinois (IL), Indiana (IN), Iowa (IA), Kansas (KS), Michigan (MI), Minnesota (MN),
Missouri (MO), Nebraska (NE), North Dakota (ND), Ohio (OH), South Dakota (SD), Wisconsin (WI).

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## 390 **3.3. Relationship between SCP and other variables**

391 The evaluation of soil and topographic variables in the areas with SCPs supports the 392 understanding of motivations to adopt these practices. Fig. 6 shows the histogram of six soil/topographic 393 variables obtained over high-high and low-low cluster areas of SCPs (%). From Anselin Local Moran's I 394 analysis, high-high clusters represent the grids with high % of SCP where its neighbors also present high 395 values, while low-low clusters are the same idea but low % of SCP values. In general, high-high clusters 396 of % SCP are observed in slope (average = 1.58%), TWI (4.45) and Ksat (6.68 µm/s) compared to low-397 low clusters with slope of 0.75%, TWI of 5.07 and Ksat of 19.8 µm/s. Also, there are slight differences in 398 the k-factor, bulk density and SOM values between high-high and low-low clusters. While these results 399 suggest some relationship of these soil/topographic variables with SCP area, it should be highlighted that 400 spatial correlation analysis of these variables and % SCP shows no statistical significance using all grids. 401 Thus, as might be expected, these variables are only part of the motivation for SCP implementation and 402 other factors are also important on the SCP adoption, such as governmental regulations, farm profitability, 403 knowledge, tools and management. Also, this mapping is only focused on vegetative/structural practices, 404 but there are many practices that are able to be implemented in regions with potential erosion problems 405 as well.



Fig. 6. Histograms of the soil and elevation-related properties within high-high and low-low clusters of SCPs. (a) slope, (b) topographic wetness index, (c) saturated hydraulic conductivity, (d) soil erodibility factor (e) bulk density, and (f) soil organic matter. The brief description of these variables is described in Section 2.5. The mapping areas of high-high and low-low clusters is presented in the Fig. 5.

412 When one compares the spatial pattern of potential soil erosion and % SCP values in Fig. 7, the 413 conservation efforts by farmers in high soil risk areas are evident. The histogram also shows the higher 414 erosion values (average: 8.82 tons/ha/year) in the high-high cluster of SCP areas compared to low-low cluster (average: 3.34 tons/ha/year). Since this result highlights the spatial overlap of high erosion and 415 416 high SCP areas, an interesting observation should be made in this result. The soil erosion modeling 417 indicates the potential erosion according to climate-topographic conditions of the region, disregarding 418 conservation practice implementation. In contrast, the classified SCP areas illustrates the action of 419 farmers by adopting vegetative/structural practices to minimize the erosion impacts. Thus, the real 420 erosion rate is likely different and needs to incorporate spatially explicit information about conservation practices. Another insight on this result is the assessment of counties with conservation needs (↑ soil 421 422 erosion, USCP areas), such as Cedar/Nebraska, Crawford/ Iowa, Shelby/Iowa, and Seward/Nebraska.



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Fig. 7. Spatial distribution of soil erosion rates and its distribution within high-high/low-low clusters of
SCPs. (a) Soil erosion 2012 map from Borrelli et al. (2017), (b) Spatial distribution of % SCP in
agricultural areas as presented in Fig. 5, (c) Histogram of soil erosion values within high-high and low-low
clusters of SCPs. U.S. state abbreviations: Illinois (IL), Indiana (IN), Iowa (IA), Kansas (KS), Michigan
(MI), Minnesota (MN), Missouri (MO), Nebraska (NE), North Dakota (ND), Ohio (OH), South Dakota (SD),
Wisconsin (WI).

#### 431 4. Discussion

#### 432 **4.1. Mapping of structural conservation practices**

433 This study performed the first automated mapping of SCP areas in Midwest U.S. croplands using 434 NAIP aerial imagery (2018-2019). So far, there is no study that provides a spatially explicit mapping of 435 these practices for the entire region, and the results give insights about conservation efforts from 436 landowners. The results shown in Fig. 3 and S3 illustrate the suitability of adapted U-Net algorithm, and 437 the mapping achieved the overall accuracy of 78.2% across 20 counties (Table 1). In general, the results 438 reveal a large difference in SCP occurrence across Midwest states (Fig. 4), and spatial distribution shows 439 some patterns in the SCP extent (Fig. 5). For instance, our findings illustrate that southwest lowa, 440 northeast Kansas and east Nebraska present the highest percentage of SCPs per cropland areas, while 441 central lowa (Des Moines Lobe) presents an intense agricultural area with low percentage of SCP areas 442 (< 1% of SCP in cropland). Further, we observed that Illinois presents near-similar magnitude of SCP 443 areas. In the visual inspection, we observed that some regions have a high number of terraces in the 444 croplands such as Kansas. In contrast, the grassed waterways were vastly classified in the lowa and 445 Illinois. Historically, terraces and grasslands are well-recognized for reducing runoff and sediment delivery 446 from agricultural areas (Fiener and Auerswald, 2003; Tarolli et al., 2014), and this final product allowed 447 the quantification of these two practices across these states.

448 Regarding the spatial pattern (Fig. 5), the results show slight differences between soil and 449 topographic-related variables between high-high and low-low cluster of SCP areas, such as slope and 450 saturated hydraulic conductivity (Fig. 6). These results suggest that regional landscape characteristics 451 and risk perceptions can potentially influence on the farmer actions. Several studies have performed 452 meta-analysis to understand the motivations and barriers for farmer's adoption of BMPs (Prokopy et al., 453 2008; Jackson-Smith et al., 2010; Baumgart-Getz et al., 2012). The local network, conservation adoption 454 by neighbors, and geophysical characteristics of the land (soil properties, slope) are listed as potential 455 factors (see review in Liu et al. (2018)). Likewise, Baumgart-Getz et al. (2012) showed that access to 456 information, financial capacity, and being connected to agency or watershed groups have impact on 457 farmer motivation. In this topic, the evaluation of existing practices and social surveys might support the 458 understanding of farmer needs and attitudes in support to conservation practices.

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#### 460 **4.2. Implications for conservation programs**

461 As part of U.S. Farm Bill support, conservation programs have broadly encouraged farmers to 462 adopt BMPs (Reimer, 2015) through directives as Environmental Quality Incentives Program, and 463 Conservation Stewardship Program. These financial and technical assistance programs have become an 464 essential mechanism for promoting conservation among farmers and rural landowners (Reimer and 465 Prokopy, 2014). According to Resources Conservation Act report (RCA, 2020), Iowa NRCS programs 466 have supported the adoption of 32,674 terraces and 38,877 grassed waterways between 2005 and 2019. 467 Until now, this information is primarily available on historical records (tabular) or local/regional projects 468 such as Iowa BMP project. Although formal conservation program records are useful for general insights 469 (Fig. 4), they are typically limited in the monitoring of successful degree of SCP implementation. Jackson-470 Smith et al. (2010) mentioned the need of efficient tracking system for monitoring the funded contracts 471 after implementation of SCPs, which may help a better understanding of long-term consequences of 472 these cost-share programs. In this context, the quantitative assessment of SCP areas can have positive 473 implications for these programs. For example, conservation program managers can use this geospatial 474 inventory to follow-up the farmer's actions and the consolidation of sponsored projects. In addition, these 475 results are useful to advertise the positive environmental outcomes achieved by these programs. Another 476 benefit is the evaluation of SCP distribution to support the decision of future projects. By understanding 477 the location of current practices and conservation needs, new contracts and priority areas can be 478 determined. In these efforts, the application of ACPF tool becomes essential to identify the preferential 479 locations for certain practices (Tomer et al., 2013). However, Rundhaug (2018) showed at least 78% of 480 potential grassed waterways from ACPF results were already implemented in three lowa watersheds. 481 This is a positive validation for ACPF method, but it also showed the importance of integration of existing 482 practices to improve the watershed conservation plan prior to implementation of project. With long-term 483 environmental goals, the combination of all these factors (conservation plan, financial incentives, 484 information) can influence on farmers' actions (Carlisle, 2016).

Regarding the impacts on northern Gulf of Mexico zone, U.S. NRCS has supported different initiatives to reduce the nitrogen and phosphorus loads into surface waters of Mississippi River watershed, such as Mississippi River Basin Healthy Watersheds Initiative. The regional and local efforts 488 have improved the water quality in some sub-watersheds of Mississippi River watershed (McLellan et al., 489 2015; Garcia et al., 2016; Leh et al., 2018), but others have increased the nutrient yields and the previous 490 goal of Gulf of Mexico hypoxic zone (5-yr average areal extent  $< 5,000 \text{ km}^2$ ) was extended to the year 491 2035 (Rabalais and Turner, 2019). While some studies and technical reports have shown the benefits of 492 SCPs based on field experiments and simulations (Yuan et al., 2002; Fiener and Auerwald, 2005; 493 Dermisis et al., 2010; Iowa NRS, 2019), the conservation impact is often difficult to quantify in large 494 watersheds. Tomer and Locker (2011) stated that Conservation Effects Assessment Project (CEAP) 495 faced the problem of validating the impact of conservation in the water quality because large agricultural 496 watersheds include a mix of practices and it is difficult to isolate the effect of individual actions. In 497 addition, the cost effectiveness of a given practice is dependent on several factors, such as terrain 498 condition, soil type, cropping systems, field location (adjacent to streams), and combination of other 499 practices (Czapar et al., 2005; Zhou et al., 2009). These aspects show that only SCP mapping does not 500 explain the trade-off between existing practices and environmental outcomes, and further research is 501 needed on cost-effective targeting of conservation investments to understand the real impact of such practices in different crop fields (Maresch et al., 2008; Rabotyagov et al., 2014). 502

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#### 504 **4.3. Implications for soil erosion and runoff modeling**

505 The structural conservation practices are directly related to efforts on soil erosion control and 506 reduction of nutrient loss from agricultural lands (Xiong et al., 2018), and this mapping allows further 507 discussion of soil-related issues. In general, our results show that most counties with high erosion-prone 508 areas have large extent of SCP areas (Fig. 7), suggesting the conservation efforts have paid off with 509 implementation by farmers. Previous studies that have shown high soil erosion rates in the Midwest U.S. 510 region (Doetterl et al., 2012; Borrelli et al., 2017; Tan et al., 2020) but they have poorly considered conservation practice P factor into soil erosion estimates (Xiong et al., 2018). As discussed by Panagos 511 et al. (2015) and Sartori et al. (2019), P-factor is one of the most uncertain and difficult pieces of 512 513 information to access. Naipal et al. (2015) recognized the importance of P-factor in local variation of soil 514 erosion but they did not consider the P-factor due to data limitation on a global scale. More recently, 515 Xiong et al. (2019) stated that P-factor datasets are relevant to improve soil erosion modeling and 516 advanced image processing techniques should be considered to fill the knowledge gap for large-area 517 projects. While additional processing is required to convert this mapping product into P-factor values 518 (Wang et al., 2016), the proposed mapping of SCPs brings a new opportunity for further improvements of 519 soil erosion maps and risk scenarios promoted by agricultural activities in the Midwest region. The Daily 520 Erosion Project (Gelder et al., 2017), a WEPP (Flanagan and Nearing, 1995) based erosion model, 521 includes terraces to the extent that they subdivide a hillslope into distinct overland flow elements, 522 however it neglects contour buffer strips as they are too small to be captured in the USDA CDL, and thus 523 the ACPF database. In a similar context, accurate modeling of surface management practices as well as 524 surface runoff volumes and peak runoff rates influences erosion and entrainment of pollutants, which 525 enables modeling of the load reduction goals of a pollutant to meet water quality standards. Thus, field-526 level analysis of SCPs can potentially improve the runoff estimates as they consider the practices 527 affecting this process (Lee et al., 2010). This study has no intention to explore these modeling aspects, 528 but this discussion illustrates potential benefits and applications of the SCP product.

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#### 530 **4.4. Advantages and limitations of this framework**

531 As discussed in other studies (Garcia-Garcia et al., 2018; Guo et al., 2018), the successful 532 application of semantic segmentation methods requires significant computational resources. The implemented U-Net model has a deeper architecture and large input size (256 x 256 pixels), and the 533 534 training process took 13 days with large GPU memory (32 GB). Users/developers should be aware of 535 these requirements when they decide to implement semantic segmentation method. In addition, the ability 536 to quantify SCP areas using a regional-scale algorithm is also a challenge, and a more general model is 537 required. The high number of SCP areas across lowa introduces the variability of SCP conditions 538 (orientation, size, and shapes) in the training dataset, and the results show that 500,000 samples give 539 such generalization for this application. Conceptually, the mapping presented in this study assumes that 540 spatial-spectral patterns of SCP areas are visually identifiable in the optical images. Once the model 541 recognizes these patterns, we can classify the new areas using adequate spatial resolution. Following 542 that, medium spatial resolution data such as Sentinel-2 MSI and Landsat-8 OLI are not suitable for this 543 application but commercial satellites can be considered in other countries, such as PlanetScope from 544 Planet Labs and WorldView-4 from DigitalGlobe. In the same context, large-area application of high

545 spatial resolution data often implies on high spatial detail and heterogenous landscape and our 546 assumption of visual detection of SCP areas might not hold in some areas due to small difference of spatial-spectral features between cropland and SCP areas. Also, we observed that terraces and grassed 547 548 waterways can be confused with other features. For instance, false-positive areas were observed in the 549 irrigated systems, wetter areas, and cropland with non-homogeneous surface (Fig. S4). In contrast, false 550 negative results showed that SCP areas were potentially underestimated in this product, which illustrated 551 the importance of this preliminary assessment for further improvements of the methodology. Recognizing 552 these limitations, our findings should be interpreted with caution at farm-level because we did not conduct 553 a manual editing of this product, and the visual inspection is recommended when applied for specific 554 farmland.

555 In addition, this study presents a binary map of SCP areas for overview distribution in the entire 556 region, but some researchers can be more interested in multi-class records. This semantic segmentation 557 with three false-color bands does not allow accurate distinction of SCP types since the spectral/spatial 558 features are quite similar in some cases, such as grassed terraces versus narrow waterways. Also, users 559 should notice that other practices were eventually classified in this product, such as filter strips and 560 riparian buffer zone. As mentioned, SCP classification requires high spatial resolution data for target 561 identification, and the data availability imposes limitations for further improvements in this large-area 562 application. For example, a potential improvement (not proven) in this classification is the addition of 563 topographic variables such as hillshade. However, high-resolution elevation models are only available for 564 some states, and they have different quality protocols, vertical accuracy and time of acquisition. These 565 differences impede achieving reliable and comparable results among states, and our classification 566 framework does not include these LiDAR-derived data to avoid potential bias in the overall analysis. 567 Beyond that, improvements to the current study could be explored with the extension of this methodology 568 by including new labeled samples from other states, evaluation of other deep learning methods, post-569 processing with manual editing, and classification strategies for statewide projects with high-resolution 570 LiDAR data. While this discussion highlights aspects to be improved, these preliminary results have 571 shown a promising framework.

573

#### 574 5. Conclusion

575 This study presented the first mapping of structural conservation practice over Midwest United 576 States croplands. These preliminary results indicated the potential of this framework for regional monitoring of SCP areas using the adapted U-Net model and NAIP imagery (2018-2019). In general, SCP 577 578 mapping achieved 78.2% of overall accuracy, but false-negative results showed underestimation of SCP 579 areas (recall: 53.3%). The results showed large variability in SCP occurrence among Midwest states, with 580 high occurrence in Iowa, Kansas, Illinois and Nebraska. In contrast, Michigan, North Dakota, and 581 Minnesota presented the lowest percentage of SCP in their croplands. Overall, we observed that clusters 582 of SCP areas are associated with certain soil and terrain conditions: high-high clusters of SCPs were observed in the slope higher than 1.5 %, bulk density lower than 1.4 g/cm<sup>3</sup>, and K<sub>sat</sub> lower than 7  $\mu$ m/s. 583 584 Our findings also showed the agreement in the spatial pattern of SCP areas and high erosion-prone 585 areas, which documents farmer efforts towards soil conservation. Although preliminary analysis shows 586 the applicability of this framework, the farm-level analysis requires some cautions since there are known 587 source of errors such as discontinuity or mislabeling of SCP areas. We encourage further experiments 588 with additional input sources such as terrain-derived information for local-scale mapping. Finally, a 589 spatially explicit inventory of SCP areas is useful for a variety of scientific and policy applications such as 590 (i) the understanding of farmer's contribution for soil and water conservation, (ii) the improvement of soil 591 erosion risk modeling by considering structural conservation practices, and (iii) the evaluation of priority 592 areas by national programs. Considering the importance of soil and water conservation in agricultural 593 areas, this framework using semantic segmentation model becomes a promising approach for further 594 assessment of these practices in the Midwest U.S. croplands.

595

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## 839 Supplementary material

# Bigital mapping of structural conservation practices in the Midwest U.S. croplands: Implementation and preliminary analysis

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Table S1. Characteristics of selected U.S. states and NAIP data used in the study.

States	State area	Cultivated area*	Annual rainfall	Elevation	Slope	NAIP imagery	
	km2		mm	m	%	Year	Size (GB)
Illinois (IL)	145,968	85,984	1071	191	1.10	2019	175.5
Indiana (IN)	93,789	45,498	1171	229	1.50	2018	108.0
Iowa (IA)	145,667	92,176	945	324	1.74	2019	134.4
Kansas (KS)	213,184	25,293	746	585	1.30	2019	188.6
Michigan (MI)	153,620	19,077	925	276	1.39	2018	172.0
Minnesota (MN)	218,781	62,952	740	371	1.20	2019	240.1
Missouri (MO)	180,431	32,733	1125	262	2.60	2018	190.1

Nebraska (NE)	200,365	58,572	623	795	1.75	2018	181.0
North Dakota (ND)	183,135	27,697	500	556	1.31	2019	175.0
Ohio (OH)	106,978	35,247	1096	283	2.60	2019	115.6
South Dakota (SD)	199,718	42,139	534	665	1.84	2018	196.2
Wisconsin (WI)	145,562	22,447	971	332	2.13	2018	107.2

\* Corn and soybean areas were observed during more than five years between 2010-2019 in the NASS CDL program.





Fig. S2. Location of selected counties for validation procedure. Top-right. Distribution of 50 blocks across Taylor County, Iowa. Bottom-right: Examples of SCP/non-SCP samples for a specific block (green).



Fig. S3. Example of grassed waterways and terraces classification. *First row*: Grassed waterways (42.45°N, 91.56°W). *Second row*: Terraces (39.99°N, 96.41°W). The NAIP natural color images and local hillshade maps were illustrated in the right boxes.



867	Fig. S4. Examples of (a) omission and (b) commission problems in the classification results.
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