AUTHOR'S RESPONSES

These are the Authors' replies to comments from Referees #1 and #2. We use blue color for our replies and black color for Referee's comments.

It should be noted that the comments of the Referees make reference to pages and lines of the production paper. We use the same criteria in this reply.

Author's response. Referee #1

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Summary: This manuscript presents an analysis of meteorological drought metrics over the lower Jinsha River Basin in China. They use precipitation data from 29 meteorological stations and calculate various formulations of the Standardized Precipitation Index (SPI), the Rainfall Anomaly Index (RAI), the Percent of Normal precipitation (PM) and Deciles (DEC). These indices are then evaluated spatially and in the context of their intensity using what the authors call the Overall Drought Extension (ODE) and the Overall Drought Intensity (ODI). Characterizations of these metrics are then compared to historical documentation of droughts over the lower Jinsha Basin from 1960-2014 to assess their efficacy in characterizing historical drought events. The authors make various conclusions about which of the indices and their spatial characterizations best represent the historical data.

General Remarks: This is generally a well written paper (it nevertheless could benefit from some English writing improvements and attention to typos throughout) that seeks to evaluate how best to characterize meteorological droughts over the lower Jinsha Basin. It should be published after some major revisions regarding clarity and content, which I outline as general comments below.

We want to thank Referee #1 for the General Remarks. English writing improvements will be carried out before submission of the revised manuscript. Aspects regarding clarity and content are treated below.

2. The authors make clear that their assessment is specific to meteorological drought and therefore focus exclusively on precipitation. This is fine as far as it goes, but they make several statements about temperature and river discharge assessments in the context of droughts that are too critical and not entirely accurate.

The authors wanted to stress that, in this particular case, precipitation data is the most reliable source of information. The questionable statements about temperature and discharge will be reviewed and adjusted.

Moreover, they point out that temperature/ET plays an important role in droughts within their study region (e.g. Pg. 3, Lns. 27-29). While they note as a caveat in their conclusions that ET has not been considered and may explain some of the deficiencies in their assessments, it is too little and too late in my opinion. The authors need to take on this obvious criticism of their study more directly and provide more guidance on how it might impact their results, if not try to quantify the impact of ET in an assessment metric. They also should not be so dismissive of the vast amount of work that has shown integrated drought metrics like modeled soil moisture, PDSI, SPEI, etc. to work as a suitable measure of drought (they mentioned the US Drought Monitor, but fail to note it is based on PDSI!). For instance, their paragraph starting on Pg. 2, Ln. 31 is far too dismissive of integrated metrics and

reads like a poor justification for why they focus only on precipitation. If they only have reliable precipitation data over their study region that is fine, but a focus on precipitation alone in this case should not be falsely justified by an attempt to dismiss integrated metrics. This aspect of the paper needs to be modified throughout.

We have only used precipitation-based indices for several reasons:

- The availability of measured meteorological data was limited; precipitation was found as the single most reliable type of information.
- It is true that the use of integrated drought metrics such as PDSI or SPEI could improve the scope and quality of the study and enrich the procedure. However, potential evapotranspiration (PET) data is required to compute these indices, and no reliable PET data was available for the study region. PET calculation depends on solar and longwave radiation, temperature, wind speed, and humidity. Although approximations may be used to estimate this variable, for example by only using temperature data, some studies (Jeevananda Reddy, 1995; Shaw and Riha, 2011; Staage et al., 2014) showed a high sensitivity of the PET to the chosen approximation method. A deeper analysis that helps selecting and applying such methods is needed.
- While this study is specific for the lower Jinsha River Basin, the procedure proposed is intended to serve as a basis for further studies in other regions where only precipitation data is available. This study should be seen as a test for other cases to validate whether precipitation-based indices can be used to predict droughts at a basin scale.

The authors will present these considerations more clearly in the manuscript to justify the only use of precipitation-based indices.

Same answer applies to the corresponding comment of Referee #2.

2. I am not convinced that the metrics proposed by the authors are new. They claim that the ODE and ODI are newly developed metrics and tout their development at multiple points within the manuscript. The ODE is just a form of drought area index and is no more than a measure of the total area of their study region in drought. A similar criticism can be made of the ODI. I therefore have no criticism of the application of these methods, just that they should not be touted as newly developed metrics or metrics of particular novelty that somehow add to the importance of their study.

As indicated by Referee #1 (and also Referee #2), some works (Bhalme and Mooley, 1980; Fleig et al., 2011; Mitchell et al., 1979) have already developed and used drought area indices, although without specifically using the SPI, RAI, PN and DEC indices for their definition. Consequently, the authors will mention these references in the manuscript and avoid presenting the ODE and ODI indices as newly developed. Instead, they will indicate that these indices (ODE and ODI) are an adaptation of existing ones.

3. The authors present quantitative metrics for comparing drought conditions based on their metrics and the historical records of droughts in the region. What is not clear, however, is how they actually translate the historical data into quantitative measures that can be compared to the drought metrics. In other words, they define skill scores in terms of hits, misses, etc., but what actually constitutes a hit or a miss? Is it just timing? Are magnitudes considered?

For the original paper, the authors had considered the temporal coincidence (timing) of drought events as defined by the ODE indices surpassing a predefined threshold (magnitude). The following definitions were used:

- A hit: when one (or more) drought detected according to the ODE values happened during the same year of a historical drought.
- A miss: when, during a year where a drought has been recorded, no event has been detected.
- A false alarm: when one (or more) drought detected according to the ODE values happened during a year when no event has been detected.

- A correct rejection: when, during a year where no droughts have been recorded, no drought has been detected according to the ODE values.

The maximum number of hits (or misses) was limited to the number of years of the study period, i.e. 55, which impacted on the confidence interval of the PSS and thus the precision of the PSS-based results.

The comments of Referee #1 have entailed a discussion among the authors of potentials for improving this approach. We now propose using a discretization by months (instead of by years) for the matching between detected and recorded droughts. That means that:

- We create 2 **monthly** series of events, each month being either "drought" or "non-drought": one series for the historical events; and one series for the detected events.
- For each month, we check if a drought in the detected series corresponds to a drought in the historical series, thus defining the hits, misses, etc.
- In this way, we increase the number of possible hits, misses… thereby increasing the sample size and reducing the confidence interval of the PSS.

Moreover, instead of calibrating different ODE thresholds for the different index-timescale combinations, we will now use the same threshold across all index/timescale combinations for the analysis, investigating the sensitivities of our results for a range of thresholds. This decision is based on the fact that ODE captures the coverage of droughts at the basin scale, which should not depend on the type of index used. We think this new approach is less arbitrary and more consistent than the original one. It is worth mentioning that new results have been obtained, which differ in some way from those presented in the original manuscript. In particular:

- The confidence intervals corresponding to each PSS value have been reduced, which implies a greater statistical confidence on the new results.
- In general the 3- and 6-month timescales offer better results than the 12- and 24-month timescales, practically for all the thresholds, while in the original work best results were found for the 6- and 12-month timescales. Figure 1 shows an example of results for 2 different ODE thresholds (0.45 and 0.8).
- Based on the PSS values and taking into account their confidence interval, there are no statistically significant differences of results across the different indices for the 3- and 6-month timescales. This indicates that indices perform similarly well, consistent with the fact that they all rely on the same type of data (precipitation).

A complete description of this new approach and the results obtained will be included in the final version of the manuscript.
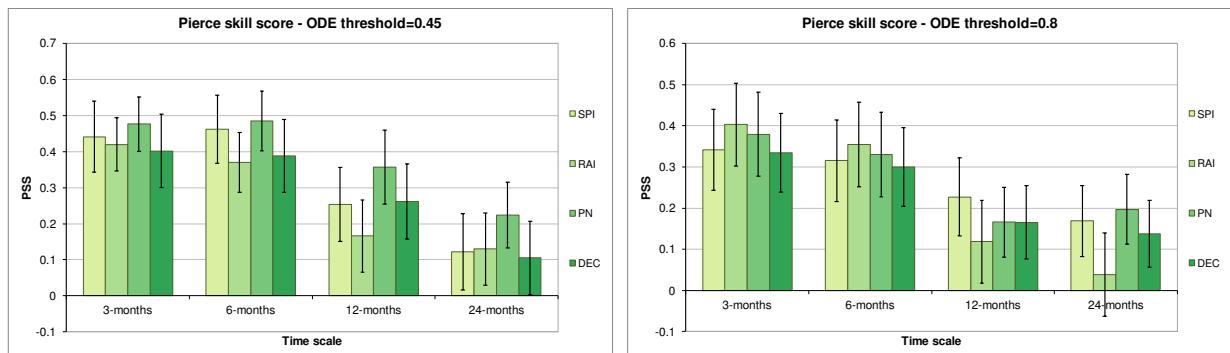

Figure 1. New PSS results. Comparison between ODE thresholds of 0.45 and 0.8.

Note that drought magnitudes are not directly considered for the comparison between historical records and our metrics.

It is also not clear why the authors consider the historical accounts a reliable benchmark, relative to the more quantitative measure of droughts that they develop in their study. I do not think enough emphasis is placed on skill scores that are impacted by inaccuracies in the historical records (in terms of how well they characterize the timing, severity and spatial extent of droughts) relative to what the authors construct from the network of precipitation records.

The catalogue of historical droughts is mainly used to find which combination of index and timescale best fit these catalogued events for different thresholds of the ODE indicator. That means we considered that the information collected during the compilation process is the basis to which quantitatively detected droughts must be compared, simply because no other benchmark exists in this region. While the historical accounts may not be entirely reliable, in this study they are used as a reference for lack of better information.

However, as mentioned in the manuscript, historical accounts should be addressed carefully, in particular regarding the reliability of the data sources and their ambiguity. The compilation process of information relative to historic drought events will be described in more detail in the manuscript. Particular focus will be set on the type and form of information which was available and used. And the authors will discuss the availability and accuracy of the information on the drought characteristics (such as date, duration, area, etc.).

The authors will discuss the expected sensitivity of the results to the historical records.

Specific Comments:

Pg. 10, Ln. 17: While not essential, the authors might consider using two consecutive positive or negative years to end or start a drought. There are definitely periods in Figure 2 that identify droughts as separated by a single year of positive SPI values or very short droughts that represent just single-year excursions. If more persistent and widespread droughts are the interest, a 2-yr criterion for beginning and ending droughts might help.

Indeed, Figure 2 shows very short drought events (1-2 months). This is more noticeable for low timescales and is due to the identification criteria based on the index values (e.g., the criteria defined by McKee et al. (1993) for the SPI). The authors agree with Referee #1 and consider that it would be convenient to set a minimum duration of droughts. According to the range of drought durations of the historical events recorded (≥3months and ≤13months), a **2-year** criterion for beginning and ending droughts seems too restrictive. The authors will adapt the applied identification criteria to avoid an overestimation of events by defining a minimum duration of dry (and wet) periods of 3 months.

Pg. 15, Ln. 6: The authors optimize the characteristics of their drought metrics based on skill assessments over the full historical interval. This is akin to calibrating the forecast model and then performing in-sample skill assessments. A more rigorous assessment would be to optimize over a specific period and then assess the skill in an out-of-sample period. This could be done using block hold out periods or leave half out assessments. As it stands, however, the authors optimize over the same period that they assess the skill of their metrics. This is particularly relevant when considering the authors' methods for future drought assessments. Their in-sample skill assessment is very likely to exaggerate the efficacy of their metrics for future droughts.

The main objective of our work is to identify which combination of index and timescale offers good correlation with the observed events. The fact that only 13 events have been documented is an important limitation, and the authors realize that an optimization of the ODE threshold based on this limited sample is not robust. Any meaningful cross-validation of this optimization would require a larger sample. Instead, the authors no longer search for an optimal threshold but explore the effect of varying the threshold in a reasonable range. Since the general findings turn out to be independent of the specific threshold, we consider them robust.

Same answer applies to the corresponding comment of Referee #2.

Author's response. Referee #2

General comments

This is an interesting paper thanks to the region of interest, the compilation of historical documents, the use of station data and the comparison of various drought indices.

We want to thank Referee #2 for the General comments.

Specific comments

While the ODE and ODI indexes proposed are indeed relevant in this context, I don't think they can be presented as extremely innovative, as similar indices have been used to study drought area and intensity.

As indicated by Referee #2 (and also Referee #1), some works (Bhalme and Mooley, 1980; Fleig et al., 2011; Mitchell et al., 1979) have already developed and used drought area indices, although without specifically using the SPI, RAI, PN and DEC indices for their definition. Consequently, the authors will mention these references in the manuscript and avoid presenting the ODE and ODI indices as newly developed. Instead, they will indicate that these indices (ODE and ODI) are an adaptation of existing ones.

Second, a big caveat is that the skill scores are computed on the same period than the one chosen to determine the ODE thresholds for detection. The fact that only 13 events have been documented is an understandable limitation; however, this method will likely create an overestimation of the power of the index to detect droughts. A more rigorous "cross-validation" procedure is needed (e.g. segmenting the record period and perform the study leaving one segment out each time?).

The fact that only 13 events have been documented is indeed an important limitation and the authors realize that an optimization of the ODE threshold based on this limited sample is not robust. Any meaningful cross-validation of this optimization would require a larger sample. Instead, the authors no longer search for an optimal threshold but explore the effect of varying the threshold in a reasonable range. Since the general findings turn out to be independent of the specific threshold, we consider them robust.

Same answer applies to the corresponding comment of Referee #1.

Moreover, while it is absolutely true that drought measures such as the SPEI and PDSI have shortcomings – in particular the reliance on PET rather than ET, they do capture features that precipitation-only indices cannot see. It is absolutely fine if data is not available to compute such indices, but it should be the main reason for not comparing what these other indices would say relative to the historical data. It may not be very useful, but I wonder if global PDSI/SPEI datasets capture anything in that region during the drought events mentioned (even if they have a much lower resolution).

We have only used precipitation-based indices for several reasons:

- The availability of measured meteorological data was limited; precipitation was found as the single most reliable type of information.
- It is true that the use of integrated drought metrics such as PDSI or SPEI could improve the scope and quality of the study and enrich the procedure. However, potential evapotranspiration (PET) data is required to compute these indices, and no reliable PET data was available for the study region. PET calculation depends on solar and longwave radiation, temperature, wind speed, and humidity. Although approximations may be used to estimate this variable, for example by only

using temperature data, some studies(Jeevananda Reddy, 1995; Shaw and Riha, 2011; Staage et al., 2014) showed a high sensitivity of the PET to the chosen equation. A deeper analysis that helps selecting and applying such methods should be performed.

- While this study is specific for the lower Jinsha River Basin, the procedure proposed is intended to serve as a basis for further studies in other regions where only precipitation data is available. This study should be seen as a test for other cases to validate whether precipitation-based indices can be used to predict droughts at a basin scale.

As already suspected by Referee #1, we have not used PDSI/SPEI datasets because of their too low resolution for properly capturing the spatial detail of the events.

The authors will present these considerations more clearly in the manuscript to justify the only use of precipitation-based indices.

Same answer applies to the corresponding comment of Referee #1.

Furthermore, for clarity, it may be useful for the authors to develop a little more the compilation process of documents relative to drought in the paper itself, and explain in a little more detail why they consider that the spatial distribution of the stations and the quality of the records are good enough for the study they want to perform. It would also be nice if the question the bias introduced by station locations was treated with more detail. Related to this, how was the grid resolution chosen (p.12)?

The compilation process of information relative to historic drought events will be described in more detail in the manuscript. Particular focus will be set on the type and form of information which was available and used. And the authors will discuss the availability and accuracy of the information on the drought characteristics (such as date, duration, area, etc.).

We consider that the spatial distribution of the stations is adequate for the purposes of the study: stations are distributed more or less evenly both in the X- and in the Y-axis. There are no zones with a significantly denser presence of stations that could overestimate their importance.

Regarding the quality of the records, it should be mentioned that all the precipitation data used have been provided by the China Meteorological Administration (CMA) and downloaded from the "China Meteorological Data Sharing Service System" (http://cdc.nmic.cn/gx/web/yqlj.jsp). A preliminary quality check and correction of datasets (including data gap-filling) was already done by CMA before uploading them to the system.

Regarding the grid resolution, we have chosen a 400x300 cells grid as a trade-off between the density of points and the computational requirements. The grid density used corresponds more or less to 1 cell/3.2 km^2, which is certainly adequate for the purposes of the study. However, this choice must be adapted to the needs of potential other cases: computation time, data availability, variations of precipitation patterns, changing topography, etc.

Finally, the sensitivity of the ODE thresholds chosen to the classifications proposed in table 6 and to the definition of the beginning and end of droughts should be discussed briefly.

Authors will include a summary of the sensitivity analysis performed on the ODE thresholds that will show that their variation hardly affects the overall findings on the best performing index/timescale combinations.

Concerning the thresholds of Table 6, these are based on standard criteria (Jain et al., 2015; McKee et al., 1993; Tsakiris et al., 2007) and supported by follow-up literature. A sensitivity analysis of these particular thresholds could be interesting for a supplementary work but may exceed the scope of this paper.

Technical corrections

I have found that the paper should undergo significant editing. However, I am not a native English speaker myself you may not want to follow exactly the suggestions given below. In the following, I suggest replacements:

English writing improvements will be carried out before submission of the revised manuscript. All further technical corrections of Referee #2 will be taken into account in this process.

p.1:

l.25: "Historical drought events which occurred"?

l.27" "that best reproduce"

p.2:

l.7 : "in agriculture" by "to the agriculture sector"?

l.16: "that is the case of" by "an example is"?

l.17: "the China's National Climate Change" by "China's National Development and Reform Commission"?

l. 26: "Main advantages" by "the main advantages"?, "the ease of use" by "their ease of use", "the limited need of data " by "the limited data requirements",

l.27: "capacity to an early detection of drought events" by "capacity for early detection of drought events"?

l.33: "is depending on" by "depends on"

p3:

l.2: "more exhaustive work" "more time-consuming work"

l.4 "This allows identifying" by "This enables on to the identify"

l.10: "do not imply necessarily" by "do not necessarily imply"

l.23-24 "fall" by "discharge"?

l.31 "are susceptible to be affected" by "can be affected"?

p.4:

l.3 'location" by "locations"

p.5

l.8: "For the last 20 years, detailed information is available regarding all drought events" by "Detailed information is available for all drought events over the past 20 years"

l. 18: "The use of meteorological indices allows analyzing the influence" "allows one to analyze"

p.7

l.5: "This allows characterizing" "This allows for the characterization of… and thus facilitates"

l. 6: "each station surroundings" by "each station's surroundings"

l.19: "This allows defining" by "This allows us to define"

l.25: "it helps defining" by "it helps define"

p.13

l.8: "completing the collected historical records for little information regarding the magnitude of the events has been found" by "complete the collected historical records which include little information on the magnitude of the events

l. 9 "Not defined values" by "Undefined values"

l.11: "On purpose, only cells under drought conditions have been considered for the definition of this indicator by" Only cells under drought conditions have been considered to define this indicator" "If the ODI was calculated as an average value for the entire basin (as adopted for instance in Trambauer et al. 2014)) higher (or lower) indicator values in a part of the basin may compensate lower (or higher, respectively) indicator values in the rest of the basin, offering an overall value close to normal precipitation." by "If the ODI had been calculated as an average value for the entire basin (as adopted for instance in Trambauer et al. 2014)) higher (or lower) indicator values in a part of the basin may have compensated for lower (or higher, respectively) indicator values in the rest of the basin, yielding an overall value close to normal precipitation."

p.14

l23-24: "have been" by "were"

p.15

l.3-4: idem

p.17

l.1: "that correspond with" by "that correspond to"

l.7: "the droughts occurred" by "the droughts which occurred"

p.19:

l.1: "higher" by "highest"

l.2: "false positives" by "false positive"

l.4: "quite" by "well"

l.5: "in relation" by "in comparison"

l.7: 'droughts have been chronicled" by "drought has been chronicled"

l.10: 'not wide' by 'spatially concentrated'

l.12: 'have been' by 'were'

l.13 'identifying these events is possible, although it is difficult to disentangle them"

l.16: 'by the use' by 'using'

l.27: "some considerations are recommended" by "caution is advised"

l.29: delete "some", "proved by 'proven'

l.30: "The variability of temperature, for instance, may have an important impact on the crop water availability and then in the assessment of agricultural droughts, although it has not been taken into account" by "temperature variability, not considered here, can play a significant role in the onset of agricultural drought"

p.20

l.10: "This work represents an attempt at building a tool..."

l.13: "was compiled"

l.14: "were identified and catalogued"

l.23"indexes and time scales"

l.25" "consecutive or "clustered in time' rather than "more consecutive"

l.28" supposes" by "represents"

l.32" facing" by "for"

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RELEVANT CHANGES

This is a list of the main relevant changes made in the manuscript after the comments of the Referees.

1. English review.

2. The use of meteorological indices exclusively based on precipitation data has been justified (**Sect. 1**).

3. A more detailed and clear description of the compilation process of information relative to historic drought events is included (**Sect. 3**).

4. For the calculation of the PSS (for the comparison between alternatives), we now propose a monthly discretization (instead of yearly) for the matching between detected and recorded droughts. This enhances the precision of the PSS-based results (**Sect. 5.4**).

5. As suggested by Referee #1, we set a minimum duration of dry (and wet) periods of 3-months, in order to avoid an overestimation of events (**Sect. 5.4**).

6. A sensitivity analysis of the ODE thresholds has been performed. We used the same threshold across all index/timescale combinations for the analysis, investigating the sensitivities of our results for a range of thresholds (**Sect. 6**).

7. Results based on the PSS values and on the graphical results show a better performance for the 6-month timescale, with no statistically significant difference between indices (**Sect. 6**).

8. For clarity and consistency with the changes applied, some figures and tables have been included (**Fig. A7, Fig. A8, Fig. B1**), modified (**Table 7, Fig. 3, Fig. 4, Fig. 5**) or removed (**Fig. 5, Table 8, Table 9**).

Searching for the optimal drought index and time scale combination to detect drought: a case study from the lower Jinsha River Basin, China

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Abstract. Drought indices based on precipitation are commonly used to identify and characterize droughts. Due to the general complexity of droughts, the comparison of index-identified events with droughts at different levels of the complete system, including(e.g., soil humidity or river discharges), rely typically on model simulations of the latter, entailing potentially significant uncertainties.

The present study explores the potential of using precipitation based indices to reproduce observed droughts in the lower part of the Jinsha River Basin, proposing an innovative approach for a catchment-wide drought detection and characterization. Two new indicators, namely the Overall Drought Extension (ODE) and the Overall Drought Indicator (ODI), have been developeddefined. These indicators aim at identifying and characterizing drought events at basin scale, using results from four meteorological drought indices (Standardized Precipitation Index, SPI; Rainfall Anomaly Index, RAI; Percent of Normal precipitation, PN; Deciles, DEC) calculated at different locations of the basin and for different time scales. Collected historical information on drought events is used to contrast results obtained with the indicators.

This method has been successfully applied to the lower Jinsha River Basin, in China, a region prone to frequent and severe droughts. Historical drought events occurred from 1960 to 2014 have been compiled and catalogued from different sources, in a challenging process. The analysis of the newly developed indicators shows a good agreement with the recorded historical drought events at basin scale. It has been found that the combinations of index and time scale that best reproduces observed events across all the indices is the 6-month time scaleare the SPI-12 and PN-12 for long droughts (1 year or more) and the RAI-6, PN-6 and DEC-6 for shorter or more consecutive events.

1 Introduction

Drought is a natural phenomenon that results from persistent lower precipitations than what is considered as normal. It generally affects larger areas than other hazards and more people than any other natural catastrophe (Keyantash and Dracup, 2002; Wilhite, 2000).

5 In China, droughts represent the most severe natural threat for socioeconomic development and ecosystems (Mei and Yang, 2014). Drought events occur in the Jinsha River Basin (JRB) and surrounding regions with high frequency. They affect a wide range of areas and cause huge losses to the agriculture sector~~in agriculture~~ (He et al., 2013). The clustering of severe and sustained droughts in southwest China during the last decade has resulted in tremendous losses, including crop failure, lack of drinking water, ecosystem degradation, health problems, and even deaths (Wang et al., 2015).

10 To reduce and anticipate such drought impacts, a comprehensive characterization of the phenomenon is essential to which effective and accurate analysis of hydrometeorological data is a key input. Drought indices are useful for tracking droughts and providing a quantitative assessment of the severity, location, timing and duration of such events (World Meteorological Organization and Global Water Partnership, 2016), but also for real-time monitoring (Niemeyer, 2008), risk analysis (Hayes et al., 2004) and drought early warning (Kogan, 2000).

15 Some organizations and agencies already rely on the use of indices in their decision-making processes, thus enhancing proactive drought management policies (Wilhite, 2000). An example is~~That is the case of~~ the U.S. Drought Monitor (USDM, 2017), an index-based drought map that policymakers use in discussions of drought and in allocating drought relief. Other platforms such as the European Drought Observatory (Joint Research Centre, 2017), the China's ~~National~~Department of Climate Change, National Development and Reform Commission (Department of Climate Change, National Development
20 and Reform Commission, 2017) or the experimental African Drought Monitor (Land Surface Hydrology Group - Princeton University, 2017) also use this approach for the assessment, diagnosing and forecasting of droughts.

The choice of ~~the~~ index should be based on the type of drought (meteorological, agricultural, hydrological or socio-economical), the climate regime and the regions affected, as well as the ~~regions affected.~~ available data. It was found that measured meteorological data was limited in the study region and that precipitation was the single most reliable type of
25 exploitable information. The present study thus focuses on the use of meteorological indices based only on precipitation data. ~~for this characterization, in particular: Standardized Precipitation Index (SPI, McKee et al., 1993a, 1995), Rainfall Anomaly Index (RAI, Van Rooy, 1965), Percent of Normal precipitation (PN, Barua et al., 2011) and the Deciles (DEC, Gibbs and Maher, 1967).~~ The ~~m~~Main advantages ~~of meteorological indices~~ are their ease of use, the limited ~~need of~~ data requirements and the capacity for~~to an~~ early detection of drought events, while e.~~Extensive~~ literature and calculation tools
30 are widely accessible (World Meteorological Organization and Global Water Partnership, 2016). ~~The four above mentioned indices only rely on precipitation data; temperature and river discharge data are often not exploitable, potential evapotranspiration data are nonexistent at most meteorological stations, and soil characteristics information is hardly appraisable.~~

The use of integrated indices such as PDSI (Palmer, 1965) or SPEI (Vicente-Serrano et al., 2010), relying also on potential evapotranspiration (PET) data, could improve the scope and quality of this study. However, no reliable PET data was accessible for the study region. Although approximations may be applied to estimate this variable, for example, by only considering temperature data, some studies (Jeevananda Reddy, 1995; Shaw and Riha, 2011; Staage et al., 2014) showed a high sensitivity of the PET to the chosen equation. A deeper analysis that helps selecting and applying such methods should be performed prior to the use of these indices. Therefore, it has been decided to base this study on the Standardized Precipitation Index (SPI, McKee et al., 1993a, 1995), the Rainfall Anomaly Index (RAI, Van Rooy, 1965), the Percent of Normal precipitation (PN, Barua et al., 2011) and the Deciles (DEC, Gibbs and Maher, 1967).

To fill the lack of specific drought-related information, most studies assess the performance of drought indices against results from hydrological soil water models (Halwatura et al., 2016; Hao and AghaKouchak, 2013; Trambauer et al., 2014; Vasiliades et al., 2011; Wanders et al., 2010). However, the performance of th~~is~~ese types of studies ~~is depending~~depends on the accuracy of the models. Their limitations and uncertainties represent an important drawback and should be addressed (Mishra and Singh, 2011). An alternative that often requires ~~a~~ more ~~exhaustive~~time-consuming work is the compilation of historical records of drought events from different sources. Consequently, their duration, the water scarcity levels and the drought impacts on population and agriculture can be estimated and then integrated into the analysis. This enables one to identify~~allows identifying~~ other types of droughts such as socio-economical droughts that are hard to assess with hydrological models.

Regarding their spatial resolution, the available drought indices may be based on local measurements (Zhou et al., 2012) and index calculations are usually applied to stations or cells of gridded precipitation datasets; overall spatial patterns at catchment or sub-catchment scales ~~being~~ are thus hardly captured. As stated above, droughts affect large areas whose limits are often vaguely demarcated. Besides, water resources are part of a more complex interrelated network ~~that~~which links the source to the point of consumption, where isolated rainfall deficiencies do not ~~imply~~ necessarily imply a shortage of water availability or even a drought event. Some work (Bhalme and Mooley, 1980; Fleig et al., 2011; Mitchell et al., 1979) suggests the use of drought area indices for the study of droughts that considers areal coverage. ~~This leads to~~T~~he convenience of relying on~~ use of overall indicators capable of capturing in a ~~unique~~ single value the effect of the rainfall deficiency at a regional level is thus convenient and will be applied in this study based on the above-mentioned work.

The objective of this study is to capitalize on the collection of drought events that the authors have registered in the lower part of the JRB since 1960 to evaluate and calibrate two indicators capable of identifying drought occurrence and characterizing their intensity at catchment scale. These ~~new~~ indicators are based on commonly used meteorological drought indices for particular time scales.

2 Investigation area and data

The JRB is a sensitive zone in terms of water resources, food security, ecosystem management and human well-being where glacier and climatic variability greatly influence the water regimes and availability. Originating from the southern glacier at Jianggendiru peak, the highest point of the Geladaindong Snowy Mountain in the middle of the Tanggula Mountains, the
5 JRB constitutes the upper part of the Yangtze River Basin. It is located between 24°28′N–35°46′N longitude and 90°23′E–104°37′E latitude in southwestern China, with a catchment area of 473,200km^2 (Figure 1). The total length of the river is 3'500 km from ~~the~~ Yibin city, with a total fall of 5,100 m. This part of the Yangtze River accounts for 55.5% of its length and 95% of its total fall.

The lower part of JRB is a hot-dry valley region characterized by a southwest monsoon climate. The hydrologic regime is
10 characterized by a pronounced seasonal cycle with an annual average precipitation of 600–800 mm/year. Dry season (November to April) precipitation accounts for 10% to 22% of the annual precipitation. Evaporation is 10 to 20 times of precipitation during the dry season, which could be the major reason for the frequent occurrence of winter drought or winter–spring droughts in lower JRB (Mei and Yang, 2014; Yang et al., 2013). Droughts occurring in the lower JRB and surrounding areas affect a wide range of areas, causing huge losses in agriculture (Wu et al., 2011): more than 4 million
15 people and 3 million livestock face drinking water shortage, and more than 1 million hm^2 of cultivated area are susceptible to be affected by severe droughts and water shortages, with expected direct economic losses of hundreds of millions USD (Wu, 1999).

Figure 1 shows the division of the JRB in three parts (Upper, Middle and Lower), and the ~~location~~locations of the meteorological stations used. This study focuses on the analysis of drought events in the lower JRB. The precipitation data
20 needed in this study have been obtained from the China Meteorological Data Service Center (CMA) ~~(China Meteorological Administration, 2017)~~, and downloaded from its data sharing service system (CMDC, 2017). A preliminary quality check and correction of datasets (including data gap-filling) is performed by CMA before uploading them to the system.~~which is responsible for primary quality control.~~ The monthly precipitation data of 29 meteorological stations within or around JRB, recorded from 1960 to 2014, have been collected and processed. More than 50 years of continuous data are thus available,
25 except for the Batang and Yuanmou stations where only 46 years are available. The spatial distribution of the stations ~~and the quality of the records enable its use for this study~~is supposed adequate for the purposes of the study: the stations are distributed relatively evenly both in the zonal and meridional directions, with no zones having a significantly denser presence of stations that could overestimate their importance.

4
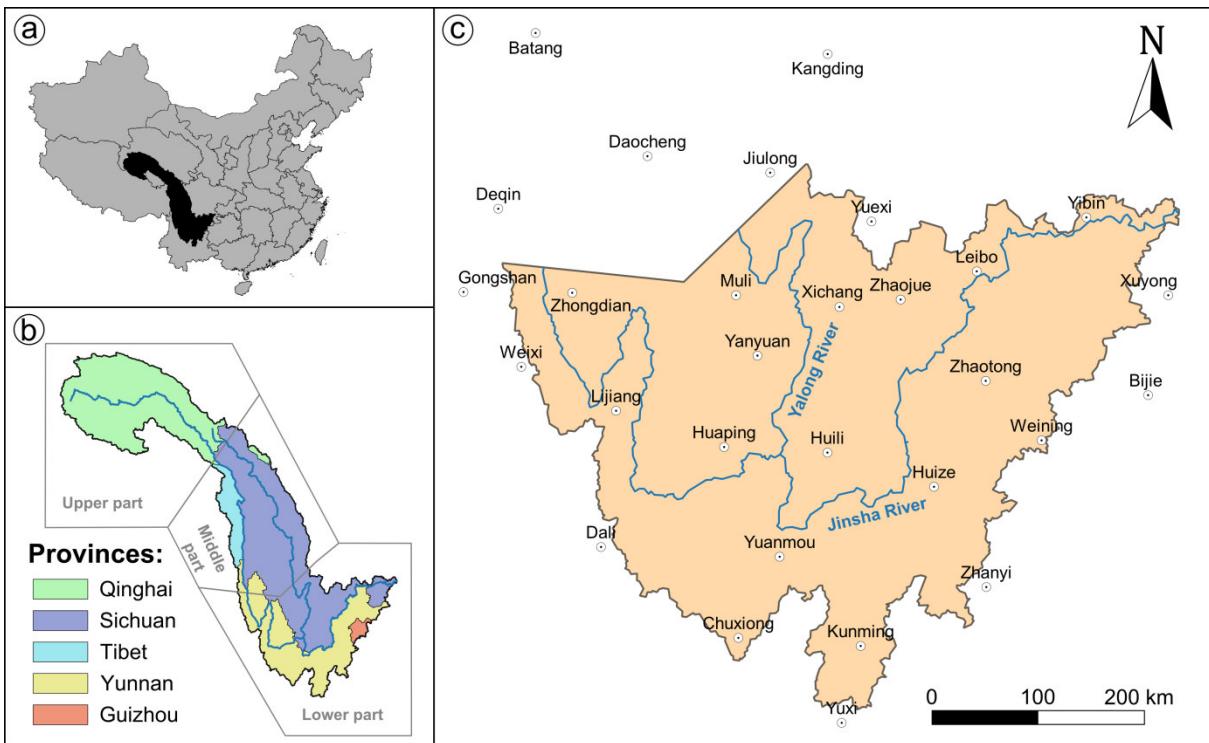
Figure 1. a) Location of the JRB in China; b) subdivision of the JRB for this study; c) overview of the lower JRB with the location of the 29 meteorological stations.

3 Catalogue of historical droughts

5   In order to obtain a good basis for the evaluation of drought indices performance, hHistorical drought events have been recorded collected since 1960. The information required for the identification and characterization of major droughts in the lower JRB has been compiled from different sources, including scientific literature, inventories (e.g., international disaster database, Chinese inventories), governmental reports and yearbooks, newspaper and internet articles. The collection of information focused on the affected area, the start date of the drought events, their duration, their spatial and temporal

10   distribution, their severity and impacts on the population and agriculture, their damage and financial losses.
A web-based event registration platform and database (GEOTEST AG, 2017) has been developed to provide a standardized analytical framework with a quantitative description of the drought characteristics. All available information on extreme or disaster events has been compiled within the platform, giving a valuable description of each recorded event and allowing a comparison of them. Table 1 summarizes the main available information for the registered drought events within the lower

15   JRB.

5

~~For the last 20 years, detailed~~Detailed information is available ~~regarding~~for the major~~all~~ drought events over the past 20 years. Before 1980, much less information about droughts in the lower JRB is available. Moreover, detailed information prior to 1960 could not be found.

Compiling and harmonizing the information from these different data sources ~~is~~ was a challenge. The drought event descriptions in the scientific literature often give an overview about the entire event in a descriptive way without detailed information about the affected area and damage. They often provide information about the meteorological conditions and the duration of the event. Available information from government reports and databases, in contrast, generally contain information in high detail for a specific county (e.g., affected areas in km^2), but neither give information about the entire affected area if the event affected several counties, nor about prevailing meteorological conditions.~~, as the different information sources often provide only partial information for one event, for example only for one county and not the entire affected area. For some events, the data harmonizing process even revealed differences in the information issued from different sources.~~

Information at very different levels of detail and various contents were collected. As a first step, all available information was registered in a database. For this purpose, a ~~A~~web-based event registration platform and database (GEOTEST AG, 2017) has been developed to provide a standardized analytical framework with a quantitative description of the drought characteristics. Particularly, drought events since 2000 are all mentioned in a different source, what significantly enhances the reliability of their existence and related information. Most of the drought events before 2000 are documented in detail in He (2010), and some of these major dry periods are also mentioned in scientific literature such as He et al. (2016) and Wang et al. (2015). Even if the amount of data and level of detail is lower for these older events, their occurrence and temporal positioning can be assumed as reliable.

In a second step, the level of detail was harmonized for the most relevant information and summarized in Table 1. This catalogue of the most relevant drought characteristics focuses~~The collection of information focused~~ on the affected area, the start date of the drought events, their duration, their spatial and temporal distribution, their severity and the impacts on the population and agriculture, including~~their~~ damage and financial losses. The time of occurrence and duration is given in seasonal units, the affected area is described on a county scale and the indicators and impacts are summarized in a descriptive way, as better accuracy was not feasible for all events.

In total, 13 major drought episodes have been registered from 1960 until 2014. However, this data set is probably not complete, as non-documented events likely have occurred. A clustering of severe and sustained droughts in the JRB has been observed from 2009 to 2014. Another period with high drought activity and severity can be detected between 1980 and 1990. Although the droughts identified from 2009 until 2014 were extremely serious, this was not the worst period in the long-term because the drought episodes that occurred around 1940 were of similar intensity and duration (Wang and Chen, 2012). The registered drought events are often strongly correlated with low precipitation, but the analyses also reveal

~~The use of meteorological indices allows analyzing the influence of precipitation on the identification of droughts in the lower JRB. However, the documentation also reveals~~ –that the registered droughts often occur during periods with temperatures above average.

5   **Table 1.** Catalogue of historical drought collected for the lower JRB (DJF=December-January-February, MAM=March-April-May, JJA=June-July-August, SON=September-October-November).

ID	Year	Seasons	Affected area	Reference	Other indicators	Impacts
I	1962–1963	SON, DJF, MAM, JJA	Yunnan, southern part of Sichuan	He, 2010	Precipitation deficit of 50% from November 62 to April 63.	Drinking water shortage for 900 000 people. Impacts on 3 700 km^2 agricultural land.
II	1978–1979	DJF, MAM, JJA	Yunnan	Liu, 2012		Impacts on 7 000 km^2 agricultural land, poor harvest/crop loss.
III	1981–1982	DJF, MAM, JJA	Sichuan, northern Yunnan	He, 2010		Drinking water shortage for 2 million people or 3 million people and 2 million livestock.
IV	1987	exact duration unknown	Mainly Yunnan			Impacts on 6 000 km^2 agricultural land, poor harvest/crop loss.
V	1992	MAM, JJA, SON	Yunnan, southern Sichuan	He, 2010	Maximum in precipitation deficit: 50–80%.	Drinking water shortage for 2 million people and 1 million livestock. Impacts on 9 300 km^2 agricultural land.
VI	1998–1999	DJF, MAM	Mainly Yunnan	He, 2010	Temperatures in Yunnan province 2–3°C higher than long-term average. Dayao County: 150 days without rain.	8 000 km^2 damaged agricultural area.
VII	2000–2001	DJF, MAM	Sichuan, Yunnan	WCB, 2001	Temperatures in Yunnan province 2–3°C higher than long-term average. The cities of Dali, Baoshan, Dehong, Chuxiong, Lincang have almost no rainfall during the whole winter.	Drinking water shortage for 3 million people and 2 million livestock. Impacts on 5 800 km^2 agricultural land.
VIII	2005	MAM, JJA	Large parts of Yunnan	Yang et al., 2012; Liu Yu et al., 2007	High temperatures; in April to early June, the temperature is 1°C above the same period of history in most parts of Yunnan province. Precipitation deficit of 20–80% in May-June November. 56 days without precipitation.	Drinking water shortage for 6 million people and 4 million livestock. Impacts on 15 200 km^2 agricultural land, poor harvest.
IX	2009–2010	SON, DJF, MAM	Parts of Yunnan, Sichuan and Guizhou	Yang et al., 2012; Wang et al., 2015	Precipitation deficit. 119 days without precipitation. Average temperature anomaly of plus 1°C.	Drinking water shortage for 21 million people and 11 million livestock. Impacts on 43 500 km^2 agricultural land, poor harvest.
X	2011	MAM, JJA, SON	Large areas in southwest China	Yang et al., 2012; Wang et al., 2015	Temperatures 0.4–1.1°C higher than normal. From June to September 2011, persistent high temperature weather conditions. Precipitation deficit of 20–60%.	Drinking water shortage for 12 million people and 9 million livestock. Impacts on 19 000 km^2 agricultural land. Cargo shipping has been suspended.
XI	2011–2012	DJF, MAM	Large areas in southwest China	Wang et al., 2013	Precipitation deficit.	Drinking water shortage for 2.4 million people and 1.6 million livestock. Impacts on 6 500 km^2 agricultural land.
XII	2012–2013	Oct-Apr	Southwest China	Guha-Sapir et al., n.d.; Hu Xueping et al., 2015	From October to April 0.5°C higher temperatures than normal, in February 2.5°C higher than long-term average. Jan-Feb: precipitation deficit of 45–55%.	More than 3 million people and about 2 million large livestock had drinking water shortage with varying degrees. 323 small rivers and 331 small reservoirs dried up. 23 300 km^2 agricultural area affected (whereof 15 500 km^2 forest).

XIII	2014	DJF, MAM	Central Yunnan and south Sichuan	Duan et al., 2015	Spring temperatures 2–4°C higher than historic values in SW China. Spring precipitation in central Yunnan and south Sichuan province was 50–90% less than average of the same period.	Drinking water shortage for 1.6 million people in Yunnan province. 106 rivers and 76 reservoirs dried up. Affected area: 6080 km².

4 Meteorological drought indices

Four different commonly used meteorological drought indices have been applied in this study: the Standardized Precipitation Index, the Rainfall Anomaly Index, the Percent of Normal precipitation and the Deciles. Their definition basically rests upon the comparison of precipitation values with normal value (the definition of "normality" may vary from one index to another),

5   resulting in a single number. This allows characterizing drought conditions and thus facilitating its interpretation and use in strategic planning and operational applications (Tigkas et al., 2013).

This comparison must be month or season specific. For instance, for the index calculation of January 2000, the precipitation of this month should be compared to the normal precipitation extracted taking into account only the Januaries from a reference period. The same applies when calculating the index for the time window January-February-March 2000: the sum

10 precipitation for these 3 months will be compared to the sum of precipitation of all the groups of January-February-March registered in the reference period.

4.1 Standardized Precipitation Index (SPI)

The widely used Standardized Precipitation Index (SPI) was formulated by McKee et al. (1993a, 1995) to quantify the precipitation deficit from long-term recording and for multiple time scales.

15 Long-term record of precipitation values is fitted to a probability distribution which is then transformed into a standard normal distribution, of which mean and variance are 0 and 1, respectively (Edwards and McKee, 1997). The data sets are most commonly adjusted to the Gamma function (McKee et al., 1993a; Sönmez et al., 2005; Tsakiris et al., 2007) although some studies show better adjustments to other functions (Akbari et al., 2015).

A classification of drought conditions based on the SPI values was established by McKee et al. (1993a) to define drought

20 intensities and is presented in Table 2. Positive SPI values indicate greater than normal precipitation, and negative values indicate less than normal precipitation.

Table 2. Classification of drought conditions according to the SPI values.

SPI	Classification
≥ 2.0	Extremely wet
1.5 to 1.99	Very wet
1.0 to 1.49	Moderately wet
–0.99 to 0.99	Near normal
–1.49 to –1.0	Moderately dry

SPI	Classification
−1.99 to −1.5	Severely dry
≤ −2.0	Extremely dry

As mentioned earlier, the SPI was designed to quantify precipitation deficit for multiple time scales or moving time windows (World Meteorological Organization, 2012). These time scales reflect the drought impacts on different water resources ~~that~~ which are needed by decision-makers:

- 3-month SPI: reflects short- and medium-term moisture conditions and provides a seasonal estimation of precipitation.
- 6-month SPI: indicates seasonal to medium-term trends in precipitation and may be very effective in showing the precipitation anomaly over distinct seasons. Information from a 6-month SPI may also be associated with anomalous streamflow and reservoir levels, depending on the region and time of year.
- 12-month up to 24-month SPI: reflects long-term precipitation patterns and is usually tied to streamflow, reservoir levels, and even groundwater levels at longer time scales.

4.2 Rainfall Anomaly Index (RAI)

The Rainfall anomaly Index (RAI) was developed by Van Rooy (1965). The RAI indices are computed by comparing the average precipitation over a given time window with the mean of the ten highest (for positive anomalies) and the ten lowest (for negative anomalies) precipitation records. Despite its simplicity, this index requires a series of complete data to be calculated.

The RAI values are classified (Van Rooy, 1965) as shown in Table 3. Olukayode Oladipo (1985) found that differences between the RAI and the more complicated indices of Palmer Drought Index (Palmer, 1965) and Bhalme and Mooly Drought Index (Bhalme and Mooley, 1980) were negligible.

Table 3. Classification of the period according to the values of the RAI.

RAI	Classification
≥ 3.00	Extremely wet
2.00 to 2.99	Very wet
1.00 to 1.99	Moderately wet
0.50 to 0.99	Slightly wet
−0.49 to 0.49	Near normal
−0.99 to −0.50	Slightly dry
−1.99 to −1.00	Moderately dry
−2.99 to −2.00	Very dry
≤ −3.00	Extremely dry

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4.3 Percent of Normal precipitation (PN)

The percent of normal precipitation (PN) is one of the simplest measurements of precipitation value for a location. It is calculated by dividing precipitation during a given time window by normal precipitation of that same time window over the reference period (typically considered to be a 30-year average). For PN values over 100%, the precipitation is higher than the average precipitation (and vice versa): the higher PN value, the wetter the considered month is.

The main advantage of this index is its simplicity and transparency, which makes it practical to communicate drought levels to the public (Keyantash and Dracup, 2002). Analyses using PN are very effective when used for a single region and/or a specific season.

Even if no threshold ranges have been widely established in the technical literature for the PN, some studies (Barua et al., 2011; Morid et al., 2006) propose a classification similar to the SPI. For this study, the classification proposed by Barua et al. (2011) has been adopted (Table 4).

Table 4. Classification of drought conditions according to the PN values.

PN	Classification
180% or more of normal rainfall	Extremely wet
161% to 180% of normal rainfall	Very wet
121% to 160% of normal rainfall	Moderately wet
81% to 120% of normal rainfall	Near normal
41% to 80% of normal rainfall	Moderately dry
21% to 40% of normal rainfall	Severely dry
20% or less of normal rainfall	Extremely dry

4.4 Deciles (DEC)

Another drought-monitoring technique consists in dividing the monthly precipitation data into deciles (DEC). This method, developed by Gibbs and Maher (1967), was selected as the meteorological measurement of drought for the Australian Drought Watch System (Lee, 1979; Sivakumar et al., 2010) because it is relatively simple to calculate and requires less data and fewer assumptions than the Palmer Drought Severity Index (Smith et al., 1993). The procedures have also been adopted by the World Meteorological Organization to monitor drought on a worldwide scale (World Meteorological Organization, 1985).

The threshold ranges of deciles used to classify drought conditions are presented in Table 5 (Gibbs and Maher, 1967).

Table 5. Classification of drought conditions according to the values of the deciles.

DEC	Percent	Classification
Deciles 1–2	lowest 20%	Much below normal
Deciles 3–4	next lowest 20%	Below normal
Deciles 5–6	middle 20%	Near normal

10

DEC	Percent	Classification
Deciles 7–8	next highest 20%	Above normal
Deciles 9–10	highest 20%	Much above normal

5 Approach for the identification of drought events at basin scale

An indicator (or indicators) capable to adequately characterize historical droughts must be able to capture the following characteristics:

- The beginning and the end of the event, which defines its duration.
- The drought intensity, derived from the index value.
- The geographical area affected by the drought.

The following guidelines specify the approach proposed in this study to characterize drought events at basin scale based on precipitation data available at each station and how to contrast these results with the catalogued historical events.

First, following the previous definitions (Sect. 4), precipitation data are used to calculate the four above-described meteorological drought indices (SPI, PN, RAI and DEC) for each station and for different time scales (1-, 3-, 6-, 12-, 24- and 48-month) using the 1951-2000 reference period. Then, according to the criteria presented below, these values are used to detect potential drought events at a given station and at a given time.

In order to aggregate results from all stations of the basin, two new indicators are proposed in this study: the Overall Drought Extension (ODE) and Overall Drought Indicator (ODI). The results of these new indicators will then be contrasted with historical recorded events to define the best combination of index and time scale used for the definition of the ODE and ODI new indicators.

5.1 Use of indices to detect droughts at station scale

According to McKee et al. (1993), a drought event occurs at the station level any time the SPI is continuously negative and the SPI reaches a value of –1.0 or less, which corresponds to moderately dry condition (Table 2) or drier. The drought begins when the SPI first falls below zero (mean of the normalized precipitation) and ends with the positive value of SPI following a value of –1.0 or less. The drought magnitude is the positive sum of the SPI for each month during the drought event. The intensity of a drought is defined as the magnitude of this event divided by its duration.

Figure 2 shows an example of the SPI-6, SPI-12 and SPI-24 series calculated at the Chuxiong station. Drought periods are colored in orange and the lower threshold that defines their occurrence in red. The influence of the time scale on the number and duration of detected droughts is clearly apparent. It is worth noting that there are periods in Figure 2 that identify very short droughts (one or two months long), which is due to the identification criteria based on the index values.
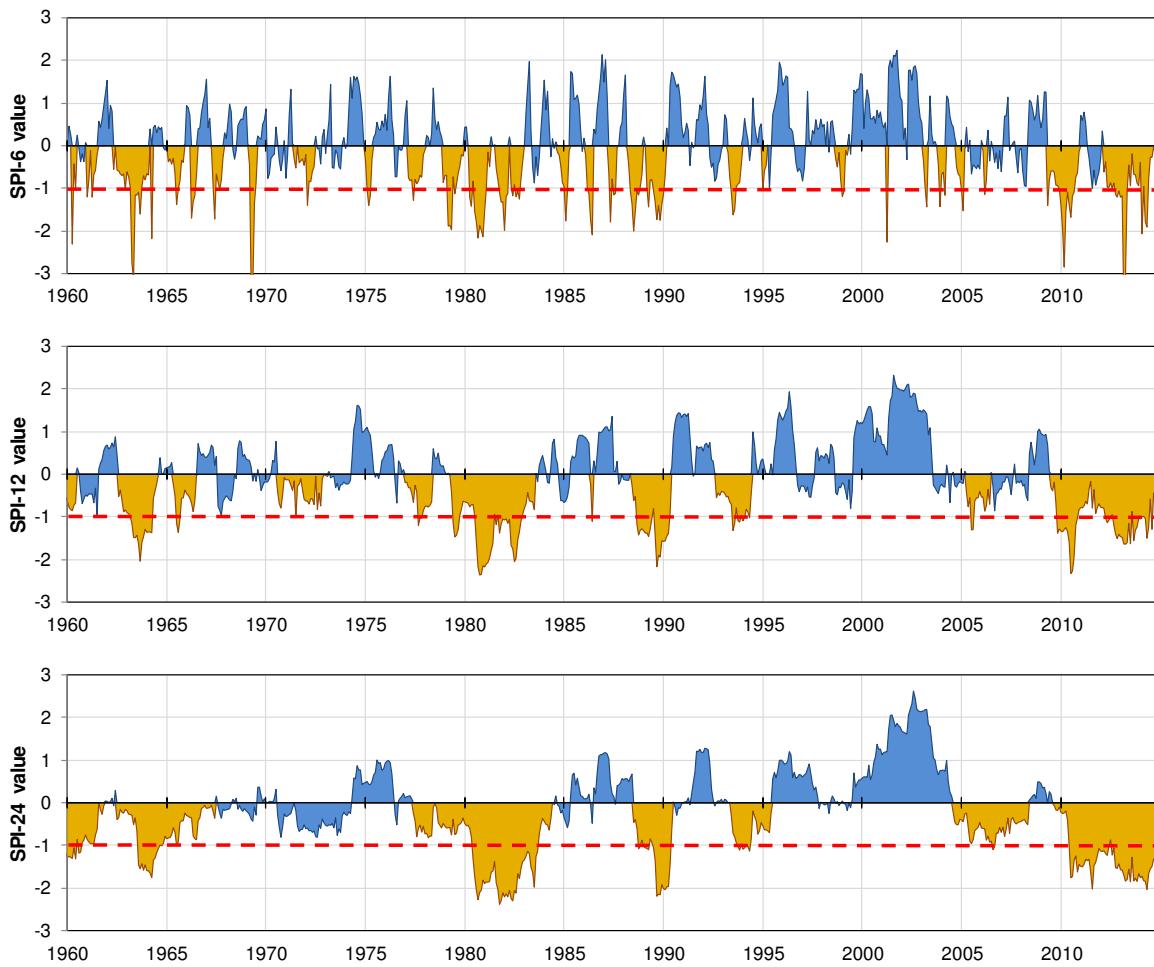
Figure 2. Example of the SPI-6, SPI-12 and SPI-24 series at the Chuxiong station, indicating drought periods in orange (lower threshold in red).

5   In the present study, the above-mentioned principles used to detect drought events based on the SPI classification (McKee et al., 1993b) have been standardized to be applicable to the other three indices (PN, RAI and DEC) as follows:

- A drought event occurs any time the index is continuously below its normal value and reaches the moderately dry condition class.
- The drought is considered to begin when the index first falls below its normal value.
10   ■ The drought ends when the index exceeds its normal value.

Table 6 summarizes the thresholds for each index that specify the drought event's start and end criteria, which correspond respectively to the limit of the moderately dry class and to the index normal value. Although the "normal value" of DEC would be 50% (which corresponds to the median of the precipitation records), in this study the drought end criterion

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suggested for this index is 60%, which is the limit between near and above normal conditions (Jain et al., 2015; Tsakiris et al., 2007).

Table 6. Values of the thresholds defining the start and the end of the drought events, for each index.

Index	Start (moderately dry condition)	End (normal value)
SPI	−1	0
RAI	−1	0
PN	80	100
DEC	40%	60%

5.2 Identification of drought occurrence

As stated above, whenWhen analyzing directly athese meteorological indexindices, results only concern each stationstation's surroundings without capturing the patterns of neighboring areas. However, available historical records refer to regional droughts characterized by larger areas that cover several stations.

In order to consider the basin as a whole in the definition of drought occurrence, duration and intensity, the resulting indices must be consistently extended to the entire area and then combined in overall indicators. For that purpose, a regular grid divides the lower JRB into a 400x300 cells raster (400 rows and 300 columns). The grid resolution was chosen as a trade-off between the density of cells (1 cell/3.2 km^2) and the computational requirements (however, this choice should be adapted to the needs of potential other cases). that, aAfter trimming off the areas sticking out of the basin boundaries, the raster possesses 44 133 cells. Index values have been calculated at each grid cell by applying the Inverse Distance Weighting (IDW) spatial interpolation from the values available at the stations.

For this study, it iswe followed the approaches taken for the definition of Drought Area Indices (Bhalme and Mooley, 1980; Mitchell et al., 1979) and Regional Drought Area Indices (Fleig et al., 2011). It is thus considered that a basin-wide event is ongoing when a substantial part of the basin is under drought conditions. It is therefore necessary to identify the portion of the territory for which the calculated index indicates a drought. An indicator to detect drought occurrence at basin scale has been set up based on the criteria described above to identify an event considering the index values (Figure 2).

Based on the interpolation of the index, drought events are detected for each time step and at each grid cell of the described raster. This allows defining a newus to define an indicator, named here Overall Drought Extension (ODE). It is, expressed as the percentage of the lower JRB area suffering a drought by calculating. It is calculated as the number of cells indicating a drought at a precise date (N_drought) divided by the total number of cells of the raster (in this case, N_TOTAL=44 133) as shown in Eq. (1).,.

$$ODE = \frac{N\_drought}{N\_TOTAL} \cdot 100\%.,————$$

(1)

The ODE ranges from 0% (when no drought is occurring at any point of the basin) to 100% (when the entire basin is suffering an event). It highlights the coverage of a drought, allowing a direct comparison between registered historical information and calculated results. Moreover, it helps ~~defining~~define the temporal component of droughts as it states the beginning and the end of an event. However, it does not take into account its intensity.

5.3 Characterization of drought intensities

Regarding the intensity of the droughts, in this study a complementary ~~new~~ indicator is ~~proposed~~applied to integrate the intensities computed at every grid cell. The Overall Drought Indicator (ODI) is defined as the average index value across the cells under drought conditions at a precise date, as shown in Eq. (2)~~.~~.

$$ODI = \frac{\sum_{i=1}^{N\_drought}(Index_i)}{N\_drought{TOTAL}} \; .$$ (2)

The ODI expresses the average severity in the drought-affected part of the basin. It gives information about the meteorological stress level of the areas being effectively affected by a drought. Moreover, this indicator may help ~~completing~~complete the collected historical records ~~for~~which include little information ~~regarding~~on the magnitude of the events ~~has been found~~.

~~.~~ From indications of Table 2, Table 3, Table 4 and Table 5, lower values of this indicator denote drier conditions. ~~Not defined~~Undefined values occur when no cells are under drought conditions.

~~On purpose, only~~Only cells under drought conditions have been considered ~~for the definition of~~to define this indicator. If the ODI ~~was~~had been calculated as an average value for the entire basin (as adopted for instance in Trambauer et al. (2014)) higher (or lower) indicator values in a part of the basin may have compensated lower (or higher, respectively) indicator values in the rest of the basin, yielding~~offering~~ an overall value close to normal precipitation. Therefore, the ODI must always be used together with the ODE: whenever a drought has been detected with the ODE, its overall intensity may be assessed with the corresponding value of the ODI.

5.4 Evaluating indicator-based results with catalogued historical events

In order to support the choice of an index and time scale combination for the definition of the ODE and ODI, an assessment of the quality of the forecasts performed with the different variants is recommended. The hypothesis ~~followed in this study~~ is that detected drought events (i.e., the forecasts) correspond to the cases when the ODE value exceeds a given threshold, which indicates a certain area is affected by an event. The temporal coincidence of these forecasts ~~have~~has to be then contrasted with the occurrence of recorded droughts (i.e., the observations). As stated above, Figure 2 shows that very short index-based events risk being forecasted. In order to avoid an overestimation of droughts, an additional 3-month criterion for beginning and ending forecasted droughts was established: an event will be effectively detected when the ODE value exceeds the threshold for at least three consecutive months.

For the matching between forecasts and observations, two monthly series of events were created (one for the events detected according to the ODE values; and one for the historical events), where for each month either a "Drought" or a "No drought" condition is assigned. Different scores for ~~verifying~~ contrasting this type of dichotomous forecasts (occurrence vs. no occurrence) exist: the Peirce skill score, PSS (Hanssen and Kuipers, 1965; Murphy and Daan, 1985; Peirce, 1884); the Heidke skill score, HSS (Heidke, 1926); the Gilbert's skill score, GSS (Schaefer, 1990); or the odds ratio skill score, ORSS (Stephenson, 2000). As recommended by Candogan Yossef et al. (2012), the PSS is used in this study. For its calculation, the Miss Rate (M) and the False Alarm Rate (F) are defined in Eq. (3) and Eq. (4) respectively:

$$M = \frac{c}{a+c} \,, \tag{3}$$

$$F = \frac{b}{b+d} \,, \tag{4}$$

where a, b, c and d represent the number of cases for each possible forecast outcome~~: hit, false alarm, miss and correct rejection~~, respectively (Table 7)~~.~~:

- hit: when one detected drought corresponds with an observed drought;
- false alarm: when a drought appears during a month where no observed event has occurred;
- miss: when, during a month where a drought has been observed, no event has been detected;
- correct rejection: when, during a month where no drought has been observed, no drought is detected.

The Miss Rate (M) indicates how many of the observed events are not forecasted (related to the Type 1 errors) while the False Alarm Rate (F) is the proportion of non-occurrences that are incorrectly forecasted (Jolliffe and Stephenson, 2003).

The PSS is expressed as shown in Eq. (5):

$$PSS = 1 - M - F \,, \tag{5}$$

The PSS ranges from –1 to +1: perfect forecasts receive a score of one, random forecasts receive a score of zero, and negative values indicate less skill than a random prediction. A suitable combination of the index and time scale will then lead to higher PSS values.

Table 7. Contingency table of the comparison between forecasts and observations.

		Observation	
		~~Yes~~Drought	No **drought**
Forecast	~~Yes~~**Drought**	a (hit)	b (false alarm)
	No **drought**	c (miss)	d (correct rejection)

However, high values of the PSS score may be obtained purely by chance, especially when using only a small number of forecasts. Such is the case of the present work, where only 13 independent events have been documented during the 55 years

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of record keeping. This could lead to overestimating the goodness of a combination of the index and time scale. A statistical test should then be was applied to check if the calculated PSS values are were significantly different from zero, at least at a 95% confidence. Assuming independence of the Miss and False Alarm rates, the standard error in the Peirce skill score is simply the square root of the sum of the squared standard errors in the Miss and False Alarm rates (Stephenson, 2000), as expressed in Eq. (6):

$$SE_{PSS} = \sqrt{(SE_M)^2 + (SE_F)^2} \; , \tag{6}$$

where the standard errors in estimated Miss (SE_M) or False Alarm (SE_F) rates can be extracted from Thornes and Stephenson (2001). If the PSS±1.96·SE_{PSS} interval does not include zero, then the null of a random forecast can be rejected at a 95% confidence level.

6 Results and discussion

Following the previous approach, the series of the SPI, PN, RAI and DEC indices have been were calculated for different time scales (1-, 3-, 6-, 12-, 24- and 48-month) within for the period of 1960–2014. First computed at the 29 stations, these indices have were then been extrapolated to the rest of the lower JRB. Figure 3 shows the example of the Standardized Precipitation Index for a 126-month time scale (SPI-126) calculated in August October 20123 (corresponding to the drought event XII) and spatially distributed at the lower JRB, where . Blue colors indicate wet conditions while brown colors represent regions under drier conditions.

According to the criteria proposed in Table 6, detected drought events have been were identified based on the indexse values. Then, the ODE and ODI indicators have been were calculated for the lower JRB. An example of tThe resulting ODE and ODI series are is shown in Figure 4 and Figure 5 for the SPI-6 and RAI-6 combinations andas well as in Appendix A for all the time scales and indices analyzed, along with the recorded historical droughts shaded in orange.

The objective is to establish a combination of time scale and index that offers an optimum identification of historical droughts. As stated before, the main criteria used to contrast the performance of the forecasts is that a drought event is supposed to happen when the ODE value exceeds a threshold that is to be defined for each combination. The combination finally retained should maximize the number of hits and minimize the misses between the forecasts and the observed events.
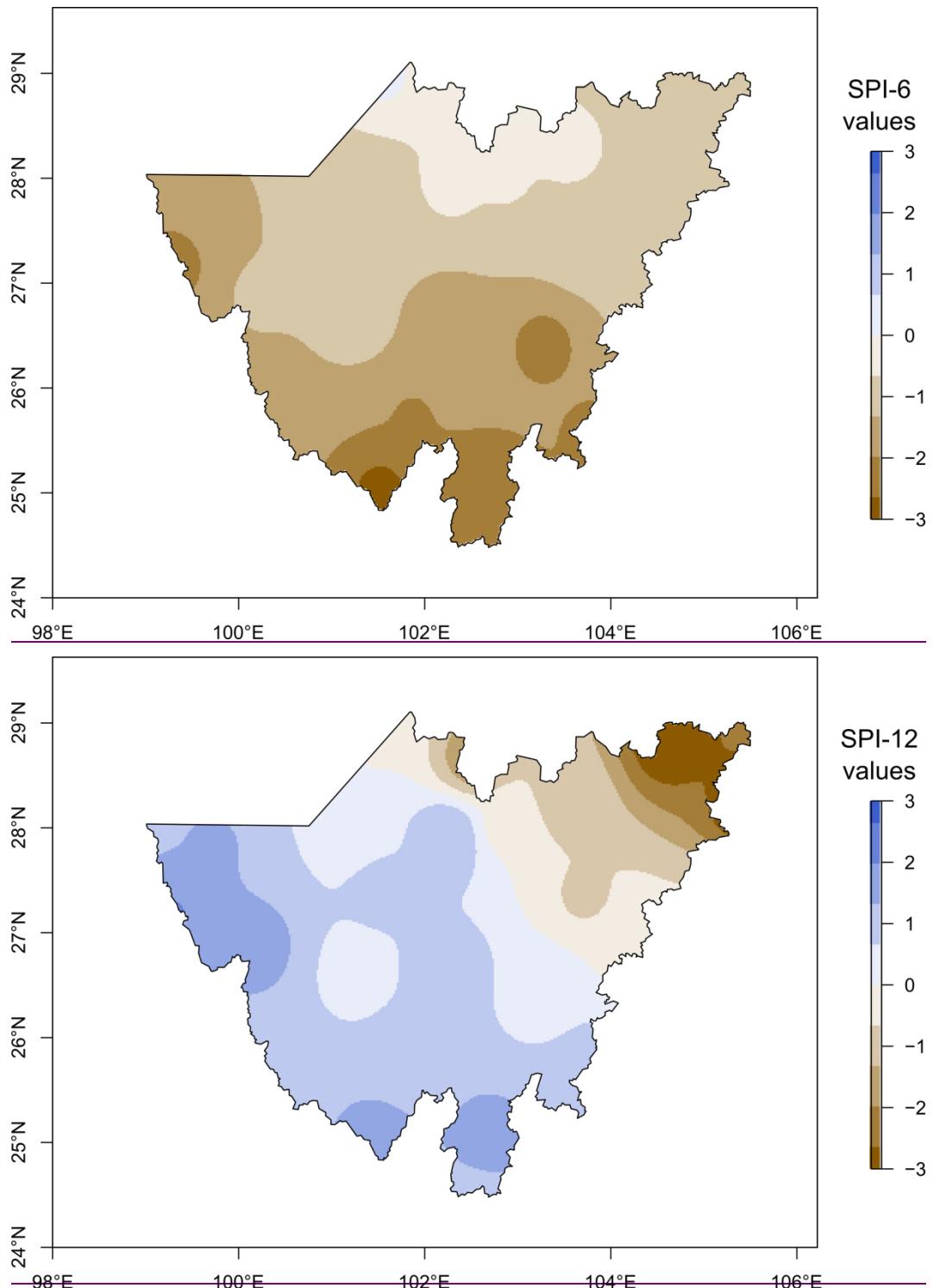
Figure 3. Extrapolated SPI-~~6~~12 values in ~~August~~ October 201~~2~~3 for the entire lower JRB.
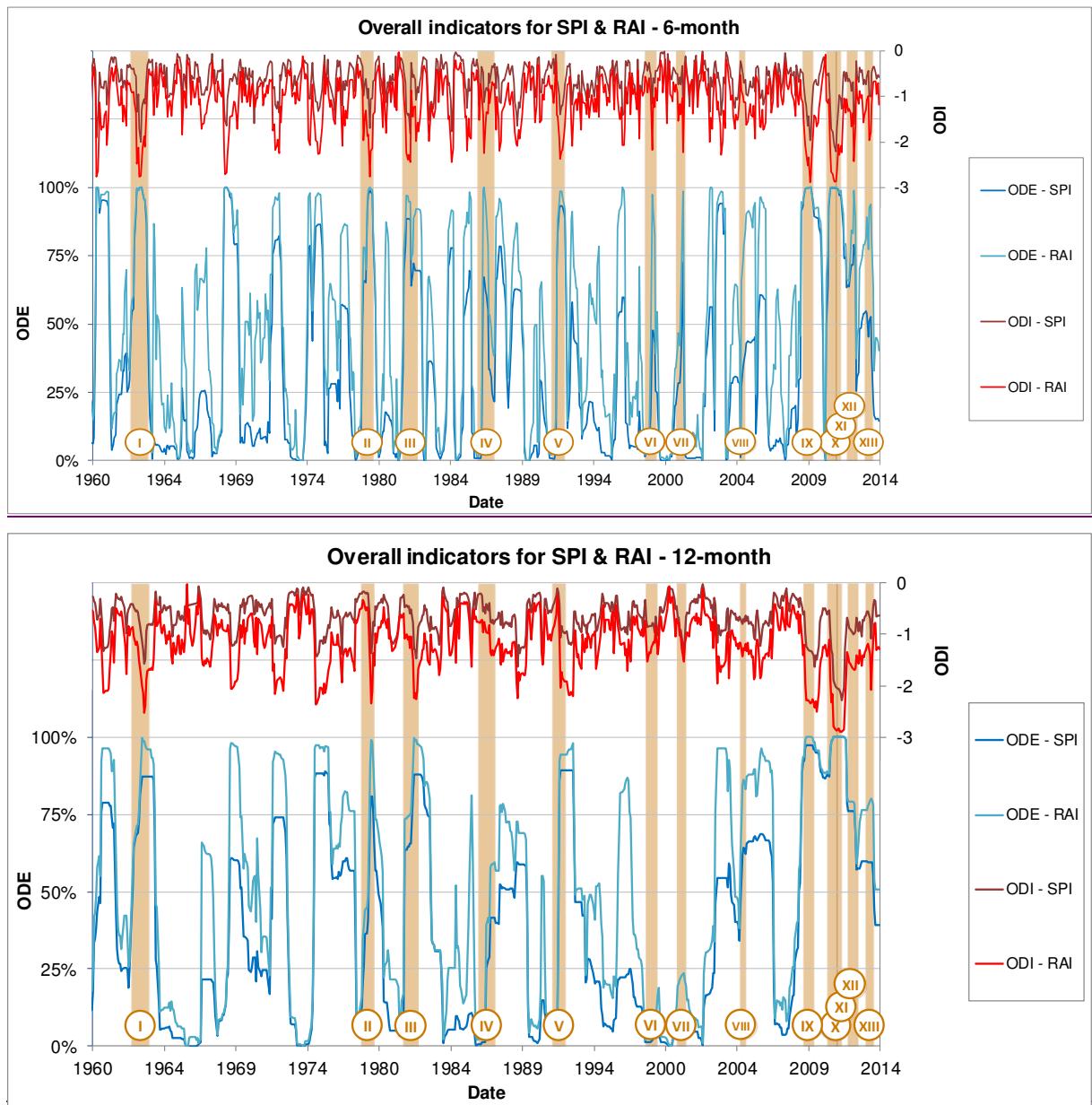
Figure 4. ODE and ODI values using the ~~12~~6-month time scales of SPI and RAI indices, compared with the 13 detected historical droughts (in orange).

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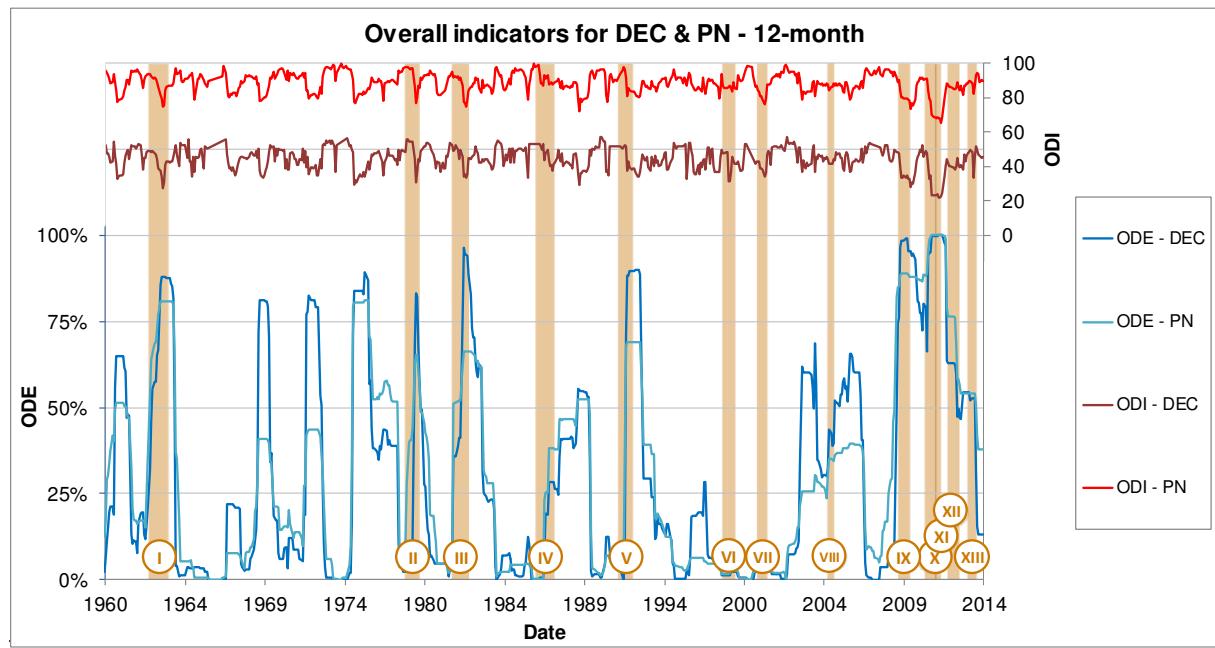
Figure 5. ~~ODE and ODI values using the 12-month time scales of DEC and PN indices, compared with the 13 detected historical droughts (in orange).~~

The 1-month scale overall indices show rapid fluctuations that correspond ~~with~~to short periods of precipitation deficiency not captured in the catalogue of historical droughts. This is mainly due to punctual large rainfall events, that hav~~eing~~ an important influence in the indices which may indicate that the drought had ceased when it is not the case (Barua et al., 2011). The use of this time scale is not recommended for drought monitoring since long drought events are hardly identified. The opposite effect occurs when using the 48-month scale. The inertia of the rainfall shortage tendencies may mask shorter droughts and overestimate their durations. Since most of the episodes last one year or less (Table 1), they are hardly detected using the 48-month scale. The droughts which occurred from 2009 to 2014 (droughts IX to XIII) illustrate this phenomenon: even if five different droughts have been catalogued, a unique one is detected using the 48-month scale, according to the ODE time series. Therefore, using the 1- and 48-month scales do not provide any substantial information about the occurrence and duration of the droughts and have been excluded from the performance analysis.

For the rest of the time scales (3-, 6-, 12- and 24-month), the ODE threshold~~s~~ indicating the occurrence of a drought ~~are~~is required for the computing of the PSS that will serve as a support for the selection of the best combination of index and time scale. Traditionally, cross-validation techniques are used to define optimum thresholds, for when within a training subset the threshold maximizing the PSS is identified and validated in a non-overlapping validation subset. The limited number of 13 independent events in our record prevents following this approach. Instead, a sensitivity analysis was performed using the same threshold across all of the combinations and exploring the effect of varying it in a reasonable range (in this case, from

0.3 to 1 by 0.1 steps). The resulting PSS values are shown in Figure B1 of Annex B along with the 95% confidence interval, which allows indicating whether the score is significantly different from zero.

Based on the resulting ODE series, a set of thresholds has been manually estimated () to match as many observed events as possible. According to these thresholds, the PSS is calculated for each index and time scale combination () along with its 95% confidence interval, which allows indicating whether the score is significantly different from zero as stated above. Graphic results are presented in Figure 5.

Table 8. Thresholds estimated for the ODE indicating the occurrence of a drought.

Index	Time scale			
	3-month	6-month	12-month	24-month
SPI	75%	75%	65%	50%
RAI	95%	85%	75%	75%
PN	95%	85%	60%	25%
DEC	75%	75%	75%	60%

Table 9. Peirce skill score values for each combination of index and time scale, with 95% confidence intervals.

Index	Time scale			
	3-month	6-month	12-month	24-month
SPI	0.34 ± 0.18	0.23 ± 0.18	0.38 ± 0.18	0.17 ± 0.18
RAI	0.3 ± 0.16	0.4 ± 0.14	0.25 ± 0.18	0.17 ± 0.18
PN	0.37 ± 0.17	0.44 ± 0.16	0.45 ± 0.16	0.32 ± 0.16
DEC	0.29 ± 0.18	0.38 ± 0.18	0.32 ± 0.17	0.25 ± 0.18
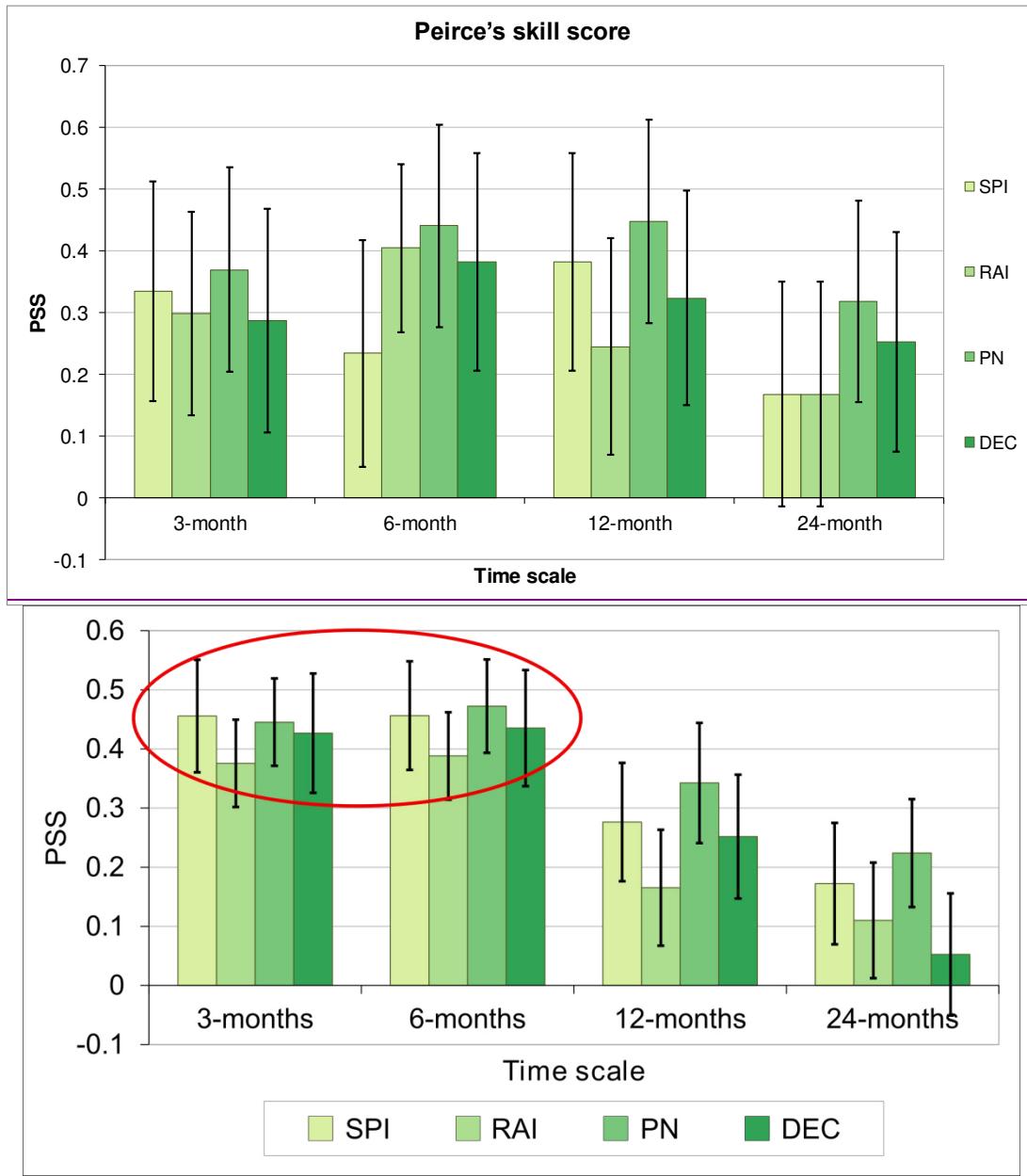
Figure 5. Graphic representation of the PSS results <u>for an ODE threshold of 0.4</u>, with the black error bars representing the 95% confidence interval (±1.96 standard errors).

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Most of the 95% confidence intervals of the PSS do not include zero, disproving that skill scores could have identified drought events by chance sampling fluctuations. ~~On the contrary~~Only, for ~~the SPI and RAI~~some of the indices at 24-month (e.g., RAI-24 for an ODE threshold=0.7), results cannot assert that skill scores are significantly different from zero and thus these ~~two~~combinations should not be considered.

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Attending to the PSS values (Figure B1), results show a consistent tendency across all ODE thresholds of higher PSS at the 3- and the 6-month time scales. An example of PSS for an ODE threshold of 0.4 is presented in Figure 5. Moreover, there is no single index that clearly produces better results. Indeed, based on the PSS values and taking into account their confidence intervals, there are no statistically significant differences across the different indices for the 3- and 6-month time scales. This indicates that, for these time scales, all the indices perform similarly well on capturing the events, which is consistent with the fact that they all rely on the same type of data (precipitation). PSS results are independent of the specific threshold and thus they are considered robust. However, it is worth mentioning that in general, higher PSS for the 3- and the 6-month time scales are produced using ODE thresholds between 0.4 and 0.6.

~~In general, the 6- and 12-month time scales shows a better performance on detecting historical droughts, in particular when using the PN index. It is thus recommended to use the 12-month indices to assess drought occurrence of one year duration, and the 6-month indices for shorter or more consecutive events (e.g., droughts IX to XIII).~~

~~Attending to~~Regarding the ~~12~~6-month ODE series (Figure A5 and Figure A6 of Appendix A~~Figure 4~~), it is important to highlight some relevant aspects:

- All the observed drought events have their corresponding ODE ~~series have~~ peaks ~~corresponding to the drought events I, II, III and V~~.
- ~~The drought event IV is captured by an increase of the ODE values. This increase is shifted forward, starting in the middle of the drought event IV and having its peak around 1990 (around 3 years later than specified in the catalogue). Nevertheless, as indicated in the catalogue of droughts (Table 1) the exact start date and duration of this event are unknown and could have occurred later.~~
- Although event VIII has an estimated duration of 3 months, ODE and ODI results consistently show a longer drought ~~occurring in two phases (two consecutive increases of their values), covering a period of 1.5 and 2.5 years respectively. Event VIII seems to correspond to the second of these phases. Again,~~ ~~T~~the exact period of this drought is not well defined as indicated in the catalogue, leaving room for a longer duration of the real episode.
- ~~Among the four different meteorological indices, the RAI presents the higher variability which may lead to inconsistencies with the catalogued droughts. A clear example is the false positives detected in 1997 that does not correspond with any recorded event.~~
- In general, ~~the SPI and the DEC~~all the indices are ~~quite~~well correlated, identifying most of the recorded droughts. ~~The PN index behaves similarly, although it tends to underestimate the ODE values in relation to the SPI and the DEC.~~
- ~~Three~~ Several droughts ~~of increasing magnitude~~ are consistently detected between event I (1962) and II (1979) even if no ~~droughts have~~drought has been chronicled (false alarms). This may correspond to the above-mentioned scarcity of reliable information on droughts prior to 1980.

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- While two episodes are reported in 1999 (event VI) and in 2001 (event VII), no ODE has captured them. However, the SPI based ODI shows a significant decrease corresponding to event VII, which may indicate a not wide but intense drought.
- As mentioned above, during the period 2009-2014, five consecutive events (IX, X, XI, XII and XIII) have been reported. Using the 12 month series a certain spotting of these events can be achieved, although it tends to aggregate them in one or two unique episodes.

For the 6 month time scale (Figure A5 and Figure A6 of Appendix A):

- The drought events IX, X, XI, XII and XIII droughts are well captured by the use of the 6 month timescale. As shown in Figure A5 and Figure A6, the different events during this period (2009–2014) match with the consecutive increases in the ODE values for all the indices (DEC, PN, RAI, SPI).
- However, the 6-month series of ODE suggest some false positive detections: more drought events than the observed are calculated. An overestimation of the influence of short periods of rainfall scarcity may be masking the true duration of the droughts.

Regarding the 3-month ODE series (Figure A3 and Figure A4), results suggest an overestimation of the number of detected events, as sometimes several detected events combine into one (longer) observed event. The 6-month time scale appears as more appropriate.

In general, the 1-, 3-, 24- and 48-month time scales do not reproduce the observed events and are not recommended. In summary, aAccording to the ODE series represented in Figure 4 and Figure 5 and in Appendix A, and to the forecast verification carried out with the Peirce skill score (Appendix BFigure 6), it seems that the best combination time scale for the identification of long droughts is the SPI or the PN indices at a 12at 6-months time scale. Results show an equally effective performance of the ODE series for all the indices, and the RAI, the PN or the DEC at a 6 month scale for shorter or more consecutive events. However, the risk of false positives must be addressed carefully, as the observation record likely misses events, in particular between 1962 and 1979, especially for 6 month scales.

Despite the good performance shown by the proposed overall indicator ODE to detect droughts, some considerations are recommendedcaution is advised. In particular, the choice of meteorological indices as a basis for the calculation of the ODE and ODI can lead to some errors when assessing drought occurrence. It has been proved that not all indices are equally capable of identifying droughts in this particular region. Temperature variability, not considered here, can play a significant role in the onset of agricultural droughtThe variability of temperature, for instance, may have an important impact on the crop water availability and then in the assessment of agricultural droughts, although it has not been taken into account. Besides, changes in the regulation infrastructures such as reservoirs have a growing influence on water supply. HenceM, meteorological indices aremay not be fully capable to capture the impacts on water scarcity and shouldcould be complemented with other types of indices, such as agricultural or hydrological. The same approach proposed in this study is recommended using different more comprehensive indices, such as hydrological or agricultural, in order to better capture the complex drought processes.

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The performance assessment of the ODE indicator to detect droughts relies basically on the comparison with the historical events catalogued in this study. The search and compilation of this information from different data sources, often scarce and ambiguous, represents a challenge. Different information sources often provide only partial information for one episode, and for some events the differences in the available information complicate the harmonization of data. As a result, the accuracy

5   of the collected information may impact on the applicability of the developed methodology.

7 Conclusions

This study aims at ~~defining~~applying overall drought indicators representing the drought status within the entire lower JRB investigation area. This work represents an attempt at building a tool ~~This represents a tool~~ for drought monitoring and risk management purposes at basin scale. It is based on established meteorological indices for the identification of droughts and a

10   ~~newly developed~~ method for a catchment-wide drought assessment and characterization, which is compared to historical drought events of the lower JRB.

The information used for the identification and characterization of major historic droughts ~~has been~~were compiled from different sources. A total of 13 major droughts between 1960 and 2014 ~~have been~~were identified in the lower JRB and ~~have been~~ catalogued using a web-based registration platform, allowing for a comparison of the different events.

15   Drought indices typically assess local water deficits while available historical records usually refer to regional droughts. To overcome this problem, two ~~new~~drought area indicators, the Overall Drought Extension (ODE) and the Overall Drought Indicator (ODI), have been ~~developed~~used to characterize the occurrence and intensity of an event within a specific investigation area. These ~~new~~ indicators are based on four common meteorological indices at different time scales ~~between 1 and 48 months~~: the Standardized Precipitation Index (SPI), the Rainfall Anomaly Index (RAI), the Percent of Normal

20   precipitation (PN) and the Deciles index (DEC). By relying exclusively on precipitation, the proposed procedure serves as a basis for further studies in other regions where only precipitation data is available~~These indices only rely on precipitation data, which facilitates their applicability~~.

The performance of the ODE at detecting droughts has been assessed by contrasting the results of this ~~new~~ indicator with historical recorded events, offering promising results. It seems that the best results are independent of the index used and

25   produced using the 6-month time scale.~~combinations of index and time scale are the SPI 12 and the PN 12 to identify long droughts (1 year or more) and the RAI 6, PN 6 and DEC 6 for shorter or more consecutive events.~~ Although results suggest the same patterns for all ODE thresholds, it has been noticed that highest PSS values are produces for thresholds between 0.4 and 0.6, which can be ~~Moreover, for each combination, an ODE threshold has been~~ defined as a trigger to detect the occurrence of a drought in the lower JRB~~: 65% for the SPI 12, 60% for the PN 12, 85% for the RAI 6, 85% for the PN 6~~

30   ~~and 75% for the DEC 6~~.

Considering the challenge that the compilation of historical drought information ~~supposes~~represents and the identified limitations, this is a good method for the monitoring of drought episodes within an entire catchment. The ~~definition~~use and

contrast of drought indicators at basin scale ~~and the use of~~with historical collected information represent the main innovative aspects of this study. Since meteorological droughts are the first stage in the progression of subsequent agricultural or hydrological droughts, this methodology could be used to activate a management response ~~facing~~ for a drought event, which starts at a specific threshold value. Additionally, this methodology can be used to complete lacking information on droughts' duration, geographical extension or intensity.

8 Appendices

Appendix A: series of ODE and ODI indicators

The series of the Overall Drought Extension (ODE) and the Overall Drought Indicator (ODI) have ~~also~~ been calculated for the 1-, 3-, 6-, 24 and 48-month time scales. Graphic results are presented in Figure A1 to Figure A12 below.
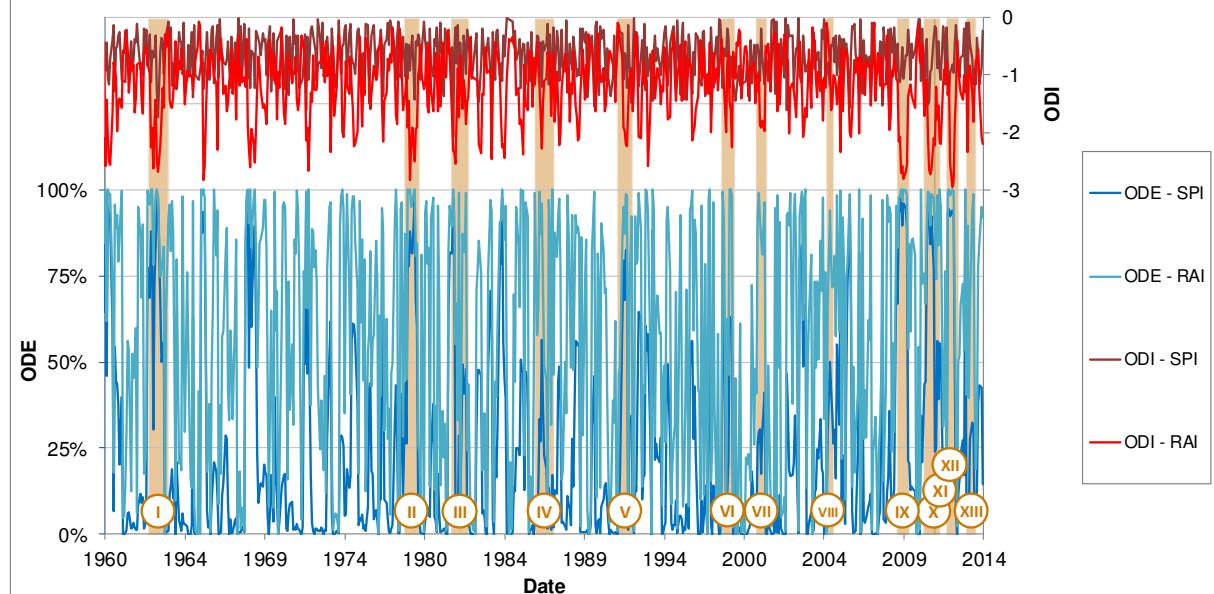
Figure A1. ODE and ODI values using the 1-month time scales of SPI and RAI indices, compared with the 13 detected historical droughts (in orange).

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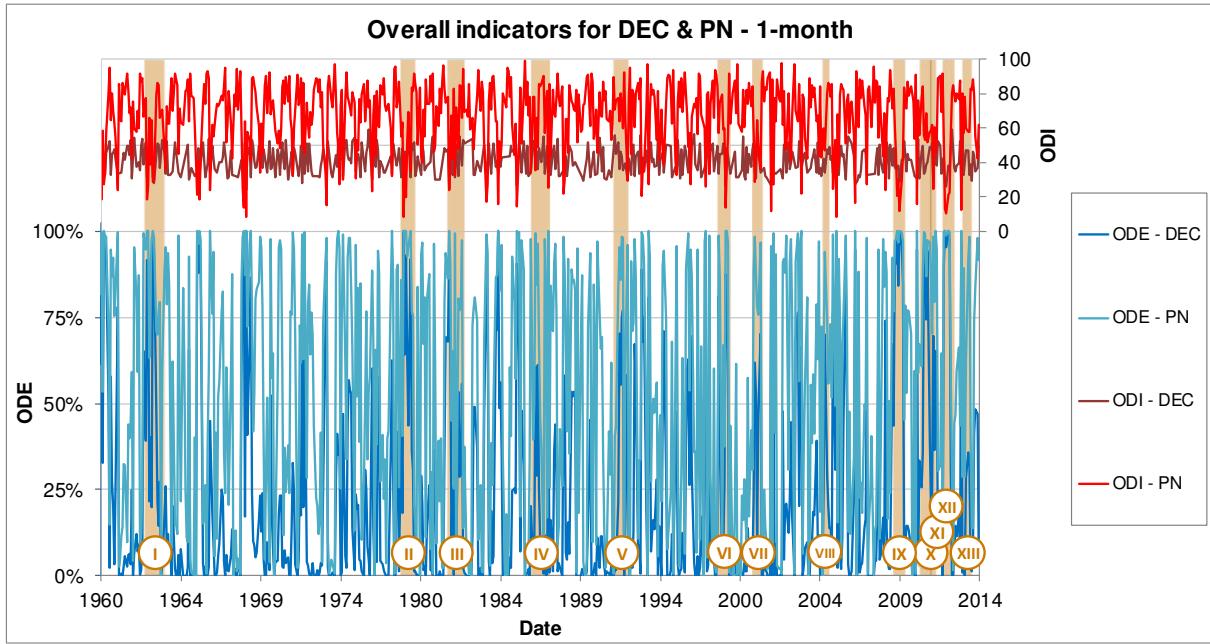
Figure A2. ODE and ODI values using the 1-month time scales of DEC and PN indices, compared with the 13 detected historical droughts (in orange).
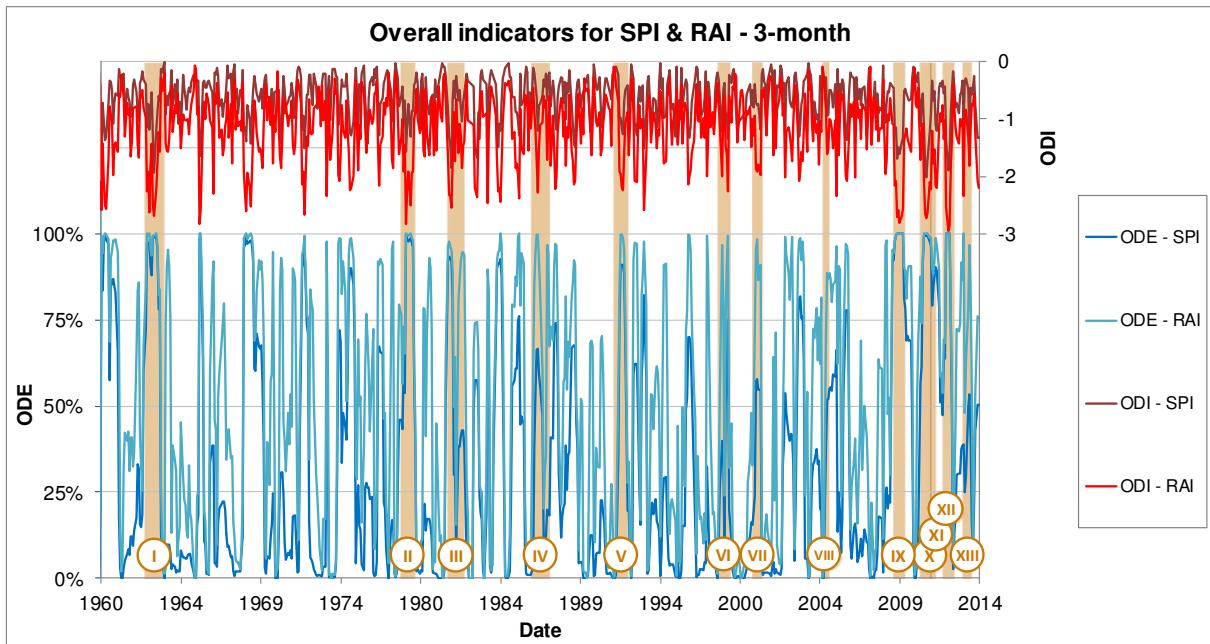

Figure A3. ODE and ODI values using the 3-month time scales of SPI and RAI indices, compared with the 13 detected historical droughts (in orange).
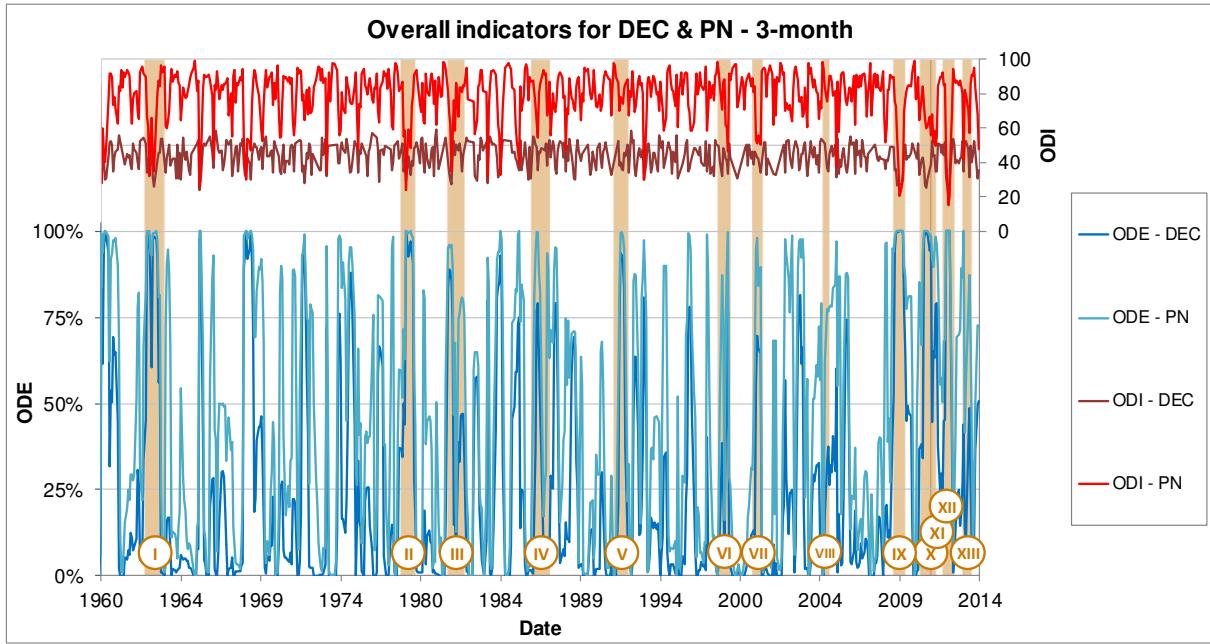
Figure A4. ODE and ODI values using the 3-month time scales of DEC and PN indices, compared with the 13 detected historical droughts (in orange).
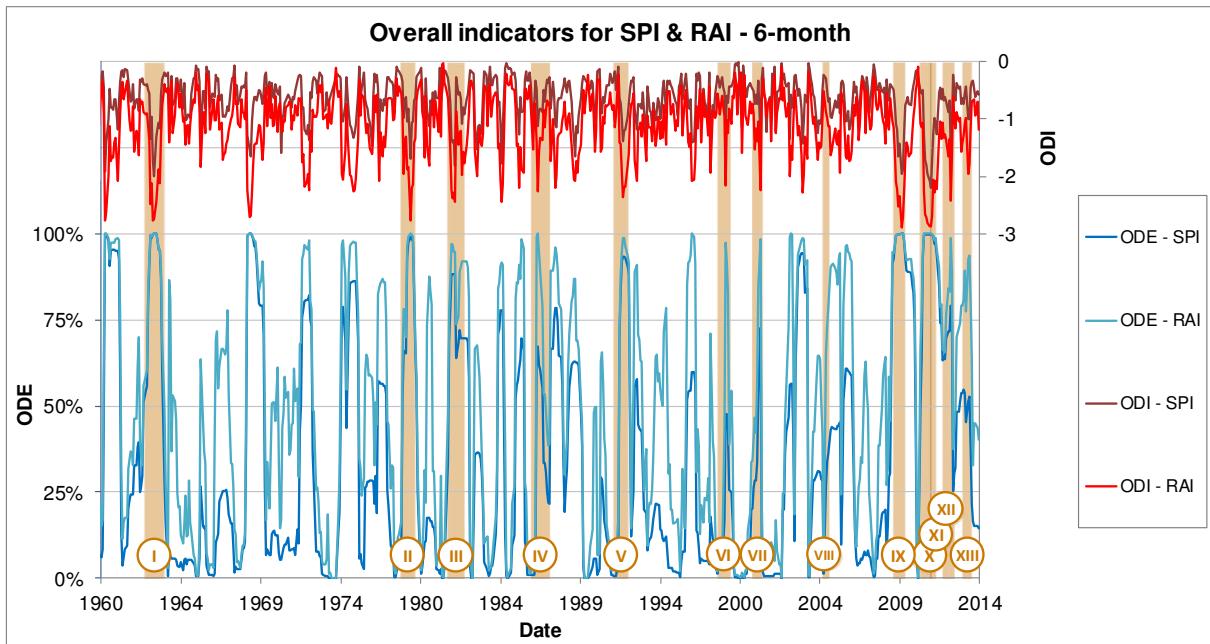
Figure A5. ODE and ODI values using the 6-month time scales of SPI and RAI indices, compared with the 13 detected historical droughts (in orange).
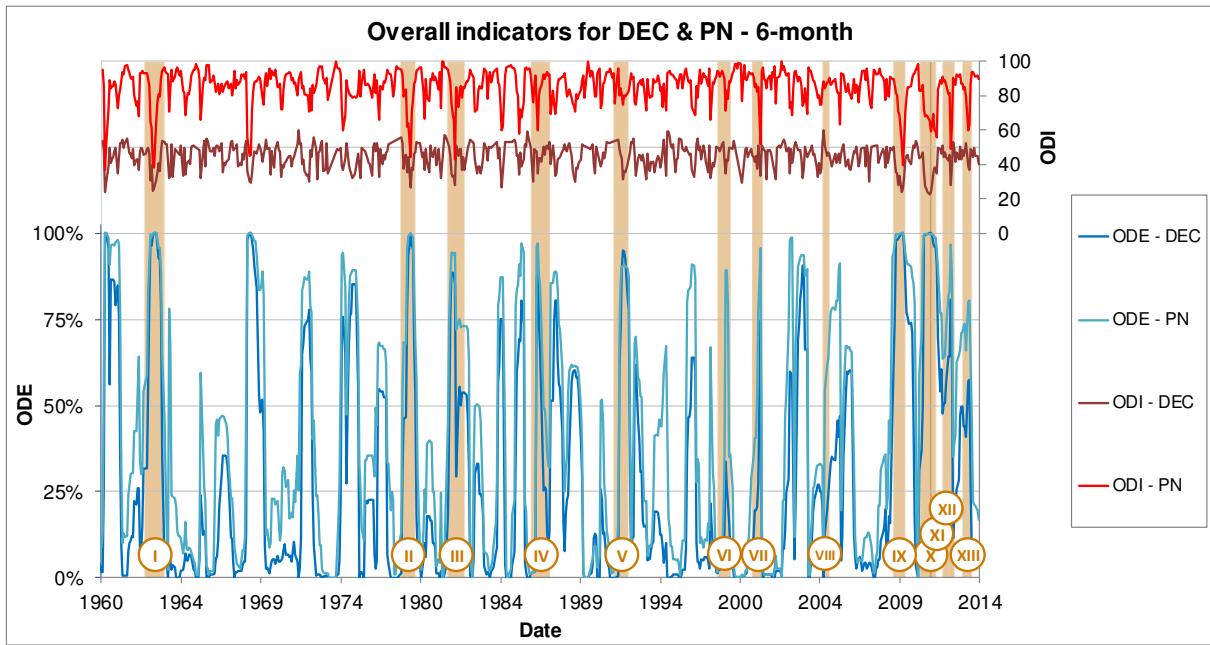
Figure A6. ODE and ODI values using the 6-month time scales of DEC and PN indices, compared with the 13 detected historical droughts (in orange).
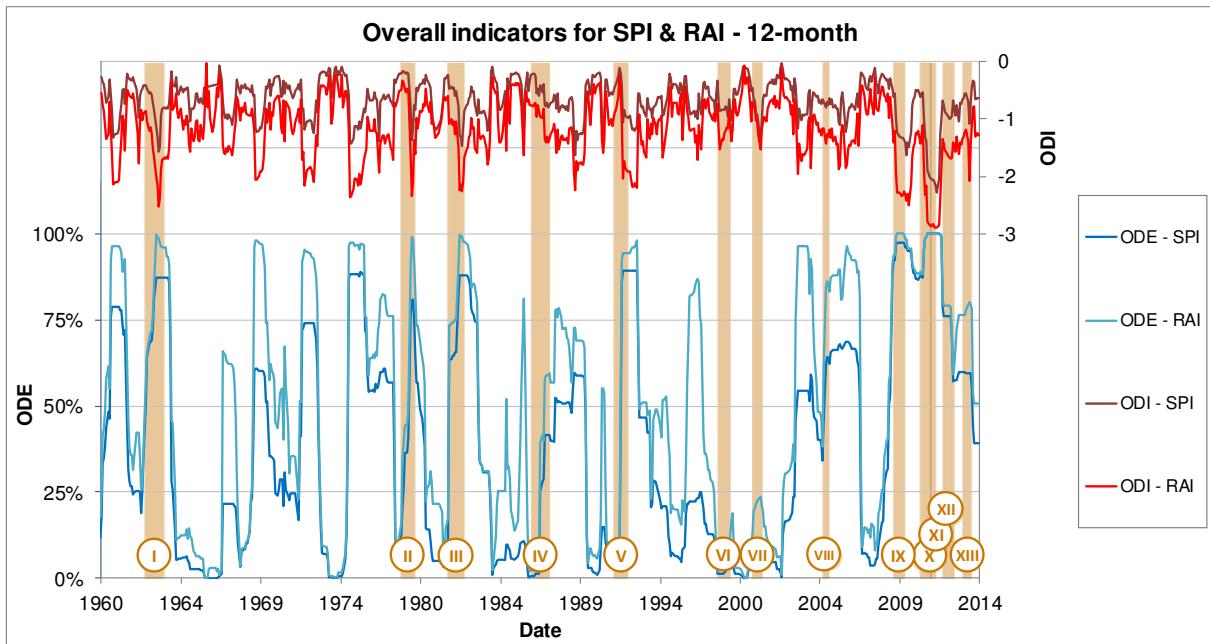

Figure A7. ODE and ODI values using the 12-month time scales of SPI and RAI indices, compared with the 13 detected historical droughts (in orange).

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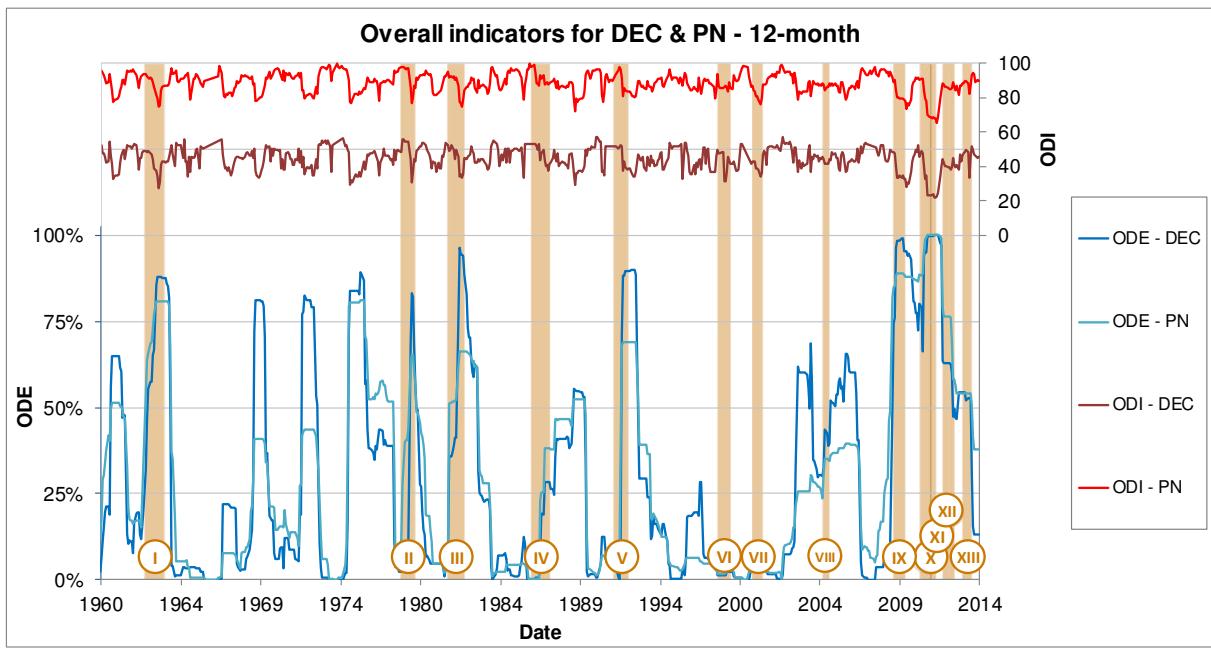
Figure A8. ODE and ODI values using the 12-month time scales of DEC and PN indices, compared with the 13 detected historical droughts (in orange).
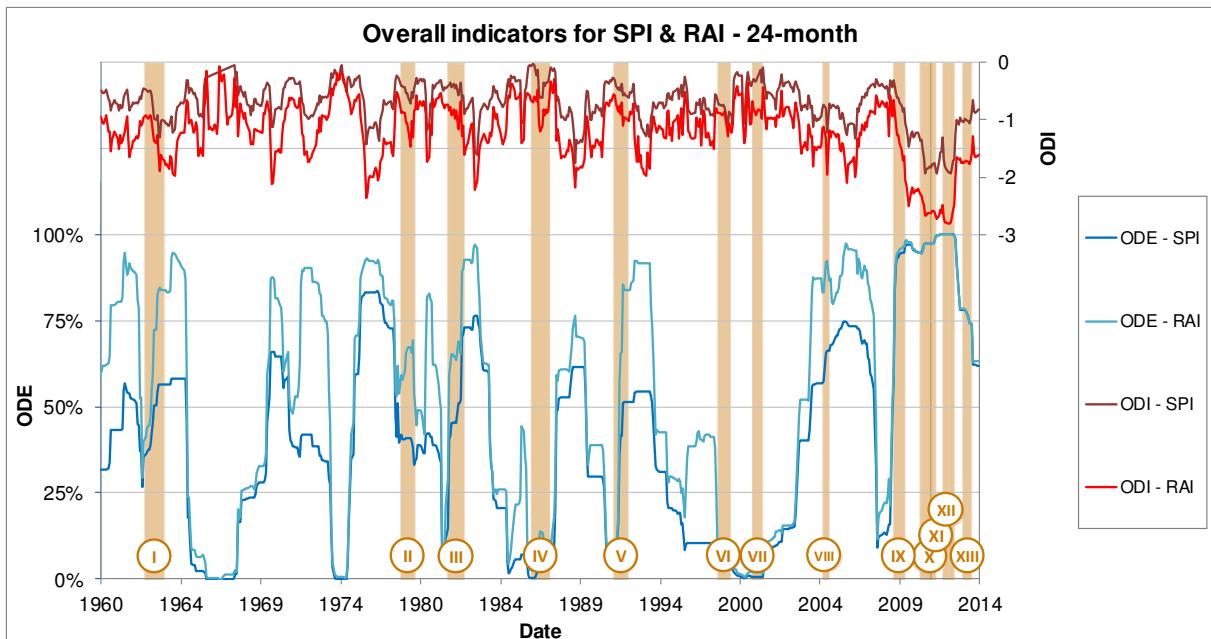
Figure A9. ODE and ODI values using the 24-month time scales of SPI and RAI indices, compared with the 13 detected historical droughts (in orange).

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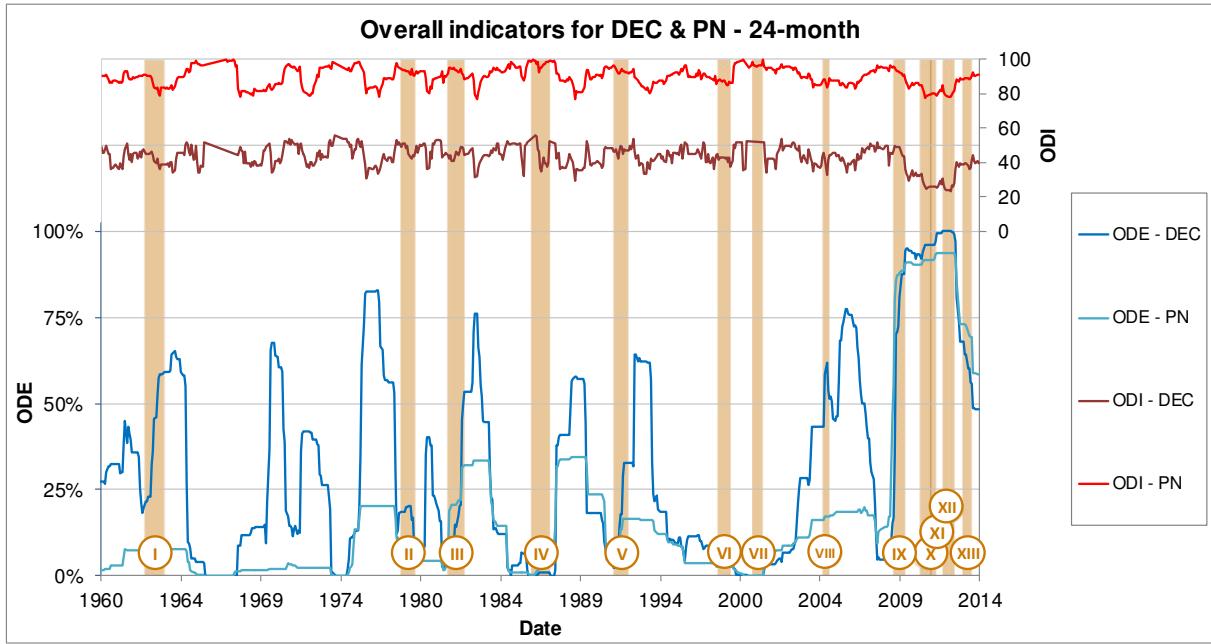
Figure A10. ODE and ODI values using the 24-month time scales of DEC and PN indices, compared with the 13 detected historical droughts (in orange).
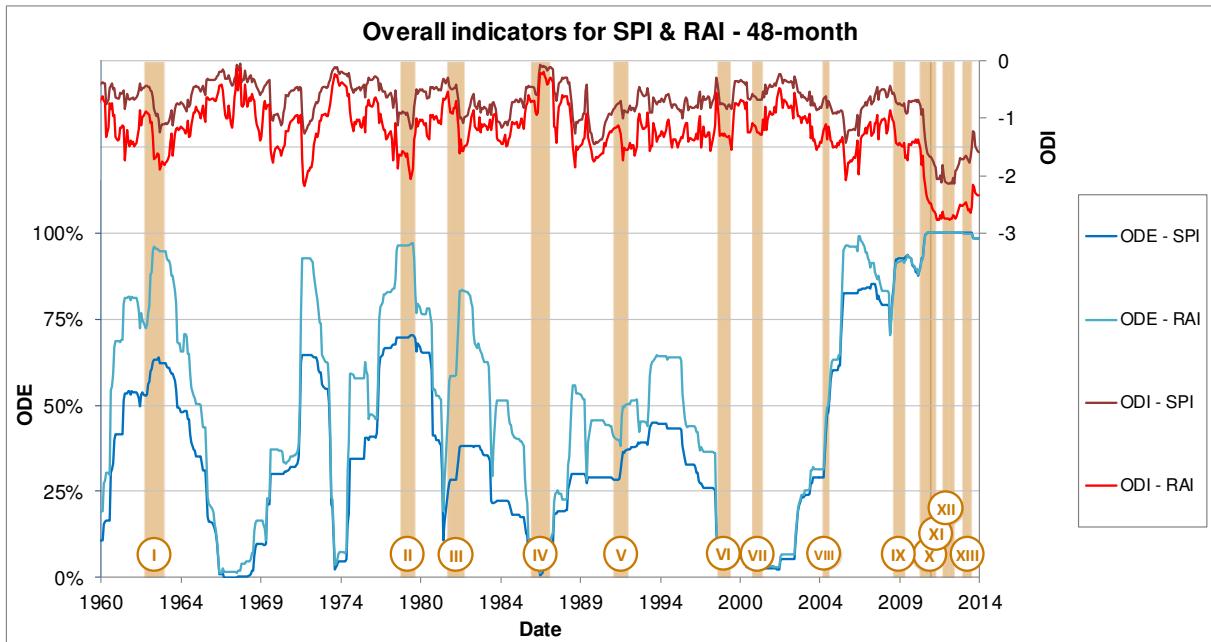
Figure A11. ODE and ODI values using the 48-month time scales of SPI and RAI indices, compared with the 13 detected historical droughts (in orange).
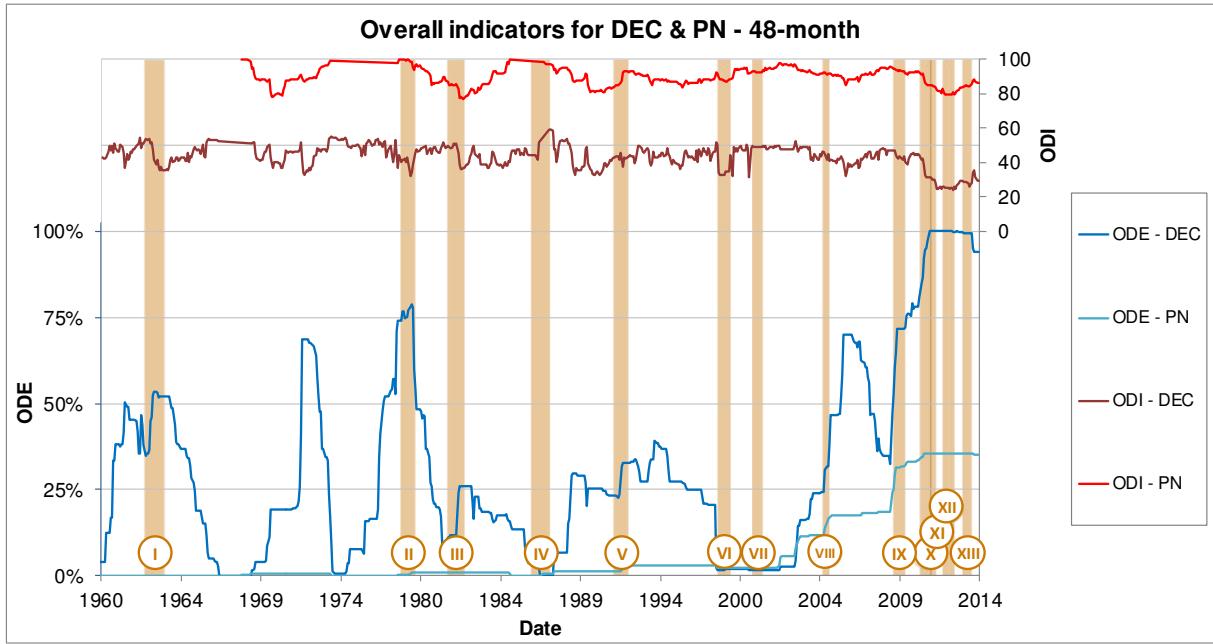
Figure A12. ODE and ODI values using the 48-month time scales of DEC and PN indices, compared with the 13 detected historical droughts (in orange).
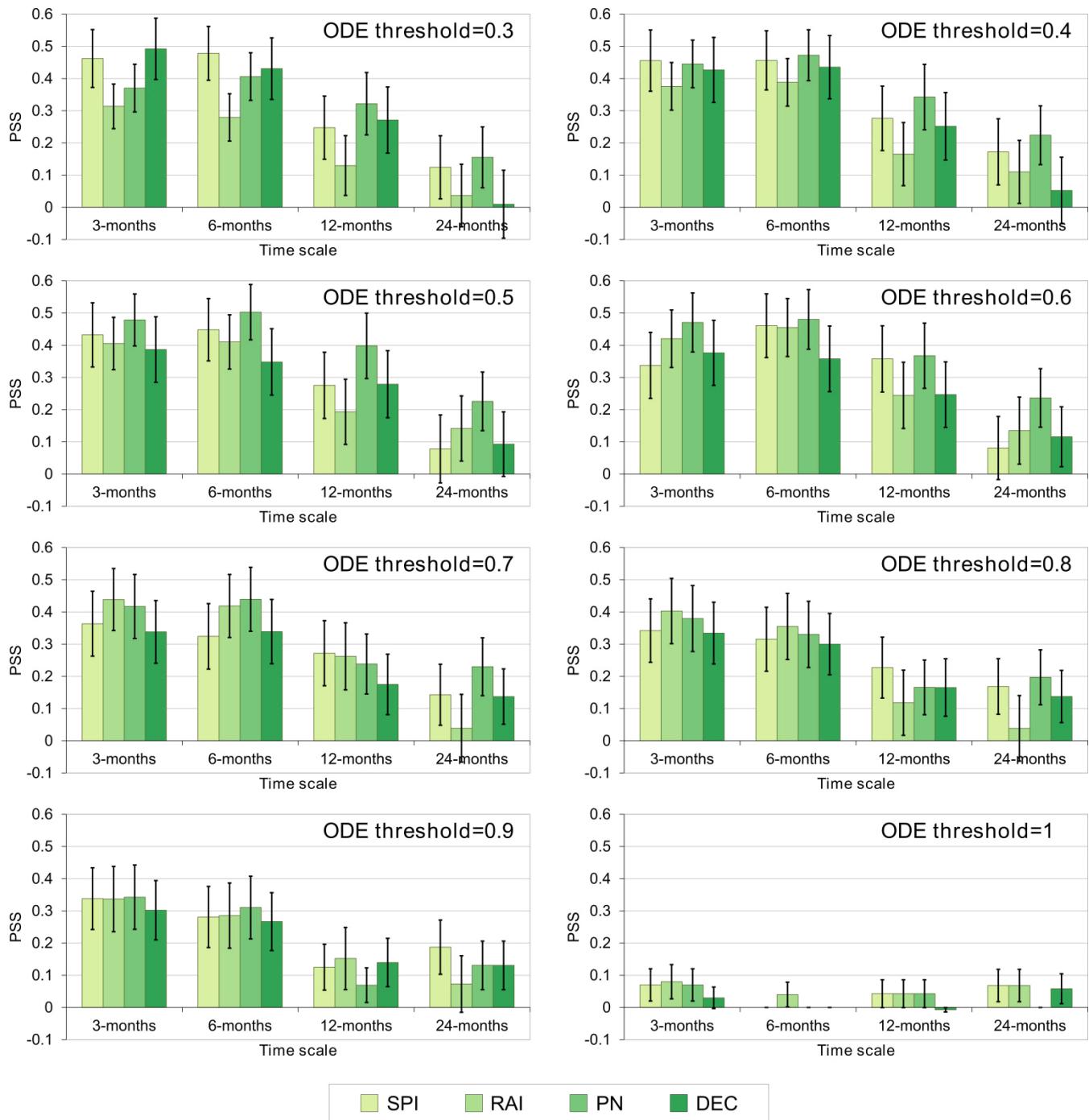
Figure B1: Graphical PSS results for different index and timescale combinations, for a range of ODE thresholds between 0.3 and 1. The black error bars represent the 95% confidence interval.

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