



# 1 Risk assessment of meteorological drought in China under RCP 2 scenarios from 2016 to 2050

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5 **Abstract:** Climate change has been a hotspot of scientific research in the world for decades,  
6 which caused serious effects of agriculture, water resources, ecosystem, environment, human  
7 health and so on. In China, drought accounts for almost 50% of the total loss among all the  
8 meteorological disasters. In this article the interpolated and corrected precipitation of one GCM  
9 (HadGEM2-ES) output under four emission scenarios (RCP2.6, 4.5, 6.0, 8.5) were used to analyze  
10 the drought. The standardized precipitation index (SPI) calculated with these data was used to  
11 assess the climate change impact on droughts from meteorological perspectives. Based on five  
12 levels of SPI, an integrated index of drought hazard (IIDH) was established, which could explain  
13 the frequency and intensity of meteorological drought in different regions. According to  
14 yearbooks of different provinces, 15 factors have been chosen which could represent the impact  
15 of drought on human being, crops, water resources and economy. Exposure index, sensitivity  
16 index and adaptation index have been calculated in almost 2400 counties and vulnerability of  
17 drought has been evaluated. Based on hazard and vulnerability evaluation of drought, risk  
18 assessment of drought in China under the RCP2.6, 4.5, 6.0, 8.5 emission scenarios from 2016 to  
19 2050 has been done. Results from such a comprehensive study over the whole country could be  
20 used not only to inform on potential impacts for specific sectors but also can be used to  
21 coordinate adaptation/mitigation strategies among different sectors/regions by the central  
22 government.

23 **Keywords:** Risk assessment, Climate change, Meteorological drought, RCP scenarios,  
24 Vulnerability evaluation, China

## 25 1 Introduction

26 According to IPCC 5<sup>th</sup>, it has been successively warmer in the past 30 years on the Earth's surface  
27 than any decade since 1850 (IPCC, 2013). Climate change has been a hotspot of scientific  
28 research in the world for decades, which caused serious effects of agriculture, environment,  
29 ecosystem, human health and so on. In China, the temperature has increased remarkably since  
30 1850 (Wang and Chen, 2014; Wei and Chen, 2011). The variations of precipitation in different  
31 regions of China for the past hundred years are different and distinguishing, for example, North  
32 and Northeast districts of China becoming drier, East and Central districts of China becoming  
33 moister (Liu et al., 2011; Ma et al., 2012; Wu et al., 2012). Due to climate change, the disasters  
34 related climate become much more serious, which lead to huge losses of lives and economy,  
35 destructions of ecology and environment, damage of human health and so on. According to  
36 statistical data, drought accounts for almost 50% of the total loss among all the meteorological  
37 disasters in China (Liu, 2012). With the variation of precipitation distribution and rising  
38 temperature, the intensity and frequency of drought disasters are changing quickly in the whole  
39 world (Prudhomme et al., 2014; Burke et al., 2006; Trenberth et al., 2014; Dai, 2012). So it is



40 important to do research on the trend of spatial and temporal distribution of drought under  
41 climate change in China.

42 Drought is a complex and natural phenomenon mainly caused by low rainfall in a constant  
43 period which is characterized by several properties such as frequency, intensity and duration  
44 (Mishra and Singh, 2010; Wilhite, 2000; Van Loon and Van Lanen, 2012). According to the impact,  
45 droughts can be classified into different forms such as meteorological drought, agricultural  
46 drought, hydrological drought and socio-economical drought (Tallaksen and Lanen, 2005; Hayes  
47 et al., 2007; Van Loon and Laaha G., 2015). Meteorological drought is characterized by lack of  
48 precipitation over an extended period; hydrological drought is characterized by persistent  
49 reduction in runoff; agricultural drought is characterized by reduction of soil moisture and crops  
50 yield (Hisdal and Tallaksen, 2003; Keyantash and Dracup, 2002; Sheffield and Wood, 2008). Along  
51 with the reduction of precipitation, runoff and soil moisture, the shortage of water supply for  
52 population, livestock, industry, ecology, environment may become much more serious, then  
53 socio-economical drought would break out. Meteorological drought is mainly determined by  
54 climatic conditions and atmospheric circulations. However, the other three types of drought  
55 (agricultural drought, hydrological drought and socio-economical drought) are primarily  
56 influenced by both natural and anthropogenic systems, especially socio-economical drought  
57 which is affected mostly by human activities (Wilhite, 2000; Wisser et al., 2010). Usually  
58 meteorological drought is the base of the other three drought types, so it is important to do  
59 research on meteorological drought in large scale which would reveal the potential trends of  
60 drought disasters.

61 A lot of studies are performed to analyze the frequency, intensity and duration of droughts by  
62 using different indexes, such as the Standardized Precipitation Index (SPI) (McKee et al., 1993),  
63 the Standard Runoff Index (SRI) (Shukla and Wood, 2008), the Palmer Drought Severity Index  
64 (PDSI) (Palmer, 1965; Wells et al., 2004), the Standardized Precipitation–Evapotranspiration Index  
65 (SPEI) (Vicente-Serrano et al., 2010) and the Supply–Demand Drought Index (SDDI) (Rind et al.,  
66 1990). Comparing the different indexes, SPI and PDSI are appropriate for meteorological drought;  
67 SRI is proper for hydrological drought; SPEI is good for agricultural drought; SDDI is much better  
68 for socio-economical drought. For this research, SPI is chosen to establish integrated drought  
69 index, which would evaluate the hazard of drought under the RCP (Representative Concentration  
70 Pathways) emission scenarios (Van Vuuren et al., 2011a; 2011b) from 2016 to 2050.

71 China has been affected frequently by drought in the past thousand years (Zou et al., 2005;  
72 Dai, 2012; Dai et al., 2004; Ma and Fu, 2003). According to the Ministry of Water Resources of  
73 China (MWRC, 2011), drought disasters have caused huge yield loss, nearly 39.2 billion kilograms  
74 annually. A lot of researches have focused on drought trends and impact of drought under  
75 climate change (Xu et al., 2012; Chen et al., 2006; Zhou et al., 2009; Qian et al., 2014), in which  
76 changes on scope, intensity, duration and frequency of drought in China at a nationwide scale  
77 have been explored (Zhou et al., 2006; Yuan et al., 2012; Chen et al., 2013; Nath et al., 2014).  
78 According to Wang et al. (2003) and Wang et al. (2011), the drought affected more and more  
79 areas in which severe droughts became much more frequent over the past 60 years, so risk  
80 assessment on drought disasters should be carried out as soon as possible. Wu et al. (2011)  
81 revealed that almost 30% of the total farmland in China is vulnerable to drought. Zhang et al.  
82 (2013a) explored the frequency of extreme drought and analyzed the changes of geographic  
83 distributions from 1960 to 2009 in Southwest China. There are a few studies which have analyzed



84 the variations of volume and spatial distribution of water resources under climate change in  
85 North China, South China and the whole country (Leng et al., 2015; Xu et al., 2009c; Li et al., 2010;  
86 Jiang et al., 2007; Qiu, 2010; Yang et al., 2012; Wang et al., 2012; Guo et al., 2002; Wang et al.,  
87 2014). However, very few studies have assessed the risk of drought under climate change,  
88 especially the vulnerability of drought across the whole country. It is obvious that most  
89 researchers pay attention to the natural characteristics of drought, such as scope, intensity,  
90 duration, frequency and so on. But the social features of drought are not concerned enough,  
91 which is mainly about the hazard-affected bodies, like population, agriculture, industry, cities,  
92 water and so on. It is difficult to evaluate the impact of drought on these bodies, especially under  
93 climate change drought may become much more intensive and frequent. Risk assessment  
94 provides us a good method to evaluate the hazard and vulnerability of drought, which could give  
95 us a clear picture of drought distribution and enable more effective drought management plans  
96 to be developed.

97 In this research, a coupled Earth System Model - HadGEM2-ES (Collins et al., 2008) has been  
98 used to generate the precipitation under the RCP2.6, 4.5, 6.0, 8.5 emission scenarios in the future.  
99 The standardized precipitation index (SPI) was used to establish an integrated index of drought  
100 hazard (IIDH), which could explore the frequency and intensity of meteorological drought in  
101 different regions. According to yearbooks of different provinces, exposure index, sensitivity index  
102 and adaptation index have been calculated in almost 2400 counties and vulnerability of drought  
103 has been evaluated. Based on hazard and vulnerability evaluation of drought, risk assessment of  
104 drought in China under the RCP2.6, 4.5, 6.0, 8.5 emission scenarios from 2016 to 2050 has been  
105 done. Obviously, results from such a comprehensive study over the whole country could be used  
106 not only to inform on potential impacts for specific sectors but also can be used to coordinate  
107 adaptation/mitigation strategies among different sectors/regions by the central government.

## 108 **2 Data and methods**

### 109 **2.1 Data**

110 The study area includes the whole mainland China except Taiwan islands because of the  
111 unavailability of data from Taiwan. As mentioned above, risk assessment includes two  
112 aspects-hazard evaluation and vulnerability evaluation. The data should be collected from the  
113 two aspects. On one hand, climate scenarios data (precipitation) are needed for drought hazard  
114 evaluation. On the other hand, the data about society, economy, population, water resources,  
115 forest and so on in 2373 counties of whole China should be collected and prepared. The  
116 vulnerability evaluation of drought is complicated and data sources are various, so it is necessary  
117 to carry out reliability test and preprocess the historical and observed data to avoid the distortion  
118 of double counting.

119 In this study, the projected daily precipitation from GCM HadGEM-ES is the simulation result  
120 of 1951-2099 under RCP scenarios which is interpolated and corrected. HaGEM-ES (Hadley  
121 Global Environment Model 2 - Earth System) is designed to run the major scenarios for IPCC AR5  
122 by the UK Met Office Hadley Centre for CMIP5 (The World Climate Research Programme's  
123 Coupled Model Intercomparison Project phase 5) centennial simulations. The horizontal



124 resolution of HadGEM2-ES Model's raw output is  $1.875^{\circ} \times 1.25^{\circ}$ . The ISI-MIP (The Inter-Sectorial  
125 Impact Model Intercomparison Project) changed the data to  $0.5^{\circ} \times 0.5^{\circ}$  at horizontal resolution  
126 with the bilinear interpolation method, and a statistical bias correction algorithm based on  
127 probability distribution is used to correct the interpolation result (Piani et al., 2010; Hagemann et  
128 al., 2011).

129 On the other hand, the data for vulnerability evaluation of drought is collected from  
130 social-economic Yearbooks of different provinces, water resources bulletins, forest resources  
131 bulletins and so on. In the study, counties and districts are set as standard statistical units, which  
132 are used for analysis and calculation of exposure factors, sensitivity factors and adaptive capacity  
133 factors. There are so many factors which could affect the vulnerability of drought. So it is  
134 important for us to choose proper and effective factors in China. Based on the relationship  
135 between drought disasters and hazard-affected bodies, the most important factors are selected  
136 which could be measurable and comparable. Due to the complexity and diversity of drought  
137 vulnerability factors of which the units are different, all the evaluation factors are normalized into  
138 non-dimensional by geometric average processing in order to be convenient for utilization.

## 139 2.2 Drought Indices

140 There are several drought indices created to identify the different types of drought disasters.  
141 According to McKee et al. (1993), the standardized precipitation index (SPI) is designed to  
142 quantify the precipitation deficit for multiple time scales, which could assess the impact of  
143 climate change on drought disasters from meteorological perspectives. SPIs in different time  
144 scales reflect the degrees of shortage on water resources due to meteorological drought. The  
145 changes of ground water, streamflow, underwater and reservoir storage are closely related to the  
146 precipitation anomalies in a long term, but soil moisture conditions are connected with the  
147 precipitation anomalies in a short term. SPI was testified to be effective to explore the intensity  
148 of meteorological drought. It is the most important drought indice to reveal the potential drought  
149 trends, which is the basis of judging agricultural drought, hydrological drought and  
150 socio-economical drought. For these reasons, the SPIs for 3-month, 6-month, 12-month,  
151 24-month, and 48-month time scales are originally calculated in this article, which are based on  
152 the precipitation records in different time scales. According to Edwards and McKee (1997), the  
153 long-term record is fitted to a probability distribution, which is then transformed into a normal  
154 distribution so that the mean SPI for the location and desired period is zero. Positive SPI values  
155 indicate it is greater than median precipitation, while negative values indicate it is less than  
156 median precipitation. Because the SPI is normalized, wetter and drier climates situations can be  
157 represented in the same way.

158 Drought intensities reflected from the SPI are defined by the classification system shown in  
159 the SPI Values table. According to the define, a meteorological drought event would occur if the  
160 SPI is continuously negative and reaches the critical value that the SPI is  $-1.0$  or less. The drought  
161 event would end when the SPI becomes positive. Each drought event has a duration defined by  
162 its beginning and end. The drought intensity is the positive sum of the SPIs within a drought  
163 event, which is to accumulate the magnitudes of drought for all the duration. According to  
164 different cases, SPI could be classified into mild drought, moderate drought, severe drought and  
165 extreme drought. Based on the standardized SPIs, the rarity of meteorological drought is



166 determined by the probability of the precipitation during the duration of drought (Guttman, 1998;  
167 Kogan, 1995; Wilhite and Glantz, 1985).

168 **Tab. 1 Drought grades and weighting factor according to SPI**

| Degree of drought | Value of SPI           | Weighting factor |
|-------------------|------------------------|------------------|
| Mild drought      | $-1.0 < SPI \leq -0.5$ | 0.1              |
| Moderate drought  | $-1.5 < SPI \leq -1.0$ | 0.2              |
| Heavy drought     | $-2.0 < SPI \leq -1.5$ | 0.3              |
| Excessive drought | $SPI \leq -2.0$        | 0.4              |

169 Firstly, the shape parameter and scale parameter (Yuan and Zhou, 2004) at each grid of the  
170 whole study area are estimated with the corrected precipitation from HadGEM2-ES in 1971-2000  
171 according to maximum likelihood estimation (MLE). With the above parameters, the SPI is  
172 calculated for 12-month time scale from 2016-2050 at each grid. Secondly, the degree of drought  
173 intensity is graded according to the value of SPI, and each level is given a particular weighting  
174 factor, shown in Table 1. Then, for each grid, the frequencies of different drought (from mild to  
175 excessive drought) are counted. Finally, these frequencies are calculated by using the  
176 corresponding weighting factors in Table 1 to produce a new dataset, which covers the integrated  
177 indexes of drought hazard.

178 So, based on the four levels of SPI, an integrated index of drought hazard (IIDH) was  
179 established, which could explain the frequency and intensity of meteorological drought in  
180 different regions.

## 181 2.3 Vulnerability evaluation

182 According to IPCC (2013), vulnerability is defined as the propensity or predisposition to be  
183 adversely affected in IPCC 5<sup>th</sup> report, which is not always corresponding definition in numerous  
184 literatures (Houghton et al., 2001; Cannon, 1994; Cutter, 1996a). But the connotation of  
185 vulnerability is becoming much clear, which is mainly about the inherent characteristics of  
186 acceptors (human being, society, economy, agriculture, water et al.) when they are faced with  
187 different coerces or threats, such as climate change, extreme events, disasters and so on. Under  
188 climate change, there are a lot of changes on drought trends in China. In some regions, it  
189 becomes much more serious and frequency; in other regions, it becomes weakening and  
190 declining. But the economic and environmental losses caused by drought disasters are becoming  
191 much more tremendous. So it is important to evaluate the impacts of climate change on drought.  
192 Vulnerability assessment could reveal the relationship between stress factors and acceptors,  
193 distribution of vulnerable areas, and degree of vulnerability. With the increasing knowledge on  
194 vulnerability, the vulnerability evaluation model has become stable and clear, which contains  
195 three aspects: exposure, sensitivity and adaptive capacity. Most of researchers have accepted the  
196 vulnerability evaluation model. In this research, exposure is the extent to which the acceptors are  
197 subject to potential drought. Sensitivity is the reaction of acceptors when they suffer the attack  
198 of drought; in other words, it is the possibility of potential loss caused by drought. Adaptive  
199 capacity is the ability of human being to defend and mitigate the drought disasters. Vulnerability  
200 evaluation model is as follows:

$$201 \text{ Vulnerability index} = \frac{\text{Exposure index} * \text{Sensitivity index}}{\text{Adaptive capacity index}}$$



202 Many factors can affect the vulnerability of drought, for example, population, Gross Domestic  
 203 Product, revenue, water resource, sown area, irrigation area and so on. Due to the interaction of  
 204 multiple factors, the vulnerability of drought in different counties may be very different. The  
 205 vulnerability evaluation factors should be chosen from multiple impacts factors, which could  
 206 precisely reveal the characteristics of vulnerability of drought. In this research, 15 factors were  
 207 selected (table 2), including permanent residents, population density, education level of  
 208 population, aging rate and so on. The drought trends may change under climate change, which  
 209 would have an impact on hazard evaluation of drought. But in regard to vulnerability, its trends  
 210 may be much more complicated in the future, because the vulnerability of drought involves many  
 211 different aspects, such as human being, economy, environment, society, eco-system and so on.  
 212 The uncertainty would be very high if the vulnerability factors of drought in the future are  
 213 predicted. So the recent situations of vulnerability factors of drought are usually treated as the  
 214 typical situation for future vulnerability evaluation. Based on the available data, the vulnerability  
 215 factors of drought in 2012 are selected and it is hypothesized that the vulnerability in the future  
 216 (from 2016 to 2050) is the same as the vulnerability in 2012.

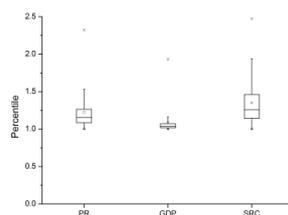
**Tab. 2 Vulnerability evaluation index system of Drought**

| Indexes           | Factors                                 | Introduction                                                                                                                            |
|-------------------|-----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|
| Exposure          | Permanent residents                     | The population who live in one county for more than 6 months per year                                                                   |
|                   | Gross Domestic Product                  | The monetary value of all the finished goods and services produced per year within a county's borders                                   |
|                   | Sown area of crops                      | The area of crops which are planted per year in one county                                                                              |
| Sensitivity       | Population density                      | The density of population in one county                                                                                                 |
|                   | Education level of population           | The percentage of residents with inadequate education which are under college level in the whole population which is beyond 6 years old |
|                   | Aging rate                              | The percentage of population which is between 20 years old and 60 years old in the whole population                                     |
|                   | Urbanization rate                       | The percentage of agricultural population in the permanent residents of one county                                                      |
|                   | Per capita water resources              | The volume of water resources per year for one person in one county                                                                     |
|                   | Water consumption for 10000 Yuan of GDP | The volume of water consumption per year for 10000 Yuan of GDP in one county                                                            |
| Adaptive capacity | Local fiscal revenue                    | The whole fiscal revenue of local government per year in one county                                                                     |
|                   | Effective irrigated areas               | The percentage of irrigated area per year in all the arable land of one county                                                          |
|                   | Water supply capacity                   | The volume of water supply per year by the pipes in one county                                                                          |
|                   | Water storage capacity                  | The volume of water storage per year in one county                                                                                      |
|                   | Per capita income                       | The average income of residents per year in one county                                                                                  |
|                   | Forest coverage rate                    | The percentage of forest coverage in one county                                                                                         |



### 218 2.3.1 Exposure index

219 Exposure index is an important part of vulnerability evaluation index system, which reveals the  
220 extent, quantity and size of acceptors. In one county, human being is usually considered as the  
221 first key element, because people-oriented is the core of risk assessment. When drought  
222 disasters break out, the survival of human being should be the first place primacy. Then  
223 agriculture is considered as another important factor, which is related to the reduction of yield or  
224 even total crop failure. In addition, economy is thought to be an indispensable factor, which  
225 refers to the potential losses due to drought disasters. In this research, Permanent residents (PR),  
226 Gross Domestic Product (GDP) and Sown area of crops (SRC) are selected to be exposure factors  
227 of drought.



228  
229 Fig.1 The percentile of PR (Permanent residents), GDP (Gross Domestic Product) and SRC (Sown area of crops) in  
230 2373 counties of whole China

231 Exposure index (EI) model is established based on the above factors. First, the three factors  
232 should be converted into non-dimensional. The percentile distributions of PR, GDP and SRC are  
233 shown in Fig.1. Due to the huge gaps of different counties, most numerical values of the three  
234 exposure factors are smaller than 1.5, especially in which most numerical values of GDP factor  
235 are smaller than 1.25. Then the exposure indexes in 2373 counties of whole China are calculated  
236 according to the following model.

$$237 EI = \sqrt[3]{PR * GDP * SRC}$$

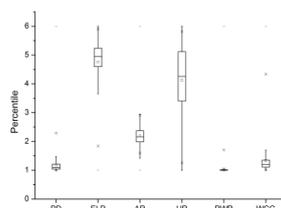
238 Based on the calculation and percentile distribution, the exposure indexes in 2373 counties  
239 are classified into five levels, including highest exposure, high exposure, moderate exposure, low  
240 exposure and lowest exposure. Almost 268 counties are under highest exposure; 495 counties  
241 are under high exposure; 777 counties are under moderate exposure; 452 counties are under low  
242 exposure; 381 counties are under lowest exposure.

### 243 2.3.2 Sensitivity

244 Sensitivity index is the core of vulnerability evaluation index system, which reveals the vulnerable  
245 levels of acceptors when they are faced with different stressors (such as extreme events,  
246 disasters, human activities and so on). Different stressors may cause different sensitivity indexes  
247 for the same acceptor. For example, when crops suffer a serious flood, the main sensitivity  
248 indexes may be the flood resistance of crops; but when crops suffer a severe drought, the main  
249 sensitivity indexes may be the drought resistance of crops. So it is important to choose the  
250 appropriate factors of sensitivity index for drought. In this research, six factors are selected to



251 reveal the sensitivity of drought in different counties, including Population density (PD),  
252 Education level of population (ELP), Aging rate (AR), Urbanization rate (UR), Per capita water  
253 resources (PWR) and Water consumption for 10000 Yuan of GDP (WCG).



254  
255 Fig.2 The percentile of PD (Population density), ELP (Education level of population), AR (Aging rate), UR  
256 (Urbanization rate), PWR (Per capita water resources) and WCG (Water consumption for 10000 Yuan of GDP) in  
257 2373 counties of whole China

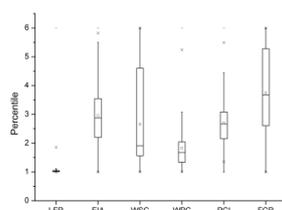
258 As the same with exposure index, the six factors should be converted into non-dimensional.  
259 The percentile distributions of PD, ELP, AR, UR, PWR and WCG are shown in Fig.2, in which the  
260 differences among numerical ranges of the six sensitivity factors are revealed. Most numerical  
261 values of ELP and UR are bigger than 2.0; most numerical values of PD, PWR and WCG are smaller  
262 than 1.5; most numerical values of AR are concentrated in 2.0 ~ 2.5. It is important to reduce the  
263 magnitude gaps of different factors for sensitivity evaluation. The sensitivity indexes (SI) in 2373  
264 counties of whole China are calculated according to the following model.

265 
$$SI = \sqrt[6]{PD * ELP * AR * UR * PWR * WCG}$$

266 Based on the calculation and percentile distribution, the sensitivity indexes in 2373 counties  
267 are classified into five levels, including highest sensitivity, high sensitivity, moderate sensitivity,  
268 low sensitivity and lowest sensitivity. Almost 340 counties are under highest sensitivity; 442  
269 counties are under high sensitivity; 803 counties are under moderate sensitivity; 463 counties are  
270 under low sensitivity; 325 counties are under lowest sensitivity.

### 271 2.3.3 Adaptive capacity

272 Adaptive capacity is the opposite of vulnerability, which reveals the capacity of suffering and  
273 defending the stressors. When adaptive capacity is much stronger, the vulnerability will be much  
274 lower. Usually adaptive capacity index is connected closely with sensitivity index. For example,  
275 education level of population factor could reveal the sensitivity of population with different levels  
276 of education, which could also indicate the degrees of adaptive capacity in different counties. In  
277 other words, high education level of population in one county is much bigger, the sensitivity may  
278 be lower and the adaptive capacity may be higher. So it is necessary to distinguish the sensitivity  
279 factors and adaptive capacity factors. In this research, six factors are selected to reveal the  
280 adaptive capacity of drought in different counties, including Local fiscal revenue (LFR), Effective  
281 irrigated areas (EIA), Water supply capacity (WPC), Water storage capacity (WSC), Per capita  
282 income (PCI) and Forest coverage rate (FCR).



283  
284 Fig.3 The percentile of LFR (Local fiscal revenue), EIA (Effective irrigated areas), WSC (Water storage capacity),  
285 WPC (Water supply capacity), PCI (Per capita income) and FCR (Forest coverage rate) in 2373 counties of whole  
286 China

287 As the same with exposure index and sensitivity index, the six factors of adaptive capacity  
288 should be converted into non-dimensional. The percentile distributions of LFR, EIA, PCI, WPC,  
289 WSC and FCR are shown in Fig.3, in which the differences among numerical ranges of the six  
290 adaptive capacity factors are revealed. The distribution ranges of WSC and FCR are bigger than  
291 the other four factors, which cover a wide range of 1.0~5.5. Most numerical values of EIA and PCI  
292 are centralized in 2.0~3.5; most numerical values of WPC are from 1.0 to 2.0; most numerical  
293 values of LFR are smaller than 0.5. Based on exposure index model and adaptive capacity index  
294 model, the adaptive capacity indexes (ACI) in 2373 counties of whole China are calculated  
295 according to the following model.

$$296 \quad ACI = \sqrt[6]{LFR * EIA * PCI * WPC * WSC * FCR}$$

297 According to the calculation and percentile distribution, the adaptive capacity indexes in 2373  
298 counties are classified into five levels, including highest level, high level, moderate level, low level  
299 and lowest level. Almost 288 counties are under highest level; 525 counties are under high level;  
300 766 counties are under moderate level; 446 counties are under low level; 348 counties are under  
301 lowest level.

## 302 2.4 Risk assessment

303 Risk is defined as the potential for consequences where something of value is at stake and where  
304 the outcome is uncertain, recognizing the diversity of values (IPCC, 2013). It is often represented  
305 as probability of occurrence of hazardous events or trends multiplied by the impacts if these  
306 events or trends occur, which is shown as the interaction of hazard and vulnerability. In the past  
307 decades, impact assessment is usually a popular research area in the world. Now risk assessment  
308 is becoming much more important in the study of climate change and adaptation. Researchers  
309 pay more attention to the potential that a hazard caused by climate change will turn into a  
310 disaster. Hazard evaluation and vulnerability evaluation are becoming the important parts of risk  
311 assessment. The RCP scenarios (Representative Concentration Pathways) give different pictures  
312 of future climate, which will lead to different hazards of drought. For example, in presently dry  
313 regions, drought frequency will likely increase by the end of the 21<sup>st</sup> century under RCP 8.5. Risks  
314 could be reduced substantially under the assessed scenario with the lowest temperature  
315 projections (RCP2.6 – low emissions) compared to the highest temperature projections (RCP8.5 –  
316 high emissions), particularly in the second half of the 21<sup>st</sup> century. In this research, the hazards of  
317 drought from 2016 to 2050 under RCP (2.6, 4.5, 6.0, 8.5) scenarios are evaluated. The



318 vulnerabilities of drought in 2373 counties of whole China are also evaluated. Based on hazard  
319 evaluation and vulnerability evaluation, risk assessment model is established according to the  
320 principle of risk proposed by United Nations (UN, 1991).

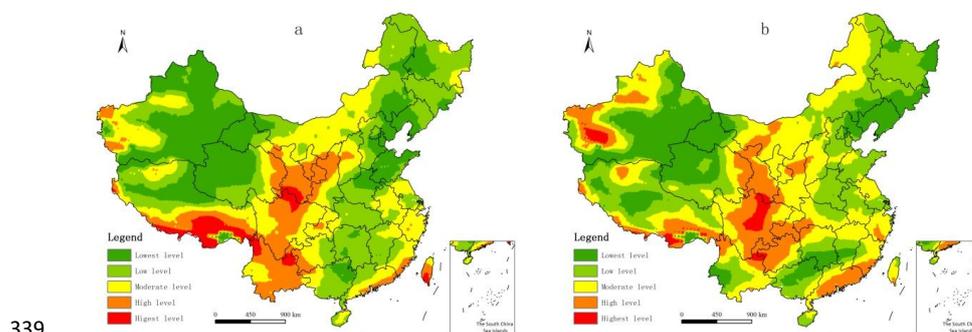
321 
$$R (\text{risk})=H(\text{Hazard})\times V(\text{vulnerability})$$

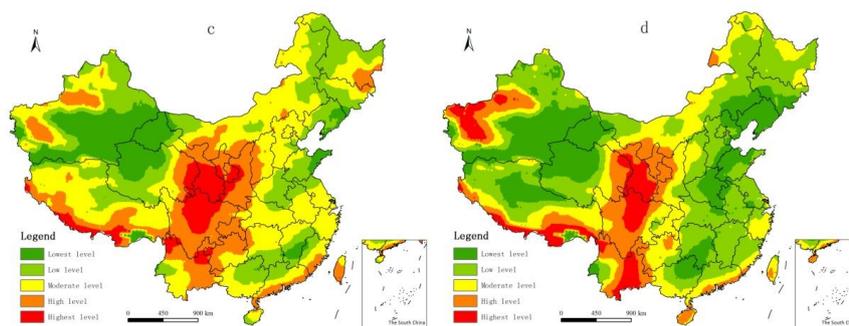
322 Where,  $R$  is risk index of drought in the future;  $H$  is hazard index of drought under RCPs  
323 scenarios;  $V$  is vulnerability index of drought in whole China.

## 324 3 Results

### 325 3.1 Hazard evaluation

326 Based on the integrated drought index, hazards of drought under RCP (2.6, 4.5, 6.0, 8.5) scenarios  
327 from 2016 to 2050 in China have been evaluated. The hazards of drought are classified into five  
328 levels, including highest hazardous, high hazardous, moderate hazardous, low hazardous and  
329 lowest hazardous. The distributions of drought hazards under RCP (2.6, 4.5, 6.0, 8.5) scenarios  
330 from 2016 to 2050 in China are shown in Fig.4, which reveals the future trends of drought under  
331 climate change in China. Comparing the hazards of drought under different RCP scenarios, there  
332 are several similar trends. First, a belt around the boundary between Gansu province and Sichuan  
333 province will be the most hazardous region under four different RCP scenarios. Second, the most  
334 hazardous area is always the smallest and the least hazardous area is always the biggest under  
335 four different RCP scenarios. However the difference of hazard trends under four RCP scenarios is  
336 more obvious than the similarity. It is the most serious under RCP 6.0 scenario in which the area  
337 of highest hazardous and high hazardous is the biggest. It is the least serious under RCP 2.6  
338 scenario in which the area of highest hazardous and high hazardous is the smallest.





340  
341 **Fig.4** Distribution of drought hazards under RCP (2.6-a, 4.5-b, 6.0-c, 8.5-d) scenarios from 2016 to 2050 in China  
342 (Red color represents highest hazardous regions; Orange color represents high hazardous regions; Yellow color  
343 represents moderate hazardous regions; Light green color represents low hazardous regions; Dark green color  
344 represents lowest hazardous regions)

345 According to raster calculation in ArcGIS, drought hazard under RCP (6.0) scenario is the most  
346 serious, in which the area of highest hazardous regions is almost  $5.8 \times 10^5 \text{ km}^2$ ; the area of high  
347 hazardous regions is almost  $1.79 \times 10^6 \text{ km}^2$ ; the area of moderate hazardous regions is almost  
348  $3.45 \times 10^6 \text{ km}^2$ ; the area of low hazardous regions is almost  $2.51 \times 10^6 \text{ km}^2$ ; the area of lowest  
349 hazardous regions is almost  $1.27 \times 10^6 \text{ km}^2$ . Drought hazard under RCP (8.5) scenario is the  
350 second most serious, in which the area of highest hazardous regions is almost  $6.6 \times 10^5 \text{ km}^2$ ; the  
351 area of high hazardous regions is almost  $1.26 \times 10^6 \text{ km}^2$ ; the area of moderate hazardous regions  
352 is almost  $2.0 \times 10^6 \text{ km}^2$ ; the area of low hazardous regions is almost  $3.46 \times 10^6 \text{ km}^2$ ; the area of  
353 lowest hazardous regions is almost  $2.22 \times 10^6 \text{ km}^2$ . Drought hazard under RCP (2.6) scenario is the  
354 less serious, in which the area of highest hazardous regions is almost  $2.78 \times 10^5 \text{ km}^2$ ; the area of  
355 high hazardous regions is almost  $1.18 \times 10^6 \text{ km}^2$ ; the area of moderate hazardous regions is  
356 almost  $2.33 \times 10^6 \text{ km}^2$ ; the area of low hazardous regions is almost  $3.15 \times 10^6 \text{ km}^2$ ; the area of  
357 lowest hazardous regions is almost  $2.68 \times 10^6 \text{ km}^2$ . Drought hazard under RCP (4.5) scenario is the  
358 least serious, in which the area of highest hazardous regions is almost  $1.7 \times 10^5 \text{ km}^2$ ; the area of  
359 high hazardous regions is about  $1.39 \times 10^6 \text{ km}^2$ ; the area of moderate hazardous regions is almost  
360  $2.92 \times 10^6 \text{ km}^2$ ; the area of low hazardous regions is about  $2.93 \times 10^6 \text{ km}^2$ ; the area of lowest  
361 hazardous regions is almost  $2.2 \times 10^6 \text{ km}^2$ .

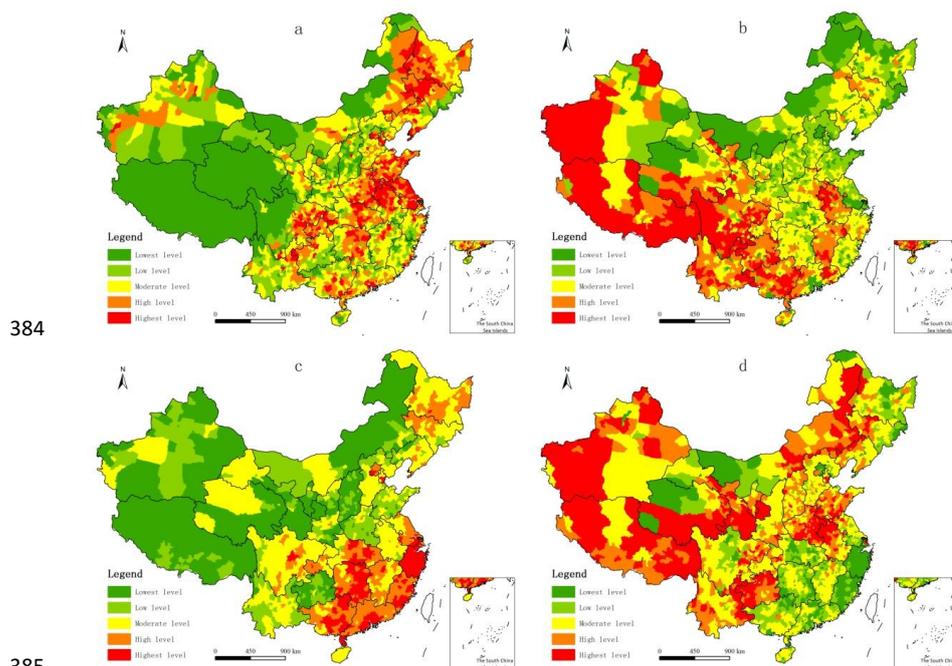
362 Through the comparison of integrated index of drought hazard (IIDH) under RCP 2.6, 4.5, 6.0,  
363 8.5 emission scenarios from 2016 to 2050, drought hazard under RCP 6.0 is the highest; IIDH  
364 under RCP 8.5 is the second most serious; IIDH under RCP 2.6 is the less serious; IIDH under RCP  
365 4.5 is the least serious. Though RCP 8.5 scenario is the highest emission pathway, drought hazard  
366 under RCP 8.5 in China is not the most serious; RCP 2.6 scenario is the lowest emission pathway,  
367 drought hazard under RCP 2.6 in China is not the least serious; because the different emission  
368 processes of RCP scenarios lead to different drought hazards. Taking RCP 8.5 scenarios for  
369 example, by the end of 2100 it would be the most serious among the four RCP scenarios, but by  
370 the end of 2050 the RCP 6.0 scenario is more serious than RCP 8.5 scenario. As the same reason,  
371 the drought hazard under RCP 2.6 scenario is also not the least serious by the end of 2050. In  
372 other words, by the end of 2050 the rank of drought hazard under RCP (2.6, 4.5, 6.0, 8.5)  
373 emission scenarios is not in accord with the rank of representative concentrations. The results  
374 provide us a clear understanding of drought hazards under different RCP scenarios from 2016 to



375 2050, which would avoid the assumption of drought hazards.

### 376 3.2 Vulnerability evaluation

377 As mentioned above, vulnerability evaluation includes three indexes-exposure index, sensitivity  
378 index and adaptive capacity index, which are calculated separately. According to the three  
379 indexes, vulnerability of drought in 2373 counties of whole China has been evaluated, which is  
380 also classified into five levels in order to match hazards assessment. The distributions of drought  
381 exposure, sensitivity, adaptive capacity and vulnerability in 2373 counties of whole China are  
382 shown in Fig.5, which reveal the characteristics of hazard-affected bodies faced with drought  
383 disasters.



385  
386 **Fig.5** Distribution of drought exposure (picture a), sensitivity (picture b), adaptive capacity ((picture c) and  
387 vulnerability (picture d) in 2373 counties of whole China (Red color represents highest level; Orange color  
388 represents high level; Yellow color represents moderate level; Light green color represents low level; Dark green  
389 color represents lowest level)

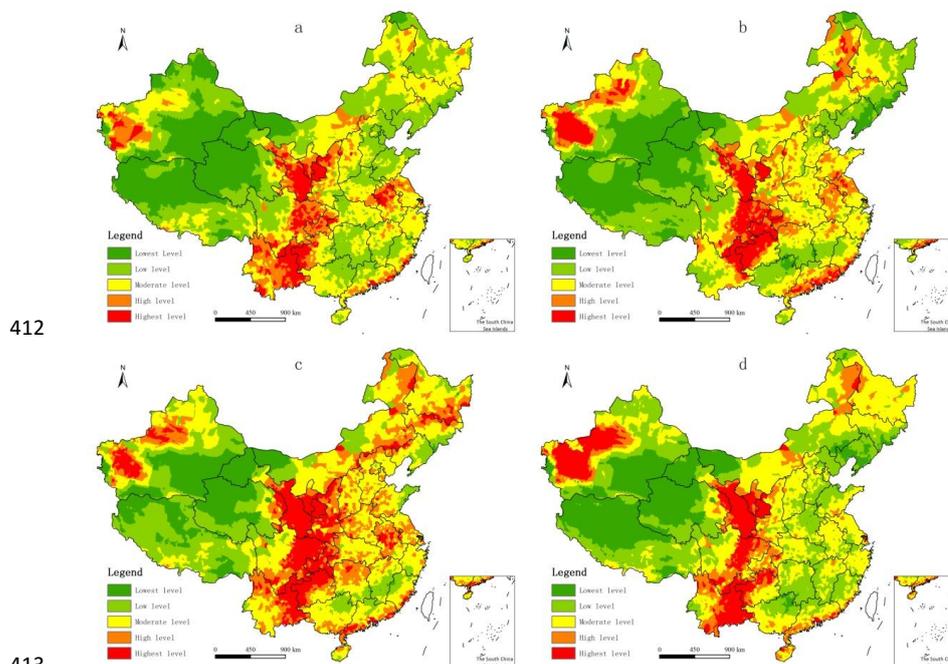
390 According to vulnerability evaluation of drought, the most vulnerable area mainly distributes  
391 in North China, Northeast China and Southwest China, including east of Henan, north of Anhui,  
392 south of Shandong, south of Gansu, north of Yunnan, northeast of Inner Mongolia, east of Jilin.  
393 Exposure evaluation reveals that the major grain production bases are most vulnerable to expose  
394 to drought hazard, such as Northeast China, North China and Central China, in which the  
395 population and crop planting area are huge. Due to different properties of population,  
396 Urbanization and water resources, West China is most sensitive to drought hazard, including  
397 Yunnan, Sichuan, Guizhou, Guangxi, Gansu, west of Xinjiang and so on. Due to higher level of  
398 economic development and abundant water resources in Southeast China, the adaptive faculty



399 to drought is much better than anywhere else, such as Guangdong, Fujian, Zhejiang, Jiangxi and  
400 so on.

### 401 3.3 Risk assessment

402 According to risk assessment model proposed by UN, risks of drought under RCP (2.6, 4.5, 6.0, 8.5)  
403 scenarios from 2016 to 2050 in China have been evaluated. As the same with hazard index and  
404 vulnerability index, risks of drought have been classified into five levels, including highest risk,  
405 high risk, moderate risk, low risk and lowest risk. The distributions of drought risks under RCP (2.6,  
406 4.5, 6.0, 8.5) scenarios from 2016 to 2050 in China are shown in Fig.6, which reveals the future  
407 challenges faced with drought disasters under climate change in China. Comparing the risks  
408 under four RCP scenarios, the highest risk area is concentrated on several regions, including  
409 Gansu, Ningxia, Shanxi, Sichuan, Chongqing, Guizhou, Yunnan and the east edge of  
410 Qinghai-Tibetan Plateau. Besides, west of Xinjiang, coast zone of Guangdong and Fujian are also  
411 under high risk of drought.



414 **Fig.6** Distribution of drought risks under RCP (2.6-a, 4.5-b, 6.0-c, 8.5-d) scenarios from 2016 to 2050 in China (Red  
415 color represents highest risk; Orange color represents high risk; Yellow color represents moderate risk; Light green  
416 color represents low risk; Dark green color represents lowest risk)

417 Based on the analysis of risk, drought risk under RCP (6.0) scenario is the most serious, in  
418 which the area of highest risk regions is almost  $1.1 \times 10^6 \text{ km}^2$ ; the area of high risk regions is  
419 almost  $1.72 \times 10^6 \text{ km}^2$ ; the area of moderate risk regions is almost  $2.79 \times 10^6 \text{ km}^2$ ; the area of low  
420 risk regions is almost  $2.59 \times 10^6 \text{ km}^2$ ; the area of lowest risk regions is almost  $1.38 \times 10^6 \text{ km}^2$ .  
421 Drought hazard under RCP (8.5) scenario is the second most serious, in which the area of highest  
422 risk regions is almost  $9.3 \times 10^5 \text{ km}^2$ ; the area of high risk regions is almost  $9.1 \times 10^5 \text{ km}^2$ ; the area



423 of moderate risk regions is almost  $2.61 \times 10^6 \text{km}^2$ ; the area of low risk regions is almost  $3.3 \times$   
424  $10^6 \text{km}^2$ ; the area of lowest risk regions is almost  $1.84 \times 10^6 \text{km}^2$ . Drought hazard under RCP (2.6)  
425 scenario is the less serious, in which the area of highest risk regions is almost  $5.47 \times 10^5 \text{km}^2$ ; the  
426 area of high risk regions is almost  $9.95 \times 10^5 \text{km}^2$ ; the area of moderate risk regions is almost  $2.73$   
427  $\times 10^6 \text{km}^2$ ; the area of low risk regions is almost  $3.25 \times 10^6 \text{km}^2$ ; the area of lowest risk regions is  
428 almost  $2.06 \times 10^6 \text{km}^2$ . Drought hazard under RCP (4.5) scenario is the least serious, in which the  
429 area of highest risk regions is almost  $7.7 \times 10^5 \text{km}^2$ ; the area of high risk regions is almost  $1.19 \times$   
430  $10^6 \text{km}^2$ ; the area of moderate risk regions is almost  $2.76 \times 10^6 \text{km}^2$ ; the area of low risk regions is  
431 almost  $3.0 \times 10^6 \text{km}^2$ ; the area of lowest risk regions is almost  $1.87 \times 10^6 \text{km}^2$ .

#### 432 **4 Discussion and conclusion**

433 Climate change has been a hotspot of scientific research and governmental decision in the world  
434 for decades. Due to climate change, the disasters become much more serious, which lead to huge  
435 losses of lives, economy, ecology and environment. Based on the assessment of drought hazard,  
436 vulnerability and risk under RCP (2.6, 4.5, 6.0, 8.5) scenarios from 2016 to 2050 in China, the  
437 distributions of drought disasters in future are revealed. In summary, there are several  
438 conclusions of this study which need to be discussed.

439 First, many researchers have focused on the analysis of the frequency, intensity and duration  
440 of extreme events based on the Coupled Model Intercomparison Project (such as CMIP3/5),  
441 which reveal the uncertainties of climate models for the future projections (Touma et al., 2015;  
442 Gu et al., 2014; Mehran et al., 2014). According to IPCC 3th to 5th, the risk assessment of climate  
443 change on different extreme events becomes much more important, which is taken as the bridge  
444 between impacts and adaptation. In this study, it is the most important to evaluate the risk of  
445 drought under RCP scenarios. It is meaningful to integrate the hazard and vulnerability of drought  
446 under climate change. We try to explore a feasible method of combining the physical factors and  
447 social-economic factors together to assess drought disasters. The spatial distributions of drought  
448 risk are accomplished under RCP scenarios based on PRECIS, which revealed the most risky  
449 regions threatened by meteorological drought in the future. But it is not discussed in this study  
450 that the simulations of different global climate models would also bring about another type of  
451 risk, which is mainly about the uncertainties of hazards of drought. It may be a good choice for us  
452 to seek in the future work.

453 Second, according to this study, the distributions of drought hazard on the highest level and  
454 high level under RCP scenarios from 2016 to 2050 are mostly concentrating in the similar regions,  
455 most of which locate in the middle part of China, including Gansu, Ningxia, Shanxi, Sichuan,  
456 Chongqing, Guizhou and Yunnan provinces. Except the middle part, it is also distributed in west  
457 of Xinjiang, south of Tibet, coast of Guangdong and Fujian. Comparing with the past researches,  
458 some researchers conclude that the increasing drought hazard in Southwest China and the  
459 Qinghai-Tibetan Plateau is much more serious than other parts of China in the future (Wang and  
460 Chen, 2014; Leng et al., 2015). Due to different climate models, the distributions of drought  
461 hazard are not completely identical, but most of the studies approved that moderate or severe  
462 drought according to current climate standards will become the norm in the future. In this study,  
463 the similar trend is found out. Further on, the distributions of drought hazard under RCP  
464 scenarios from 2016 to 2050 are in accordance with the drought situation in the past few years.



465 For example, Southwest China was subjected to severe drought disasters in a-hundred-year  
466 return period from 2009 to 2013, including Sichuan, Chongqing, Guizhou and Yunnan provinces.  
467 So it is important for the national and local government to take effective and targeted measures  
468 in different regions, which could prevent the drought hazards to become disasters in advance.

469 Third, vulnerability evaluation index system is very complicated for any disaster which reflects  
470 the relationship between hazards and hazard-affected bodies. There are so many factors which  
471 could affect the exposure index, sensitivity index, adaptive capacity index and vulnerability of  
472 drought hazard, including population, economy, society, agriculture, forest, ecological  
473 environment, water resource facilities and so on. In this study 15 factors were selected from  
474 multiple impacts factors, which could precisely reveal the characteristics of vulnerability of  
475 drought. The 15 factors are independent of which the interrelationships are avoided as much as  
476 possible. Due to the demand of accuracy and completeness of data in 2373 counties of whole  
477 China, some factors are not chosen in this study, such as water resource facilities, water  
478 conservancy projects, relief materials reservation and so on. In the future research, the  
479 vulnerability evaluation index system of drought will be improved and consummated to make it  
480 much precise and credible. On the other hand, in this study the vulnerability of drought in 2013 is  
481 evaluated for the future risk assessment from 2016 to 2050. The future simulation of 15  
482 vulnerability factors would enormously increase the uncertainty of vulnerability evaluation which  
483 may lead to huge deviations or even big errors. Therefore the vulnerability of drought in 2013 is  
484 regarded as the basis of risk assessment which could reveal the differences of risk distribution  
485 from 2016 to 2050 under different RCP scenarios.

486 Based on the conclusion and discussion, the measures of coping with drought disasters are  
487 proposed, which could provide scientific basis for the prevention and mitigation of future  
488 drought disasters in China. On one hand, it is urgent to speed up water infrastructure  
489 construction in regions faced with high risk of drought in the future. At the same time, improving  
490 the non-engineer measures in regions faced with moderate and low risk of drought in the future.  
491 On the other hand, strengthening the protection of ecological environment in whole country is  
492 necessary to promote the resilience of natural system. From this study, we can see the drought  
493 disaster will still be a big challenge in the future in China. So the research on risk assessment of  
494 drought in the future will need much more attention in the future.

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