# Improving seasonal drought predictions by conditioning on ENSO states

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#### Abstract

Significant hindcast skill for the 3-month standardized precipitation index (SPI\$-{3M}\$) has been so far limited to one lead month. To increase that lead time, we propose to exploit well-known El Ni\~no-Southern Oscillation (ENSO)-precipitation teleconnections through ENSO-state conditioning. We condition initialized seasonal SPI\$\_{3M}\$ hindcasts, derived from the Max-Planck-Institute Earth System Model over the period 1982-2013, on ENSO states by exploring significant agreements between two complementary analyses: hindcast skill ENSO-composites, and observed ENSO-precipitation correlations. Predictions conditioned on autumn (ASO)-ENSO states demonstrate significant and reliable winter (DJF) drought hindcast skill up to lead month 4 in equatorial South- and southern North America. The area of reliable drought hindcast skill is further enlarged when the respective region's dry ENSO phase is already present in the antecedent summer (JJA-ENSO-state-conditioned). In contrast to previous studies, our evaluation separates predictions and observations. Thereby, ENSO-state conditioning demonstrates genuine hindcast skill up to lead month 4.

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# Key Points:

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# We assess genuine hindcast skill by deriving the predicted drought index entirely from hindcasts We improve drought predictions by utilizing expertise on ENSO-precipitation teleconnections ENSO-state conditioning increases lead time of significant drought hindcast skill

13 from 1 to 4 months

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#### 14 Abstract

Significant hindcast skill for the 3-month standardized precipitation index (SPI<sub>3M</sub>) has 15 been so far limited to one lead month. To increase that lead time, we propose to exploit 16 well-known El Niño-Southern Oscillation (ENSO)-precipitation teleconnections through 17 ENSO-state conditioning. We condition initialized seasonal  $SPI_{3M}$  hindcasts, derived from 18 the Max-Planck-Institute Earth System Model over the period 1982-2013, on ENSO states 19 by exploring significant agreements between two complementary analyses: hindcast skill 20 ENSO-composites, and observed ENSO-precipitation correlations. Predictions condi-21 tioned on autumn (ASO)-ENSO states demonstrate significant and reliable winter (DJF) 22 drought hindcast skill up to lead month 4 in equatorial South- and southern North Amer-23 ica. The area of reliable drought hindcast skill is further enlarged when the respective 24 region's dry ENSO phase is already present in the antecedent summer (JJA-ENSO-state-25 conditioned). In contrast to previous studies, our evaluation separates predictions and 26 observations. Thereby, ENSO-state conditioning demonstrates genuine hindcast skill up 27 to lead month 4. 28

### <sup>29</sup> Plain language summary

The time horizon of skillful seasonal drought predictions was in previous studies 30 limited to 1 month. In this study, we increase that horizon to up to 4 months by exploit-31 ing a well-known and thoroughly investigated dependence of regional precipitation on 32 sea-surface temperature anomalies in the equatorial Pacific Ocean. Yet, seasonal drought 33 predictions still insufficiently capitalize on this expertise. Retrospective forecasts exhibit 34 a better ability to predict winter droughts for a longer time horizon when these sea-surface 35 temperature anomalies are sufficiently large. The magnitude of these anomalies is ob-36 servable at the start of the prediction in November and does not change fundamentally 37 during the prediction time. Thus, the uncertainty associated with our prediction decreases 38 when the magnitude of those observed anomalies surpasses a certain threshold, which 39 generates a predictable precipitation signal over the target regions. Furthermore, pre-40 vious studies usually combine simulated with observed precipitation to derive the pre-41 dicted drought index. This facilitates the identification of skill in the prediction. Such 42 an approach blurs the proportion of the predictive skill that is based on the prediction. 43 In contrast to this practice, we strictly separate observations from simulations and, thereby, 44 demonstrate the genuine skill of our prediction in parts of the Americas. 45

-2-

## 46 **1** Introduction

Reliable seasonal drought predictions can alleviate the harm caused by droughts 47 through timely and accurate warnings, resulting in increased preparedness. However, the 48 time horizon of reliable drought predictions is currently strictly confined to one lead month 49 (Mo & Lyon, 2015; Ma et al., 2015; Yuan & Wood, 2013; Quan et al., 2012; Yoon et al., 50 2012). Here, we analyze the potential to increase this time horizon by evaluating our pre-51 dictions for times and regions known to be influenced by El Niño-Southern Oscillation 52 (ENSO) teleconnections. Previous studies have shown that SST anomalies in the equa-53 torial Pacific lead the response of winter precipitation anomalies on the American con-54 tinent by roughly 4 to 6 months (Redmond & Koch, 1991; Harshburger et al., 2002). De-55 spite this expertise on lagged ENSO-precipitation teleconnections, current evaluations 56 of dynamical seasonal drought predictions still insufficiently utilize this window of op-57 portunity. Exploiting this, the present study generates significant and reliable drought 58 hindcast skill up to lead month 4. 59

While the predictive skill of precipitation is usually unreliable over land (Kim et 60 al., 2012), ENSO teleconnections affect regional precipitation and are known to gener-61 ate seasonal prediction skill (Kumar et al., 2013). Several studies established ENSO tele-62 connections as a dominant forcing for observed precipitation over many regions (Seager 63 et al., 2005; Dai & Wigley, 2000; Ropelewski & Halpert, 1987, 1986). Additionally, the 64 same patterns of teleconnections were identified with similar strength in simulations (Schubert 65 et al., 2016, 2008). The insights about ENSO-precipitation teleconnections were also suc-66 cessfully transferred to teleconnections between ENSO and specific drought indices. 67

One such drought index is the Standardized Precipitation Index (SPI) (McKee et 68 al., 1993), which we use in this study. SPI is recommended by the WMO (Hayes et al., 69 2011) and widely in use (e.g., Mo & Lyon, 2015; Ma et al., 2015; Yoon et al., 2012). The 70 index quantifies the standardized deficit (or surplus) of precipitation during a predefined 71 accumulation period. Here, we analyze SPI with an accumulation period of 3 months 72 to investigate the predictability of meteorological droughts. Analog to ENSO-precipitation 73 teleconnections, ENSO–SPI teleconnections are nowadays equally well established for ob-74 servations (Manatsa et al., 2017; Hallack-Alegria et al., 2012) and simulations (Ma et 75 al., 2015; Mo et al., 2009) over many regions. In summary, models usually capture ENSO-76 precipitation and ENSO-SPI teleconnections properly. 77

-3-

Ma et al. (2015) evaluated the seasonal forecast skill of SPI in ENSO composites. 78 However, they focused on the relationship between seasonal drought predictability and 79 forecast skill. Among several sensitivities, they also illustrate this relationship through 80 ENSO composites. Their results indicate promising impacts of an active ENSO state on 81 the forecast skill of general SPI variability. Yet, their results suggest that the impacts 82 of active ENSO states on forecast skill of extremes, such as droughts, are less robust. How-83 ever, Ma et al. (2015) investigated forecast skill over southern China. With this contri-84 bution, we want to investigate drought hindcast skill in northern South America and south-85 ern North America. Both regions display more pronounced ENSO-precipitation telecon-86 nections than China (Dai & Wigley, 2000). We attempt to expand this expertise by in-87 vestigating the predictive potential of ENSO–SPI teleconnections during active ENSO 88 states. Our investigation focuses on opportunities to increase the lead time of reliable 89 drought hindcast skill. 90

A remaining key challenge for seasonal predictions of meteorological droughts is 91 to increase the lead time of skillful seasonal precipitation and drought index predictions 92 (Wood et al., 2015). Several studies (e.g., Mo & Lyon, 2015; Yuan & Wood, 2013; Quan 93 et al., 2012; Yoon et al., 2012) have demonstrated significant SPI hindcast skill up to lead 94 month 1 with an accumulation period of 3 months and/or up to lead month 3 with an 95 accumulation period of 6 months. In these studies, hindcast skill usually drops below the 96 significance threshold when the lead time exceeds half of SPI's accumulation period. This 97 implies that significant prediction skill has been achieved only when the precipitation 98 output of the model accounts for not more than half of the data of the predicted SPI, 99 while the other half stems from observations. The predicted SPI with an accumulation 100 period of 3 (6) months employs observed precipitation in 2 (3) months. On one hand, 101 this is a valid approach to exploit the memory of the drought index introduced by its 102 accumulation period. On the other hand, using observations in the calculation of the pre-103 dicted drought index obscures the quantification of the model's predictive skill. That may 104 lead to over-confidence in the performance of the model because the actual skill might 105 originate from observations. Depending on the prediction time, these observations may 106 impact the predicted drought index stronger than predicted precipitation. To avoid such 107 obscurities, our predicted drought index is solely forecast based and does not use obser-108 vations. 109

-4-

Consequently, we analyze drought hindcast skill using SPI with an accumulation 110 period of 3 months ( $SPI_{3M}$ ), which comprises lead months 2 to 4. Instead of relying on 111 a blend of observations and simulations in the predicted drought index, we attempt to 112 extend predictive skill through ENSO teleconnections. We investigate the lagged impacts 113 of an active ENSO state on winter (DJF) drought hindcast skill for the period 1982-2013 114 in seasonal hindcasts of the Max-Planck-Institute Earth System Model (MPI-ESM), which 115 were initialized each start of November. The analysis conditions our prediction on ac-116 tive ENSO states by exploring significant agreements between two complementary anal-117 yses: hindcast skill composites of ENSO states, and ENSO-precipitation correlations. 118 In this process, we investigate the sensitivity of our ENSO-state-conditioned prediction 119 by considering different lead times of the ENSO signal and determine which of those lead 120 times maximizes ENSO-state-conditioned drought hindcast skill in our analysis. To show-121 case the potential of ENSO-state conditioning, we investigate the lead time 2-4 months 122 using SPI with an accumulation period of 3 months. With this investigation, we attempt 123 to quadruple the time horizon of skillful drought predictions. 124

#### <sup>125</sup> 2 Data and methods

#### 126 **2.1 Data**

Our seasonal prediction system (Baehr et al., 2015; Bunzel et al., 2018; Pieper et 127 al., 2020a) is based on MPI-ESM, which is also used in the Coupled Model Intercom-128 parison Project 5 (CMIP5). MPI-ESM couples general circulation components for the 129 ocean (Jungclaus et al., 2013) and the atmosphere (Stevens et al., 2013). Moreover, MPI-130 ESM additionally contains subsystem components for terrestrial processes (Hagemann 131 & Stacke, 2015) and the marine bio-geochemistry (Ilyina et al., 2013). For this study the 132 model runs with 10 ensemble members in the same resolution as in CMIP5 – MPI-ESM-133 LR (low-resolution): T63 (approx. 1.875°x1.875°) with 47 vertical layers in the atmo-134 sphere between the surface and 0.01 hPa, and GR15 (maximum 1.5°x1.5°) with 40 ver-135 tical layers in the ocean. Except for an extension of the simulation to cover the period 136 1982-2013, the analyzed simulations are identical to the ensemble investigated by Bunzel 137 et al. (2018). In hindcasts, initialized each start of November, we evaluate the precip-138 itation output from December till February (lead months 2 to 4). 139

Observed monthly precipitation is obtained from the Global Precipitation Climatology Project (GPCP). GPCP's dataset combines observations and satellite precipitation data into a 2.5°x2.5°global grid spanning 1979 to present (Adler et al., 2003). To evaluate our hindcasts against these observations, the precipitation output of the model is interpolated to GPCP's grid.

145 **2.2 Methods** 

We calculate  $SPI_{3M}$  (McKee et al., 1993) for observations and simulations to eval-146 uate modeled against observed  $SPI_{3M}$  timeseries. SPI timeseries ought to be normally 147 distributed and it is important to note that non-normally distributed  $SPI_{3M}$  timeseries 148 would impair this evaluation process. Also, differences in the goodness-of-fit between ob-149 servations and simulations would undermine our evaluation process. Consequently, a proper 150 evaluation process ought to establish comparability between observed and modeled  $SPI_{3M}$ 151 timeseries by maximizing their normality both individually as well as concurrently. To 152 ensure such comparability, we employ in this study the methodology proposed by Pieper 153 et al. (2020b), which uses the exponentiated Weibull distribution, to compute  $SPI_{3M}$  time-154 series. 155

While analyzing these timeseries, we differentiate between two target regions that display strong ENSO-precipitation teleconnections: the southern USA and northern Mexico (henceforth simply referred to as North America), and northern South America (henceforth simply referred to as South America).

To quantify the strength of the ENSO signal, we calculate an ENSO-index by averaging SST anomalies, from the ERA-Interim reanalysis (Dee et al., 2011), in the Niño3.4 region (5°S-5°N, 120°W-170°W). El Niño and La Niña events, used in the process of conditioning our prediction on active ENSO states, are identified analog to *NOAA Climate Prediction Center*, based on a threshold of  $\pm 0.5$ °C in the 3-month running mean Niño3.4index (ONI) (Climate Prediction Center, 2015).

We condition our prediction on active ENSO states by exploring significant agreements between hindcast skill composites of active ENSO states and ENSO-precipitation correlations. In this process, we calculate Brier-Skill-Scores (BSS) (Murphy, 1973) and Pearson correlations. BSS needs to distinguish between a drought and a non-drought event to quantify the hindcast skill. For this differentiation a threshold is set in accordance with

-6-

WMO's SPI User Guide (Svoboda et al., 2012) to an SPI value of -1. Significances of 171 BSS (Pearson correlations) are computed with a one- (two-)sided 500-sample bootstrap 172 which is evaluated at the 5% significance level against the Brier-Score of a random pre-173 diction that uses theoretical climatological occurrence probabilities to predict the like-174 lihood of drought and non-drought conditions (against the null-hypotheses that the cor-175 relation is zero). We use well-known theoretical occurrence probabilities of the standard 176 normal distribution for this random prediction since Pieper et al. (2020b) demonstrated 177 the normality of the here employed calculation algorithm of  $SPI_{3M}$ . 178

Obtaining significant BSS hindcast skill in an ENSO composite analysis ensures 179 the quality of the model's prediction. Attaining also significant observed correlations in 180 an ENSO-precipitation correlation analysis safeguards the afore ascertained quality of 181 the model. Correlation and composite analyses are both linked to a sound, well-understood 182 physical mechanism and, thus, complement each other in our study. Moreover, while the 183 correlation analysis quantifies precipitation variations relative to fluctuations in the sig-184 nal, the composite analysis investigates the response of hindcast skill of SPI to extremes 185 in the signal. By exploring grid-cell-wise significant congruences of both analyses, we es-186 tablish the robustness of our investigation. Henceforth, we refer to this procedure as con-187 ditioning our hindcast skill on ENSO states. Since the hindcasts are initialized at the 188 start of November, we consequently use the ENSO information available by November 189 to condition our hindcast skill. 190

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### 3 ENSO-state-conditioned drought hindcast skill

In agreement with prior studies (Mo & Lyon, 2015; Wood et al., 2015; Yoon et al., 192 2012), BSS-assessed drought hindcast skill is poor for lead months 2 to 4 in climate mod-193 els such as MPI-ESM-LR almost everywhere around the globe (Fig 1a). Still, the best 194 drought hindcast skill emerges in North and South America (black boxes in Fig 1a). In 195 particular, those parts of North and South America, where observed precipitation is strongly 196 coupled to variations of the ENSO-index (Fig 1b). Grid cells that demonstrate compa-197 rable high hindcast skill concurrently show large correlation values between the ENSO-198 index and precipitation (compare Fig 1c with 1d). The more skillful the model's predic-199 tion of droughts, the higher is the correlation value between observed precipitation and 200 ENSO-index. This co-occurrence affirms our presumption that MPI-ESM-LR captures 201 strong ENSO-precipitation teleconnections in our target regions. 202

Confining our hindcast skill analysis to start years that exhibit La Niña (Fig 1e) 203 or El Niño (Fig 1f) conditions in ASO (at the initialization at the start of November) 204 substantially improves drought hindcast skill. However, some grid cells (e.g. in western 205 South America, and East North Central USA) show significant BSS hindcast skill in this 206 composite analysis but weak ENSO-precipitation correlations. In those grid cells, we can-207 not maintain the claim that ENSO-precipitation teleconnections depict the physical ba-208 sis for the skill improvement. Therefore, ENSO-state conditioning safeguards our anal-209 vsis against over-confidence. To condition our drought hindcast skill on ENSO states, 210 we highlight grid cells (Fig 1g and 1h) exhibiting both: significant correlations between 211 ENSO-index with precipitation (Fig 1d) and significant drought hindcast skill in the re-212 spective ENSO composite analysis (Fig 1e and 1f). Thereby, we achieve reliable (signif-213 icant in both analyses) ENSO-state-conditioned drought hindcast skill (Fig 1g and 1h). 214

Because a specific ENSO state contributes to either drying or wettening of our target regions, we separate our results into two cases. First, we obtain reliable SPI<sub>3M</sub> hindcast skill during a region's dry ENSO phase (indicated by brown grid cells in Fig 1g and 1h). Second, we obtain reliable SPI<sub>3M</sub> hindcast skill during a region's wet ENSO phase (indicated by green grid cells in Fig 1g and 1h). Since we investigate drought hindcast skill, we focus on the dry ENSO phase for the remainder of this study.

Next, we maximize the area of reliable drought hindcast skill during the dry ENSO 221 phase of our target regions. We maximize that area by examining its sensitivity to the 222 prescribed lag of the ENSO signal in our analysis. Instead of selecting composites based 223 on (and correlating DJF precipitation with) the ENSO signal in ASO, this sensitivity 224 analysis investigates the ENSO signal in an earlier season than ASO. In this process, we 225 identify that conditioning our drought hindcast skill on JJA-ENSO states maximizes the 226 area of each region's reliable drought hindcast skill (the count of brown grid cells in Fig 227 1g and 1h). 228

In North America (Fig 2a - c) and South America (Fig 2d - f), ENSO-index variability imprints similar during JJA as during ASO on observed DJF precipitation (compare Fig 2a and 2d against Fig 1d). This result agrees well with the lag identified by other studies (Redmond & Koch, 1991; Harshburger et al., 2002). Yet, when an ENSO event is present in the preceding boreal summer (JJA), MPI-ESM-LR captures ENSO-precipitation teleconnections better (see next paragraph). As a result of exploiting this lagged rela-

-8-

tionship, the count of grid cells showing significant BSS drought hindcast skill increases
in Fig 2 relative to Fig 1 by 60% (42%) in North (South) America. Consequently, also
the count of grid cells in which we achieve reliable drought hindcast skill through ENSOstate conditioning increases in Fig 2 relative to Fig 1 by 44% and 46% in North- and South
America, respectively. Consequently, ENSO-state conditioning leads to reliable drought
hindcast skill for lead months 2 to 4 in large parts of our target regions during their respective dry ENSO phases.

Illustrating why MPI-ESM-LR represents ENSO-precipitation teleconnections bet-242 ter, when they are present in JJA than those present in ASO, finalizes our results. Time-243 series demonstrate that active ENSO events in JJA develop a stronger ENSO signal than 244 active ENSO events in ASO. This stronger ENSO signal leads, via stronger ENSO-precipitation 245 teleconnections, to a more pronounced precipitation signal in observations. MPI-ESM-246 LR captures this stronger signal easier than weaker signals, stemming from active ENSO 247 events in ASO. Consequently, MPI-ESM-LR represents ENSO-precipitation teleconnec-248 tions better when they are present in JJA than those only present in ASO. 249

Between 1983-2013, La Niña and El Niño events observable in JJA became the strongest 250 events in ASO. In contrast, comparable weak ASO events developed later than JJA (com-251 pare Fig 3a against 3d). These comparable weak events, that developed in between JJA 252 and ASO, often coincided with ordinary drought-prone conditions (SPI values close to 253 -1 in Fig 3b and 3c). The classification of these ordinary drought-prone conditions as 254 drought or non-drought sensitively depends on SPI's threshold used by BSS. Such thresh-255 old sensitivity is highly unfavorable for any model tasked with the demonstration of BSS-256 assessed predictive skill. Consequently, omitting these comparably weak events from our 257 analysis maximizes the area of reliable drought hindcast skill as seen before. As a result 258 of omitting these weak events, SPI's DJF ensemble mean prediction demonstrates a bet-259 ter agreement with observations during the remaining stronger events (compare high-260 lighted years in Fig 3b and 3c against 3e and 3f). This improved agreement during strong 261 events is apparent e.g. in North America during the years 1999, 2000, and 2011 and in 262 South America during the years 1983, 1992, 1998. During these years also the most in-263 tense droughts occurred in both regions, coinciding with particularly strong La Niña or 264 El Niño events. The model seems to skillfully capture distinct teleconnections during these 265 strong events. Yet, these distinct teleconnections may still vary temporally and do not 266 necessarily cause droughts (see also Patricola et al., 2020). These variations are also cap-267

-9-

tured by the model. The model correctly predicts normal conditions e.g. in South America during the strong El Niño event of 1988 or in North America during the phase-out
of a strong La Niña event in 1990.

#### 271 **4 Discussion**

ENSO-state conditioning reliably improves drought hindcast skill in MPI-ESM-LR 272 over North and South America during their respective dry ENSO phases. For ENSO-273 state conditioning to improve drought hindcast skill, strong, large-scale ENSO-precipitation 274 teleconnections need to be present. We confirm their existence and relevance through 275 significant correlations between local precipitation and a lagged ENSO-index. Moreover, 276 the forecast system needs to capture these ENSO-precipitation teleconnections. We as-277 certain this ability through significant drought hindcast skill in the composite analysis. 278 ENSO-state conditioning classifies this drought hindcast skill as reliable only in those 279 grid cells that concurrently also display significant correlations. 280

We condition our prediction on the state of ENSO in two different seasons (ASO 281 and JJA). Depending on the season, on which we condition, the drought prediction of 282 MPI-ESM-LR exhibits different strengths. Since La Niña and El Niño events generally 283 occur more often in ASO (7 and 10 times in between 1983-2013, respectively) than in 284 JJA (5 and 6 times, respectively), MPI-ESM-LR demonstrates reliable drought predic-285 tions more often when they are ENSO-state-conditioned on ASO-ENSO events. Yet, when 286 active ENSO events persist in JJA, they usually cause more distinct teleconnections that 287 cover a larger area. Therefore, MPI-ESM-LR captures the teleconnections of these stronger 288 events (which are detectable in JJA) in more grid cells than the teleconnections of the 289 weaker events (which are only detectable in ASO). 290

This explanation agrees with previous studies (Redmond & Koch, 1991; Harshburger 291 et al., 2002) and with NOAA Climate Prediction Center's definition of an ENSO event: 292 5 consecutive overlapping seasons of  $\pm 0.5^{\circ}$ C in the 3-month running mean Niño3.4-index 293 (ONI) (Climate Prediction Center, 2015). Active ENSO events detected at initialization 294 in ASO may demonstrate an exceedance of this threshold only in 4 consecutive overlap-295 ping seasons by our prediction time in DJF. Since ENSO events generally peak around 296 December, events present in JJA usually strengthen over the following months. Those 297 events, present in JJA, usually demonstrate an exceedance of the threshold in at least 298

-10-

<sup>299</sup> 6 consecutive overlapping seasons by DJF, our prediction time. In the time-period an-<sup>300</sup> alyzed here, we identify a single exception to this pattern in 1990. In 1990, one La Niña <sup>301</sup> event was still present in JJA, while a neutral ENSO state emerged by ASO later that <sup>302</sup> year. Still, this La Niña event persisted for more than 5 consecutive overlapping seasons <sup>303</sup> before the time of our prediction in DJF. According to previous studies, the imprint of <sup>304</sup> this La Niña event on precipitation over the American continent should be notable dur-<sup>305</sup> ing our prediction time in DJF (Redmond & Koch, 1991; Harshburger et al., 2002).

We also checked for ENSO-state-conditioned drought hindcast skill outside of our target regions. Elsewhere in the world, ENSO-state conditioning only leads in single, scattered grid cells to reliable drought hindcast skill during ENSO's dry phase (not shown). In MPI-ESM-LR, ENSO-state conditioning improves drought hindcast skill only in the investigated target regions. This indicates a plausible reason for our drought hindcast skill to improve stronger for longer lead times than Ma et al. (2015) were able to identify over south China during an active ENSO.

There appears to be little scope to extend ENSO-state conditioning to other regions that are characterized by strong ENSO-precipitation teleconnections with MPI-ESM-LR. MPI-ESM-LR seems to insufficiently capture these teleconnections elsewhere. Aside, there could be scope to employ ENSO-state conditioning in a similar manner, as demonstrated here, to improve the hindcast skill of surplus precipitation extremes (by suitably adapting the BSS threshold).

Our seasonal hindcasts start – as usually with the satellite era – in 1982 spanning 319 31 years. The composite analysis, which considers only years exhibiting a certain ENSO 320 state, further reduces our dataset to 5 to 6 independent years which arguably constitutes 321 a scarce database. This issue is partially mitigated by the fact that BSS evaluates the 322 entire probabilistic ensemble space of the prediction. Since our ensemble space is spanned 323 by 10 different ensemble members, we rely on at least 50 to 60 events for our BSS-evaluation. 324 Yet, an increasing ensemble size cannot arbitrarily compensate for a limited temporal 325 length of dynamical seasonal hindcasts, because different ensemble members are not com-326 pletely independent of each other. Thus, the problem of a scarce database would be fur-327 ther exacerbated if we had e.g. analyzed different ENSO flavors. Different ENSO flavors 328 are certainly promising to capture variations in ENSO-precipitation teleconnections. How-329

-11-

ever, such an analysis is not feasible with current dynamical seasonal hindcasts initialized with satellite observations.

One way to alleviate the issue of statistical reliability is to decrease the SPI thresh-332 old that BSS uses to classify drought conditions. The threshold we use here is disputed 333 within the literature. Svoboda et al. (2002) proposed to identify drought conditions in 334 the US Drought Monitor by an SPI threshold of -0.8 – rather than -1, as used in this 335 study. On one hand, a lower absolute value of this threshold would increase the num-336 ber of (modeled and observed) droughts and would thereby increase statistical reliabil-337 ity. On the other hand, a lower absolute value of that threshold would result in a reduced 338 extremity of the analyzed droughts. Disentangling these two competing effects is diffi-339 cult, and has to the authors' best knowledge not been investigated up to now. 340

While GPCP's precipitation data set is generally reliable, estimating South American precipitation is principally delicate. Observational datasets are notably sparse in South America. Consequently, uncertainties might be too large to reliably classify droughts (Mo & Lyon, 2015). Despite these uncertainties, monthly precipitation analyses remain one of our most powerful tools for the task at hand.

346 5 Conclusions

This study investigates drought hindcast skill of DJF  $SPI_{3M}$ , which comprises lead 347 months 2 to 4, in an initialized MPI-ESM seasonal hindcast ensemble. The evaluation 348 process of SPI hindcasts usually combines predicted and observed precipitation. Such 349 a combination artificially generates predictive skill. In contrast, our evaluation strictly 350 separates simulations and observations and, thereby, quantifies genuine hindcast skill of 351 the forecast system. To demonstrate reliable drought hindcast skill despite this more chal-352 lenging evaluation process, we exploit well-known ENSO-precipitation teleconnections. 353 During ENSO's dry phase – when skillful drought predictions are particularly valuable 354 -, we achieve reliable drought hindcast skill up to 4 lead months ahead with  $SPI_{3M}$  in 355 DJF. When the dry ENSO phase is already present in the preceding JJA, the area of 356 reliable drought hindcast skill covers large parts of northern South America and south-357 ern North America. Ultimately, this study reveals the potential of ENSO-state condi-358 tioning in uncovering the predictive potential of dynamical models by exploiting ENSO-359

-12-

- <sup>360</sup> precipitation teleconnections. That revelation might excite further progress towards re-
- <sup>361</sup> liable and timely drought warnings.



Figure 1. The BSS-assessed skill of the model in predicting droughts at lead-months 2 to 4 and Pearson correlations between DJF precipitation and ASO ENSO-index on a global map (a and b, respectively) and in our target regions (c and d, respectively). BSS for a composite analysis which only considers years exhibiting La Niña (e) or El Niño (f) states present in ASO. Dots indicate BSS values significantly greater than 0 (which translates to Brier-Scores significantly greater than the ones of the random reference prediction) and Pearson correlations that significantly differ from 0. Reliable hindcast skill during DJF achieved through conditioning the prediction on La Niña (g) or El Niño (h) states in ASO (significant correlations (d) that spatially coincide with significant BSS (e/f)). Colors indicate whether reliable hindcast skill is obtained during the region's wet (greenish) or dry (brownish) ENSO phase.



Figure 2. Correlations between DJF precipitation and JJA ENSO-index over North America
(a) and South America (d). BSS for a composite analysis that only considers years exhibiting La Niña (b) or El Niño (e) states present in JJA. Dots indicate again BSS (Pearson correlations) significantly greater than (different from) 0. Reliable hindcast skill during DJF achieved through conditioning the prediction on La Niña (c) and El Niño (f) states present in JJA.



Figure 3. ENSO-index during JJA (a) and ASO (d). DJF SPI averaged and standardized over the brownish colored grid points in Fig 2c (b), 2f (c), 1g (e), and 1h (f). Observations are depicted by solid lines, while the ensemble mean is indicated by dashed lines. In JJA, the Pearson correlation between ENSO-index and observations (simulations) amounts to -0.67 (-0.7) in South and 0.56 (0.7) in North America, while the correlation between the ensemble mean and observations is 0.86 and 0.79 in South and North America, respectively. In ASO, the correlation between ENSO-index and observations) amounts to -0.75 (-0.77) in South and 0.57 (0.73) in North America, while the correlation between the ensemble mean and observations is 0.83 and 0.77 in South and North America, respectively.

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- 375 ?acronym=DKRZ\_LTA\_1075\_ds00001 maintained by DKRZ. The authors thank David Nielsen
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