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1 **Synchronous droughts and floods in the Southern Chinese Loess Plateau since**
2 **1646 CE in phase with decadal solar activities**

3

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24

25 **Abstract**

26 Droughts and floods are two longstanding and devastating climatic threats to mankind.
27 They are challenging to predict mainly due to the significant spatial and temporal
28 variations of precipitation. Using historical archives back from 1646 CE, here we
29 present a high-resolution catchment level dataset of droughts and floods in the southern
30 Chinese Loess Plateau (hereafter, CLP) within the middle reaches of River Jing. We
31 have analysed the occurrences of floods and droughts based a specially-developed
32 statistics from historical archives, as well as the daily rainfall from present-day
33 observations within the catchment. Overall, our results show that the frequency of
34 droughts and floods in the region is synchronous on decadal timescales with solar
35 activities and the Pacific Decadal Oscillation (hereafter, PDO) index, and they are also
36 broadly in phase with changes in both global and regional reconstructed temperatures.
37 At decadal to interannual timescales, PDO and El Niño and Southern Oscillation
38 (hereafter, ENSO) drive an uneven distribution of precipitation in different seasons in
39 the southern CLP, which could be one of the reasons for the strong association of floods
40 and droughts with the PDO and ENSO signals in our catchment. If the global
41 temperature continues to rise in the future, we expect that the risk of both droughts and

42 floods in the study region will also increase.

43

44 Keywords: historical archives; catchments; floods; droughts; the southern Chinese

45 Loess Plateau; PDO; solar activities; ENSO

46

47 **1. Introduction**

48 Usually occurring at catchment scales, droughts and floods are longstanding and
49 devastating climatic threats to mankind (Jiang et al., 2006; Lewis et al., 2011; Scholze
50 et al., 2006; Zhao and Running, 2010; Chen F.H. et al., 2015; Chen J.H. et al., 2015;
51 Ge et al., 2017; Blöschl et al., 2018). They are challenging to predict, mainly due to the
52 extreme variations of precipitation in spatiotemporal scales with the catchment (Darand
53 and Sohrabi, 2018; Liu and Wang, 2011; Min et al., 2011; Chen F.H. et al., 2015; Chen
54 J.H. et al., 2015). Within the context of global warming, the risk of floods and droughts
55 has increased rapidly in different regions (Allamano et al., 2009; Dai, 2011; Pall et al.,
56 2011; Schiermeier, 2011; Blöschl et al., 2018). Therefore, understanding the
57 mechanisms of the regional occurrence of floods and droughts is of enormous
58 importance for risk management and climate change's adaptation and mitigation
59 measures (Scholze et al., 2006).

60 The biannual shift of the East Asian monsoon front makes the Chinese Loess Plateau
61 (hereafter, CLP) wet in the summer and dry in the winter (An et al., 1991; Liu and
62 Wang, 2011; Wu et al., 2012). The southern CLP, located to the north of River Wei (see
63 Fig. 1), is a famous breadbasket of northwest China since ancient times. The region is

64 also strongly influenced by the East Asian Summer Monsoon (Wu et al., 2012). Floods
65 and droughts are two devastating climatic disasters, which could lead to adverse
66 impacts on the agriculture in the southern CLP. Located to the north of Xi'an City, River
67 Jing, a second-order tributary of the Yellow River, which originates in Jingyuan County
68 (hereafter, JY, see Fig. 1) on the southwest of the CLP, is the main sand source of the
69 Yellow River as it meanders through the semi-arid CLP and discharges into River Wei
70 (the largest tributary of the Yellow River). Within the transitional zone between the CLP
71 and Guanzhong Plain, many tributaries erode the CLP and discharge into River Jing,
72 bringing massive mud and sand, especially during the flood. The common aftermath of
73 floods in the CLP region is devastating human plagues (Ge et al., 2017) and social
74 economic disasters (Chen J.H. et al., 2015). On the other hand, during the drought crops
75 fail in the region, and more adversarially, the clean drinking water for people and
76 livestock becomes limited. Therefore, there is a critical need to appreciate the pattern
77 of reoccurrence and understand the mechanisms of these two natural disasters in order
78 to take predictive and effective adaptation measures against the devastation.
79 Instrumentational records are too short to conduct a meaningful diagnostic study.

80 Therefore, historic information from other types of archives may help us to fully
81 understand key characteristics and establish potential mechanisms of the past floods
82 and droughts in the region (Zhao et al., 2019). Chinese historical archives contain high-
83 resolution temporal records of environmental changes and could provide valuable
84 perspectives on paleoclimatic and climatic research (Ge et al., 2003; Jiang et al., 1997;
85 Tan et al., 2008; Wang and Zhang, 1988; Zhang and Crowley, 1989, Chen F.H. et al.,
86 2015; Chen J.H. et al., 2015; Ge et al., 2017). It is therefore crucial to use historic
87 records of droughts and floods to reconstruct the paleo-precipitation features in certain
88 regions. In the year of 1994, Mr Lin Yuan, a professor from Northwest Normal
89 University (China), has compiled an advanced and comprehensive dataset of natural
90 disasters, which includes floods, droughts, earthquakes, dust storms, landslides,
91 plagues, *etc*, in five provinces in northwest China (i.e., Shaanxi Province, Gansu
92 Province, Ningxia Province, Qinghai Province and Xinjiang Province). He has
93 employed over 685 reliable historical archives and published the book of “History of
94 Disasters in Northwest China” (Yuan, 1994, in Chinese), which have listed every
95 disaster for its occurring time in year and exact location. This dataset provides valuable

96 references for analysing disasters in northwest China, which has been used extensively
97 in previous studies (Jiang et al., 1997; Tan et al., 2008; Wang and Zhang, 1988; Zhao
98 et al., 2019).

99 Previously people have mainly employed an approach of five-level classification (Jiang
100 et al., 1997; Tan et al., 2008; Wang and Zhang, 1988) to reconstruct the climatic
101 variation using historical archives. Based on annual records of both drought and flood
102 events in historical archives, the precipitation level has been classified into five
103 categories: 1) extreme high, 2) high, 3) normal, 4) low, and 5) extreme low. The five-
104 level classification approach is an efficient way for reconstructing the regional rainfall
105 variation, therefore it was widely used in many high temporal resolution paleoclimate
106 studies (Jiang et al., 1997; Stige et al., 2007; Tan et al., 2008; Wang and Zhang, 1988;
107 Zhao et al., 2019). However, this method cannot be used to study the associated pattern
108 between droughts and floods at the same location individually. This is because if during
109 a specific year, there were both drought and flood at one location, the five-level
110 classification would record it as a “normal” year. Basically, the drought has balanced
111 out the flood for the same year at the same location; while in reality, that location has

112 experienced both flood and drought for that year.

113 In order to appreciate the associated pattern of reoccurrence and understand the
114 mechanisms of floods and droughts, a new method must be developed to quantify flood
115 and drought timeseries separately from the historical archives. In this paper, we have
116 developed a new approach (see Section 3.1 for more details) to create two distinct
117 timeseries, one for droughts and another for floods at our catchment region (see Fig. 1).
118 Focusing on a period during the Qing Dynasty (1646-1949), we have selected ten
119 counties in the middle reaches of River Jing in the southern CLP (see Fig. 1 for counties'
120 locations) to study the occurrence of floods and droughts at catchment scales. The
121 remaining portion of the paper is organized as follows. Our study sites and the
122 climatology are documented briefly in Section 2. Our methodology and the statistics
123 are presented in Section 3, followed by our main results in Section 4. Section 5
124 summarizes our discussion and key findings.

125 **2. Our Study Sites and the Climatology**

126 Within the middle reaches of River Jing (see Fig. 1), ten counties, namely, Zhengning
127 County (marked as ZN), Ningxian County (marked as NX), Jingchaung County

128 (marked as JC), Lingtai County (marked as LT), Xifeng County (marked as XF),
129 Qingyang County (marked as QY), Binxian County (marked as BX), Changwu County
130 (marked as CW), Xunyi County (marked as XY), and Heshui County (marked as HS),
131 are selected to perform the historical analyses. These ten counties cover an area of about
132 6,200 square kilometres (see Fig. 1 for the catchment area and locations of ten
133 counties).

134 The climate in the study area is typical biannual, alternately controlled by East Asian
135 winter monsoon and East Asian summer monsoon (An et al., 1991; Liu and Wang, 2011;
136 Wu et al., 2012), resulting two distinct contrasting seasons (i.e., the dry season, the
137 monsoonal or wet season). In addition to historic archives, we have used 50-year
138 monthly mean climatology records from 1955 to 2005 at meteorological stations within
139 the XF, HS, ZN, and NX counties (<http://data.cma.cn>). Our modern climatology
140 analyses show that the monthly rainfall is concentrated during the summer season from
141 June to September (see Fig. 2A), which is associated with some high monthly relative
142 humidity (see Fig. 2B). Therefore, we normally expect more floods during the summer
143 season in the region. On the other hand, during the winter to early spring seasons from

144 November to March, the monthly rainfall is at minimum levels, and the monthly
145 relative humidity in this region is also very low (see Fig. 2B). Therefore, we normally
146 expect droughts during the winter to early spring season in the region.

147 However, this does not exclude the occurrence of floods and/or droughts in other
148 seasons. For the following case study, we have defined floods as the 5-day accumulated
149 precipitation is more than 100 mm. For example, using daily rainfall observation at
150 Binxian meteorological station (marked as BX in Fig. 1) from 1955 to 2005, we have
151 found one flood event in 1989, which took place in late spring, and did not occur in the
152 summer season (see Fig. 3B). Furthermore, we have defined droughts as the 60-day
153 accumulated precipitation is less than 2 mm. Interestingly, we have also found one
154 drought event in the summer (from July to August) at Binxian meteorological station
155 for the year of 1968 (see Fig. 3C). The 1968 drought did not occur in the expected
156 winter to early spring seasons.

157 In summary, the middle reaches of River Jing have a typical climate of wet summer and
158 dry winter and early spring so that we normally expect more floods in the summer
159 season, and more droughts in the winter to early spring seasons.

160 **3. Our Methodology and the Statistics**

161 **3.1 Quantification and statistics of the historical archives.**

162 Using historical archives, we are facing the issue of very low temporal resolution (e.g.,
163 annual records). If we had employed the widely-used five-level classification method
164 (Jiang et al., 1997; Stige et al., 2007; Tan et al., 2008; Wang and Zhang, 1988; Zhao et
165 al., 2019), which defines the hydroclimatic condition (i.e., rainfall) into five categories:
166 1) extreme high, 2) high, 3) normal, 4) low, and 5) extreme low, we would miss a lot of
167 flood and drought events when both disasters occurred in the same year. Basically, the
168 flood could be cancelled by the drought in many cases. To avoid this problem, we have
169 developed a new method to help us with the regional drought and flood reconstruction
170 from historical archives. Our approach is mainly based on the individual influence of
171 floods and droughts within the catchment. The catchment records of droughts and
172 floods in the selected sites from historical archives were separately counted, and the
173 catchment-averaged values of floods and droughts were used to indicate the intensity
174 of that disaster for the region. In particular, we have chosen ten counties in the middle
175 reaches of River Jing (see Fig. 1) and used the disaster sequences of Yuan (1994). If a

176 county in Fig. 1 has a record of drought in a specific year, we will assign a value of 1.
177 If there is no record of drought, we will assign a value of 0. Next, we have added the
178 assigned values for all ten counties' drought records for a specific year and divided it
179 by ten to derive the catchment averaged drought index for that year (ranging from 0 to
180 1). This drought index will be plotted in Figs. 4 & 7. Similarly, if a county in Fig. 1 has
181 a record of flood in a specific year, we will assign a value of -1. If there is no record of
182 flood, we will assign a value of 0. Next, we have added the assigned values for all ten
183 counties' flood records for a specific year and divided it by ten to derive the catchment
184 averaged flood index for that year (ranging from -1 to 0). This flood index will be
185 plotted in Figs. 4 & 7. Our derived indices of floods and droughts for ten counties are
186 constructed in a way to reflect the total environmental influences of floods and droughts
187 at catchment scales. For example, if five countries among the ten have experienced
188 droughts in historic archives for the same year, our method will record 0.5 for droughts
189 in that year. The same is true for floods. Our method is different from the five-level
190 classification approach (Jiang et al., 1997; Tan et al., 2008; Wang and Zhang, 1988;
191 Zhao et al., 2019) in that we can distinguish the flood and drought events that have

192 occurred in the same location for the same year. This will prevent the missed signal
193 situation when the same location has both drought and flood that could have cancelled
194 each other in the same year.

195 **3.2 Recent droughts and floods (1960-2005) from daily stational observations**

196 In order to establish the indices of droughts and floods within the catchment for recent
197 years (e.g., after 1955), we have collected the daily observation of precipitation at nine
198 stations located at nine counties, respectively (i.e., NX, ZN, JC, LT, XF, QY, BX, CW,
199 XY in Fig 1) from 1960 to 2005 (<http://data.cma.cn>). Same as in Section 2 above, we
200 have defined a flood event as 5-day accumulated rainfall more than 100 mm, and a
201 drought event as 60-day accumulated rainfall less than 2 mm. A MATLAB program
202 will record one flood (drought) event and plot it against the deep blue background
203 according to its actual values of 5-day precipitation for floods and 60-day precipitation
204 for droughts in colour shades (see Fig. 3 for BX county case). The MATLAB program
205 is enclosed in the supplementary material attached to this article. Similar to our new
206 method in Section 3.1 above, we have assigned “-1” for a flood, and “+1” for a drought
207 among the nine counties. Using the 9-county averaging values, we have derived the

208 catchment-scale sequences of floods and droughts from 1960 to 2005, which are
209 subsequently added to Fig. 7A. We have plotted the timeseries from 1960 to 2005
210 slightly different from those derived from historic archives from 1646 to 1949 (see Fig.
211 7A). This is because historic archives have recorded the “actual” disasters in the past,
212 while the modern-day timeseries are based on our definitions of floods and droughts as
213 explained above.

214 **3.3 The periodical analysis.**

215 The REDFIT 35 computer program (Schulz and Mudelsee, 2002) for the periodical
216 analysis was used to identify the key periodicities of our derived timeseries of floods
217 and droughts for the middle reaches of River Jing (1649-1949).

218 **4. Our Results**

219 **4.1 Derived timeseries of floods and droughts in the past (1649-1949)**

220 The sequence of droughts and floods in the middle reaches of River Jing from 1646 to
221 1949 is shown in Figure 4. During the 304-year period, among the ten counties, there
222 are 241 records of droughts within 101 years, and 231 records of floods within 104
223 years, respectively (see Fig. 6 for details). There are 148 years with either droughts or

224 floods, and 58 years with both droughts and floods over the 304-year period. Among
225 the ten counties, there are eight with at least one record of both drought and flood
226 conditions occurring in the same year (see Fig. 5 for details). LT county has the largest
227 number (33) of both droughts and floods occurring in the same year (see Fig. 5) over
228 the 304-year period. In order to show the strong spatial variation of floods and droughts
229 in our catchment, we have plotted the total records of floods and droughts for ten
230 counties, regardless their occurrence years (see Fig. 6). Within the small catchment of
231 about 6,200 square kilometres (see Fig. 1), the floods and droughts have varied
232 substantially over the 304-year period. For example, LT county had the largest numbers
233 of both floods and droughts (see Fig. 6). The JC and QY counties had very similar
234 numbers of droughts as compared to LT. However, the NX and QY counties had the
235 second largest numbers of floods as compared to LT. Overall, the XY and XF counties
236 had the smallest numbers of floods and droughts during the period.

237 On the other hand, the occurrences of droughts and floods are almost synchronous on
238 decadal timescales (see Fig. 4). There are frequent occurrences of droughts and floods
239 in the middle of each century, especially in the middle of the 18th and 19th centuries.

240 Note that the occurrences of both disasters are less frequent at the beginning or end of
241 the 18th, 19th and 20th centuries, but the whole catchment is subject to severe disasters.
242 For example, nine counties experienced floods in 1801, and six counties had droughts
243 and five counties had floods in 1892. In the semi-arid CLP, the climate condition is
244 mainly influenced by two monsoonal systems: 1) The East Asian summer monsoon,
245 which brings in warm and moisture air from the tropical oceans in summer; and 2) The
246 Asian winter monsoon that contributes to cold and dry climate in winter to early spring
247 seasons. Overall, the occurrences of droughts and floods are more frequent during the
248 dry and wet seasons, respectively. Consequently, eight counties from the ten have
249 records of both drought and flood conditions occurring in the same year (see Fig. 5).

250 **4.2 A comparison of our floods and droughts vs decadal solar activities and** 251 **global/regional temperatures**

252 We have compared our droughts and floods in the middle reaches of River Jing with
253 the reconstructed solar irradiance (Lean et al., 1995; Lean and Rind, 1998; Solanki and
254 Fligge, 1999) and atmospheric temperatures (Ge et al., 2003; Mann and Jones, 2003)
255 (see Fig. 7A,7B,7C). As marked by the light orange bands in Figure 7, three epochs of

256 higher frequency of both droughts and floods in Fig. 7A are lined up with the higher
257 values of solar irradiance (red and wine lines in Fig. 7B), the reconstructed global
258 temperature (purple line in Fig. 7C), and the winter temperature derived from historical
259 archives (violet line in Fig. 7C). The occurrences of droughts and floods are frequent
260 in our study region during relatively warm periods that correspond to more solar
261 activities and warmer atmospheric conditions. On the contrary, the frequency of
262 droughts and floods is lower during relatively cool periods that correspond to less solar
263 activities and cooler atmospheric conditions. In particular, the Maunder Minimum
264 (1645-1715, see the light blue band in Fig. 7) (Eddy, 1976; Owens et al., 2017; Vaquero
265 et al., 2002), corresponding to the middle and coldest episode of the Little Ice Age
266 (Mann et al., 2008), is well known as a period of very low solar activity (Hoyt and
267 Schatten, 1998; Lean et al., 1995), and our historical archives also record less
268 occurrences of droughts and floods in the middle reaches of River Jing. During the
269 Maunder Minimum among ten counties, there were only thirteen droughts and four
270 floods within the 70-year period. The second cooler condition is associated with the
271 Dalton Minimum (1790-1820, see the light blue band in Fig. 7). During the Dalton

272 minimum, the number of sunspots at the peak of the solar cycles was about one-third
273 of that observed during normal solar cycles. The three solar cycles that occurred during
274 the Dalton Minimum also had unusually long periods of sunspot inactivity (Hoyt and
275 Schatten, 1998; Lean et al., 1995). During the 30-year period, our historical archives
276 only recorded fifteen droughts and eleven floods among the ten counties. On the other
277 hand, the occurrences of droughts and floods were much higher during the warm
278 periods. For example, from 1740 to 1780, there were fifty-one droughts and sixty floods
279 within the 40-year period; from 1820 to 1865, there were sixty-seven droughts and
280 ninety floods within the 45-year period; and from 1960 to 2000, there were one hundred
281 and fourteen droughts and one hundred and twenty floods within the 40-year period.
282 On the average, the frequency of droughts and floods during the warm periods is 13.8
283 times higher than that in the Maunder Minimum (4.0 events per year in the warm
284 periods, but only 0.29 event per year during the Maunder Minimum). The strong link
285 between reconstructed mean temperatures and two natural disasters (droughts and
286 floods) suggests that global and regional mean temperatures (climatic conditions) could
287 have played some important roles in the occurrences of droughts and floods in the study

288 region. This strong link is confirmed partially by a European study of Blöschl et al.
289 (2018).

290 **4.3 A comparison of our floods and droughts vs PDO and ENSO indices**

291 The results of spectral analyses on the flood and drought time series (see Fig. 8) show
292 that both sequences have a periodicity of ~11-year corresponding to the Schwabe
293 sunspot cycle, which provides strong evidences about the potential control of solar
294 activities on the occurrences of floods and droughts in our study region. The spectral
295 analyses also show a periodicity of ~2-5-year for both sequences. This typical
296 periodicity could be linked directly to ENSO (Graham and White, 1988; Li et al., 2013),
297 suggesting that the equatorial Pacific Ocean sea surface temperature (hereafter, SST)
298 may also have some influence on regional precipitation patterns in our study region.
299 The impacts of ENSO on the monsoonal climate inside China has been well studied
300 previously (Liu et al., 2016; Liu et al., 2018; Ouyang et al., 2014; Su and Wang, 2007;
301 Wu et al., 2012), mainly due to the dominated control of ENSO on interannual climate
302 variability globally and over East Asia. Our spectral analysis has confirmed this. In
303 addition, as shown in Figs. 7A & 7D, during the relatively warmer episodes of ENSO,

304 the middle reaches of River Jing had more frequent floods and droughts. Due to the
305 uncertainty in reconstructed Nino3.4 index and our derived sequences of floods and
306 droughts from historic archives, it is challenging to directly correlate Nino3.4 index
307 with our timeseries.

308 The PDO index (Trenberth and Hurrell, 1994; Zhang et al., 1997) is based on the
309 thermal conditions of North Pacific Ocean (north of 20°N). It is normally constructed
310 as the principal component of the leading EOF of monthly SST anomaly over the North
311 Pacific Ocean. The PDO is detected as the leading mode of multi-decadal variability in
312 SST in extratropical northern Pacific (MacDonald and Case, 2005). Warm (Cool)
313 surface water over the northern part of Pacific Ocean corresponds to positive (negative)
314 phases of PDO. Similar to ENSO, PDO has dominated the decadal scale climate
315 variability globally and in East Asia (Ouyang et al., 2014; Shen et al., 2006). As shown
316 in Figs. 7A & 7E, during the relatively warmer episodes of PDO, the middle reaches of
317 River Jing had more frequent floods and droughts. Again, due to the uncertainty in
318 reconstructed PDO index (MacDonald and Case, 2005) and our derived sequences of
319 floods and droughts from historic archives, it is challenging to directly correlate PDO

320 index with our timeseries.

321 **5. Discussions and Summary**

322 The anomaly of the spatial pattern of global precipitation depicts the occurrences of
323 droughts and floods in different regions. The precipitation pattern in southern CLP is
324 mainly controlled by the moisture availability transported in East Asian summer
325 monsoon from the low-latitude ocean (An et al., 1991; Liu and Wang, 2011; Wu et al.,
326 2012). The interannual and decadal SST oscillations in the Pacific Ocean, dominated
327 by ENSO and PDO (Graham and White, 1988; MacDonald and Case, 2005; Ouyang et
328 al., 2014; Shen et al., 2006), have great influences on the spatial pattern of global
329 precipitation (McCabe et al., 2004; Mochizuki et al., 2010; Ouyang et al., 2014, Wu et
330 al., 2012), causing droughts and floods in many places globally. Within the context of
331 global warming, ENSO variability appears to be intensified (Fedorov and Philander,
332 2000; Li et al., 2013; Timmermann et al., 1999; Zhang et al., 2008), and the
333 precipitation extremes in many places tend to be more frequent, consequently (Blöschl
334 et al., 2018). This will contribute to intensified floods and droughts in different seasons
335 for our catchment of River Jing.

336 In summary, our main results provide definite and strong evidences that the occurrences
337 of droughts and floods in the middle reaches of River Jing are synchronous with solar
338 activities and global/regional mean temperature reconstructions, at least on decadal
339 timescales. The frequency of these disasters (droughts and floods) responds closely to
340 elevated global and regional mean temperatures. Our main hypothesis is that the
341 atmospheric temperature rises responding to high levels of solar activities (Lean and
342 Rind, 1998; Nesmeribes et al., 1993), which in turn result in intensified atmospheric
343 general circulation patterns, causing anomalous spatial distributions of precipitation in
344 the region. This will directly contribute to the higher occurrence of droughts and floods
345 in our study region. Our analysis also shows that from 1646 to 1949, droughts and
346 floods have the natural decadal variability, which is mainly controlled by the solar
347 activities (Lean et al., 1995; Lean and Rind, 1998; Solanki and Fligge, 1999; Solanki
348 et al., 2004). In the context of higher solar activities (Solanki et al., 2004) and the
349 general global warming (Fischer et al., 2018; Rogelj et al., 2011; Blöschl et al., 2018),
350 the risk of both droughts and floods in our study region may increase.

351

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