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## **A drought index accounting for snow**

Staudinger, Maria ; Stahl, Kerstin ; Seibert, Jan

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# 1 A drought index accounting for snow

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2 **Abstract.** The Standardized Precipitation Index (*SPI*) is the most widely  
3 used index to characterize droughts that are related to precipitation deficien-  
4 cies. However, the *SPI* does not always deliver the relevant information for  
5 hydrological drought management particularly in snow influenced catchments.  
6 If precipitation is temporarily stored as snow, then there is a significant dif-  
7 ference between meteorological and hydrological drought because the delayed  
8 release of melt water to the stream. We introduce an extension to the *SPI*,  
9 the Standardized Snow Melt and Rain Index (*SMRI*), that accounts for rain  
10 and snow melt deficits, which effectively influence streamflow. The *SMRI*  
11 can be derived without snow data, using temperature and precipitation to  
12 model snow. The value of the new index is illustrated for seven Swiss catch-  
13 ments with different degrees of snow influence. In particular for catchments  
14 with a larger component of snowmelt in runoff generation, the *SMRI* was  
15 found to be a worthwhile complementary index to the *SPI* to characterize  
16 streamflow droughts.

## 1. Introduction

17 Droughts always originate from a lack of precipitation. In some regions high tempera-  
18 tures and evapotranspiration are additional important drivers of soil moisture and hydro-  
19 logical droughts. In contrast to these drought processes that occur in summer, the storage  
20 of precipitation as ice and snow can act as a key moderator of hydrological drought. In  
21 particular, streamflow droughts are often related to the presence or absence of snow in  
22 the preceding winter period and winter droughts can occur despite large amounts of pre-  
23 cipitation, if the precipitation falls as snow. *Van Loon and Van Lanen* [2012] distinguish  
24 between six different hydrological drought types according to their development (classi-  
25 cal rainfall deficit drought, rain-to-snow-season drought, wet-to-dry-season drought, cold  
26 snow season drought, warm snow season drought, and composite drought). Since hydro-  
27 logical droughts can have severe impacts on river ecology, water supply, energy production,  
28 or navigation, there is a need to monitor these droughts.

29 Drought monitoring requires indicators that are general enough to be widely applicable,  
30 but specific enough to capture the type of drought relevant to the region and variable  
31 of interest. The development of such indicators in the United States is summarized by  
32 *Heim Jr* [2002]. There are only a few indices that consider snow explicitly, one of these for  
33 example, is the surface water supply index (*SWSI*) [*Shafer and Dezman*, 1982; *Doesken*  
34 *et al.*, 1991]. The Standardized Precipitation Index (*SPI*) is an indicator for drought  
35 that was first introduced by *McKee et al.* [1993]. Since its introduction, the *SPI* has been  
36 applied in many studies, in operational drought monitoring in the present, and also in  
37 scenario predictions of drought for climate change impact assessment [e.g. *Ji and Peters*,

2003; Ghosh and Mujumdar, 2007; Naresh Kumar et al., 2009; Orłowsky and Seneviratne, 2012; Naresh Kumar et al., 2009]. A major advantage of the *SPI* compared to other drought indices is that it requires only precipitation data to describe drought severity. It is calculated based on a theoretical probability distribution fitted to the long-term precipitation record aggregated over a chosen preceding period. This probability distribution is then transformed into a normal distribution so that the mean *SPI* is zero. Positive *SPI* values indicate greater than mean precipitation, and negative values indicate less than mean precipitation. As the *SPI* is standardized, wetter and drier climates are represented in the same way allowing for regional comparison studies [Hayes et al., 1999]. Different precipitation aggregation periods can reflect the impact of drought as it propagates through the hydrological cycle into soil, streamflow and groundwater. Soil moisture conditions are related to precipitation anomalies on a relatively short scale, whereas streamflow for instance, reflects longer-term precipitation anomalies [Hayes et al., 1999]. With the right aggregation time a climatic drought index such as the *SPI* may also be a suitable indicator for hydrological droughts. The US Drought Monitor, for example, uses composite drought indices with a focus on short *SPI* aggregation periods for warnings about agricultural drought impacts and composite indices with a focus on longer *SPI* aggregation periods for warnings about hydrological drought impacts (droughtmonitor.unl.edu). Several studies have investigated the time lag between *SPI* and streamflow drought in order to find the most suitable *SPI* aggregation period linked to hydrological drought characterization. Some researchers have determined such a time lag between meteorological drought and streamflow drought [Haslinger et al., 2014], while others found strong dependencies apart of areas that have a large groundwater storage [Haslinger et al.,

2014] or at times of snow storage [Shukla and Wood, 2008; Vidal et al., 2010].

To create a methodologically consistent indicator of hydrological droughts, several studies have transferred the *SPI* approach to observed and modeled hydrological variables. López-Moreno et al. [2009] and Vicente-Serrano et al. [2011] applied the *SPI* concept to observed streamflow in Spain, introducing a standardized streamflow index (*SSI*). Shukla and Wood [2008] derived a standardized runoff index (*SRI*) for monthly aggregations of modeled daily grid cell runoff, which consisted of modeled surface runoff and base flow (subsurface flow). The results were *SRI* maps for the entire USA based on the grid cells of a large-scale hydrological model. Vidal et al. [2010] applied the approach to hydrological model output for France, but instead of grid cell runoff they calculated a standardized flow index for the routed streamflow. Shukla and Wood [2008] and Vidal et al. [2010] compared their derived hydrological indices with the traditional *SPI* in order to explore the time lag of the drought propagation through the hydrological cycle. They concluded that a standardized runoff index can complement the *SPI* especially in periods when variables other than precipitation become more important, e.g. periods of snow accumulation and melt. While the advantage is that modeled runoff considers precipitation, temperature and radiation as well as information about the variability of vegetation, soil and terrain characteristics, it cannot be validated. Only runoff routed to the outlet of a catchment, i.e. the streamflow, can be gauged and thus validated. Unfortunately, in many catchments, streamflow data are influenced by human impacts or are not available for periods long enough to calculate an *SSI* based on observations.

The *SPI* can be modified to indicate a hydrological drought rather than a precipitation drought without the full complexity of a hydrological model, by only accounting for first-

84 order controls on catchment hydrology that affect drought. Recently, *Vicente-Serrano*  
85 *et al.* [2010] introduced an index that accounts for evapotranspiration as an important  
86 amplifier of drought and found this index to be useful for catchments in Spain. This study  
87 specifically aimed for a climatic drought index with low data requirements which can serve  
88 as an indicator for hydrological drought in regions with a variable influence of snow. In  
89 such regions, e.g. mountain headwaters, streamflow is a major source of water use for  
90 water supply, energy production, and the ecology of mountain streams is vulnerable to  
91 drought. Therefore, this study uses a drought index based on observed streamflow, the  
92 *SSI*, as a benchmark against which to compare the climatic drought index *SPI* and the  
93 new Standardized Snow Melt and Rain Index (*SMRI*). The comparison is done for seven  
94 Swiss catchments with different amounts of snow melt contributions to streamflow.

## 2. Data and Methods

### 2.1. Data

95 Data from seven unregulated meso-scale catchments in Switzerland were used in this  
96 study (Table 1). The mean elevation for the different catchments ranges between 700 and  
97 2400 *ma.s.l.* The catchment areas range between 20 and 350  $km^2$ , and the estimated  
98 fraction of annual snow in precipitation ranges between 5 and 45% (Table 1). Daily  
99 precipitation and temperature data were derived from the grid products RhiresD and  
100 TabsD [*Frei*, 2013] provided by MeteoSwiss (2013). Both grid products are based on the  
101 interpolation of the daily anomalies of a dense network of meteorological records on a  
102 spatial background climatology. The daily grids have a spatial resolution of 2km x 2km  
103 and cover the period 1971-2011. For this study, catchment averages of precipitation and

104 temperature were computed. Observed time series of daily mean streamflow were available  
105 for the same period (1971-2011) for all catchments. [FOEN, 2012].

## 2.2. Probability distribution selection for *SPI* and *SSI*

106 For the calculation of standardized drought indices a theoretical distribution has to  
107 be chosen. The *SPI* has often been calculated based on the Gamma distribution, even  
108 though some authors claim that other distributions like the Pearson type III distribution  
109 might be more suitable [e.g., Guttman, 1999]. We tested different theoretical distributions  
110 as suggested by Vicente-Serrano *et al.* [2010, 2011]. The best fit for all variables on average  
111 was found for the Pearson type III distribution, which then served as a basis for all index  
112 calculations (*SPI*, *SSI* and the new *SMRI*). The parameters of the distribution were  
113 estimated using the L-moments method as described by Hosking [1990].

## 2.3. The Standardized Melt and Rainfall Index (*SMRI*)

114 The new *SMRI* was calculated similarly to *SPI* and *SSI*, but from the daily sum of  
115 snow melt and rain (*MR*). To obtain daily snow melt amounts, a commonly used snow  
116 model that only requires temperature data in addition to precipitation was first applied.  
117 While any snow model or derivation of snow melt could be used to calculate the index,  
118 the model used here consists of a snow accumulation component based on a threshold  
119 temperature and of a snow melt component based on a degree-day approach allowing for  
120 storage of up to 10% of the current simulated snow water equivalent and refreezing of  
121 liquid water in the snow pack (at a reduced rate compared to melting) [e.g., Bergström  
122 *et al.*, 1992] (a detailed description can be found in Appendix A). The variable *MR* was  
123 then transformed into the index *SMRI* using the Pearson type III distribution.



124 In order to explore the level of local parameterization needed, three parameter set ensem-  
125 bles were tested: the first parameter set ensemble (Set 1) assumed no prior knowledge  
126 (10'000 random parameter sets), the second set (Set 2) assumed some regional knowledge  
127 and the third set (Set 3) assumed specific catchment knowledge. Set 1 was derived from  
128 a Monte Carlo analysis, where 10'000 parameter combinations were tested for the snow  
129 model. The sample for the Monte Carlo simulations was created using Sobol' sequences  
130 (R Package randtoolbox, CRAN, 2012). For the parameter sets we chose typical parame-  
131 ter ranges [Seibert, 1999] for the threshold temperature between -2.5 and 2.5 °C, for the  
132 degree-day factor between 1 and 6  $mm^{\circ}C^{-1}day^{-1}$  [Esko, 1980; Seibert, 1999; Hock, 2003;  
133 Merz and Blöschl, 2004], for the refreezing coefficient between 0 and 0.1.

134 Set 2 and 3 came from calibrating a full hydrological model, which contains apart of the  
135 same snow model routine also soil and groundwater response and routing routines (HBV  
136 model in the version HBVlight [Seibert and Vis, 2012]). The model was automatically  
137 calibrated to observed streamflow for each catchment over the period 1971 to 2011. For  
138 the calibration a genetic optimization algorithm with subsequent steepest gradient tuning  
139 [Seibert, 2000] was used. 100 calibration trials were performed, which resulted in 100  
140 optimized parameter sets for each catchment according to a combination of Nash-Sutcliffe  
141 model efficiency and volume error [Lindström et al., 1997], where the weighting factor for  
142 the volume error was set to 0.1, as recommended by Lindström et al. [1997] and Lindström  
143 [1997]. The same parameter ranges that were used in the Monte Carlo simulations for  
144 Set 1 were used for the calibration. Set 2 was the resulting 100 optimized parameter sets  
145 for each catchment. Finally, for each catchment a so called regional parameter set (Set 3)  
146 was composed, consisting of Set 2 of all other catchments (i.e., here  $100 \times 6 = 600$ ).

147 These snow model parameter values were then used to compute  $SM$  and subsequently  
 148  $SMRI$ .

#### 2.4. Application and comparison of $SMRI$ to $SPI$ and $SSI$

149 All indices were calculated for different aggregation periods (1, 2, 3, 4, 6 and 12 months),  
 150 referred to as, for instance  $SMRI-6$  for the  $SMRI$  calculated based on a six months  
 151 preceding aggregation period. If no aggregation period is specified results refer to all  
 152 aggregation periods.

153 To compare the new  $SMRI$  as well as the  $SPI$  to our variable of interest, the  $SSI$ , a  
 154 benchmark model efficiency  $F_{bench}$  (Eq. 1, [Schaepli and Gupta, 2007]) was used as one  
 155 measure of comparison.  $F_{bench}$  was calculated as the ratio of the quadratic absolute errors;  
 156 subtracting the ratio from one transforms it to a range of minus infinity to one. A value  
 157 of one for  $F_{bench}$  corresponds to a perfect fit of the  $SSI$  and  $SMRI$ . Values larger than  
 158 zero indicate that the  $SMRI$  is closer to the  $SSI$  than the  $SPI$  and values below zero  
 159 indicate that the  $SPI$  is closer to the  $SSI$  than the  $SMRI$ .

$$160 \quad F_{bench} = 1 - \frac{\sum (x_{SSI}(t) - x_{SMRI}(t))^2}{\sum (x_{SSI}(t) - x_{SPI}(t))^2} \quad (1)$$

161  $F_{bench}$  was calculated for both the entire index time series (1971-2011) as well as for the  
 162 hydrological dry periods only ( $SSI < 0$ ).

163 In addition to this general evaluation, we looked at two historical drought events in par-  
 164 ticular: the summer drought of 2003 [Rebetz et al., 2006] as well as the spring drought  
 165 of 2011. The summer drought 2003 was caused by a lack of precipitation and, due to  
 166 extremely high temperatures, also high evapotranspiration rates. The drought in spring

167 2011, resulted from a preceding winter with little precipitation and thus little snow accu-  
168 mulation in combination with relatively high temperatures during spring time.

## 2.5. Sensitivity to elevation distribution

169 The *SMRI* series were first computed for the mean catchment elevations. To assess  
170 how representative this lumped approach is, the *SMRI* computation was repeated in a  
171 semi-distributed way: each catchment was divided into elevation zones of 100 m. For  
172 each elevation zone both the fraction of the elevation zone of the catchment as well as  
173 the temperature change according to a fixed lapse rate of  $0.6\text{ }^{\circ}\text{C}/100\text{m}$  were calculated.  
174 From the area-weighted mean of *SM* the  $SMRI_{elev}$  was derived. Finally, the  $SMRI_{elev}$   
175 was compared to the *SMRI* for aggregation periods of one and three months using  $F_{bench}$   
176 (Eq. 1). While the consideration of elevation zones changes the temporal distribution  
177 of snow accumulation and melt, for aggregation periods that are longer than the annual  
178 snow period this has no significant impact.

## 3. Results

179 The values for  $F_{bench}$ , derived from Set 1, were in most catchments and for most pa-  
180 rameter sets greater than zero, which means that the *SMRI* was closer to the *SSI* than  
181 the *SPI* for both the entire period and the dry periods (Figure 1). For the catchment  
182 with the smallest snow/precipitation ratio, the *SPI* and the *SMRI* were comparable.  
183 However, the difference increased systematically with increasing snow influence on the  
184 streamflow regime for both the entire period as well as for the dry periods only (Figure  
185 1). The values for  $F_{bench}$  were on average slightly lower for the simulations which were  
186 based on parameters with prior knowledge (Sets 2 and 3), and the spread was smaller

187 (Figure 2).

188 There were also seasonal patterns in  $F_{bench}$  (Figure 3): for the two catchments with  
189 the highest average snow contribution ( $>30\%$ ),  $F_{bench}$  decreases slightly in the summer  
190 months. For the catchments with between 10% and 23% average snow ratio, during the  
191 melt period (April, May and June) the hydrological droughts were closer represented by  
192 the  $SMRI$  than by the  $SPI$ . The Mentue catchment with a pluvial streamflow regime  
193 shows a closer representation of the  $SSI$  by the  $SPI$  in January and February while for  
194 the rest of the year by the  $SMRI$ .

195 Figures 4 and 5 show the droughts of 2003 and 2011 for the Ova da Cluozza catchment  
196 (nival). In 2003, the  $SMRI$  was closer to the  $SSI$  than the  $SPI$  regardless of the ag-  
197 gregation period. However, the ensemble mean overestimated the streamflow drought for  
198 the aggregation periods of one to four months.  $SMRI-6$  and  $SSI-6$  were similar regard-  
199 ing both severity and duration. The duration of the drought was captured well for all  
200 aggregation periods. While the  $SPI$  indicated severe droughts with values below -1.5,  
201 both  $SSI$  and  $SMRI$  indicated a less severe drought. For 2011, the ensemble mean of  
202 the  $SMRI$  mimicked the  $SSI$  in all aggregation periods. Here again, the  $SPI$  indicates  
203 more severe droughts than the  $SSI$  and  $SMRI$ .

204 Figures 6 and 7 show onset and end of the droughts in all catchments. While in the  
205 Mentue and Sense catchments  $SPI-3$  and  $SMRI-3$  fail to identify the start and end of  
206 the hydrological summer drought of 2003 as indicated by the  $SSI-3$ , for the nival Sitter,  
207 Allenbach and Riale di Calneggia catchments they better describe the start and end of  
208 the drought. For the two catchments with the highest elevation (Ova da Cluozza and  
209 Dischma) the  $SMRI$  matches the end of the drought as indicated by the  $SSI-3$ , but

210 defines its start later. However, the *SMRI-3* indicates the start of the drought about 1  
211 month earlier, i.e. closer to the *SSI* than the *SPI-3*.

212 For the Mentue and Sense catchments, which generally have little snow, neither the *SPI*  
213 nor the *SMRI* capture the timing of the hydrological spring drought in 2011; also for  
214 the Sitter and Allenbach catchments, *SPI* and *SMRI* are similar. For catchments with  
215 the most snow the *SMRI* closer matches *SSI* than the *SPI* regarding the start and the  
216 end of the spring drought. Different thresholds that define different severities of droughts  
217 could be applied, which also bring the *SMRI* closer to the *SSI* than the *SPI*.

218 Including different elevation zones of a catchment improved *SMRI-1* and *SMRI-3* (Fig.  
219 8). The strongest improvement was found for catchments with mean catchment elevations  
220 from 1000 to 2000 m a.s.l. (Sense, Sitter, Allenach, Riale di Calneggia). However, the  
221 relative ranking of the catchments'  $F_{bench}$  is similar for *SMRI* and *SMRI<sub>elev.</sub>*. For the  
222 *SMRI-1* the improvement when using elevation zones was slightly higher than for the  
223 *SMRI-3*. For both *SMRI-1* and *SMRI-3* a clear reduction of the spread in values was  
224 found when different elevation zones were considered.

## 4. Discussion

### 4.1. Uncertainties from model and index standardization

225 The proposed *SMRI* is an index that is calculated in a two-step process; i.e. first a  
226 model is applied that accounts for the dominant process that affects severity and timing  
227 of hydrological drought, and then the output of this model is transformed into the in-  
228 dex. In the mountainous regions of interest in this study the process first modeled is the  
229 delayed storage and release of snow. As for similar approaches such as the *SRI*, which  
230 used a hydrological model in the first step [Shukla and Wood, 2008] or the Standardized

231 Precipitation and Evapotranspiration Index (*SPEI*), which uses an evapotranspiration  
232 estimation in the first step [*Vicente-Serrano et al.*, 2010, 2012] this two-step process means  
233 that the resulting index has multiple sources of uncertainty. The most important sources  
234 of uncertainty from the snow model are the parameterization of the degree-day model,  
235 the spatial discretization of elevation as well as data uncertainty. Model parameterization  
236 and spatial discretization were addressed by ensemble approaches using parameterizations  
237 stemming from no prior knowledge, regional knowledge and specific catchment knowledge.  
238 The calculation of the actual index is then influenced by semi-objective decisions includ-  
239 ing that for a theoretical distribution function and finally the choice for an aggregation  
240 period to be used.

241 The Monte Carlo approach that was used is a common way to test the sensitivity to  
242 model parameterization [e.g., *Demaria et al.*, 2007]. The results showed variation in the  
243 performance of the *SMRI*. However, for the snow influenced catchments and for most  
244 parameter combinations, the entire parameter range resulted in an *SMRI* that was much  
245 closer to a hydrological drought description than the *SPI* for both the entire observation  
246 period as well as for the dry periods only. For the catchments with less snow influence  
247 there is no disadvantage compared to the *SPI*. Increasing the knowledge about the snow  
248 model parameters of a catchment decreased the uncertainty. However, there was not an  
249 increase but a slight decrease of the performance found. This decrease is counter-intuitive  
250 but might be explained by the fact that the prior knowledge parameters were derived by  
251 calibration of a full hydrological model. The optimal snow parameter values derived in  
252 this way might be model specific and not be those providing best results for the *SMRI*,  
253 when soil or groundwater were not considered. These results indicate that the use of an

254 ensemble of random parameters actually might be the most appropriate approach after  
255 all. Overall, the parameterization of the snow model has only a minor influence on the  
256 systematic performance of the *SMRI*. Propagating an ensemble is generally a useful way  
257 to illustrate the degree of uncertainty that is associated with a model simulation [*Pappen-*  
258 *berger and Beven, 2004; Montanari, 2005; Choi and Beven, 2007*]. An ensemble creates  
259 more robust results, that depend less on a choice of the parameter values.

260 Using elevation zones in the melt model instead of a lumped mean elevation, improved  
261 the performance of the *SMRI*. The resulting reduction of the range of *SMRI* values  
262 can be attributed to the explicit consideration of higher elevations. Here, the influence  
263 of the threshold temperature (see Appendix) is smaller, thus causing a more stable snow  
264 cover and hence less variability in modeled snow melt. Still, when no information on  
265 the elevation distribution is available the simpler approach of using the catchment mean  
266 elevation resulted in values of  $F_{bench}$  greater than zero, meaning the *SMRI* is closer to  
267 the *SSI* than the *SPI*. Other studies have found the use of only one lumped elevation  
268 zone to result in poor runoff simulations [*Uhlenbrook et al., 1999*], the aggregation over at  
269 least a month in this study compensates the errors as the main effect if different elevation  
270 zones is a shift in the timing of snow melt.

271 Finally, the choice of the climate data input will affect the results. The snow model  
272 was driven with uncorrected precipitation data as corrected precipitation data is not a  
273 standard data product in Switzerland. Thus there can be errors due to precipitation un-  
274 dercatch - especially in winter when precipitation falls as snow [*Rasmussen et al., 2012*].  
275 However, the resulting bias affects the calculation of both indices, the *SMRI* and the  
276 *SPI*. Hence, the comparison of the indices and the results presented in this study should

277 not be affected. The grid product used is the result of a well-validated interpolation from  
278 a dense network of climate stations. In other mountain regions of the world with less  
279 dense networks, interpolation will be more challenging and the errors may be higher.

280 The choice to include just one key process, i.e., snow accumulation and melt, in the  
281 model used to compute the *SMRI* has implications for the seasonal performance of the  
282 new index. The measure of comparison decreases in the months of May to August for the  
283 strongly snow influenced catchments. These are the months with the highest evapotran-  
284 spiration, a process that was not modeled here, but could be considered in a similar way  
285 to the *SPEI* approach [Vicente-Serrano et al., 2010] or in a full hydrological model using  
286 the *SRI* approach [Shukla and Wood, 2008]. For many snow-dominated catchments, in-  
287 cluding those used in this study, the performance gain by including processes other than  
288 snow is expected to be small. Despite the exclusion of evapotranspiration, over the entire  
289 year the *SMRI* was closer to the *SSI* than the *SPI* and particularly so in the months  
290 of snow melt. For the catchments with a pluvial regime, the difference between *SPI* and  
291 *SMRI* as an indicator for streamflow drought conditions is small or not existent.

292 There has been some debate over the general concept of standardization which includes  
293 fitting a distribution to heavily skewed hydro-meteorological data rather than using em-  
294 pirical percentiles. Empirical percentiles have been used mostly in studies that extract  
295 further drought characteristics below a threshold to define severity-area-duration or fre-  
296 quencies (and return periods) [e.g., Cancelliere and Salas, 2010; van Vliet et al., 2012].  
297 The concept of standardization has been used mostly for the analysis of entire time se-  
298 ries and the propagation of drought through the hydrological cycle [e.g., Hayes et al.,  
299 1999; Shukla and Wood, 2008]. In this study we chose the *SPI* approach for consistency



300 and comparability to currently used drought monitoring and early warning efforts. Even  
301 though *Vicente-Serrano et al.* [2011] found differences in mean, standard deviation and  
302 in the estimation of extreme quantiles for the different distributions, the major dry and  
303 moist episodes, regardless of which distribution function was used, were clearly identified.

## 4.2. Application potential

304 Similar to other existing drought indices, the new index can be calculated for different  
305 aggregation periods. The co-evolution of *SPI*, *SSI* and the new *SMRI* during two recent  
306 drought events showed that with an increasing aggregation period, the *SMRI* and *SPI*  
307 approximate each other for the studied catchments. The *SMRI* is thus considered useful  
308 to indicate streamflow droughts, that occur in humid to semi-arid mountain regions on  
309 a time scale below one year due to the seasonal character of snow storage. The *SMRI*  
310 seems especially suited for warm snow season droughts [*Van Loon and Van Lanen, 2012*]  
311 as the one in spring 2011.

312 The slightly greater performance difference between  $SMRI_{elev-1}$  and  $SMRI-1$  compared  
313 to  $SMRI_{elev-3}$  and  $SMRI-3$ , especially in the catchments with an elevation range between  
314 1000 and 2000 m a.s.l., can be explained with different phases of melt and accumulation  
315 that occur in the different elevation zones of a catchment. These differences matter less  
316 on longer aggregation time scales as net snow melt amounts for different elevation zones  
317 converge.

318 In the temperate humid climate of Switzerland, snow melt and precipitation occur in the  
319 same season, as rainfall is uniformly distributed over the year. This requires shorter aggre-  
320 gation periods to be considered for the calculation of the indices than in a Mediterranean  
321 climate, where wet and dry seasons are clearly separated. Where such a clear separation

322 does not exist, other indices that include end-of season snow pack directly as, for example,  
323 the *SWSI*, will be less useful for drought assessment.

324 Ideally, an index also needs to be suitable for regional comparisons, i.e., easily applicable  
325 with distributed or gridded climate datasets and without further information needs. The  
326 *SWSI*, for instance, requires information on the different contributions of precipitation,  
327 snow, runoff and reservoir storage as well as their elevational, seasonal and inter annual  
328 variations. As *Shukla and Wood* [2008] stated, a runoff index complements the *SPI* and  
329 can serve to understand the actual hydrological situation concerning droughts. The *SRI*  
330 includes all runoff generation processes including snow melt in the modeled runoff. The  
331 strength of a runoff-based index is that it can be used for forecasting and is sensitive to  
332 hydrologic initial conditions such as snow conditions in spring [*Shukla and Wood*, 2008].  
333 However, simulated grid runoff cannot be validated. Validation of the *SMRI* approach  
334 with *SSI* from streamflow observations in meso-scale catchments across a gradient of  
335 increasing snow influence, as proposed in this study, shows that for these cases the sim-  
336 pler approach is a suitable alternative to describe the evolution of hydrological drought  
337 situations.

## 5. Conclusions

338 The *SMRI*, as introduced in this study, combines the low data requirements of the *SPI*  
339 with the explicit consideration of snow accumulation and melt. The analyses of the new  
340 index demonstrates its usefulness to indicate hydrological droughts in snow influenced  
341 catchments, with specific advantages in those climatic regions where snow melt and rainy  
342 season coincide. This case study with Swiss catchments suggests a closer description of  
343 hydrological droughts by the *SMRI* than by *SPI*. Following the gradient of snow influ-

344 ence, the more a catchment is influenced by snow the more worthwhile it is to complement  
345 the *SPI* with the *SMRI*.

346 The *SMRI* is a somewhat more complex index than the *SPI* as it also uses tempera-  
347 ture data to consider snow processes in the computation. Thus it has some additional  
348 sources of uncertainty. The aggregation period can be adjusted to the typical seasonality  
349 of the hydrological regime, water resources use and management requirements. As the  
350 index corresponds to the *SPI* during seasons or years without snow, it can be used with-  
351 out problems for drought monitoring and assessment over diverse mountain regions with  
352 regime transitions.

353 Despite the different realizations derived from different parameter sets of the snow model,  
354 the *SMRI* described both the hydrological situation in general as well as dry periods  
355 in particular closer than the *SPI* particularly in snow influenced catchments. We there-  
356 fore recommend using the *SMRI* for drought monitoring in snow influenced catchments  
357 without streamflow measurements.

## Appendix A: Snow model

358 The new *SMRI* was based on snow melt computations using a simple degree-day snow  
359 model. Whenever the observed air temperature ( $T$ ) [ $^{\circ}\text{C}$ ] is lower than a threshold tem-  
360 perature ( $T_T$ ) [ $^{\circ}\text{C}$ ] precipitation is added to the snow storage (accumulation  $A$  [mm]). In  
361 addition to the accumulation the liquid water content  $S_{liquid}$  [mm] in the snow pack is also  
362 calculated.  $S_{liquid}$  is calculated accounting for precipitation ( $P$ ) [mm], melt  $M$  [mm] and  
363 refreezing ( $R$ ) [mm] and has an upper bound constrained by the water holding capacity  
364 ( $C_{WH}$ )[-]. Refreezing ( $R$ ) is determined by  $S_{liquid}$  of the day before, a degree-day factor  
365  $C_M$  [mm/day $^{\circ}\text{C}$ ] and a refreezing factor  $C_{FR}$  [-]. Melt is constrained by the preceding

366 accumulation and calculated using  $C_M$ ,  $T_T$  and  $T$ . The contribution to surface runoff  
 367  $Q$  [mm] is all water that exceeds  $C_{WH}$  of the snow pack. For this study  $C_{WH}$  was kept  
 368 constant at a value of 0.1. (see pseudo code below)

---

**if**  $T(t) < T_T$  **then**

$$R(t) = \min(S_{liquid}(t-1), C_{FR} * C_M * (T_T - T(t)))$$

$$A(t) = A(t-1) + P(t) + R(t)$$

$$S_{liquid}(t) = S_{liquid}(t-1) - R(t)$$

**else**

$$M(t) = \min(A(t-1), C_M * (T(t) - T_T))$$

$$A(t) = A(t-1) - M(t)$$

$$S_{liquid}(t) = S_{liquid}(t-1) + P(t) + M(t)$$

**if**  $S_{liquid}(t) > C_{WH} * A(t)$  **then**

$$Q(t) = S_{liquid}(t) - C_{WH} * A(t)$$

$$S_{liquid}(t) = C_{WH} * A(t)$$

**end if**

**end if**

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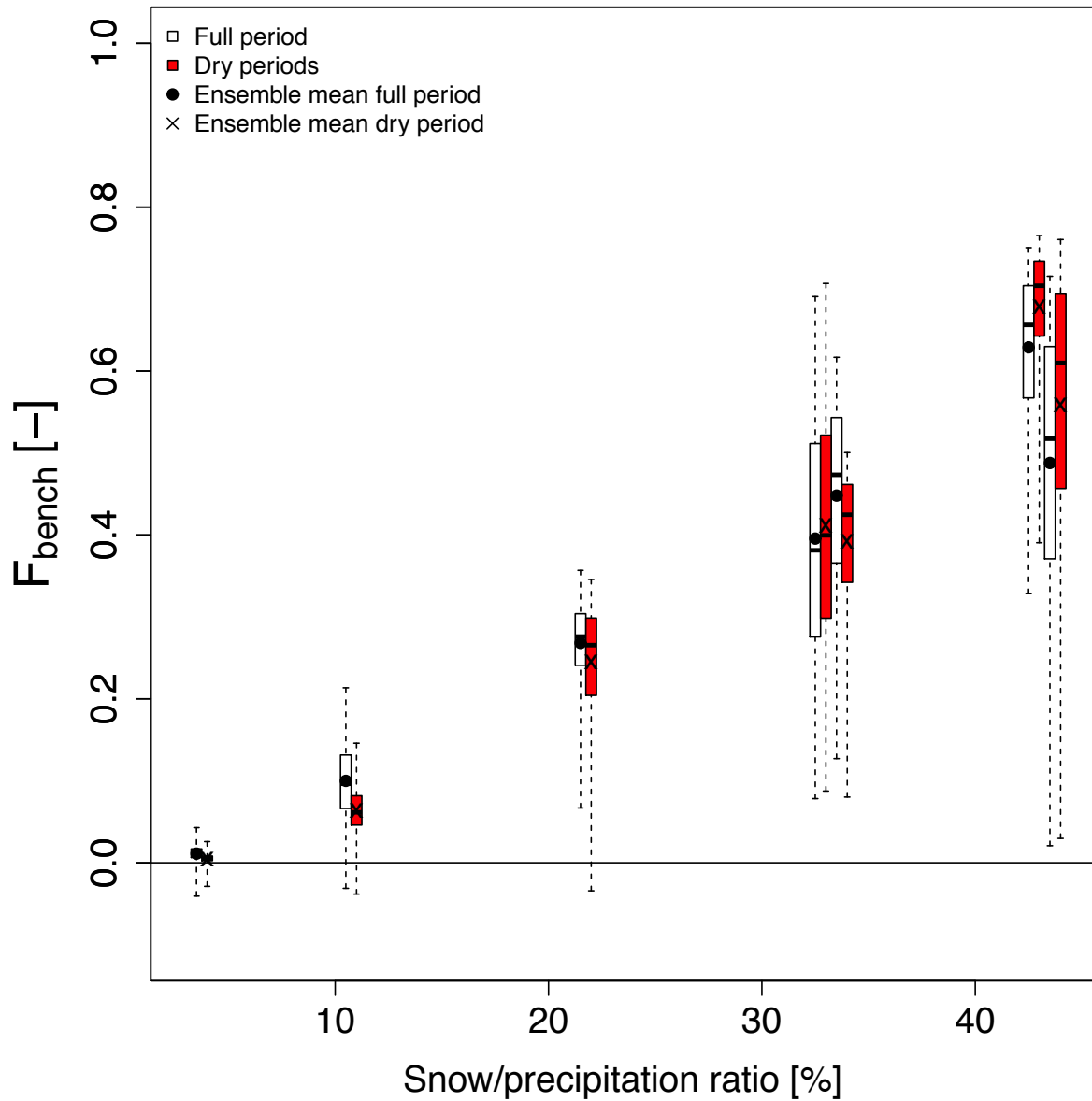
**Table 1.** Catchment properties (FOEN, Section Hydrology, 2011).

Catchment number	Name	Area ( $km^2$ )	Mean elevation ( $ma.s.l.$ )	Elevation range ( $ma.s.l.$ )	Regime	Snow/precip <sup>a</sup> (%)
1	Mentue	105.0	679	445-927	pluvial	4.8
2	Sense	352.0	1068	548-2189	pluvio-nival	11.7
3	Sitter	74.2	1252	769-2501	nival	22.7
4	Allenbach	28.8	1856	1297-2762	nival	33.7
5	Riale di Calneggia	24.0	1996	885-2921	nival	34.3
6	Ova da Cluozza	26.9	2368	1508-3165	nival	42.2
7	Dischma	43.3	2372	1668-3146	nival	44.7

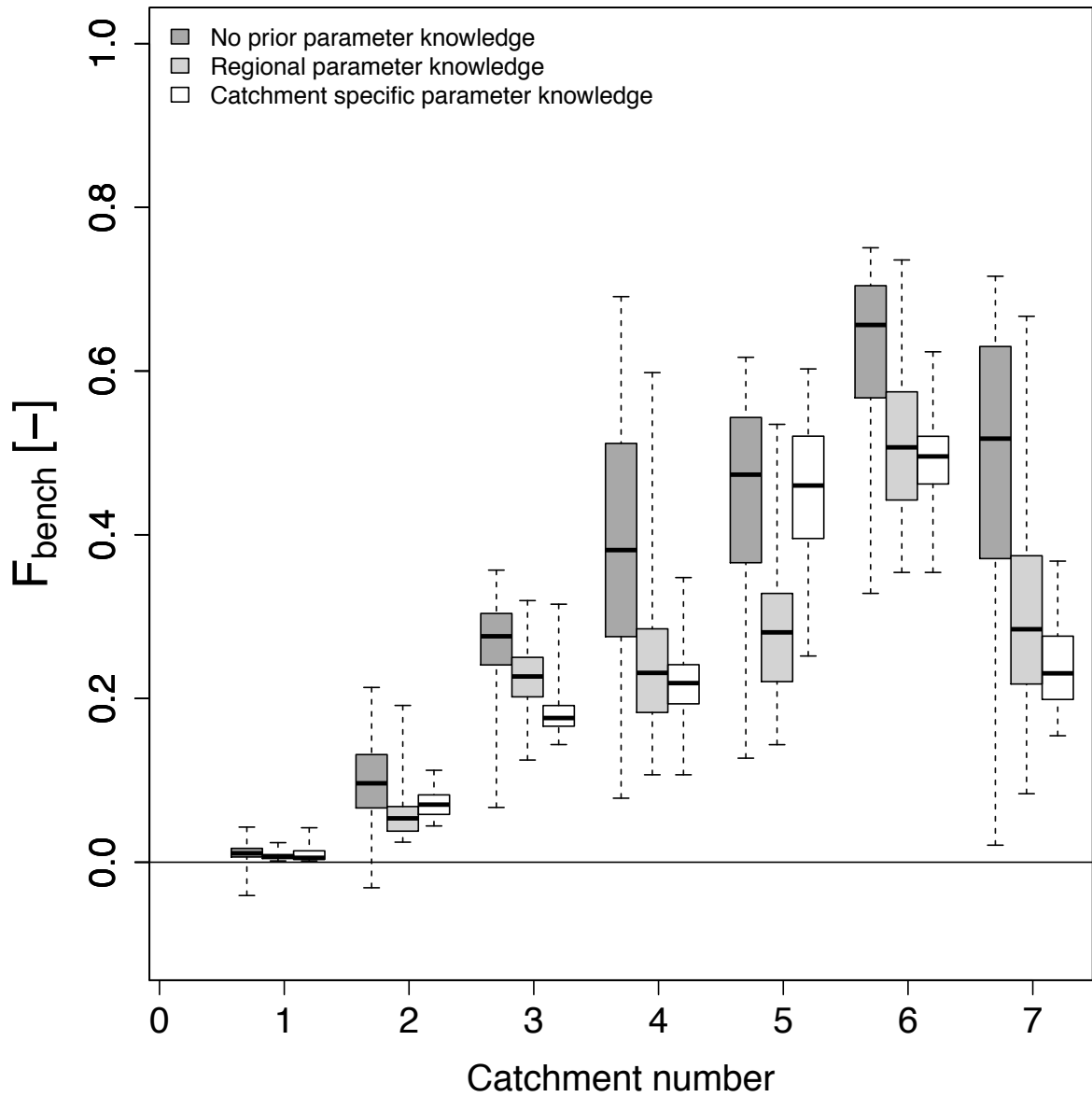
<sup>a</sup> Percent of snow in precipitation is calculated as the ratio of precipitation on days with air temperatures below  $0^\circ C$  and precipitation from the entire observational period

**Table 2.** Mean values of  $F_{bench}$  for different aggregation periods and all catchments.

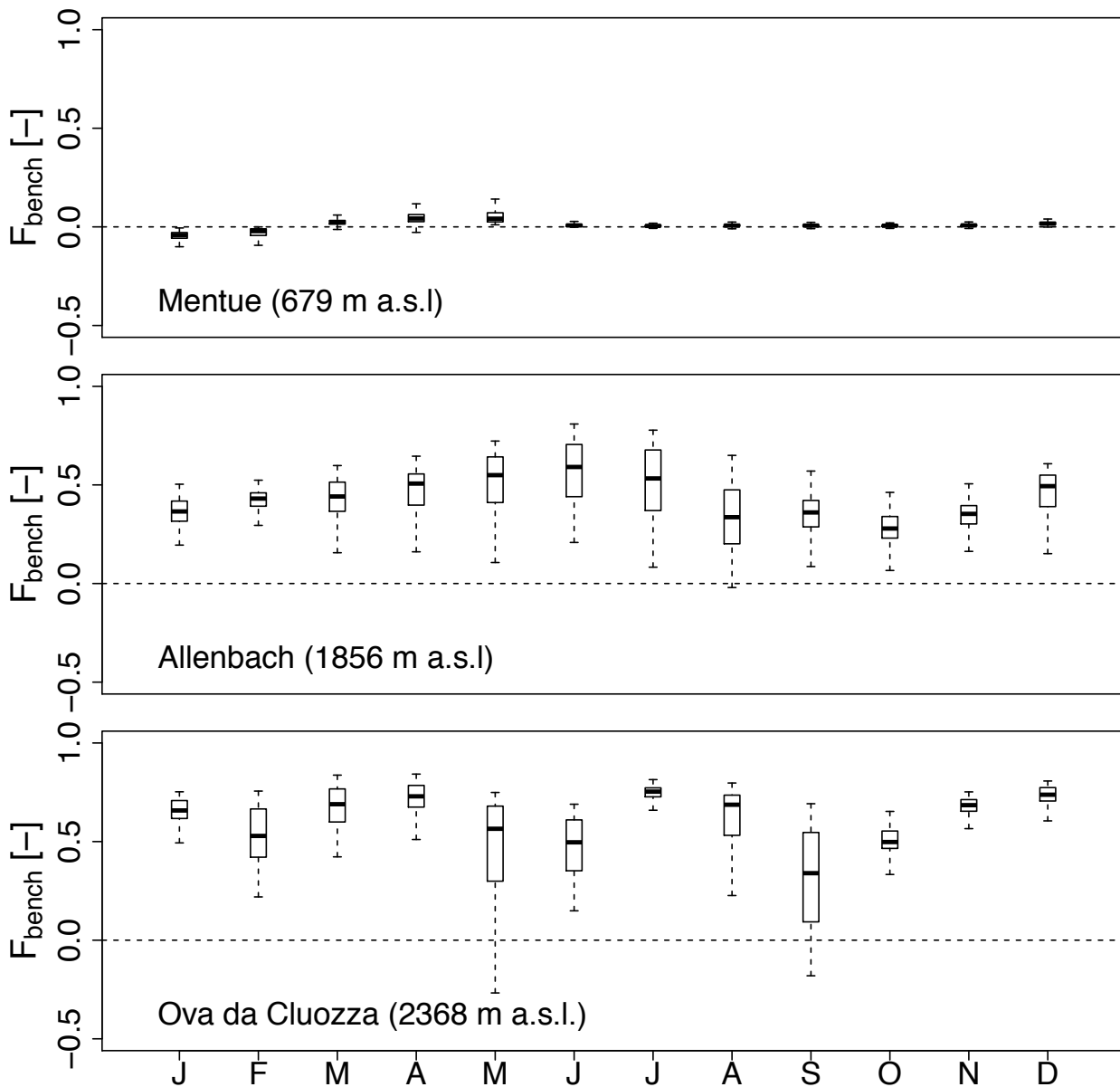
Aggregation time [months]	Mentue	Sense	Sitter	Riale di Calneggia	Allenbach	Ova da Cluozza	Dischma
Full period							
1	0.008	0.079	0.197	0.341	0.332	0.573	0.465
2	0.010	0.093	0.226	0.366	0.405	0.610	0.479
3	0.011	0.100	0.268	0.396	0.448	0.629	0.488
4	0.012	0.104	0.284	0.424	0.468	0.639	0.492
6	0.012	0.107	0.261	0.438	0.476	0.620	0.475
12	-0.003	0.029	0.073	0.181	0.182	0.333	0.187
Dry periods							
1	0.004	0.059	0.216	0.386	0.296	0.635	0.514
2	0.004	0.065	0.215	0.390	0.361	0.667	0.541
3	0.005	0.064	0.245	0.412	0.393	0.679	0.558
4	0.008	0.067	0.251	0.436	0.412	0.685	0.553
6	0.011	0.083	0.265	0.438	0.453	0.649	0.498
12	-0.009	0.026	0.097	0.192	0.164	0.352	0.193



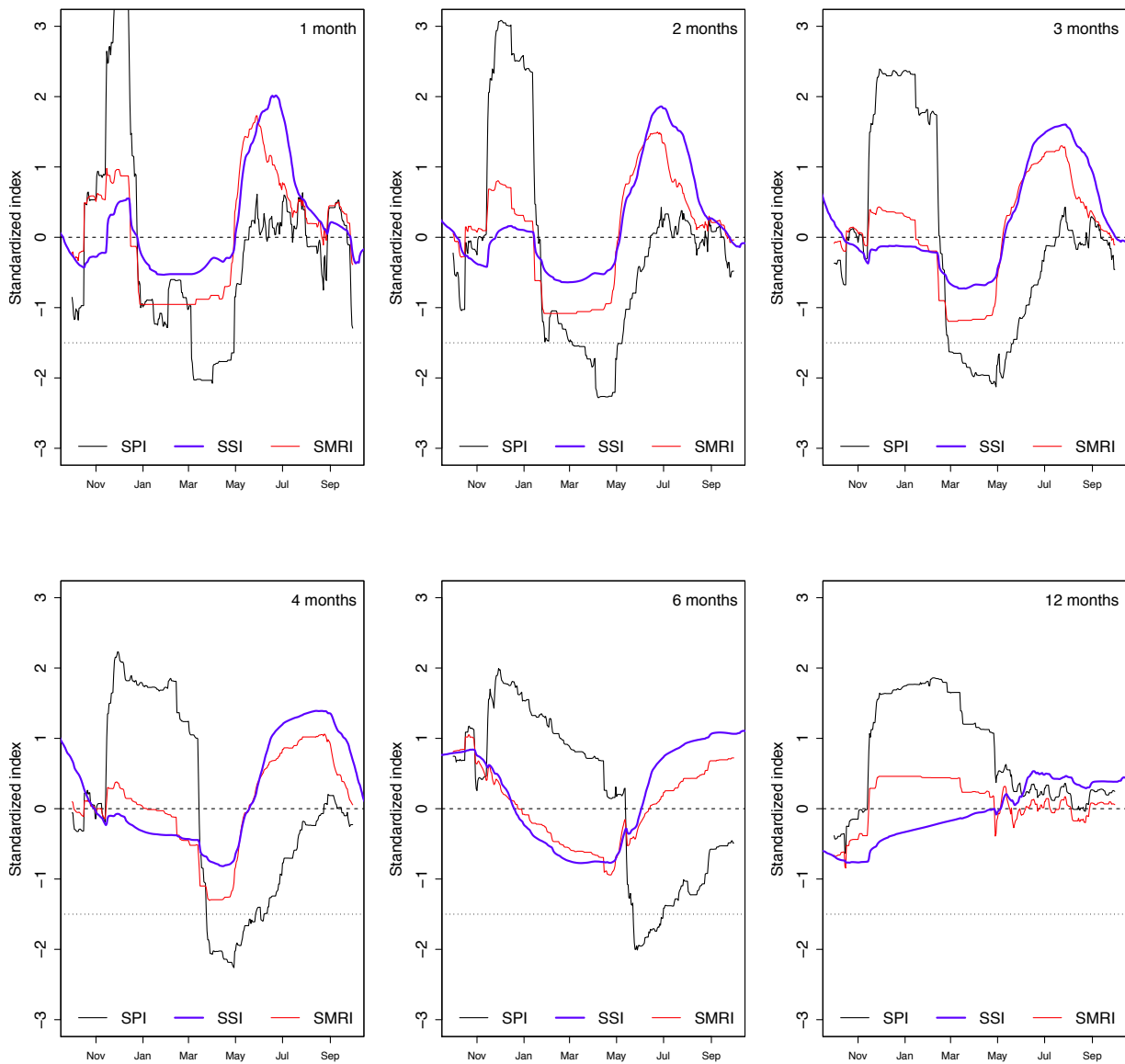
**Figure 1.** Distributions of the measure of comparison  $F_{bench}$  for snow model parameter Set 1 for drought indices with an aggregation period of three months. Each pair of boxes (white plus red) represents one catchment. Additionally, the measure of comparison of the ensemble mean is shown. The whiskers of a boxplot extend to the minimum and the maximum values, the box extends from the 25th to the 75th percentile and the bar shows the median.



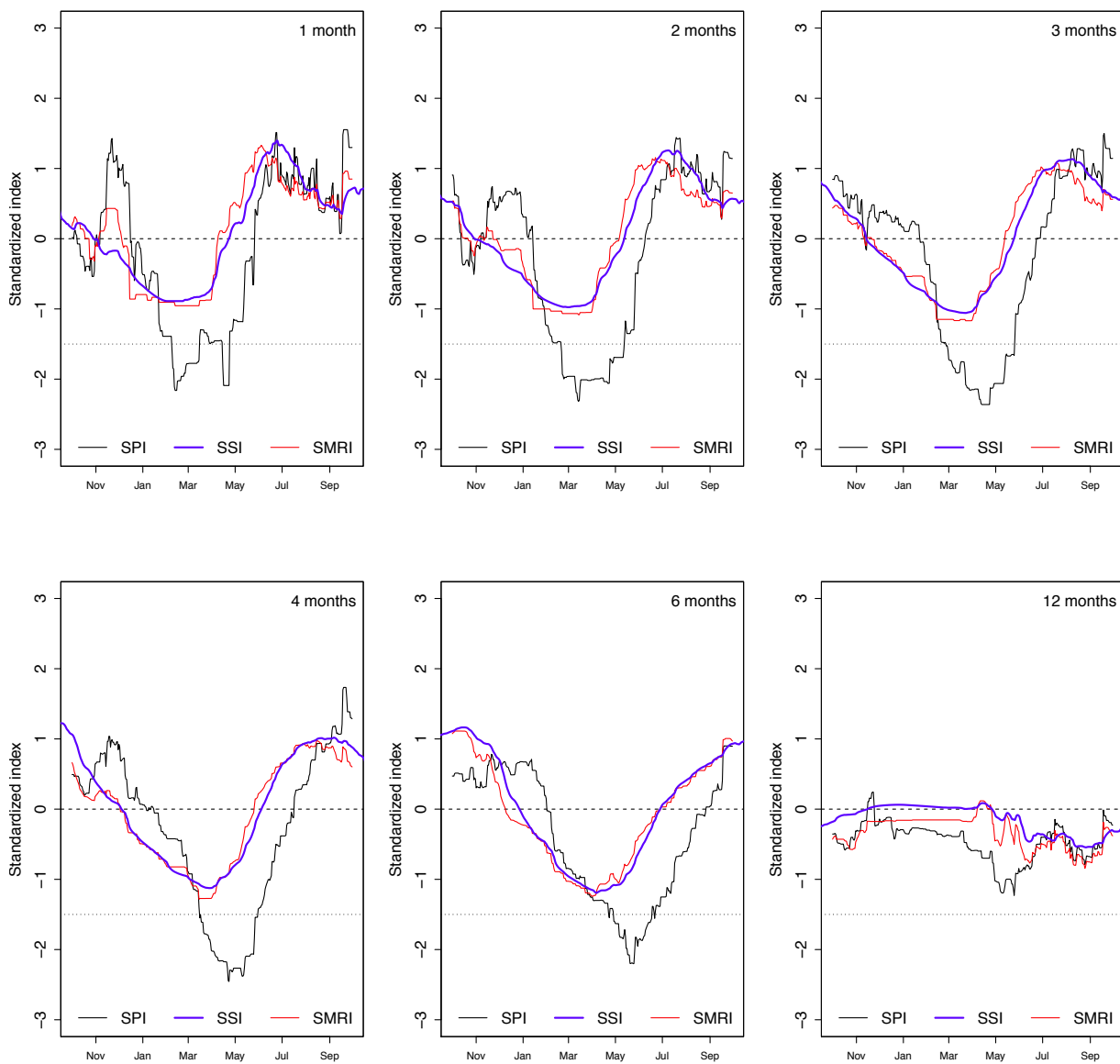
**Figure 2.** Distributions of the measure of comparison  $F_{bench}$  for the three different snow model parameter sets for drought indices with an aggregation period of three months. Boxplots as in Figure 1.



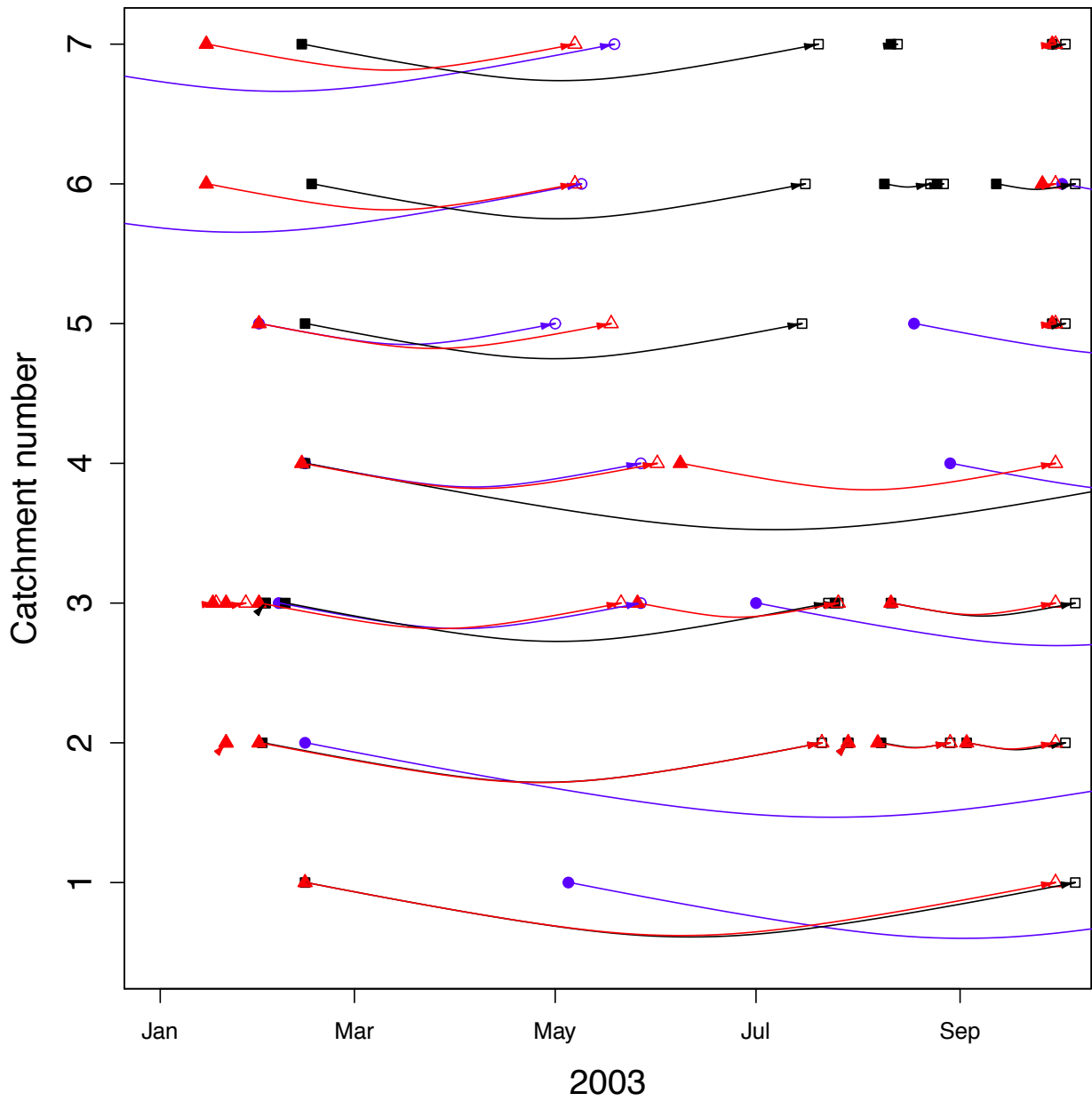
**Figure 3.** Distributions of the measure of comparison  $F_{bench}$  for each month, modeled with Set 1 for a catchment with little snow influence (upper), a catchment with medium snow influence (middle) and a catchment with high snow influence (lower). Boxplots as in Figure 1.



**Figure 4.** Standardized precipitation (*SPI*) (black), streamflow (*SSI*) (blue) and ensemble mean of the snow melt rain index (*SMRI*) (red) in daily resolution for six different accumulation periods during the summer drought 2003 for the nival Ova da Cluozza catchment.

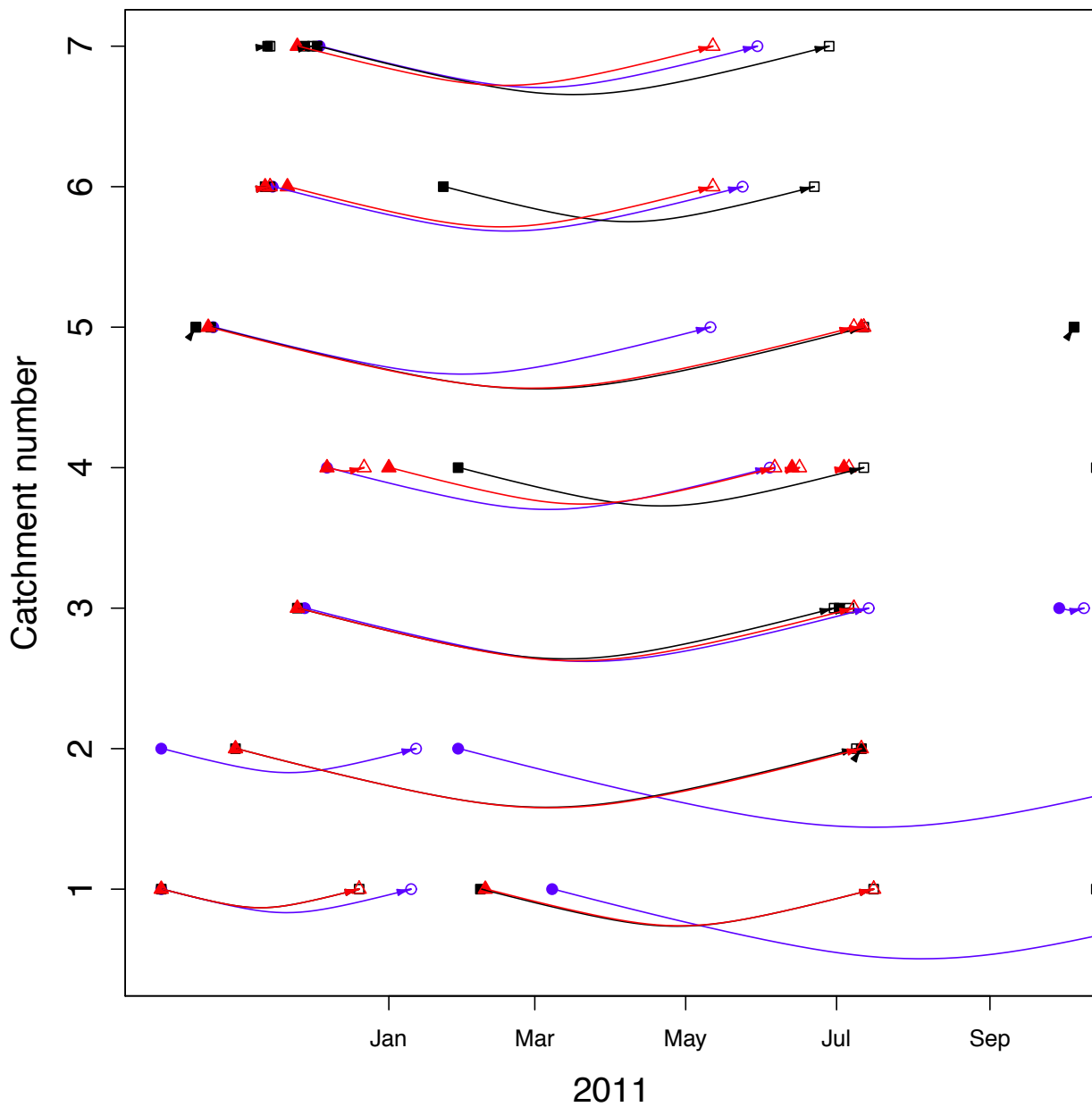


**Figure 5.** Standardized precipitation (*SPI*) (black), streamflow (*SSI*) (blue) and ensemble mean of the snow melt rain index (*SMRI*) (red) in daily resolution for six different accumulation periods during the spring drought 2011 for the nival Ova da Cluozza catchment.

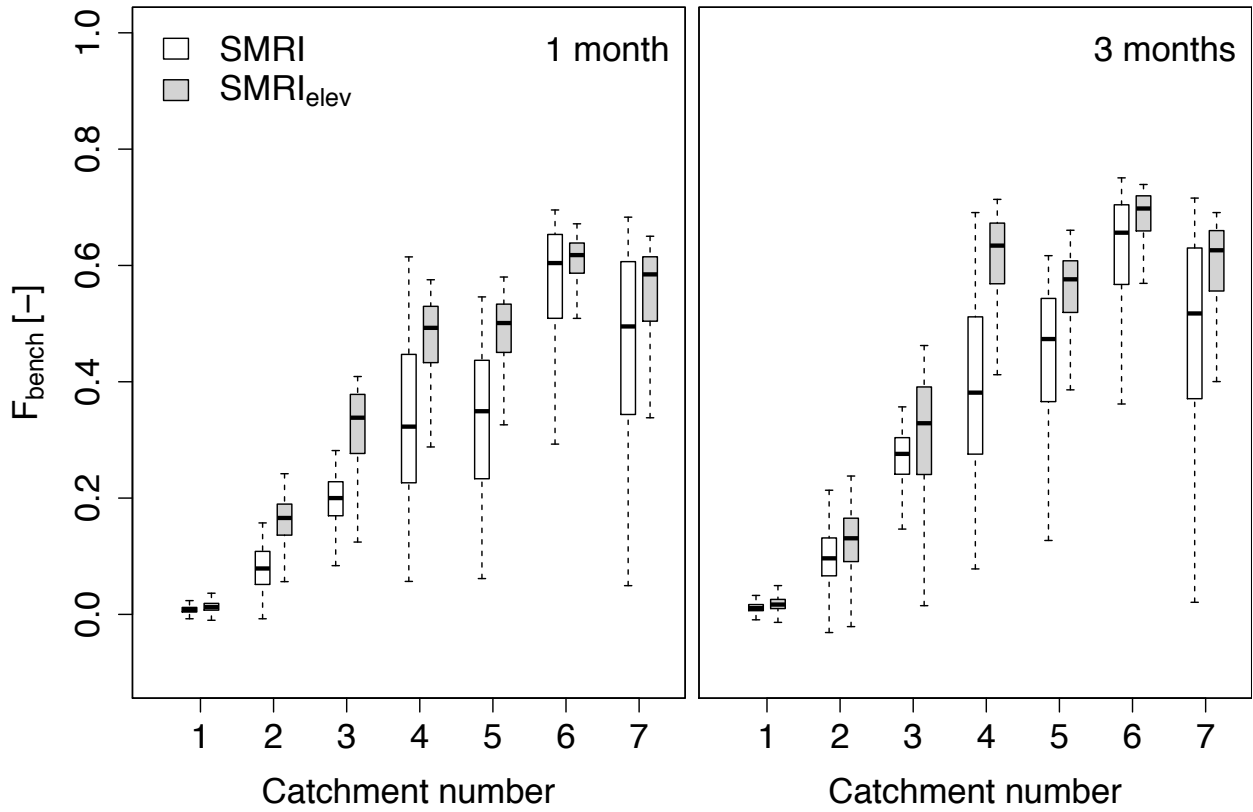


**Figure 6.** Starting dates of the summer drought 2003 (index <0) for standardized precipitation (*SPI*) (black), streamflow (*SSI*) (blue) and ensemble mean of the snow melt rain index (*SMRI*) (red) for the accumulation period of three months.





**Figure 7.** Starting dates of the spring drought 2011 (index <0) for standardized precipitation (*SPI*) (black), streamflow (*SSI*) (blue) and ensemble mean of the snow melt rain index (*SMRI*) (red) for the accumulation period of three months.



**Figure 8.** Comparison of the distribution of the measure of comparison for  $SMRI$  and  $SMRI_{elev}$  for the aggregation periods of one (left) and three (right) months. Boxplots as in Figure 1.