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1 ***Defining ecological drought for the 21<sup>st</sup> century***

2

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33

34 We dedicate this paper to Dr. Kelly Redmond, whose insights and thoughtful perspectives first  
35 inspired our conceptualization of ecological drought. His work, generosity, and prescient insights  
36 continue to inspire work on this topic, and many others. He will be missed.

37

38 **THE RISING RISK OF DROUGHT.** Droughts of the 21<sup>st</sup> century are characterized by hotter  
39 temperatures, longer duration and greater spatial extent, and are increasingly exacerbated by  
40 human demands for water. This situation increases the vulnerability of ecosystems to drought,  
41 including a rise in drought-driven tree mortality globally (Allen et al. 2015) and anticipated  
42 ecosystem transformations from one state to another, e.g., forest to a shrubland (Jiang et al.  
43 2013). When a drought drives changes within ecosystems, there can be a ripple effect through  
44 human communities that depend on those ecosystems for critical goods and services (Millar and  
45 Stephenson 2015). For example, the “Millennium Drought” (2002-2010) in Australia caused  
46 unanticipated losses to key services provided by hydrological ecosystems in the Murray-Darling

47 Basin—including air quality regulation, waste treatment, erosion prevention, and recreation. The  
48 costs of these losses exceeded AU\$800 million, as resources were spent to replace these services  
49 and adapt to new drought-impacted ecosystems (Banerjee et al. 2013). Despite the high costs to  
50 both nature and people, current drought research, management, and policy perspectives often fail  
51 to evaluate how drought affects ecosystems and the “natural capital” they provide to human  
52 communities. Integrating these human and natural dimensions of drought is an essential step  
53 toward addressing the rising risk of drought in the 21<sup>st</sup> century.

54 Part of the problem is that existing drought definitions describing meteorological drought  
55 impacts (agricultural, hydrological, and socioeconomic) view drought through a human-centric  
56 lens and do not fully address the ecological dimensions of drought. Redmond (2002) posed the  
57 question, “Like the tree falling in the forest, does drought occur if there is no human to record or  
58 experience it?”. Redmond later answered his own question by arguing that drought indeed  
59 “extends to vegetation and ecosystems.” Yet, ecosystem responses to drought remain largely  
60 absent from many drought-planning efforts, resulting in debates that often pit the water needs of  
61 humans against the needs of ecosystems. Meanwhile, rapidly expanding human populations and  
62 anthropogenic climate change increase pressure on ecological water supplies and alter  
63 ecosystems in ways that can increase their vulnerability to drought, with real consequences for  
64 human communities through loss of ecosystem services. To prepare us for the rising risk of  
65 drought in the 21<sup>st</sup> century, we need to re-frame the drought conversation by underscoring the  
66 value to human communities in sustaining ecosystems and the critical services they provide  
67 when water availability dips below critical thresholds. In particular, we need to define a new type  
68 of drought—ecological drought—that integrates the ecological, climatic, hydrological,  
69 socioeconomic, and cultural dimensions of drought.

70 To this end, we define the term ecological drought as *an episodic deficit in water*  
71 *availability that drives ecosystems beyond thresholds of vulnerability, impacts ecosystem*  
72 *services, and triggers feedbacks in natural and/or human systems.* We support this definition  
73 with a novel, integrated framework for ecological drought that is organized along two  
74 dimensions—the components of vulnerability (exposure + sensitivity/adaptive capacity) and a  
75 continuum from human to natural factors (Fig. 1). The purpose of this framework is to help guide  
76 drought researchers and decision-makers to understand 1) the roles that both people and nature  
77 play as drivers of ecosystem vulnerability, 2) that ecological drought’s impacts are transferred to  
78 human communities via ecosystem services, and 3) these ecological and ecosystem service  
79 impacts will feed back to both natural and human systems. In addition, our framework will help  
80 identify important trade-offs and strategies for reducing the ecological drought risks facing both  
81 human and natural systems in the 21<sup>st</sup> century.

82

83 **ECOLOGICAL DROUGHT VULNERABILITY FRAMEWORK.** The drought vulnerability  
84 of an ecological community, population, individual, or process is determined by its exposure,  
85 sensitivity, and adaptive capacity (Glick et al. 2011) to reduced water availability. In the 21<sup>st</sup>  
86 century, each of these components of vulnerability arises from interactions between natural  
87 processes and human activities. Our novel framework clarifies these human and natural  
88 dimensions of vulnerability to highlight opportunities for mitigation of and/or adaptation to  
89 ecological drought (Fig. 1).

90 *Ecologically available water & drought exposure.* The amount of water that is ultimately  
91 available to ecosystems during a drought—ecologically available water—is influenced by a  
92 combination of natural and human-modified processes (Fig. 1). Historically, the geography,

93 frequency, and duration of drought conditions were driven primarily by sea surface temperatures  
94 in major oceanic basins, ocean-atmosphere interactions such as the El Niño Southern Oscillation  
95 (ENSO), internal atmospheric variability, and land-atmosphere feedbacks (McCabe et al. 2008;  
96 Cook et al. 2016). However, anthropogenic climate change increasingly affects the frequency,  
97 intensity, and extent of droughts (Trenberth et al. 2013), largely through higher temperatures that  
98 drive higher evaporative demand, as well as changes in precipitation type (snow vs. rain) and  
99 timing, which can lead to increased dry-season length, particularly in the tropics. Climate change  
100 is also expected to increase the likelihood of multi-decadal ‘megadroughts’ which were common  
101 during some time periods in the paleorecord, but which far exceed the duration of any drought  
102 observed in the historical record (Cook et al. 2016). Similarly, the way drought spreads through a  
103 region is characterized by an interaction between natural landscape features (e.g., topography  
104 and soils) and human modifications of hydrological processes (e.g., reservoirs and irrigation)  
105 (Haddeland et al. 2014; Van Loon et al. 2016). For example, the Millennium Drought was  
106 largely driven by ENSO, but groundwater extraction and river regulation nearly doubled the  
107 reduction in river flows that led to costly ecological impacts (van Dijk et al. 2013).

108 *Sensitivity, adaptive capacity, and natural resource management.* As with drought  
109 exposure, sensitivity to ecological drought and adaptive capacity are also driven by interactions  
110 between natural and human systems. Sensitivity refers to how strongly a species or ecosystem is  
111 affected by drought exposure and results from a combination of the basic life history traits and  
112 physiology of species, population/community structure (e.g., demographics and diversity), and  
113 ecosystem-level processes (Glick et al. 2011). Adaptive capacity is the ability to accommodate or  
114 cope with the effects of drought, for example by plants exhibiting phenotypic plasticity or  
115 animals moving to a new location in response to reduced ecological water supply (Fig. 1). These

116 aspects of vulnerability are important because variability in a system's sensitivity and ability to  
117 adapt can cause different drought responses to the same water deficit. For example, variations in  
118 mortality patterns in southwestern U.S. piñon-juniper woodlands exposed to the severe drought  
119 of 2002-2003 were driven by interactions between plant water-use traits, stand characteristics,  
120 and bark-beetle infestation (i.e., variable sensitivity) (McDowell et al. 2008). Similarly,  
121 differences in genetic diversity of European silver fir (i.e., variable adaptive capacity) determine  
122 whether a population's growth is tightly controlled by drought or largely unaffected by it (Bosela  
123 et al. 2016). Humans can influence drought sensitivity and adaptive capacity through natural  
124 resource management actions that manipulate these ecological and evolutionary characteristics  
125 (Fig. 1). For example, research in forests shows that drought-induced tree mortality is higher in  
126 denser stands, and points toward reducing basal area as a management strategy to reduce  
127 vulnerability of some forested ecosystems to drought (Bradford and Bell 2017). This strategy can  
128 be accomplished through silvicultural thinning or, for some species, through prescribed fire (van  
129 Mantgem et al. 2016).

130

## 131 **UNDERSTANDING DROUGHT IN COUPLED NATURAL-HUMAN SYSTEMS.**

132 *Types of Ecological Drought.* Historically, droughts were natural events that shaped  
133 ecological processes and evolutionary adaptations. Yet, changing conditions in the 21<sup>st</sup> century  
134 are resulting in an increased risk of *megadisturbances*—i.e. widespread disturbances that  
135 overwhelm the adaptive capacity of ecosystems and human communities, leading to important  
136 ecological changes and ecosystem service losses (Millar and Stephenson 2015). Drought impacts  
137 cover a wide spectrum of severity, from small-scale, temporary responses (e.g., reduced  
138 productivity in plants or increased dehydration stress in wildlife) to widespread and persistent

139 ecosystem transformations (e.g., vegetation type conversion or species range shifts). Our  
140 definition of ecological drought aims to exclude the small-scale, short-term effects within a  
141 system's adaptive capacity that fail to leave an ecological or social footprint (Fig. 2). Instead, we  
142 define ecological drought as a disturbance that pushes coupled natural-human systems beyond  
143 their adaptive capacity and triggers important socio-ecological feedbacks (response arrows in  
144 Fig. 1; Fig. 2).

145         This definition is flexible enough to include multiple *types* of ecological drought,  
146 differentiated based on which part of the coupled natural-human system is impacted and which  
147 set of feedbacks is triggered (Fig. 2). For example, an ecological drought may result in ecological  
148 impacts that feed back to alter natural systems—selection of drought-adapted traits or species,  
149 range shifts, ecoclimatic teleconnections (e.g., Stark et al. 2016)—with little influence on the  
150 ecosystem services provided (Type I). Alternatively, an ecological drought may produce only  
151 minor ecological effects that do not feed back to natural systems, but result in larger effects on  
152 ecosystem services that alter connected human systems (Type II). A third type of ecological  
153 drought is defined by impacts and feedbacks in both human and natural systems (Type III). Our  
154 definition also includes *transformational* ecological droughts (Type IV), where ecological  
155 impacts and ecosystem service losses are extreme and drive a persistent state change in human  
156 and natural systems, such as vegetation type conversion or mass human migrations (e.g., The  
157 Dust Bowl migration).

158         *The importance of ecosystem services.* A focus on ecosystem services allow us to better  
159 appreciate that ecological impacts of drought also have important implications for human  
160 communities. Pederson et al. (2006) identified that ecological impacts from drought in  
161 mountainous areas of the western United States can affect a variety of ecosystem services

162 including provisioning (e.g., declining fisheries), cultural (e.g., reduced forest-related tourism),  
163 and regulating (e.g., increased threat and cost of fires and pest outbreaks) services. In the 21<sup>st</sup>  
164 century, we increasingly understand that ecosystem services are linked to human well-being and,  
165 as a result, are beginning to address disparate problems like poverty and biodiversity  
166 conservation with innovative mutually-beneficial solutions for nature and people (Guerry et al.  
167 2015). However, drought and its acute risks to both nature and people can sometimes challenge  
168 this progress and create situations where ecosystem and human water needs are viewed as  
169 competing demands for a limited resource (Fig. 3). This perspective can cause us to ignore  
170 interdependence of ecosystems and human well-being and thus bypass potential, mutually-  
171 beneficial solutions.

172         Our framework for ecological drought encourages an integrated approach to considering  
173 human and ecosystem water needs that relies on the concept of ecosystem services to better  
174 understand drought impacts and highlight potential strategies for integrative drought  
175 management. Such an approach corrects the “nature vs. people” misperception because it  
176 explicitly integrates human and ecological values and emphasizes identification of innovative  
177 solutions with the potential for mutual benefits.

178  
179 **A CALL TO ACTION.** Our framing of ecological drought highlights opportunities to mitigate  
180 the risks of drought to both nature and people. But, efforts by drought researchers and decision-  
181 makers are needed to operationalize the concepts presented here. Researchers can use our  
182 vulnerability framework to evaluate the relative roles of exposure, sensitivity, and adaptive  
183 capacity, as well as parse out human vs. natural drivers of ecosystem vulnerability to drought.  
184 This exercise can be useful in linking ecological drought impacts to the most relevant drivers in a

185 given system, which can lead to more targeted and effective management strategies. Our  
186 framework also encourages decision-makers to use an ecosystem services-based approach when  
187 considering trade-offs between human and ecosystem water needs in drought policy and  
188 management and may help identify strategies that are mutually beneficial.

189         There is a current groundswell of ecological drought research and synthesis, with  
190 important discoveries regarding the drivers of ecological drought impacts, especially the role of  
191 hotter, climate change driven droughts and interacting disturbances (e.g., Allen et al. 2015,  
192 Millar & Stephenson 2015, Vose et al. 2016). However, the effects of human water and land use  
193 on environmental water supplies are not always considered in current ecological drought  
194 research, monitoring, or prediction. The relative importance of natural climate variability,  
195 climate change, and direct human influences on environmental water supplies are likely to vary  
196 across regions and ecosystems, with the direct human influences outweighing the role of climate  
197 change in some situations (Haddeland et al. 2014). This argues for the need to focus more  
198 research on quantifying and separating these aspects of drought exposure.

199         Additionally, the ecological characteristics that most influence drought sensitivity and  
200 adaptive capacity, as well as how proactive and anticipatory resource management can target  
201 these traits to reduce drought vulnerability ahead of a drought needs to be more fully  
202 investigated. A growing body of literature linking life-history, physiology, and other functional  
203 traits to drought sensitivity in forests (Anderegg et al. 2016), shrublands (Venturas et al. 2016),  
204 and aquatic ecosystems (Lytle and Poff 2004) provides useful examples for other systems.  
205 Recent work has built upon this ecological knowledge to show that direct manipulation of  
206 ecological characteristics can reduce vulnerability to ecological drought through strategies like  
207 prescribed fire and forest thinning (e.g., van Mantgem et al. 2016; Bradford and Bell 2017). But,

208 this field of study needs to keep expanding to determine which ecosystems and at what scales  
209 (temporal and spatial) these kinds of proactive preparedness strategies are most effective.

210 Currently, research rarely integrates all aspects of ecological drought vulnerability  
211 simultaneously. Therefore, research that characterizes the human and natural dimensions of  
212 exposure, sensitivity, and adaptive capacity are needed to attribute the causes of ecological  
213 impacts and their social implications. As a start, researchers can use our framework and types of  
214 ecological drought as guides to develop questions and conduct research that determines where  
215 the greatest vulnerability lies in a given system, and therefore which strategies may be most  
216 effective. Advancing ecological drought research in these directions will help decision-makers  
217 identify proactive strategies that can directly lead to effective, place-based management for  
218 reducing vulnerability to droughts of the future.

219 Mitigating the impacts of ecological drought may be possible through various changes to  
220 policies, management practices, and water infrastructure. However, these attempts to change  
221 human institutions will be more effective if there is a fundamental understanding of the  
222 interdependence of human well-being and ecosystem services. There are currently few organized  
223 efforts to categorize or quantify the ecosystem services affected by drought (see van Dijk et al.  
224 2013). However, recent work in drought-prone areas in Australia (Banerjee et al. 2013) and the  
225 southwestern U.S. (Raheem et al. 2015) may serve as excellent starting places for strengthening  
226 our understanding of how ecological drought influences the goods and services people value, and  
227 how those values vary through space and time. Considering the value of ecosystem services at  
228 the outset of the planning process can integrate human and natural water needs and move us  
229 forward with the understanding that an investment in water for nature may ultimately be an  
230 investment in water for people.

231           Acting on these mutually-beneficial solutions requires a focus on drought adaptation—  
232 i.e., actions taken to proactively reduce drought risk over short or long time scales. Ecological  
233 drought vulnerability may be successfully reduced through proactive natural resource  
234 management strategies (e.g, thinning the forest) or strategies that work with and support natural  
235 processes, rather than employing engineered solutions that may degrade natural systems (e.g.,  
236 high-elevation reservoirs). For example, in the Amazon, reducing deforestation would reduce the  
237 ecoclimatic teleconnections that increase drought in the region (Stark et al. 2016), and could  
238 result in benefits to hydropower generation while simultaneously reducing drought-induced tree  
239 mortality. As another example, in western North America, beaver reintroduction is a drought  
240 adaptation strategy that builds upon the natural role that these mammals play in modifying  
241 hydrology in streams and wetlands (Pollock et al. 2014). Reintroducing beaver, or mimicking  
242 their structures, is a viable technique for restoring the natural water storage capacity of the  
243 landscape—thereby reducing drought exposure—for the benefit of both ecological and  
244 agricultural systems. Such strategies, often referred to as “nature-based solutions,” are  
245 investments in protecting and restoring natural systems but also hold promise for reducing risks  
246 associated with ecological drought. However, such approaches are currently underutilized in the  
247 drought arena and their efficacy and cost is rarely quantified or compared to infrastructure-based  
248 mitigation techniques (Jones et al. 2012).

249           Changing laws and policies that guide human modifications to water flows is another  
250 action that could benefit both people and nature, particularly where human modifications  
251 contribute the most to ecological drought. New policies that reallocate water to the environment  
252 during times of low stream flow have proven successful, if sometimes difficult to achieve. A  
253 prime example of this success is in Australia’s Murray-Darling Basin when during the

254 Millennium Drought, the proportion of flows diverted for agriculture increased dramatically,  
255 with a disproportionate impact on the environment. Lakes and rivers acidified, lagoons salinized,  
256 and the diversity of invertebrates, fish, and birds declined. In response to this crisis, an active  
257 water market using price signals and government purchase of water rights from irrigators,  
258 facilitated reallocation of water from irrigated agriculture to the environment, and despite a 70%  
259 fall in water extraction, the gross value of irrigated agricultural production remained relatively  
260 constant through the Millennium Drought (Grafton et al. 2012). Well-functioning water markets  
261 require strong legal and institutional underpinnings and are more likely to be successful at  
262 benefitting both nature and people when an ecosystem services approach is used to evaluate the  
263 trade-offs between consumptive and ecological water needs.

264         It is time for ecosystems to have a seat at the drought decision-making table. It is also  
265 time for ecology to recognize the importance of human decisions and well-being to the  
266 ecological drought picture. To encourage these changes, we have offered an integrative  
267 definition and framework of *ecological drought* to advance our scientific understanding of  
268 drought in the 21<sup>st</sup> century, highlight trade-offs between human and ecosystem water needs, and  
269 shape innovative policies and actions aimed at managing the rising risk of drought in coupled  
270 natural-human systems.

271

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282

### 283 **FOR FURTHER READING**

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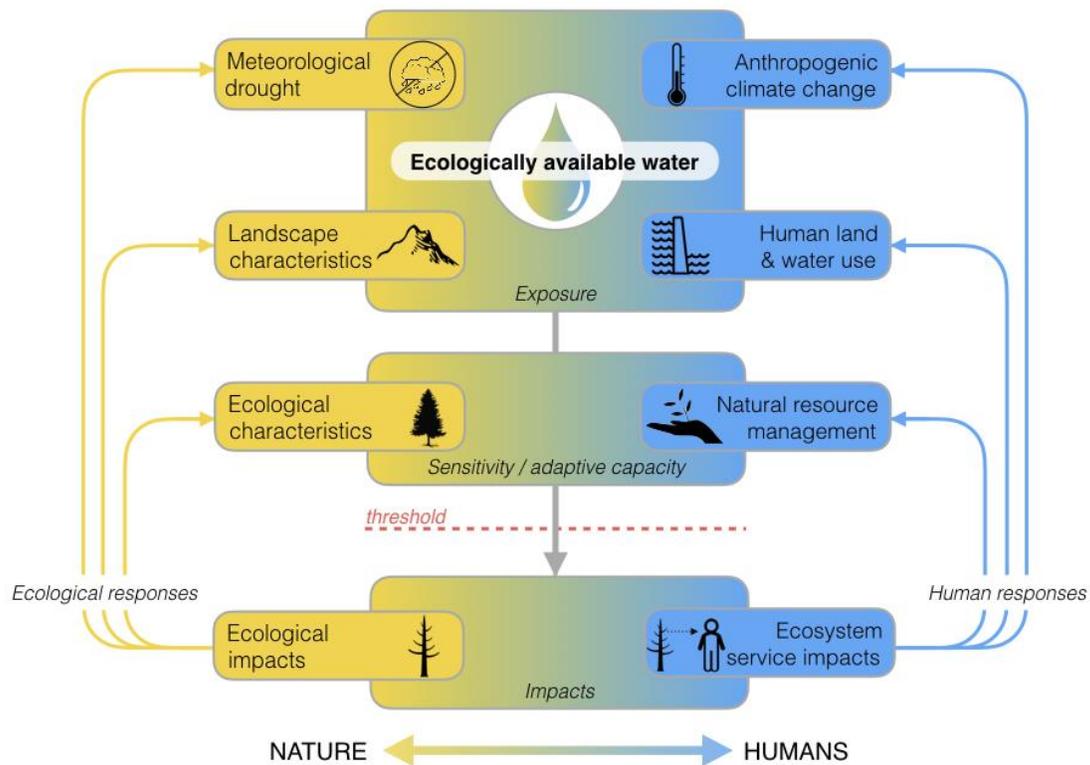
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369 **Figure 1.** Vulnerability framework for ecological drought. Conceptual diagram of ecological  
370 drought in the 21<sup>st</sup> century. This diagram illustrates the key drivers of drought vulnerability and  
371 impacts in coupled natural-human systems. Vulnerability = Exposure + Sensitivity + Adaptive  
372 Capacity. Curved arrows indicate feedbacks where ecological responses and changes in human  
373 behavior or institutions can alter ecological drought vulnerability. The yellow-blue color gradient  
374 represents the continuum of coupled natural-human systems.

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376 **Figure 2.** Types of ecological drought are differentiated by which side of the coupled natural-  
377 human system crosses a threshold (as in Fig. 1) and experiences the strongest impacts and  
378 feedbacks. Ecological impacts (yellow) feed back to the natural system and ecosystem service  
379 losses (blue) feed back to the human system. AC = adaptive capacity, CNH = coupled natural-  
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382 **Figure 3.** Re-frame the people vs. nature debate. (A) Agricultural workers in California's Central  
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385 of reservoir water slated for Central Valley irrigators in order to prevent a drought-induced fish  
386 kill (Sacramento, USA, 2014). Photo credits: (A) redstate.com, (B) lostcoastoutpost.com.

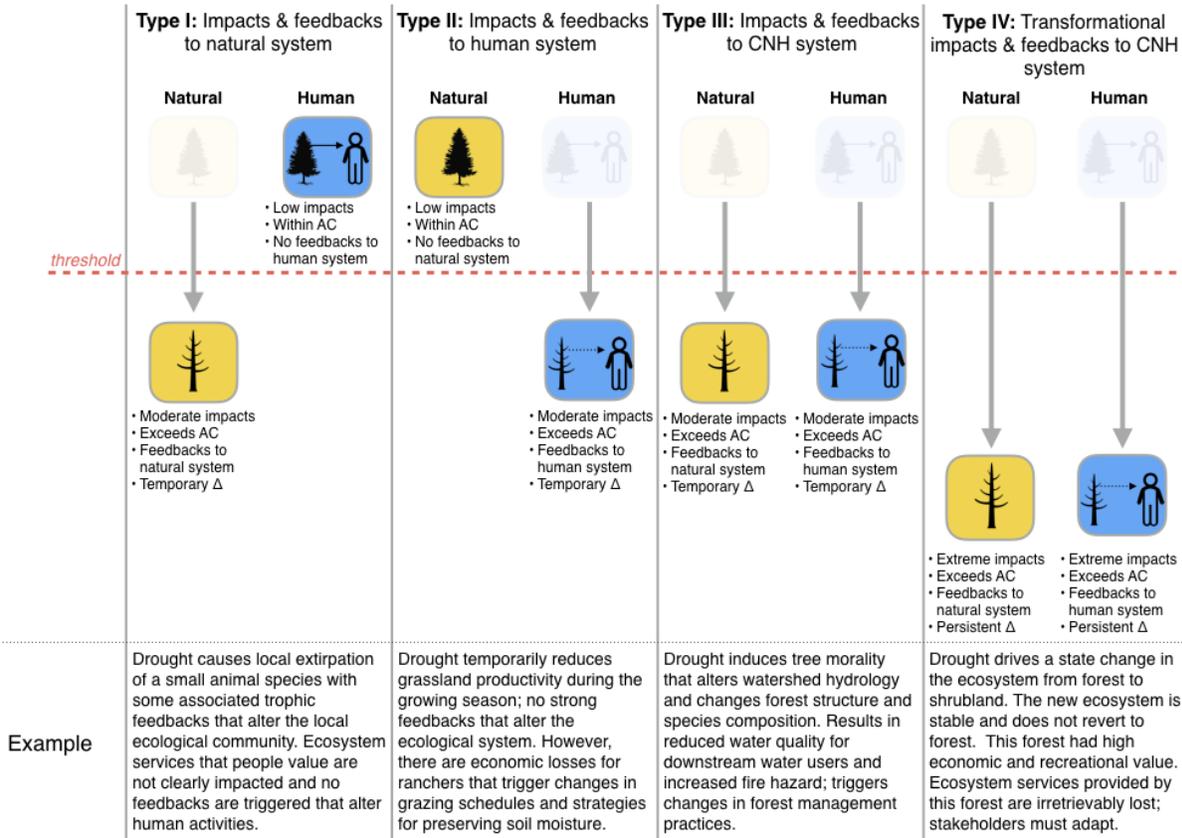
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