

University of Nebraska - Lincoln

DigitalCommons@University of Nebraska - Lincoln

Papers in Natural Resources

Natural Resources, School of

8-2020

Connections between the hydrological cycle and crop yield in the rainfed U.S. Corn Belt

Wang Zhou

University of Illinois at Urbana-Champaign, wangzhou@illinois.edu

Kaiyu Guan

University of Illinois at Urbana-Champaign, kaiyug@illinois.edu

Bin Peng

University of Illinois at Urbana-Champaign

Jiancheng Shi

Beijing Normal University

Chongya Jiang

University of Illinois at Urbana-Champaign, chongya@illinois.edu

See next page for additional authors

Follow this and additional works at: <https://digitalcommons.unl.edu/natrespapers>



Part of the [Natural Resources and Conservation Commons](#), [Natural Resources Management and Policy Commons](#), and the [Other Environmental Sciences Commons](#)

Zhou, Wang; Guan, Kaiyu; Peng, Bin; Shi, Jiancheng; Jiang, Chongya; Wardlow, Brian; Pan, Ming; Kimball, John S.; Franz, Trenton; Gentine, Pierre; He, Mingzhu; and Zhang, Jingwen, "Connections between the hydrological cycle and crop yield in the rainfed U.S. Corn Belt" (2020). *Papers in Natural Resources*. 1386. <https://digitalcommons.unl.edu/natrespapers/1386>

This Article is brought to you for free and open access by the Natural Resources, School of at DigitalCommons@University of Nebraska - Lincoln. It has been accepted for inclusion in Papers in Natural Resources by an authorized administrator of DigitalCommons@University of Nebraska - Lincoln.

Authors

Wang Zhou, Kaiyu Guan, Bin Peng, Jiancheng Shi, Chongya Jiang, Brian Wardlow, Ming Pan, John S. Kimball, Trenton Franz, Pierre Gentine, Mingzhu He, and Jingwen Zhang

1 **Connections between the hydrological cycle and crop yield in the rainfed U.S. Corn Belt**

2

3 Wang Zhou^{1,3,4*}, Kaiyu Guan^{1,2*}, Bin Peng^{1,2}, Jiancheng Shi³, Chongya Jiang¹, Brian

4 Wardlow⁵, Ming Pan⁶, John S. Kimball⁷, Trenton E. Franz⁵, Pierre Gentine⁸, Mingzhu He⁷,

5 and Jingwen Zhang¹

6

7 ¹College of Agricultural, Consumer and Environmental Sciences, University of Illinois at

8 Urbana-Champaign, Urbana, IL, USA

9 ²National Center for Supercomputing Applications, University of Illinois at Urbana-

10 Champaign, Urbana, IL, USA

11 ³State Key Laboratory of Remote Sensing Science, Jointly Sponsored by Institute of Remote

12 Sensing and Digital Earth of Chinese Academy of Sciences and Beijing Normal University,

13 Beijing, China

14 ⁴University of Chinese Academy of Sciences, Beijing, China

15 ⁵School of Natural Resources, University of Nebraska-Lincoln, Lincoln, NE, USA

16 ⁶Department of Civil and Environmental Engineering, Princeton University, NJ, USA

17 ⁷Numerical Terradynamic Simulation Group, University of Montana, Missoula, MT, USA

18 ⁸Department of Earth and Environmental Engineering, Earth Institute, Columbia University,

19 New York, NY, USA

20 Corresponding to: Kaiyu Guan (kaiyug@illinois.edu); Wang Zhou (wangzhou@illinois.edu)

21

22 **Abstract:** Water stress is one of the major abiotic stresses and directly affects crop growth

23 and influences crop yields. To better quantify the responses of crop yield to hydrological

24 variability in the rainfed Corn Belt of the United States (U.S.), we analyzed the relationships

25 between corn/soybean yield and hydrological cycle metrics, as well as their spatio-temporal

26 dynamic at the agricultural district and interannual scale between 2003 and 2014. We used

27 Partial Least Square Regression (PLSR) to optimally integrate different hydrological metrics

28 and drought indices to define a crop-specific new drought index that uses crop yield as the

29 target, and investigated the contributions of those hydrological cycle components to the new
30 drought index. We used both observed and modeled hydrological cycle metrics, as well as
31 several drought indices in this study, including evapotranspiration (ET) and potential ET
32 (PET), terrestrial water storage change (ΔS), surface soil moisture (SSM), river discharge (Q),
33 Standardized Precipitation-Evapotranspiration Index (SPEI), Palmer Drought Severity Index
34 (PDSI), fET (the ratio of ET to PET), and vapor pressure deficit (VPD). Our results revealed
35 that: (1) VPD, SSM, and fET showed the strongest correlations with crop yield, among the
36 observation-based hydrological cycle metrics and drought indices considered here. Most of
37 the hydrological cycle metrics and drought indices showed similar seasonal correlation
38 patterns with crop yield, and this pattern revealed that the sensitivity of crop growth to water
39 stress peaked in July for corn and in August for soybean in the rainfed U.S. Corn Belt. (2) The
40 drought in 2012 started with higher water demand (reflected in abnormally high ET, PET, and
41 VPD) and lower water supply (reflected in abnormally low P), followed by soil water
42 depletion (as revealed in SSM and ΔS), leading to massive crop yield losses due to increased
43 constraints on both water supply and demand. (3) The R^2 of the PLSR-based crop yield model
44 reached 0.76 and 0.70 for corn and soybean, respectively. For corn, the first PLSR component
45 was mainly composed of information from VPD, fET and SSM, indicating atmospheric water
46 deficit and near surface soil water storage both play critical roles in quantifying corn yield
47 loss due to water stress. For soybean, the first PLSR component was mainly composed of
48 information from fET, ET and VPD, indicating more controls from atmospheric demand than
49 soil moisture supply for soybean yield loss due to water stress.

50 **Key words:** drought, crop yield, soil moisture, VPD, evapotranspiration, groundwater, U.S.
51 Corn Belt

52 **Highlights:**

- 53 (1) Water supply and demand is vital in quantifying drought in the U.S. Corn Belt.
54 (2) The 2012 drought was initiated by high water demand and aggravated by low supply.
55 (3) New drought indices were developed by integrating water supply and demand.
56 (4) VPD and fET significantly contribute to the new drought indices.

57 **1. Introduction**

58 The hydrological cycle is expected to accelerate under a warming climate (Huntington, 2006;
59 Oki and Kanae, 2006), with more frequent drought and flooding (Huntington, 2006; Cook et
60 al., 2020) posing significant challenges for agricultural production and food security
61 (Anyamba et al., 2014; Brown and Funk, 2008; Iizumi et al., 2014; Rosenzweig et al., 2001).
62 Rainfed agriculture accounts for ~80% of global croplands (Biradar et al., 2009), which are
63 prone to more frequent stresses from drought and flooding (Nocco et al., 2019). For example,
64 the Midwestern United States (U.S.) alone produces one third of the global corn and soybean
65 production, and >90% of the farmland is rainfed. Understanding the impacts of climatic
66 stresses on agricultural production, especially the influence of hydrological stress on crop
67 yield loss in rainfed regions, is becoming urgently needed (Lobell et al., 2014; Mishra and
68 Cherkauer, 2010; Peng et al., 2020a).

69
70 A first gap in the existing studies on agricultural drought is the overemphasis on soil moisture
71 conditions compared to other hydrological stressors. In reality, droughts are multifaceted and
72 have been conventionally classified into four categories: meteorological droughts,
73 hydrological droughts, agricultural droughts, and socio-economic droughts (Mishra and
74 Singh, 2010). In particular, “agricultural droughts” are usually defined primarily based on soil
75 moisture conditions (i.e. plant soil water availability is insufficient for crop growth, affecting
76 end-of-season crop yield) (Bolten et al., 2006, 2010; Crow, 2014; Han et al., 2014). This may
77 lead to an oversimplification that neglects other important environmental factors (Lobell et
78 al., 2014; Ort and Long, 2014). Soil moisture only accounts for the available water in a
79 rainfed system for the crop growth, but it does not include the effects of water demands from
80 the atmosphere. An increasing number of studies emphasize that atmospheric water demand
81 plays a critical role in inducing plant water stress and suppressing crop yield (Lobell et al.,
82 2014; Novick et al., 2016; Sulman et al., 2016). Indicators for atmospheric water demand
83 include Vapor Pressure Deficit (VPD), and/or potential evapotranspiration (PET) (Seager et
84 al., 2015; Milly and Dunne, 2016), which integrates the influences from several

85 meteorological factors like air temperature, humidity, radiation, and wind (Luo et al., 2017).
86 To holistically characterize “agricultural drought”, both water supply (from soil) and water
87 demand (from the atmosphere) should be considered, as plant plays a central role in
88 regulating the flow of moisture across the soil-plant-atmosphere continuum (SPAC) in order
89 to maintain an adequate internal water status (Bonan et al., 2014; Ouyang, 2002). SPAC
90 processes include plant hydraulics and plant physiology (Williams et al., 1996), which have
91 been actively discussed in the literature (Martínez-Vilalta et al., 2014; Sperry et al., 2002;
92 Tyree and Ewers, 1991). Plants hydraulics are starting to be implemented in land surface
93 models (Bonan et al., 2014; Kennedy et al., 2019; Xu et al., 2016).

94 From an empirical perspective, water supply can be approximated using different indices: (1)
95 precipitation, and/or precipitation-related indices, such as Standardized Precipitation Index
96 (SPI) (Hunt et al., 2014; McKee et al., 1993); (2) plant available water content (i.e., the
97 difference between soil water content and wilting point), and/or soil-moisture-related indices,
98 such as Soil Moisture Percentiles (SMP) (Andreadis et al., 2005; Mishra and Cherkauer,
99 2010); (3) groundwater dynamics, for regions with deep-rooted plants or non-negligible
100 surface-groundwater interactions (Orellana et al., 2012). Atmospheric water demand during
101 crop growth is commonly characterized by VPD and/or PET (Novick et al., 2016). High
102 atmospheric water demand, indicated by a high VPD, can reduce plant stomatal opening and
103 thus reduce the rate of plant photosynthesis (Muller et al., 2011). To take both water supply
104 and water demand into account, some drought indices have been developed, such as fET
105 ($=ET/PET$) (Anderson et al., 2016b, 2007a, 2007b; Yang et al., 2018), Standardized
106 Precipitation-Evapotranspiration Index (SPEI) (Masud et al., 2015; Vicente-Serrano et al.,
107 2010), and Palmer Drought Severity Index (PDSI) (Palmer, 1965; Dai et al., 2004; Ge et al.,
108 2016; Tian et al., 2018). These drought indices follow similar ideas, but with different
109 mathematical formulations.

110

111 Given the various existing drought metrics, another gap lies in terms of lack of benchmarks
112 for these drought metrics. Many studies on agricultural drought use the Drought Severity

113 Measure from the U.S. Drought Monitor (USDM) (Anderson et al., 2013; Otkin et al., 2014,
114 2013). However, the USDM metrics for drought are complicated because they represent both
115 short- and long-term drought conditions associated with agricultural and hydrologic droughts
116 respectively, and are based on a broad array of observations (e.g., precipitation, temperature,
117 soil moisture, stream, ET and groundwater) and guidance from drought experts throughout
118 the United States (Svoboda et al., 2002). Thus for “agricultural drought”, the USDM metrics
119 may not be the most accurate measure available because of the broad range of drought types
120 and conditions represented that may or may not pertain to crop stress. Crop yield, the ultimate
121 measure for agricultural productivity, is an obvious metric for evaluating drought impacts on
122 agriculture. However, few studies use crop yield to benchmark different drought measures for
123 agricultural drought monitoring.

124

125 Another gap in current agricultural drought assessments is the lack of consideration of the
126 variable sensitivity to water stress at different growth stages of the crops. Droughts with the
127 same severity (e.g. measured by different drought indices or hydrological components) but
128 occurring at different growth stages can lead to significantly different impacts (Guan et al.,
129 2015, 2014; Mladenova et al., 2017; Peng et al., 2018a). Water stress that occurs during the
130 critical growth stages usually has a much larger negative impact on the end-of-season yield
131 (Mishra and Cherkauer, 2010; Peng et al., 2018a). The silking and grain-filling stages are the
132 most critical stages for corn grain formation (Hunt et al., 2014; Meyer et al., 1993), which
133 occur 70 to 90 days after planting for corn in the U.S. (i.e. late July and August in the U.S.
134 Corn Belt, where corn is usually planted in early-mid May). As for soybean, the most critical
135 stages for production are the blooming and podding stages (Mishra and Cherkauer, 2010),
136 which occur 65 to 105 days after planting (i.e. August and early September in the U.S. Corn
137 Belt, where soybean is usually planted in middle May to early June). Water stress during
138 these periods may result in irreversible damage on the end-of-season crop yield. So, it is also
139 necessary to diagnose the influence of water stress on the crop yield at different growth
140 stages.

141

142 In this study, we investigate the connections between the hydrological cycle metrics and crop
143 yield variability (for both corn and soybean) across the rainfed area of the U.S. Corn Belt, one
144 of the world's largest crop production areas (Grassini et al., 2015). The majority of the U.S.
145 Corn Belt is rainfed, and it has experienced various levels of drought in the past, including
146 particularly severe droughts in 1988 and 2012 (Rippey, 2015). Understanding how the
147 hydrological cycle affects food production and increasing our ability to predict drought
148 related impacts on crop yield would greatly benefit scientific and practical needs.
149 Specifically, we analyze the relationship between anomalies of hydrological variables and
150 end-of-season crop yields at the agricultural district scale between 2003 and 2014. Both
151 observation-based and model-based hydrological variables (including both hydrological cycle
152 components and some drought indices) are used in this study. We then use advanced
153 statistical modeling to explore optimal ways to define an integral drought index for
154 agricultural drought monitoring, in which stresses from both water supply and demand are
155 considered. Through the analysis, we aim to answer the following questions: (1) What are the
156 best indicators to assess the influence of crop water stress among the hydrological cycle
157 components and commonly used drought indices in the rainfed U.S. Corn Belt, when
158 benchmarked with crop yield? (2) What is the performance of those hydrological cycle
159 components and drought indices as indicators for crop yield losses during the extreme drought
160 year of 2012? (3) How can we optimally integrate those hydrological cycle components and
161 drought indices to assess agricultural drought and what are the contributions of those
162 hydrological cycle components to the new drought index?

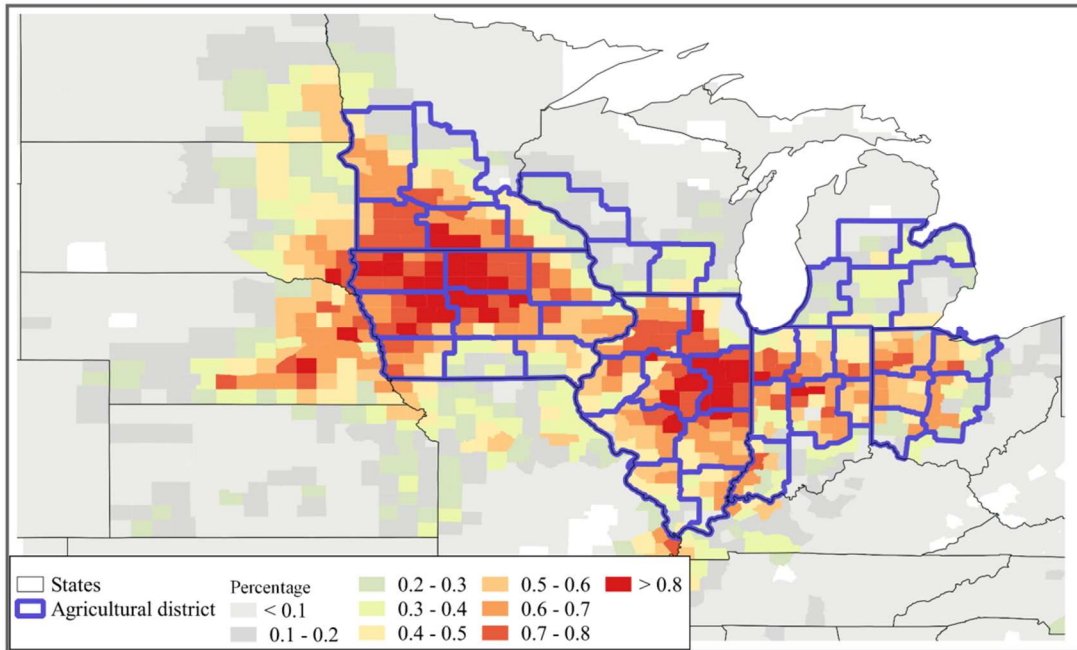
163

164 **2. Materials and method**

165 **2.1 Study area**

166 This study focuses on the rainfed part of the U.S. Corn Belt (Figure 1), where the influence of
167 irrigation on crop yield is minimized. Our study domain is located in the central and eastern
168 parts of the U.S. Midwest. We conducted our analysis at the U.S. Department of Agriculture

169 (USDA)-designated agricultural district level (blue boundaries shown in Figure 1), and used
170 monthly hydrological cycle metrics, drought indices and USDA reported end-of-season crop
171 yield data between 2003 and 2014. Our study area is a typical landscape planting corn and
172 soybean (Figure 1), representing approximately 60% and 56% of the U.S. total corn and
173 soybean production, respectively.



175 **Figure 1.** Study area outlined by the blue boundary, with the background showing the
176 average proportion of corn and soybean planting area in the total area based on United States
177 Department of Agriculture (USDA) survey data in 1997, 2002, 2007 and 2012.

178 2.2 Crop yield dataset

179 The agricultural district level crop yield for corn and soybean in the study area during 2003 to
180 2014 was collected from the USDA National Agricultural Statistics Service (NASS). In this
181 study, NASS reported crop yields not designated as irrigated or non-irrigated conditions were
182 treated as non-irrigated. The annual anomalies of crop yield were calculated for each
183 agricultural district by subtracting a linear yield trend fitted for each district from the actual
184 yield (Li et al., 2019; Lu et al., 2017; Zipper et al., 2016).

185 2.3 Observation-based hydrological cycle components

186 We used a set of observations of the individual hydrological cycle components to assess their

187 relationship with crop yield:

$$188 \quad P = ET + \Delta S + Q \quad (1)$$

189 The observation-based hydrological cycle components used in this study were obtained from
190 the following sources.

191 **Precipitation (P):** Since the station-based precipitation (i.e., Precipitation Regression on
192 Independent Slopes Model (PRISM)) is highly consistent with the precipitation of the North
193 American Land Data Assimilation System (NLDAS) at the agricultural district scale in the
194 study area, the NLDAS precipitation was used as the observation-based precipitation to
195 simplify the analysis process.

196 **Evapotranspiration (ET):** Breathing Earth System Simulator (BESS ET).

197 **Subsurface water storage change (ΔS):** Total terrestrial water storage (TWS) retrieved by
198 the Gravity Recovery and Climate Experiment (GRACE).

199 **Soil moisture:** European Space Agency (ESA) climate change initiative (CCI) surface soil
200 moisture (CCI SSM).

201 **Streamflow (Q):** Discharge data from the United States Geological Survey (USGS Q).

202 Detailed information about these data are given in the following sections.

203 **2.3.1 Evapotranspiration from the Breathing Earth System Simulator (BESS)**

204 BESS is a satellite-driven water-carbon-energy coupled biophysical model (Jiang and Ryu,
205 2016; Ryu et al., 2011). By using MODIS aerosol, cloud and atmospheric profile products,
206 BESS calculates solar radiation (Ryu et al., 2018), air temperature and humidity to drive the
207 land surface process modules. Using MODIS LAI, albedo and clumping products, BESS
208 quantifies the solar radiation absorption by the sunlit/shaded canopy through the explicit
209 computation of direct/diffuse radiation in the atmosphere and canopy (Ryu et al., 2011). With
210 these environmental and vegetation inputs, BESS computes ET from the sunlit/shade canopy
211 by solving a quadratic Penman-Monteith equation through an iterative procedure, in which
212 ET estimates are constrained by both energy absorption and carbon uptake (Jiang and Ryu,
213 2016; Ryu et al., 2011). PET is further calculated using the Priestley-Taylor equation. The

214 global BESS ET product was evaluated against a global network of eddy-covariance tower
215 observations and against global coarse-resolution maps upscaled using machine learning
216 (Jiang and Ryu, 2016; Jiang et al., 2020). BESS monthly ET and PET between 2003 and 2014
217 were used in this study.

218 **2.3.2 Total terrestrial water storage (TWS) from GRACE**

219 The GRACE-derived TWS anomaly captures bulk land water storage changes, including
220 contributions from surface water, soil moisture, and deeper groundwater storages. TWS is
221 retrieved from the gravimetric sensor derived water mass variations (Landerer and Swenson,
222 2012). The GRACE TWS product used here is the Monthly Mass Grids – Land product with
223 1° spatial resolution, where each grid value represents the surface mass deviation from the
224 baseline averaged from January 2004 to December 2009. There are three available GRACE
225 TWS products, which are developed by the Center for Space Research at the University of
226 Texas, Austin (CSR), NASA Jet Propulsion Laboratory (JPL) and GeoforschungsZentrum
227 Potsdam (GFZ), respectively. To reduce the noise from different gravity field solutions
228 (Sakumura et al., 2014), the average value of these three products was used in our analysis.

229 **2.3.3 Surface soil moisture (SSM) from ESA CCI**

230 The ESA CCI soil moisture project is part of the ESA Programme on Global Monitoring of
231 Essential Climate Variables (ECV), which produces surface soil moisture products by
232 combining observations from multiple active and passive microwave satellite sensors
233 launched after 1979 (Gruber et al., 2019, 2017; Dorigo et al., 2017). Microwave remote
234 sensing has been proven effective to estimate surface soil moisture content, as there is a
235 significant difference in the dielectric properties between soil and liquid water (Njoku and
236 Entekhabi, 1996). However, depending on the sensor configurations (i.e. wavelength, incident
237 angle etc.) and surface condition (i.e. vegetation cover, soil moisture content, roughness etc.),
238 the effective penetration depth of the microwave signal usually ranges from 0 to 5 cm (Peng
239 et al, 2017). Therefore, the microwave-based soil moisture observations predominantly reflect
240 surface soil conditions rather than deeper root zone soil moisture which is more directly

241 accessible to plants (Njoku et al., 2003; Wigneron et al., 2017). We use the CCI surface soil
242 moisture (CCI SSM) product between 2003 and 2014, which is daily and has a 25 km spatial
243 resolution. For this period, the Advanced Microwave Scanning Radiometer on the Earth
244 Observing System Aqua satellite (AMSR-E) (Njoku et al., 2003) and the Advanced
245 Scatterometer (ASCAT) on the Meteorological Operational satellite A (MetOp-A) (Hollmann
246 et al., 2013) are the major passive and active sensors used for soil moisture retrievals. The
247 monthly CCI-SSM was obtained by aggregating the daily product.

248 **2.3.4 Discharge data from USGS**

249 The observed (2003-2014) monthly runoff data for all the hydrologic unit code level 8 (HUC-
250 8) catchments within the study domain were obtained from the USGS WaterWatch system
251 (Jian et al., 2008). This dataset provides computed runoff for individual HUCs, which were
252 generated by combining historical flow data collected at streamgages, the drainage basins of
253 the streamgages, and the boundaries of the HUCs. The HUC-8 level runoff was rasterized and
254 aggregated to the agricultural district scale for our analysis.

255 **2.4 Model-simulated hydrological cycle components**

256 We used the simulated monthly hydrological cycle components from the NLDAS-Noah
257 model outputs as the model-simulated hydrological cycle components. NLDAS Phase 1
258 (NLDAS-1) (Mitchell, 2004) was initiated in 1999, sponsored by the Global Energy and
259 Water Cycle Experiment (GEWEX) Continental-Scale International Project (GCIP) covering
260 the continental United States, southern Canada, and northern Mexico. Four land-surface
261 models (LSMs) including Noah, Variable Infiltration Capacity (VIC), Sacramento Soil
262 Moisture Accounting (SAC-SMA), and Mosaic are executed in parallel and uncoupled in
263 NLDAS in both real time and retrospective modes. By assimilating the meteorological
264 forcing, and soil and vegetation parameters, NLDAS produces quality-controlled long-term
265 and near real-time products to support national operational drought monitoring and
266 prediction, and to provide water resource information needed by various government
267 agencies, academia, and other enterprises. As an update of NLDAS-1, the NLDAS Phase 2

268 (NLDAS-2, Xia et al., 2012a, 2012b) extended the study time window from 3 years (1997–
269 1999) to 30 years (1979–2008), using more accurate and consistent surface forcing data
270 (including both station gauged meteorological data and North American Regional Reanalysis
271 (NARR) atmospheric forcing data), and upgrading the land-surface model code and
272 parameters. The spatial resolution of NLDAS output is 0.125° with hourly intervals. In this
273 study, NLDAS2-Noah monthly outputs (aggregated from hourly outputs) between 2003 and
274 2014 were used. The following NLDAS2-Noah model-simulated hydrological cycle
275 components were used in our analysis:

276 P (NLDAS P): Summing the liquid precipitation (ARAIN) and frozen precipitation
277 (ASNOW) components;

278 ET (NLDAS ET): Total evapotranspiration;

279 ΔS (NLDAS ΔS): Change of model subsurface (0-200 cm depth) soil moisture content;

280 SMC_10cm (NLDAS SMC_10cm): model subsurface (0-10 cm depth) soil moisture content;

281 SMC_200cm (NLDAS SMC_200cm): model subsurface (0-200 cm depth) soil moisture
282 content;

283 Q (NLDAS Q): Sum of the subsurface runoff (BGRUN) and surface runoff (SSRUN)
284 components.

285 **2.5 Drought indices**

286 Besides the hydrological cycle components, several commonly used drought indices were
287 also adopted to analyze the relationship between drought indices and crop yield. Here we
288 chose four widely used drought indices, including VPD, fET, SPEI, and PDSI. A summary of
289 the drought indices and their sources is provided below.

290 **2.5.1 PRISM vapor pressure deficit product**

291 The VPD is the difference between the water vapor pressure in the air and the saturated water
292 vapor pressure at the same air temperature. VPD indicates the atmospheric dryness and has
293 been found to affect crop yield of corn and soybean by limiting stomatal opening and also
294 depleting soil moisture (Lobell et al., 2014). Here, we use VPD as a measure of atmospheric

295 drought or dryness (Anderson, 1936). The VPD product used here is the gridded monthly
296 maximum VPD from the PRISM with time period between 2003 and 2014. PRISM provides a
297 suite of gridded high accuracy climate variables across the continental U.S. (Daly et al.,
298 2008). It is based on the quality-controlled measurements from the U.S. weather station
299 network, and generates gridded product by conducting a climate–elevation regression for each
300 digital elevation model (DEM) grid cell considering the location, elevation, coastal proximity,
301 aspect, vertical atmospheric layer, topographic position, and orographic effectiveness of the
302 terrain (Daly et al., 2008).

303 **2.5.2 fET**

304 fET is the ratio of actual ET to PET, which describes the difference between the crop water
305 demand and water supply. The anomaly of fET has been widely used for drought monitoring
306 (Anderson et al., 2016b; Otkin et al., 2013) and crop yield estimation (Anderson et al., 2016a;
307 Yang et al., 2018). The fET used here was calculated based on the BESS monthly ET and
308 PET products between 2003 and 2014.

309 **2.5.3 SPEI**

310 The SPEI is a variate of the SPI, taking both precipitation and evapotranspiration into account
311 (Beguería et al., 2014; Vicente-Serrano et al., 2010). The SPEI used here was acquired from
312 the National Center for Atmospheric Research (NCAR) (Vicente-Serrano, 2015), which uses
313 the FAO-56 Penman-Monteith method to estimate potential evapotranspiration. This dataset
314 covers the period between 1901 and 2015 with 0.5° spatial resolution and monthly fidelity.
315 The SPEI record used here spans the period between 2003 and 2014.

316 **2.5.4 PDSI**

317 The PDSI quantifies the relative dryness by incorporating antecedent and current moisture
318 supply (P) and demand (PET) into a hydrological accounting system, and using a 2-layer
319 bucket-type model to calculate the soil moisture (Dai et al., 2004; Wayne, 1965; Wells et al.,
320 2004). The PDSI is the most commonly used drought index (Vicente-Serrano et al., 2010),
321 although there have been several criticisms on its limitations (Alley, 1984; Dai, 2011;

322 Sheffield et al., 2012). The monthly self-calibrating PDSI during 2003 and 2014 was also
323 downloaded from NCAR (Dai, 2019) with a spatial resolution of 2.5°.

324 **2.6 Methods**

325 We conducted three major analyses. The first analysis was to understand the relationship and
326 its spatio-temporal dynamics between crop yield and the hydrological cycle components and
327 drought indices. Specifically, anomaly correlation (Pearson's correlation) coefficients
328 between crop yield and hydrological cycle components and drought indices were calculated
329 for each month during the growing season (April to October), to assess the impact of different
330 hydrological variables on crop yield and how the relationships vary in time and space. The
331 second analysis was a case study to understand how the different hydrological variables
332 evolved during the intense 2012 drought. Specifically, we analyzed the temporal evolutions of
333 both monthly normalized (using maximum-minimum normalization method based on the data
334 from 2003 to 2014) hydrological cycle components and drought indices in 2012, and used the
335 corresponding percentile values of 2012 for the analysis based on all data from 2003 to 2014.
336 By doing so, we were able to study the potential mechanisms leading to crop stress and yield
337 loss. The third analysis was to integrate the hydrological variables together to assess the
338 capability for predicting crop yield purely based on hydrological variables. Specifically, we
339 used an advanced regression method, Partial Least Square Regression (PLSR), to explore the
340 seasonal crop yield predictability by combining the different hydrological cycle components
341 and associated drought indices, and to further interpret the shared and unique values of the
342 different hydrological variables in terms of their contributions to predict crop yield and
343 quantify the impact of agricultural drought.

344 **2.6.1 Relationship between hydrological cycle components and crop yield**

345 All observation-based and model-simulated hydrological cycle components, and drought
346 indices were aggregated to the agricultural district scale using the mean value of the pixels
347 contained in each agricultural district. The anomalies of hydrological cycle components and
348 drought indices were calculated by subtracting the monthly multi-year mean value of each

349 agricultural district. The anomaly correlation coefficients (r) between the crop yield and
350 different hydrological variables were calculated to qualify the relationship between crop yield
351 and hydrological cycle components or drought indices. The overall correlation coefficients
352 were calculated for each month using all available data for all agricultural districts. The
353 correlation coefficients for each month and each agriculture district were also calculated to
354 understand the spatial and temporal evolution of the relationship between crop yield and
355 hydrological cycle components or drought indices.

356 **2.6.2 Evaluation of the extreme drought year 2012**

357 We used the 2012 drought as a case study to further understand how different hydrological
358 variables evolved in an extreme drought year. The monthly normalized hydrological cycle
359 components and drought indices in 2012 were analyzed in terms of their percentile value
360 based on the whole study period (i.e. 2003-2014), instead of their absolute values. Analyzing
361 the monthly data can reveal time lags of the different hydrological variables, and potentially
362 provide insights on the underlying mechanisms of the 2012 drought affecting crop growth.

363 **2.6.3 PLSR and seasonal prediction of crop yield**

364 We used PLSR to integrate the different hydrological cycle components and drought indices
365 for crop yield prediction, and to inform the potential development of a new drought index.
366 PLSR is a regression method similar to principal components regression (PCR), which
367 projects both independent and dependent variables into the variable space (i.e. latent
368 variables) through the linear combination of the original variables (Guan et al., 2017). The
369 latent variables are obtained to maximize the covariance between the latent variables that are
370 derived from the dependent variables and the latent variables that are derived from the
371 independent variables. Compared to PCR and multiple linear regression, the performance of
372 PLSR is more robust (Geladi and Kowalski, 1986).

373

374 The observation-based hydrological cycle components (NLDAS P, USGS Q, CCI SSM,
375 GRACE ΔS , BESS ET), fET and VPD were used as independent variables in the PLSR. We

376 used the observation-based hydrological cycle components, instead of the model-simulated
377 ones, as they show similar performance in capturing the yield variabilities (i.e. Figure 2) and
378 the observation-based ones may have less uncertainties. fET and VPD were chosen to be
379 independent variables in the PLSR as they show better performance relative to the other
380 drought indices in depicting yield variabilities (i.e. Figure 2). PLSR models were developed
381 separately for corn and soybean because these crop types show different yield responses to
382 variations in the hydrological variables (i.e. Figure 2). The hydrological cycle components
383 and drought indices for each month and all months prior since May of each calendar year of
384 the study period were used to test the seasonal predictability of the first component and
385 optimal (model with the minimum cross-validation root-mean-square error (RMSE) during
386 model training) PLSR models. We conducted a 100-fold bootstrap process for the crop yield
387 predictions using the combination of the hydrological cycle components and drought indices;
388 and for each bootstrap, 80% of the data were selected randomly for model training, and the
389 remaining 20% for model validation. The mean value and standard deviation of RMSE and R²
390 (coefficient of determination) of each combination were calculated based on the bootstrap
391 results.

392 **Table 1.** Description of the datasets used in this study

Categories	Dataset	Original dataset time period	Spatial Resolution	Reference
Observation- based hydrological cycle components	BESS ET	2002-2017	5 km	(Jiang and Ryu, 2016)
	BESS PET			
	GRACE ΔS	2002-2017	1°	(Landerer and Swenson, 2012)
	CCI SSM	1978-2016	25 km	(Dorigo et al., 2017)
	USGS Q	1900-2016	HUC level 8	(Jian et al., 2008)
Model- simulated	NLDAS- Noah's P, ET,	1979-2019	0.125°	(Mitchell, 2004; Xia et al., 2012b, 2012a)

hydrological cycle components	PET, SMC_10cm, SMC_200cm, and Q			
	PRISM VPD	1895-2019	5 km	(Daly et al., 2008)
Commonly used drought indices	BESS fET	2002-2017	5 km	(Jiang and Ryu, 2016)
	SPEI	1901-2015	0.5°	(Vicente-Serrano, 2015)
	PDSI	1850-2014	2.5°	(Dai, 2019)

393 3. Results

394 3.1 Correlations between hydrological cycle components and crop yield

395 Our results show that crop growth and yield are sensitive to the variability of the hydrological
396 cycle, and that water stress during different growth stages can lead to distinctive impacts on
397 the end-of-season crop yield (Çakir, 2004; Mladenova et al., 2017). The anomaly correlation
398 between crop yield and different hydrological variables (i.e. observation-based and model-
399 simulated hydrological cycle components, and drought indices) for the different months are
400 shown in Figure 2. Specifically, we find that almost all anomaly correlation coefficients have
401 similar seasonal patterns, i.e. the maximum absolute value of r ($|r|$) between the hydrological
402 variables and crop yield appears in July or August for corn, and in August or September for
403 soybean. This seasonal pattern is consistent with the key growth stages of corn and soybean in
404 the rainfed part of the U.S. Corn Belt, where July and August coincide with the flowering and
405 major grain-filling stages for corn; soybean, in contrast, is usually planted after corn and has
406 later critical flowering and pod filling stages (i.e. in August and September) (Guan et al.,
407 2017).

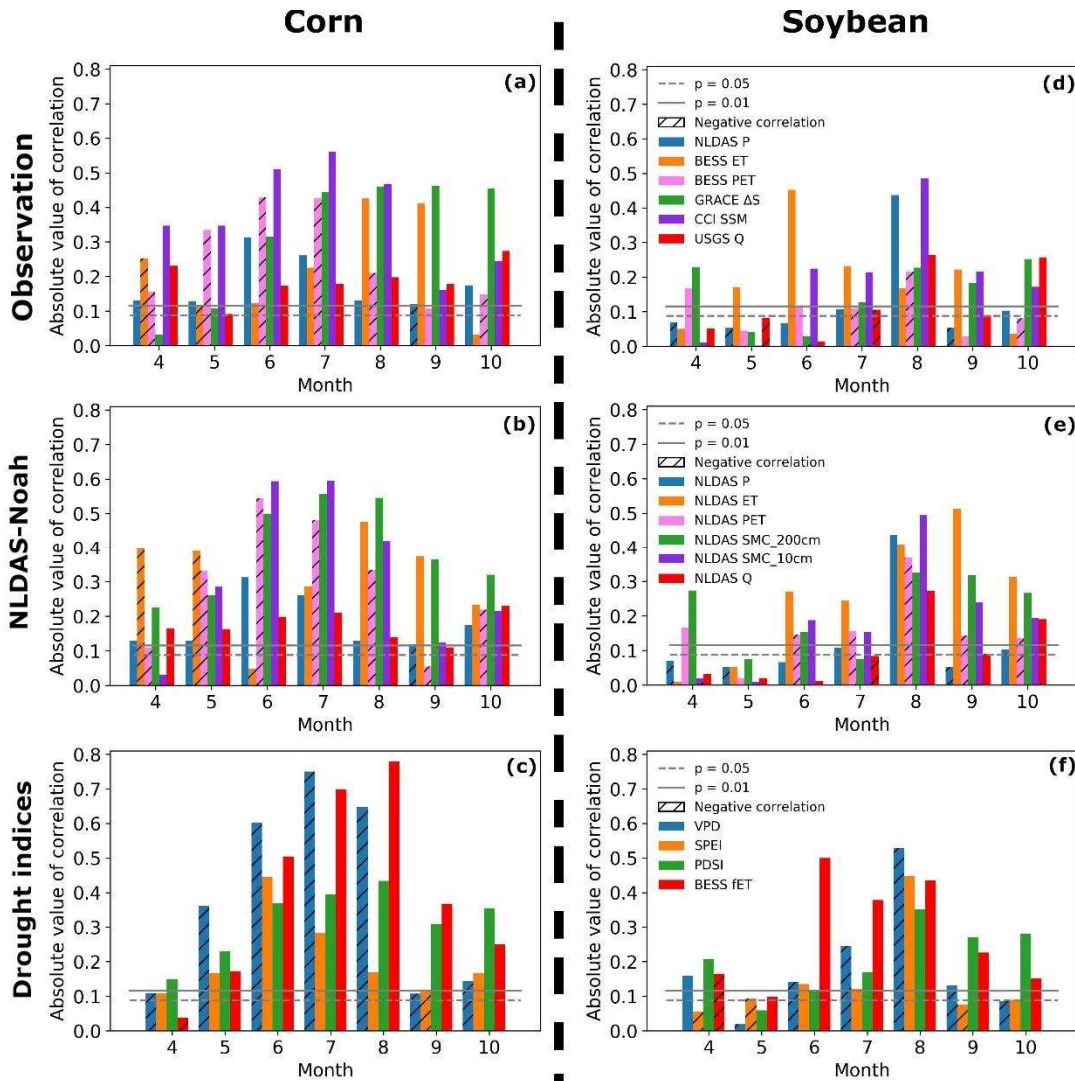
408

409 Corn yield, in general, has a higher correlation with different hydrological variables and
410 drought indices than soybean yield, and both observation-based and model-simulated
411 hydrological cycle components show such a pattern (Figure 2). This result indicates higher
412 sensitivity of corn yield to water stress than soybean, consistent with prior work (Lobell et al.,
413 2014). The apparent lower soybean yield sensitivity to water stress may be because soybean
414 has a better ability to regulate growth rates during unfavorable environmental conditions
415 compared to corn (Boyer, 1970; Huck et al., 1983; Turner and Begg, 1981). Among all the
416 observation-based hydrological variables (Figure 2 a, d), CCI SSM shows the highest
417 correlation magnitude (i.e. $|r|$) with crop yield for both corn and soybean, though the peak
418 correlations happen at different times (July for corn and August for soybean). Besides CCI
419 SSM, GRACE ΔS also shows a high correlation with corn yield, although much less so for
420 soybean. This is reasonable as SSM and ΔS are correlated with each other in the rainfed
421 region of the U.S. Corn Belt due to limited groundwater pumping in this region. For corn,
422 BESS ET also has a comparable yield sensitivity in August and September, as well as BESS
423 PET in June and July. As for soybean, BESS ET in June, and NLDAS P and CCI SSM in
424 August had higher correspondence to crop yield compared with other observation-based
425 hydrological cycle components.

426

427 Regarding the correlation $|r|$ between anomalies of different drought indices and crop yield,
428 VPD and fET show the highest $|r|$ for both corn and soybean, although the peak times are
429 different for each crop type. For corn, the correlation of VPD with yield peaks in July, which
430 is one month earlier than fET (peak in August), although the peak $|r|$ of VPD with yield is
431 slightly lower than that of fET. A reversed pattern is found for soybean, i.e. $|r|$ of fET peaks in
432 June, which is two months earlier than $|r|$ of VPD, though the peak $|r|$ of fET is slightly lower
433 than that of VPD. In addition, for corn, VPD has a larger $|r|$ than other drought indices for the
434 months following May, and the peak $|r|$ of VPD is one month earlier than other drought
435 indices except for the SPEI. While for soybean, $|r|$ of fET is significantly larger than the other

436 indices in June and July, while the peak $|r|$ for fET occurs two months ahead of the other
 437 drought indices. The above results suggest that VPD and fET may provide effective early
 438 warning indicators for corn and soybean yield loss, respectively.
 439



440
 441 **Figure 2.** The anomaly correlation between hydrological cycle components or drought
 442 indices and corn or soybean yield.

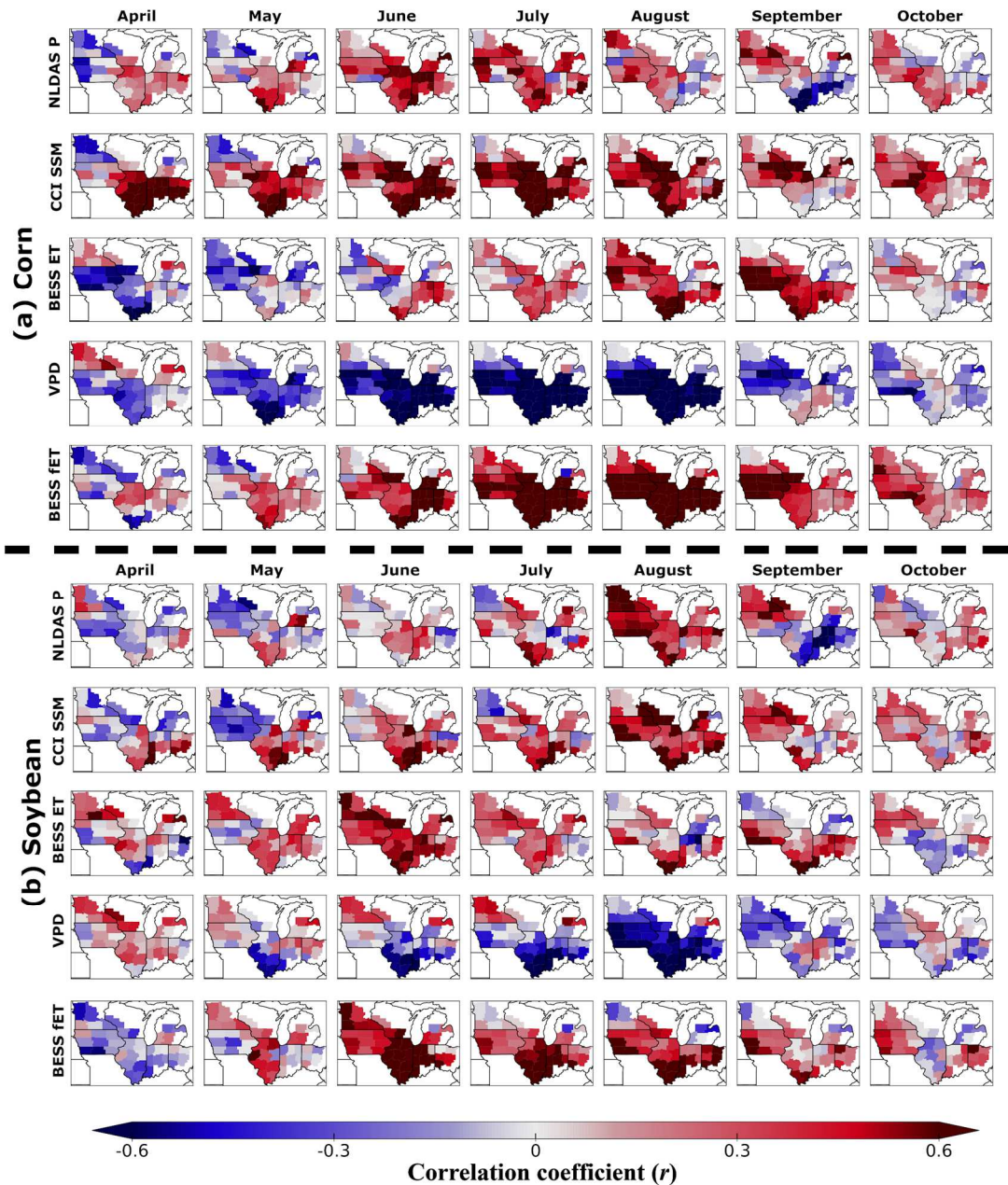
443 **3.2 Spatio-temporal evolution of the relationship between hydrological variables and**
 444 **crop yield**

445 Anomaly correlation between the hydrological variables and crop yields vary in both space
 446 and time over the rainfed part of the U.S. Corn Belt (Figure 3). For Figure 3, we selected five
 447 hydrological variables (NLDAS P, CCI SSM, BESS ET, fET, and VPD) based on their $|r|$

448 rankings in Figure 2; the patterns of the other hydrological variables are shown in Figures S1-
449 S3. Specifically, most hydrological variables showed a similar spatio-temporal evolution, i.e.
450 their r reaches a (spatially homogeneous) maximum (i.e. for CCI SSM, BESS ET, and fET) or
451 minimum (i.e. for VPD) during June to August. For corn, during June to August, the r of
452 VPD is negative homogeneously in space, while the r values for fET and CCI SSM are
453 positive homogeneously in space. The r pattern for soybean shows a similar spatio-temporal
454 evolution as corn, but with larger spatial heterogeneity. For soybean, r values for BESS ET
455 and fET in June, and CCI SSM in August are positive homogeneously in space, while r
456 values for VPD in August are negative homogeneously in space. Before June, r values for all
457 of the hydrological variables show large spatial heterogeneity for both corn and soybean.

458

459 Considering the absolute value ($|r|$) and spatial distribution (e.g. degree of spatial
460 homogeneity) of r , some hydrological variables show potential value as early warning
461 indicators of crop yield loss. For corn, VPD and CCI SSM in May start to show spatially
462 homogeneous correlation patterns with annual yield, while the pattern strengthens over
463 subsequent months and reaches a peak in August, especially over the southern rainfed portion
464 of the Corn Belt (Figure 3). The corn yield predictability of VPD and CCI SSM in May is
465 explained by the temporal evolution of their correlation with crop yield (Figure 3), which both
466 show relatively stronger but similar correlation patterns with crop yield in the following
467 critical summer months (i.e. June, July, and August). While for soybean, BESS ET and fET in
468 June start to show a more homogeneous correlation pattern in space, but with increasing
469 heterogeneity in the correlation pattern beginning in July. These earlier warning indicators are
470 consistent with the overall correlation pattern between anomalies in crop yield and
471 hydrological variables (Figure 2).



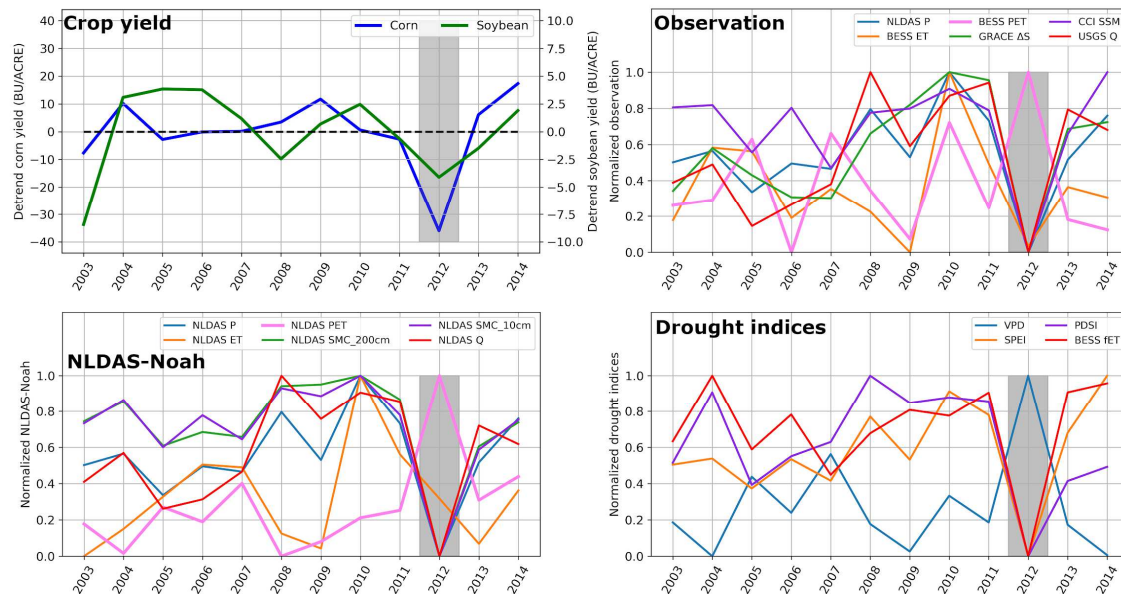
472

473 **Figure 3.** Correlation patterns between monthly hydrological components and crop yield for
 474 rainfed corn and soybean crop types.

475 **3.3 Evaluation of the extreme drought year 2012**

476 The 2012 drought was one of the most severe droughts occurred in the U.S. Midwest and
 477 Central Great Plains over the past century, causing large crop yield losses for both corn and
 478 soybean (Mallya et al., 2013). Our results confirm that the 2012 drought led to severe yield
 479 loss in the rainfed Corn Belt, and the associated drought signal was clearly evident in the

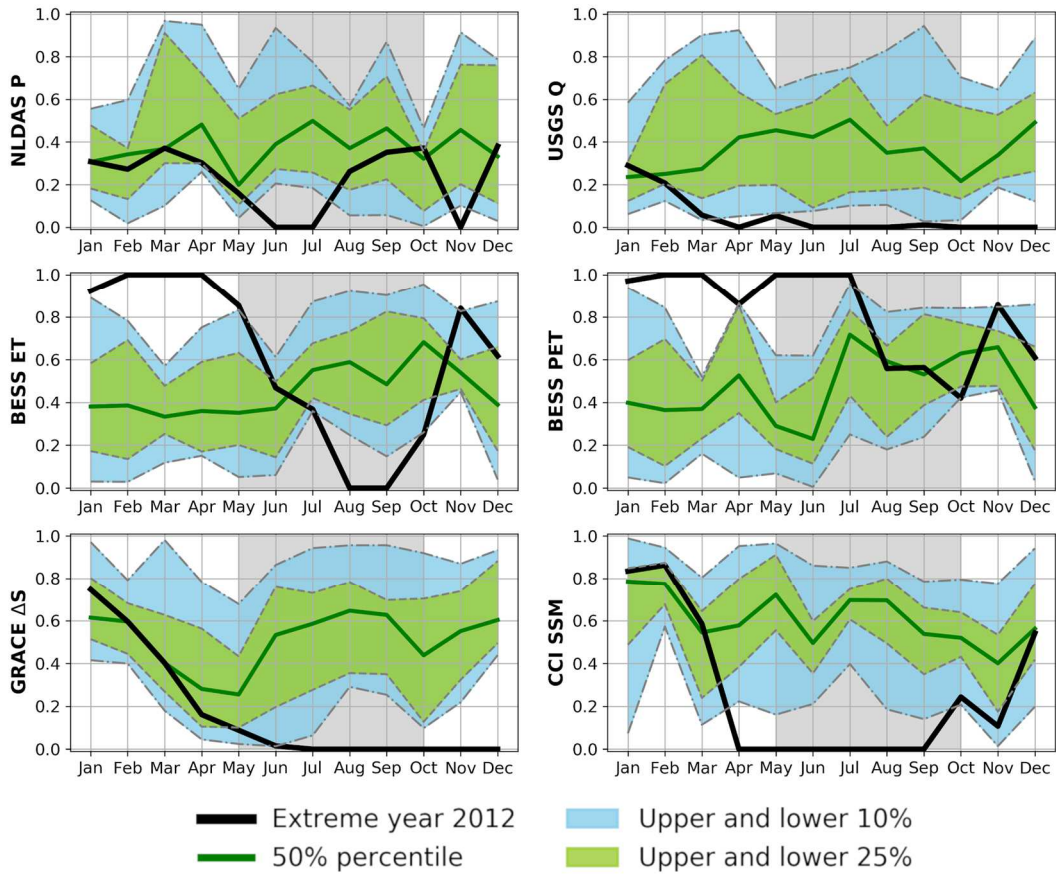
480 growing season averaged selected hydrological variables from 2003 to 2014 (Figure 4).
 481 Figure 4 shows that the detrended corn yield in 2012 was at its lowest value for the study
 482 period. The detrended soybean yield was also anomalously low in 2012 and second only to
 483 2003, which had the lowest recorded soybean yield for the study period due to crop disease
 484 (Wrather and Koenning, 2006). In 2012, some hydrological cycle components and all of the
 485 drought indices showed extremely low values compared to the other years between 2003 and
 486 2014. Specifically, both observation-based and model-simulated P, Q, SM, ΔS in 2012
 487 reached their historical minimums during the study period, but not for ET and PET. PET had
 488 its maximum value in 2012, consistent with an exacerbated moisture deficit during the
 489 drought year. The observation-based ET reached its lowest value in 2012, consistent with
 490 minimal moisture levels available for evaporation. In contrast, the NLDAS model simulated
 491 ET was actually normal in 2012, which may be due to model uncertainties in simulating ET in
 492 such an extreme year.



493
 494 **Figure 4.** Detrended crop yields for corn and soybean, normalized hydrological cycle
 495 components, and normalized drought indices from 2003 to 2014. The normalized
 496 hydrological cycle components and drought indices were calculated using the min-max
 497 normalization method based on the growing season (from April to September) averaged data
 498 from 2003 to 2014.

499

500 The seasonal patterns of the different hydrological variables in 2012 are shown in Figure 5,
501 and benchmarked with percentile values calculated from all of the years between 2003 and
502 2014. P in 2012 was near normal in the beginning of this year, but became abnormally low in
503 June and July as drier conditions emerged. ET and PET were both very high from January to
504 May in 2012, primarily due to the high VPD (i.e. high atmospheric water demands) and
505 sufficient soil moisture (i.e. sufficient water supply); but then ET started to significantly
506 decline after May and reached its lowest value in August and September, while PET only had
507 a slight decrease in the following months. This ET decrease was primarily due to the dramatic
508 depletion of soil moisture by the high ET rates that occurred from January to May, and the
509 lack of precipitation during summer. This drawdown of soil moisture in early 2012 is
510 confirmed by both CCI SSM (showing a sharp decrease from March to April and remaining
511 historically low until September) and GRACE ΔS (showing a more gradual decrease, but
512 continuing at low levels from June to December). Notably, Q also reached its lowest level in
513 April, which continued afterwards until December in 2012. After the crop growth season, ET
514 and CCI SSM increased after September due to the recovery of precipitation, while GRACE
515 ΔS and USGS Q remained near minimum levels, indicating the time latency to recover severe
516 groundwater depletion. A similar result is also found from the evolution of the model-
517 simulated water components (Figure 6).

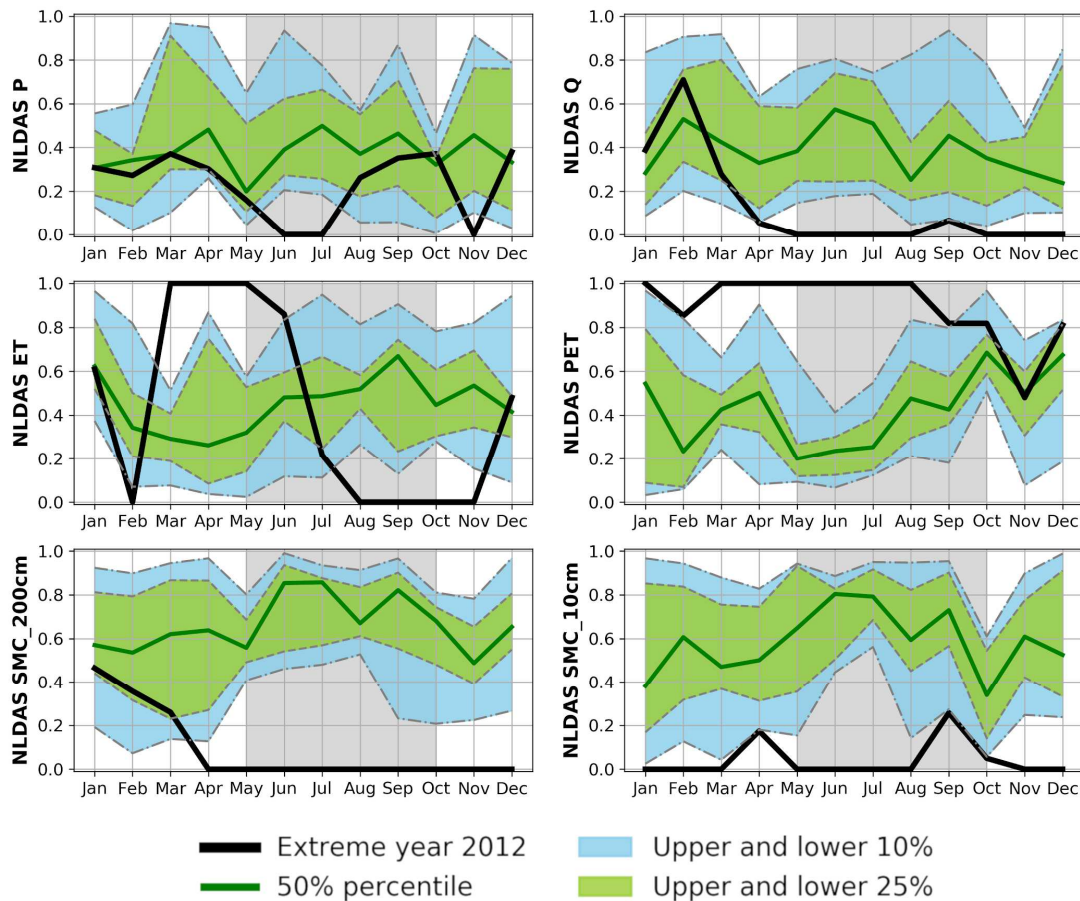


518

519 **Figure 5.** Comparison of the normalized water components in 2012 with observation-based
520 percentiles calculated using all of the data from 2003 to 2014. The monthly normalized
521 observation-based hydrological cycle components were calculated using the max-min
522 normalization method based on monthly data from 2003 to 2014. The black line indicates the
523 seasonal cycle of the normalized observation-based hydrological cycle components in 2012.
524 The dark green curve indicates the 50% percentiles, the blue shade indicates the upper and
525 lower 10% ranges, and the light green shade indicates the upper and lower 25% ranges of
526 monthly normalized observation-based hydrological cycle components, respectively.

527

528



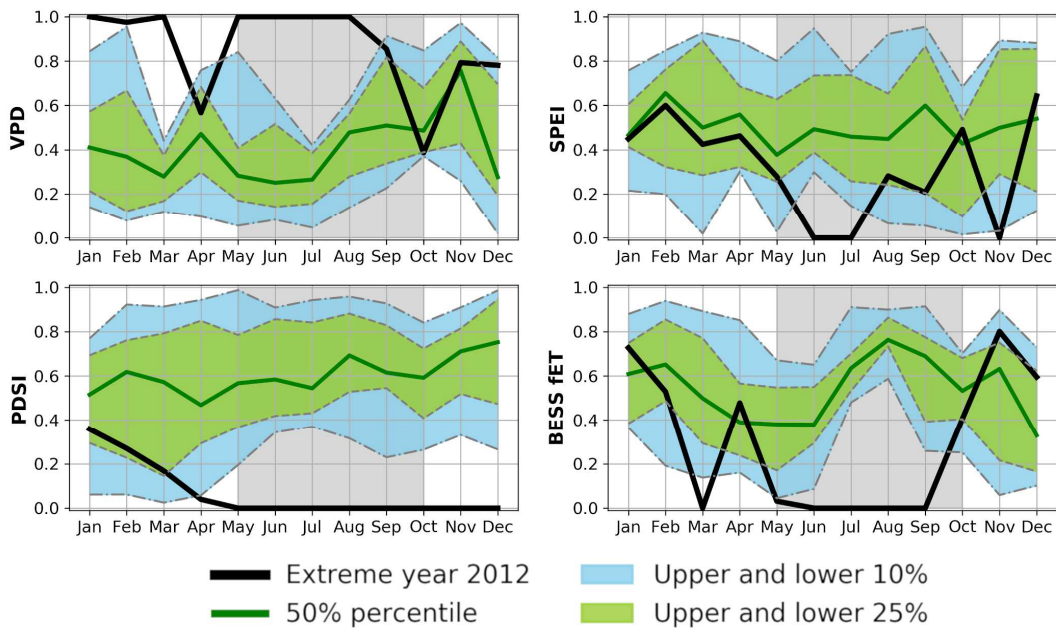
529

530 **Figure 6.** Comparison of the normalized water components in 2012 with the normalized
 531 model-simulated percentiles calculated using all of the data from 2003 to 2014. The monthly
 532 normalized model-simulated hydrological cycle components were calculated using the max-
 533 min normalization method based on monthly NLDAS-Noah data from 2003 to 2014. The
 534 black line indicates the seasonal cycle of normalized model-simulated hydrological cycle
 535 components in 2012. The dark green curve indicates the 50% percentiles, the blue shade
 536 indicates the upper and lower 10% ranges, and light green shade indicates the upper and
 537 lower 25% ranges of monthly normalized model-simulated hydrological cycle components,
 538 respectively.

539

540 We further investigate how well the drought indices captured the seasonal evolution of the
 541 2012 drought (Figure 7). Generally, the drought indices detect different duration and peak
 542 time for the 2012 drought. However, all of the drought indices indicate the historically severe
 543 drought event in June and July. In 2012, VPD was historically the highest before September

544 (except for April) during the study period. The SPEI shows a similar seasonal cycle as
 545 NLDAS P in 2012, and reaches its lowest value in June and July, within the critical growing
 546 stages of corn and soybean. The PDSI reaches its lowest value in May and remains low until
 547 December in 2012, while fET reaches its lowest value from March to September (except for
 548 April) in 2012.



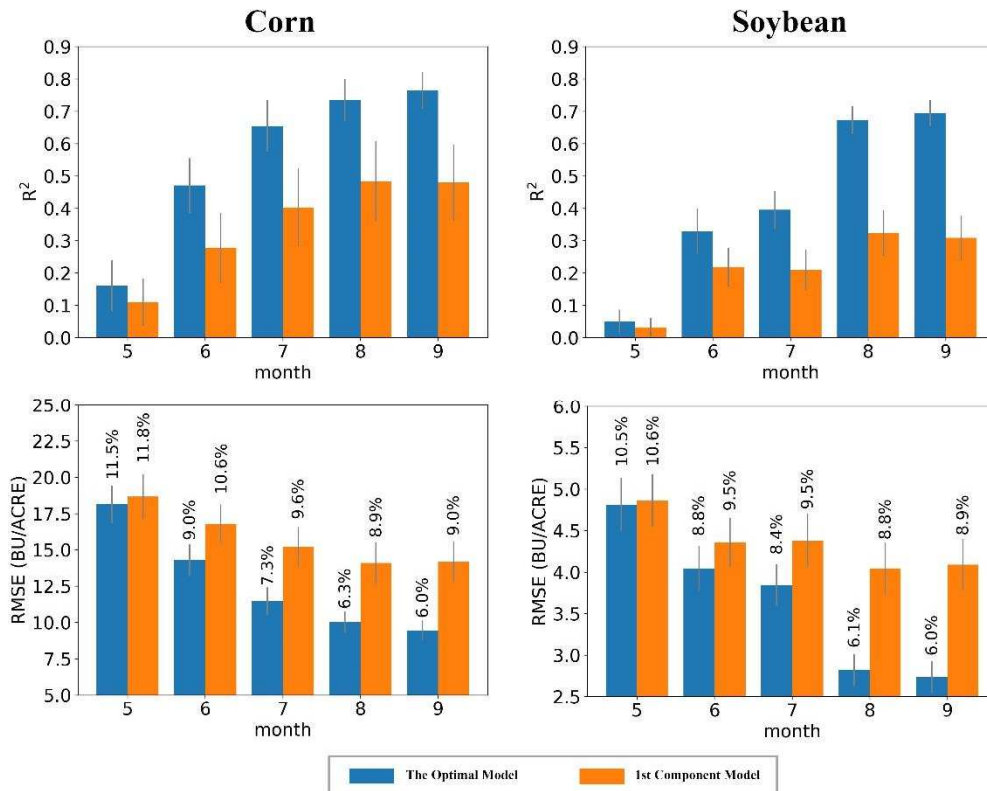
563

564

565 3.4 Predicting crop yield based on monthly hydrological cycle components and drought

566 indices

567



568

569 **Figure 8.** The performance of crop yield predictability using the PLSR optimal model and the

570 PLSR first-component model. The performance in each month represents the model

571 prediction skill when ingesting data from May until the end of each given month. The filled

572 and error bars represent the respective means and standard deviations based on 100-time

573 bootstrapping. In each bootstrap, 80% of the data (hydrological information of current month

574 and before) was used for model training, and the remaining 20% of the data for model

575 validation. The percentages listed above the bars of the RMSE subplots are the normalized

576 RMSE values (RMSE divided by multi-year averaged crop yield).

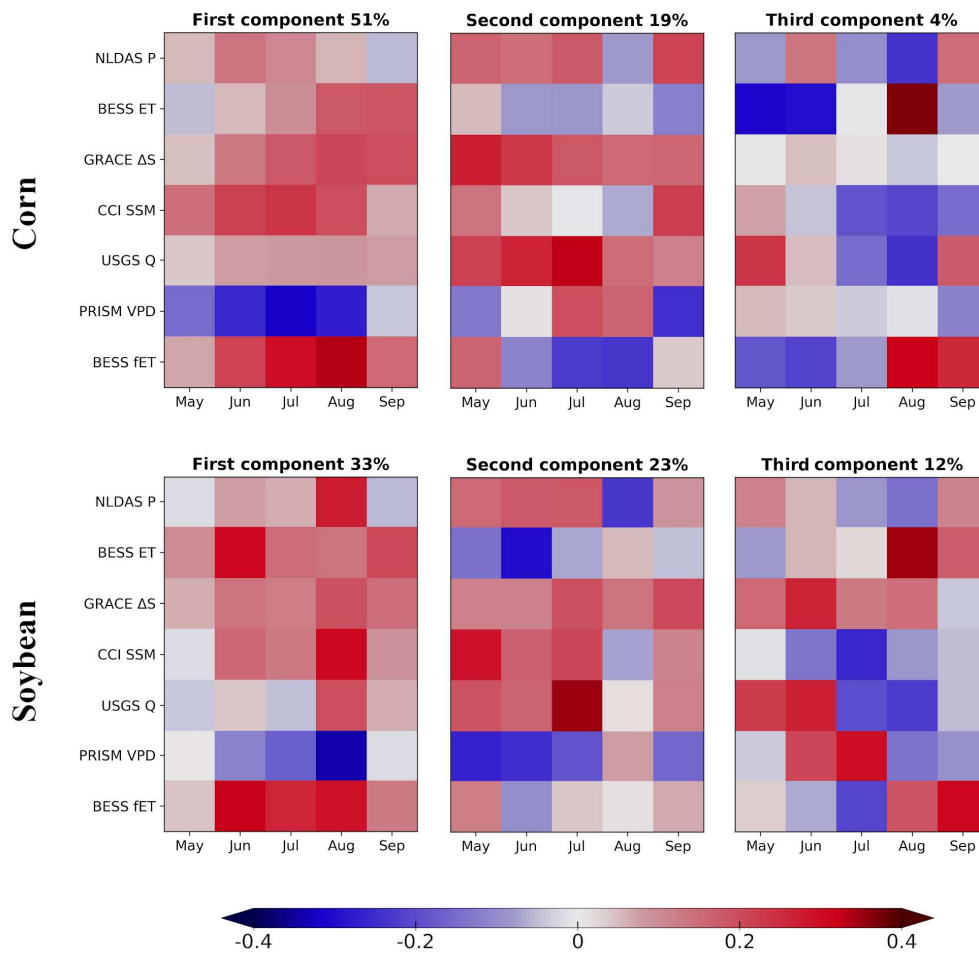
577

578 Accurate seasonal forecasts of end-of-season crop yield are important for early warning of

579 food insecurity, supply chain planning for the agriculture industry, and market prediction
580 (Peng et al., 2018b; Peng et al., 2020b). The effective use of combined information from
581 multiple hydrological variables has the potential to improve crop yield prediction. Here we
582 use PLSR to explore the value of integrating different hydrological variables and their
583 seasonal information for corn and soybean yield prediction. Overall, corn yield can be
584 predicted better than soybean yield based on the combination of hydrological variables for
585 both the PLSR optimal model and PLSR first-component model (Figure 8). For corn, the R^2
586 of the two models are 0.76 and 0.47 when benchmarked with the NASS yield statistics, and
587 the normalized RMSEs of the two models are 6.0% and 9.0% at the end of growing season,
588 respectively. For soybean, the R^2 of the two models are 0.70 and 0.31, and the normalized
589 RMSEs are 6.0% and 8.9% at the end of the growing season, respectively. The PLSR
590 performance is improved when more seasonal hydrological information is ingested into the
591 model, and this improvement in model performance can be largely explained by the observed
592 relationships between crop yield and the seasonal hydrological variables (i.e. Figure 2). For
593 corn, adding hydrological information of June and July most significantly improves the crop
594 yield prediction accuracy (R^2 improved from 0.16 to 0.47 for June, and from 0.47 to 0.65 for
595 July). For soybean, adding hydrological information of June and August can most
596 significantly improve soybean yield prediction accuracy (R^2 improved from 0.05 to 0.33 for
597 June, and R^2 from 0.40 to 0.67 for August) .

598

599



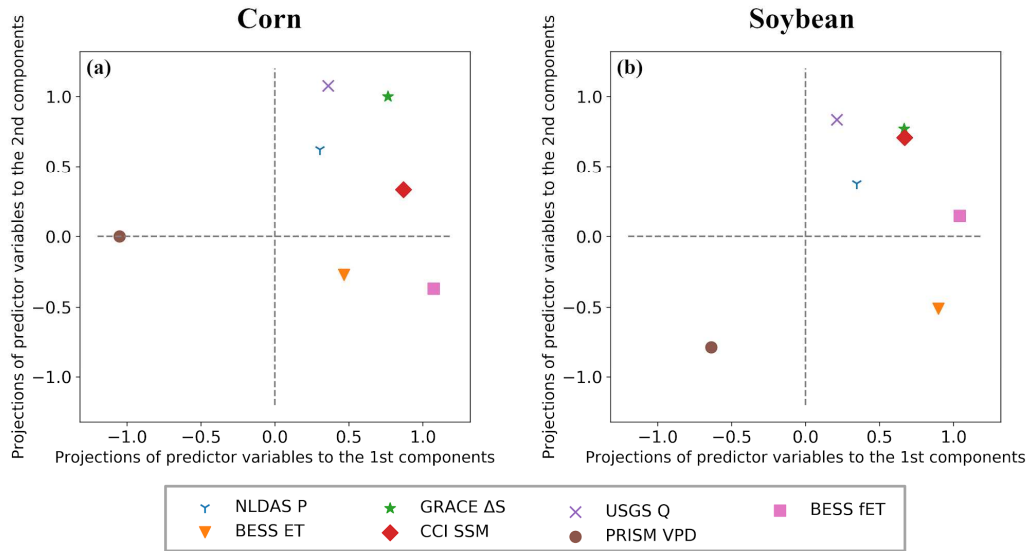
600

601 **Figure 9.** The loading of the first three components of the optimal PLSR crop yield model in

602 September (i.e. using all of the monthly data from May to September).

603

604



605

606 **Figure 10.** PLSR loadings of different predictor variables for the 1st component (x-axis) and
 607 the 2nd component (y-axis) of the PLSR models for (a) corn and (b) soybean.

608

609 In the PLSR model, the first two components could explain 70% and 56% of the annual yield
 610 variabilities for corn and soybean, respectively. For corn, the first and second components
 611 explain 51% and 19% of yield variability, respectively. For soybean, the first and second
 612 components explain 33% and 23% of yield variability, respectively. The loading of the first
 613 component of the PLSR model (i.e. Figure 9) for both corn and soybean yields can be largely
 614 explained by the seasonal correlation between the anomalies in crop yield and hydrological
 615 variables (Figure 2). For corn, the first PLSR component mainly contains the hydrological
 616 information in July and August; and for soybean, the first PLSR component mainly contains
 617 the hydrological information in June and August. The seasonally integrated loading of the
 618 different hydrological variables in the first and second PLSR components is presented in
 619 Figure 10. For corn, the first component of the PLSR model mainly consisted of VPD, fET
 620 and CCI SSM, which predominantly represents water deficit information pertaining to
 621 atmospheric demand and near surface soil water storage; while the second component mainly
 622 consists of USGS Q, GRACE ΔS and NLDAS P, as an indicator of long term groundwater
 623 availability. For soybean, the first PLSR component mainly consists of fET, BESS ET and

624 VPD, indicating the importance of water demand for soybean growth; while the second
625 component mainly consists of USGS Q, GRACE ΔS , CCI SSM and VPD, as water supply
626 indicators for crop growth.

627

628 **4. Discussion**

629 In this study, we (1) used multi-source (i.e. observation-based and model-simulated)
630 hydrological cycle components and commonly-used drought indices to assess the best
631 performing plant water stress indicators with the crop yield as a benchmark in the rainfed part
632 of the U.S. Corn Belt; (2) revealed the hydrological causes of huge crop yield losses during
633 the historic 2012 drought by analyzing the progression of water supply and water demand
634 during the drought cycle; (3) and integrated the different hydrological cycle components to
635 establish a new crop-yield-based drought index using the PLSR method. In the following
636 discussion, we synthesize our results to answer the questions raised in the introduction section
637 of the paper.

638 (1) What is the best indicator to assess the influence of crop water stress among the
639 hydrological cycle components and commonly used drought indices in the rainfed U.S. Corn
640 Belt with crop yield as a benchmark?

641 Previously, “agricultural drought” has generally been defined based on soil moisture
642 conditions. Our results show that besides soil moisture, VPD and fET also show high
643 correlation with crop yield for both corn and soybean. This finding reveals that both water
644 supply and water demand play vital roles in quantifying plant water stress. Average
645 precipitation is relatively high in the rainfed portions of the U.S. Corn Belt (i.e. 500-1300
646 mm/year) which usually ensures adequate soil water to support crop growth during normal
647 years; however, atmospheric water demand still plays a dominant role in determining crop
648 photosynthesis through the leaf stomatal regulation of CO₂ exchange (Ort and Long, 2014).
649 Therefore, VPD or fET may be a better indicator to quantify the severity of agricultural

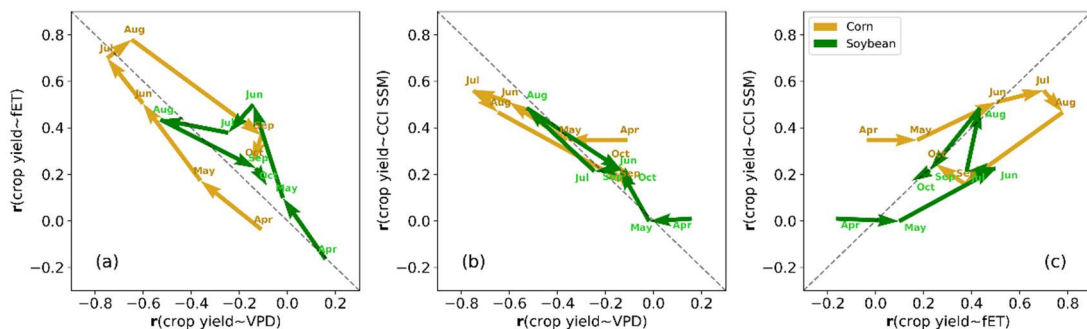
650 drought in the rainfed U.S. Corn Belt, which is consistent with previous studies (Lobell et al.,
651 2014).

652

653 Although different hydrological cycle components show different abilities in quantifying the
654 influence of water stress, most components show a generally similar seasonal pattern in terms
655 of their correlations with crop yield losses, and associated moisture deficits occurring during
656 critical corn and soybean growth stages in the U.S. Corn Belt. The highest correlations
657 between the selected drought metrics and annual crop yield anomalies occurred during the
658 peak growing season (i.e. July for corn and August for soybean). These results indicate that a
659 more accurate definition of “agricultural drought” should emphasize hydrological cycle
660 restrictions occurring during critical crop growth stages.

661

662 Although both soil moisture and VPD were able to capture agricultural drought and its
663 evolution in the U.S. Corn Belt, the soil moisture products (both satellite and model-based)
664 had larger uncertainties compared with the VPD data. However, when benchmarked with
665 crop yield, we found that VPD, soil moisture, and fET had generally consistent performance
666 in quantifying drought stress (Figure 11). For example, the crop yield correspondence ($|r|$)
667 with CCI SSM and VPD increased from April to July for corn and from May to August for
668 soybean, but was lower from July to October for corn and from August to October for
669 soybean as shown in Figure 11b. These findings indicate that VPD may be a better indicator
670 of agricultural drought when considering data availability and uncertainty, and overall
671 performance in quantifying drought stress.



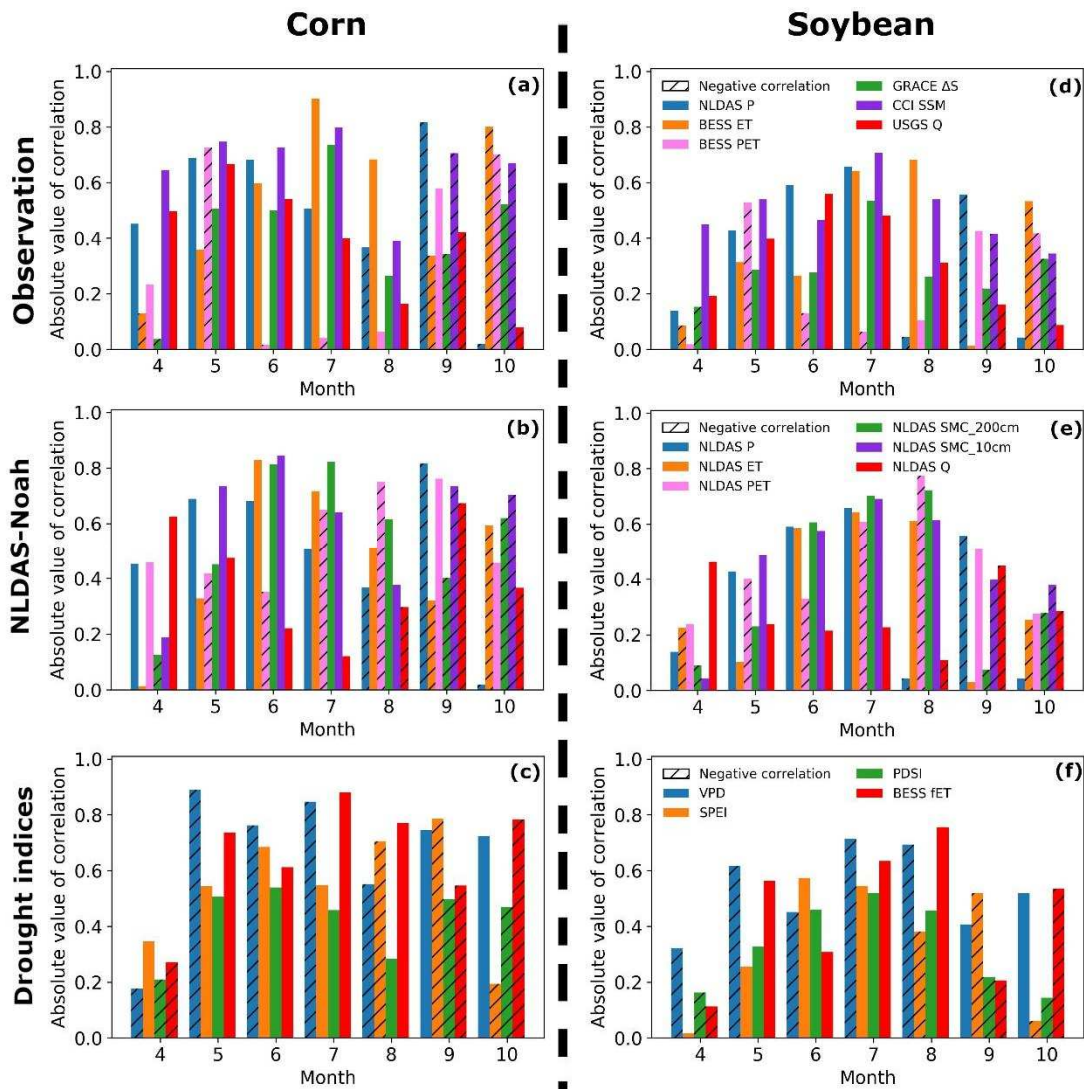
672

673 **Figure 11.** The coevolution of the correlation coefficients between crop yield and VPD,
674 between crop yield and fET, and between crop yield and CCI SSM for both corn and soybean.

675 (2) What is the performance of the hydrological cycle components and drought indices in
676 indicating crop yield loss in the extreme drought year of 2012?

677 As one of the most severe drought events in U.S. history, the 2012 drought caused large crop
678 yield losses in the U.S. Corn Belt. As shown in Figure 12, the $|r|$ between crop yield and the
679 hydrological cycle components and drought indices in 2012 showed similar seasonal patterns
680 as in other years (i.e. Figure 2), but with higher correlation coefficients. Among the
681 observation-based hydrological cycle components, P showed a higher correlation with crop
682 yield in May and June for corn and in July for soybean. Among the drought indices, VPD
683 showed a higher correlation with crop yield, and provided earlier warning of drought-induced
684 declines in annual corn and soybean production.

685 By investigating the seasonal cycle and propagation of the hydrological variables in 2012, we
686 find that this drought began with abnormally higher atmospheric water demand (i.e. VPD and
687 PET) and water depletion (due to the high ET) in the spring of 2012, and aggravated by lower
688 water supply (i.e. P) in the early summer. These combined effects significantly lowered soil
689 moisture, leading to abnormally low levels of both surface soil moisture (i.e. CCI SSM) and
690 deeper groundwater (i.e. GRACE ΔS), which exacerbated the drought and contributed to
691 extensive annual crop yield losses. Among the drought indices examined, VPD provided
692 therefore an earlier warning and continued to be an anomaly throughout the growing season
693 compared to other more traditional drought indices (i.e. SPEI and PDSI). Our findings
694 indicate that in the U.S. Corn Belt, the 2012 drought was characterized by excessive
695 atmospheric water demand (i.e. VPD and PET) exacerbated by anomalously low water supply
696 levels (i.e. P and soil moisture).



697

698 **Figure 12.** The correlation between hydrological cycle components or drought indices
 699 anomalies and yield anomalies for corn and soybean in the 2012 drought year.

700 (3) How can we optimally integrate the hydrological cycle components and drought indices to
 701 assess agricultural drought? What are the contributions of the hydrological cycle components
 702 to the new drought index and crop yield predictions?

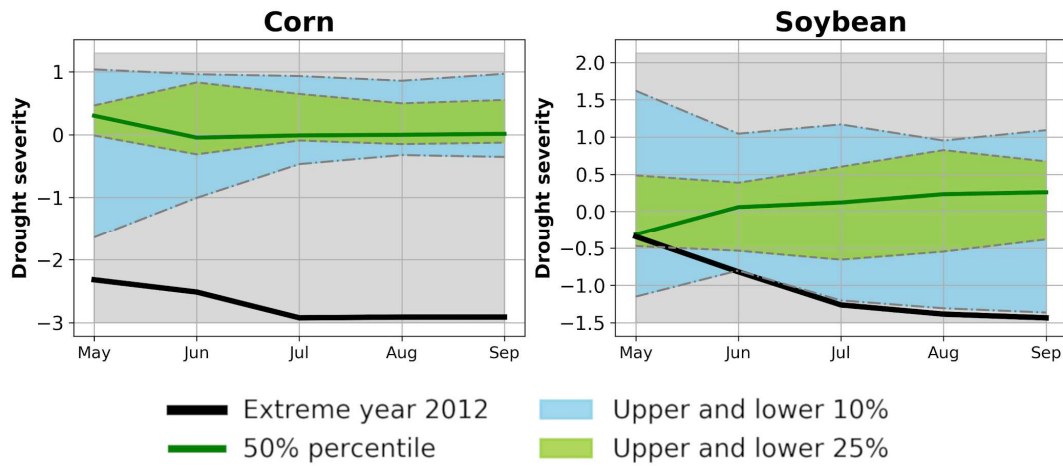
703 We further used multiple hydrological cycle components to build a new drought index,
 704 defined as the Z-score of seasonal optimal PLSR-based yield prediction, in which the mean
 705 and standard deviation were calculated using monthly predicted crop yield from 2003 to
 706 2014. The Z-score is a commonly used metric in drought monitoring (Du et al., 2019; Mu et
 707 al., 2013; Zhao et al., 2017). As shown in Figure 8, the performance of the new drought index

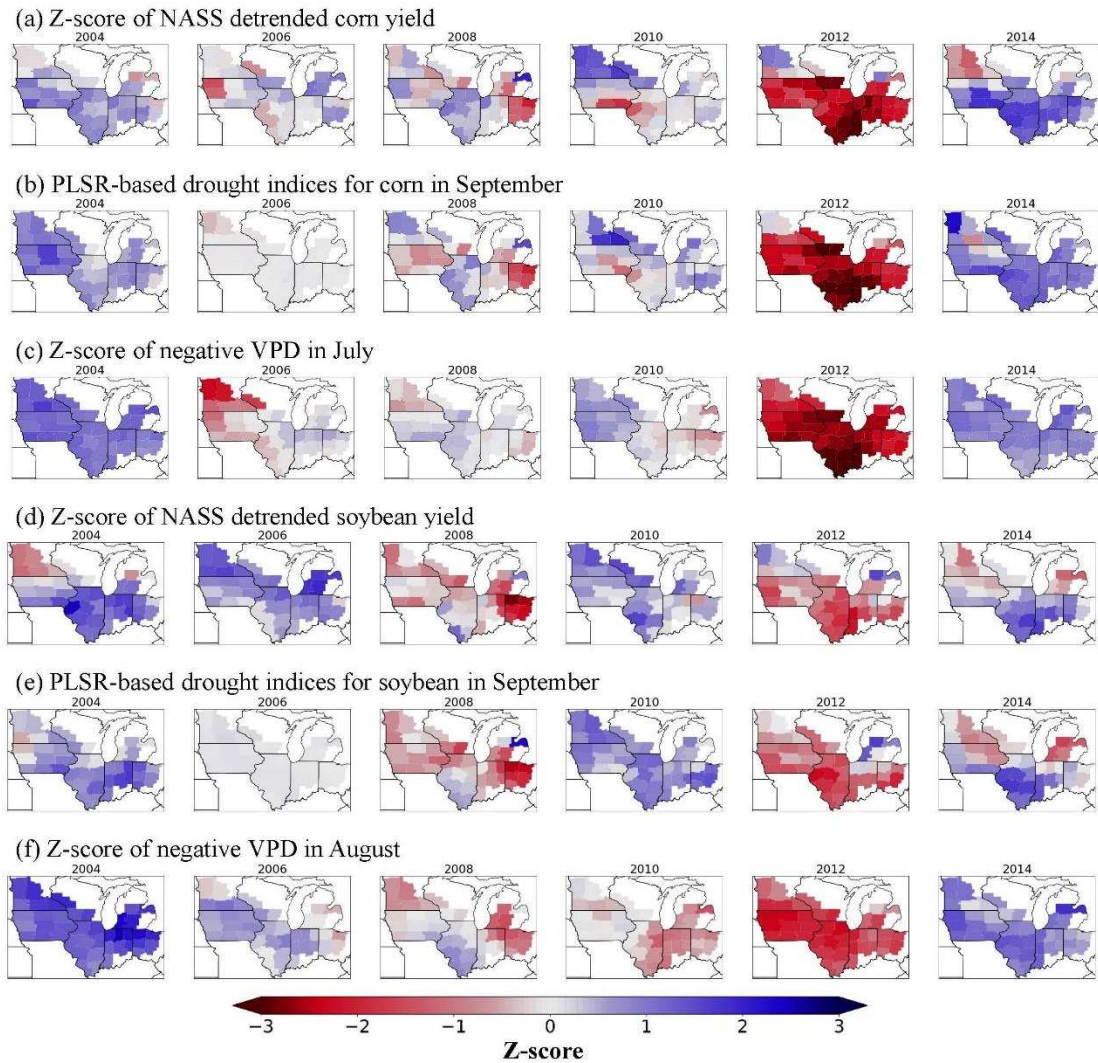
708 in crop yield prediction increases with more hydrological information ingested in later
709 months, and the R^2 reached 0.76 and 0.70 in September for corn and soybean, respectively.
710 The proposed drought index can provide more information about the impact of drought on
711 crop yield compared with other existing indices (i.e. Figure 2). In the new proposed index,
712 crop water supply, water demand, crop growth stages, and their influence on crop yield loss
713 all were considered compared to traditional drought indices (i.e. SPEI, PDSI). For most
714 months, VPD and fET showed larger contributions to the new drought index indicating the
715 vital role of water demand in quantifying agricultural drought in the rainfed U.S. Corn Belt
716 (i.e. Figure 9).

717

718 We used annual crop yields for corn and soybean as benchmarks to assess the agricultural
719 drought indices in this study. However, the drought indices may have different impacts on
720 other crop species due to their different physiological characteristics and growth stages. As
721 shown in Figure 13, the newly defined drought index showed different severity of 2012
722 drought in both magnitude and seasonal evolvment for corn and soybean. For corn, the
723 drought signal was present since the planting month (i.e. May), and became exacerbated
724 during the critical growth stages in June and July. For soybean, the new drought index
725 showed relatively normal conditions in the spring but evolved to be anomalously severe in the
726 following months. The PLSR-based drought index developed in this study contained
727 cumulative hydrological cycle information during the growth season, and provided better
728 forecasts of drought-induced annual crop yield losses than any single hydrological cycle
729 component (i.e. Figure 5). In addition, this new drought index uses crop yield as a benchmark,
730 and may provide more crop-specific agricultural drought assessments and yield forecasts than
731 traditional drought indices. As shown in Figure 14, the PLSR-based crop-specific drought
732 index (Figure 14 (b) and (e)) is more similar to the anomaly of the crop yield for both corn
733 (Figure 14 (a)) and soybean (Figure 14 (d)) compared to VPD in July (Figure 14 (c)) and
734 August (Figure 14 (f)), which shows the highest correlation with the crop yield in July and
735 August for corn and soybean, respectively. These results indicate that the proposed PLSR-

736 based drought index has strong potential for agricultural drought monitoring applications.





745

746 **Figure 14.** Comparison among the normalized detrended corn and soybean yield (a and d); PLSR-
 747 based agricultural drought index in September for corn and soybean (b and e); and the normalized
 748 VPD in July and August (c and f).

749

750 5. Conclusion

751 In summary, we quantified the response of corn and soybean crop yields to hydrological
 752 variability over the rainfed part of the U.S. Corn Belt at the agricultural district scale from
 753 2003 to 2014. Our analysis investigated the anomaly relationships between corn/soybean
 754 yield and monthly hydrological cycle components, and selected commonly used drought
 755 indices, as well as the spatio-temporal dynamics of such relationships. We analyzed the
 756 impacts on crop yield and the underlying hydrological cycle drivers of the 2012 drought in

757 relation to the recent period (2003 to 2014). We also integrated the hydrological cycle
758 components and drought index metrics within an empirical modeling framework (i.e. PLSR)
759 as a means for improving annual crop yield forecasts and drought related impacts assessment.

760

761 We concluded our study as following: (1) Overall, the relationship between crop yield and the
762 hydrological cycle components and drought indices, and its spatio-temporal dynamics is
763 consistent with the evolution of crop growth stages in the Corn Belt. The CCI SSM and
764 VPD/fET showed the strongest anomaly correlation with crop yield among all other
765 observation-based hydrological cycle components and drought indices examined in this study.

766 In the rainfed Corn Belt, although soil moisture plays a vital role in quantifying agricultural
767 drought effects, VPD may be the dominant water stress indicator of crop growth and end-of-
768 season yield. (2) By analyzing the evolution of the hydrological cycle components and
769 drought indices in 2012, we found that this severe drought in the rainfed U.S. Corn Belt
770 started with higher water demand (i.e. PET, VPD), water consumption (i.e. ET), and lower
771 water supply (i.e. P), followed by excessive soil water depletion (i.e. CCI CCM, GRACE ΔS),
772 which ultimately led to large crop yield losses in 2012. Among all of the hydrological cycle
773 components and drought indices examined, VPD gives the earliest warning of potential crop
774 yield losses and its anomaly continued throughout the growing season. (3) The validated R^2 of
775 the PLSR-based crop yield model reached favorable levels of 0.76 and 0.70 for corn and
776 soybean, respectively. The relatively strong PLSR performance benefitted from
777 complementary value-added information provided from multiple hydrological cycle input
778 variables. The first PLSR component explained 51% and 33% of crop yield variability for
779 corn and soybean, respectively. For corn, the first model component primarily included
780 information about the atmospheric water deficit (i.e. VPD, fET) and near surface soil water
781 storage (i.e. CCI SSM); For soybean, the first component mainly contains information about
782 the atmospheric water deficit (i.e. VPD, fET) and water demand (i.e. BESS ET). These results
783 provide enhanced information on water supply and demand constraints affecting agricultural
784 drought, and effective early warning of drought related impacts on annual yields for the two

785 dominant crop types in the U.S. Corn belt.

786

787 **Acknowledgments**

788 Guan and Peng acknowledge USDA grants (including Hatch) and NREC grant. Zhou and Shi
789 acknowledge the support from the UCAS Joint PhD Training Program.

790

791 **References**

792 Alley, W.M., 1984. The Palmer Drought Severity Index: Limitations and Assumptions. *J.*
793 *Clim. Appl. Meteorol.* 23, 1100–1109. [https://doi.org/10.1175/1520-](https://doi.org/10.1175/1520-0450(1984)023<1100:TPDSIL>2.0.CO;2)
794 [0450\(1984\)023<1100:TPDSIL>2.0.CO;2](https://doi.org/10.1175/1520-0450(1984)023<1100:TPDSIL>2.0.CO;2)

795 Anderson, D.B., 1936. Relative Humidity or Vapor Pressure Deficit. *Ecology* 17, 277–282.
796 <https://doi.org/10.2307/1931468>

797 Anderson, M.C., Hain, C., Otkin, J., Zhan, X., Mo, K., Svoboda, M., Wardlow, B., Pimstein,
798 A., 2013. An Intercomparison of Drought Indicators Based on Thermal Remote Sensing
799 and NLDAS-2 Simulations with U.S. Drought Monitor Classifications. *J.*
800 *Hydrometeorol.* 14, 1035–1056. <https://doi.org/10.1175/JHM-D-12-0140.1>

801 Anderson, M.C., Hain, C.R., Jurecka, F., Trnka, M., Hlavinka, P., Dulaney, W., Otkin, J.A.,
802 Johnson, D., Gao, F., 2016a. Relationships between the evaporative stress index and
803 winter wheat and spring barley yield anomalies in the Czech Republic. *Clim. Res.* 70,
804 215–230. <https://doi.org/10.3354/cr01411>

805 Anderson, M.C., Norman, J.M., Mecikalski, J.R., Otkin, J.A., Kustas, W.P., 2007a. A
806 climatological study of evapotranspiration and moisture stress across the continental
807 United States based on thermal remote sensing: 1. Model formulation. *J. Geophys. Res.*
808 *Atmos.* 112, 1–17. <https://doi.org/10.1029/2006JD007506>

809 Anderson, M.C., Norman, J.M., Mecikalski, J.R., Otkin, J.A., Kustas, W.P., 2007b. A
810 climatological study of evapotranspiration and moisture stress across the continental
811 United States based on thermal remote sensing: 2. Surface moisture climatology. *J.*
812 *Geophys. Res.* 112, D11112. <https://doi.org/10.1029/2006JD007507>

813 Anderson, M.C., Zolin, C.A., Sentelhas, P.C., Hain, C.R., Semmens, K., Tugrul Yilmaz, M.,
814 Gao, F., Otkin, J.A., Tetrault, R., 2016b. The Evaporative Stress Index as an indicator of
815 agricultural drought in Brazil: An assessment based on crop yield impacts. *Remote Sens.*
816 *Environ.* 174, 82–99. <https://doi.org/10.1016/j.rse.2015.11.034>

817 Andreadis, K.M., Clark, E.A., Wood, A.W., Hamlet, A.F., Lettenmaier, D.P., 2005.
818 Twentieth-Century Drought in the Conterminous United States. *J. Hydrometeorol.* 6,
819 985–1001. <https://doi.org/10.1175/JHM450.1>

820 Anyamba, A., Small, J.L., Britch, S.C., Tucker, C.J., Pak, E.W., Reynolds, C.A., Crutchfield,
821 J., Linthicum, K.J., 2014. Recent Weather Extremes and Impacts on Agricultural
822 Production and Vector-Borne Disease Outbreak Patterns. *PLoS One* 9, e92538.
823 <https://doi.org/10.1371/journal.pone.0092538>

824 Beguería, S., Vicente-Serrano, S.M., Reig, F., Latorre, B., 2014. Standardized precipitation
825 evapotranspiration index (SPEI) revisited: Parameter fitting, evapotranspiration models,
826 tools, datasets and drought monitoring. *Int. J. Climatol.* 34, 3001–3023.
827 <https://doi.org/10.1002/joc.3887>

828 Biradar, C.M., Thenkabail, P.S., Noojipady, P., Li, Y., Dheeravath, V., Turrall, H., Velpuri,
829 M., Gumma, M.K., Gangalakunta, O.R.P., Cai, X.L., Xiao, X., Schull, M.A., Alankara,
830 R.D., Gunasinghe, S., Mohideen, S., 2009. A global map of rainfed cropland areas
831 (GMRCA) at the end of last millennium using remote sensing. *Int. J. Appl. Earth Obs.*
832 *Geoinf.* 11, 114–129. <https://doi.org/10.1016/j.jag.2008.11.002>

833 Bolten, J., Crow, W., Zhan, X., Jackson, T., Reynolds, C., Doom, B., 2006. The application of
834 AMSR-E soil moisture for improved global agricultural assessment and forecasting. *Int.*
835 *Geosci. Remote Sens. Symp.* 2032–2035. <https://doi.org/10.1109/IGARSS.2006.526>

836 Bolten, J.D., Crow, W.T., Jackson, T.J., Zhan, X., Reynolds, C.A., 2010. Evaluating the
837 Utility of Remotely Sensed Soil Moisture Retrievals for Operational Agricultural
838 Drought Monitoring. *IEEE J. Sel. Top. Appl. Earth Obs. Remote Sens.* 3, 57–66.
839 <https://doi.org/10.1109/JSTARS.2009.2037163>

840 Bonan, G.B., Williams, M., Fisher, R.A., Oleson, K.W., 2014. Modeling stomatal

841 conductance in the earth system: linking leaf water-use efficiency and water transport
842 along the soil–plant–atmosphere continuum. *Geosci. Model Dev.* 7, 2193–2222.
843 <https://doi.org/10.5194/gmd-7-2193-2014>

844 Boyer, J.S., 1970. Differing Sensitivity of Photosynthesis to Low Leaf Water Potentials in
845 Corn and Soybean. *Plant Physiol.* 46, 236–239. <https://doi.org/10.1104/pp.46.2.236>

846 Brown, M.E., Funk, C.C., 2008. Food Security Under Climate Change. *Science* (80). 319,
847 580–581. <https://doi.org/10.1126/science.1154102>

848 Çakir, R., 2004. Effect of water stress at different development stages on vegetative and
849 reproductive growth of corn. *F. Crop. Res.* 89, 1–16.
850 <https://doi.org/10.1016/j.fcr.2004.01.005>

851 Cook, E.R., Solomina, O., Matskovsky, V., Cook, B.I., Agafonov, L., Berdnikova, A.,
852 Dolgova, E., Karpukhin, A., Knysh, N., Kulakova, M., Kuznetsova, V., Kyncl, T.,
853 Kyncl, J., Maximova, O., Panyushkina, I., Seim, A., Tishin, D., Ważny, T., Yermokhin,
854 M., 2020. The European Russia Drought Atlas (1400–2016 CE). *Clim. Dyn.* 54, 2317–
855 2335. <https://doi.org/10.1007/s00382-019-05115-2>

856 Crow, W., 2014. Assimilation of AMSR-E Soil Moisture Retrievals into the USDA Global
857 Crop Production Decision Support System.

858 Dai, A., 2019. The Climate Data Guide: Palmer Drought Severity Index (PDSI).
859 <https://climatedataguide.ucar.edu/climate-data/palmer-drought-severity-index-pdsi>

860 Dai, A., 2011. Characteristics and trends in various forms of the Palmer Drought Severity
861 Index during 1900–2008. *J. Geophys. Res.* 116, D12115.
862 <https://doi.org/10.1029/2010JD015541>

863 Dai, A., Trenberth, K.E., Qian, T., 2004. A Global Dataset of Palmer Drought Severity Index
864 for 1870–2002: Relationship with Soil Moisture and Effects of Surface Warming. *J.*
865 *Hydrometeorol.* 5, 1117–1130. <https://doi.org/10.1175/JHM-386.1>

866 Daly, C., Halbleib, M., Smith, J.I., Gibson, W.P., Doggett, M.K., Taylor, G.H., Curtis, J.,
867 Pasteris, P.P., 2008. Physiographically sensitive mapping of climatological temperature
868 and precipitation across the conterminous United States. *Int. J. Climatol.* 28, 2031–2064.

869 <https://doi.org/10.1002/joc.1688>

870 Dorigo, W., Wagner, W., Albergel, C., Albrecht, F., Balsamo, G., Brocca, L., Chung, D., Ertl,
871 M., Forkel, M., Gruber, A., Haas, E., Hamer, P.D., Hirschi, M., Ikonen, J., de Jeu, R.,
872 Kidd, R., Lahoz, W., Liu, Y.Y., Miralles, D., Mistelbauer, T., Nicolai-Shaw, N.,
873 Parinussa, R., Pratola, C., Reimer, C., van der Schalie, R., Seneviratne, S.I., Smolander,
874 T., Lecomte, P., 2017. ESA CCI Soil Moisture for improved Earth system
875 understanding: State-of-the art and future directions. *Remote Sens. Environ.* 203, 185–
876 215. <https://doi.org/10.1016/j.rse.2017.07.001>

877 Du, J., Kimball, J.S., Velicogna, I., Zhao, M., Jones, L.A., Watts, J.D., Kim, Y., A, G., 2019.
878 Multicomponent Satellite Assessment of Drought Severity in the Contiguous United
879 States From 2002 to 2017 Using AMSR-E and AMSR2. *Water Resour. Res.* 55, 5394–
880 5412. <https://doi.org/10.1029/2018WR024633>

881 Ge, Y., Cai, X., Zhu, T., Ringler, C., 2016. Drought frequency change: An assessment in
882 northern India plains. *Agric. Water Manag.* 176, 111–121.
883 <https://doi.org/10.1016/j.agwat.2016.05.015>

884 Geladi, P., Kowalski, B.R., 1986. Partial least-squares regression: a tutorial. *Anal. Chim. Acta*
885 185, 1–17. [https://doi.org/10.1016/0003-2670\(86\)80028-9](https://doi.org/10.1016/0003-2670(86)80028-9)

886 Grassini, P., Specht, J.E., Tollenaar, M., Ciampitti, I., Cassman, K.G., 2015. High-yield
887 maize–soybean cropping systems in the US Corn Belt, in: *Crop Physiology*. Elsevier,
888 pp. 17–41. <https://doi.org/10.1016/B978-0-12-417104-6.00002-9>

889 Gruber, A., Dorigo, W.A., Crow, W., Wagner, W., 2017. Triple Collocation-Based Merging
890 of Satellite Soil Moisture Retrievals. *IEEE Trans. Geosci. Remote Sens.* 55, 6780–6792.
891 <https://doi.org/10.1109/TGRS.2017.2734070>

892 Gruber, A., Scanlon, T., van der Schalie, R., Wagner, W., Dorigo, W., 2019. Evolution of the
893 ESA CCI Soil Moisture climate data records and their underlying merging methodology.
894 *Earth Syst. Sci. Data* 11, 717–739. <https://doi.org/10.5194/essd-11-717-2019>

895 Guan, K., Good, S.P., Caylor, K.K., Sato, H., Wood, E.F., Li, H., 2014. Continental-scale
896 impacts of intra-seasonal rainfall variability on simulated ecosystem responses in Africa.

897 Biogeosciences Discuss. 11, 7575–7613. <https://doi.org/10.5194/bgd-11-7575-2014>

898 Guan, K., Sultan, B., Biasutti, M., Baron, C., Lobell, D.B., 2015. What aspects of future
899 rainfall changes matter for crop yields in West Africa? *Geophys. Res. Lett.* 42, 8001–
900 8010. <https://doi.org/10.1002/2015GL063877>

901 Guan, K., Wu, J., Kimball, J.S., Anderson, M.C., Frohking, S., Li, B., Hain, C.R., Lobell,
902 D.B., 2017. The shared and unique values of optical, fluorescence, thermal and
903 microwave satellite data for estimating large-scale crop yields. *Remote Sens. Environ.*
904 199, 333–349. <https://doi.org/10.1016/j.rse.2017.06.043>

905 Han, E., Crow, W.T., Holmes, T., Bolten, J., 2014. Benchmarking a Soil Moisture Data
906 Assimilation System for Agricultural Drought Monitoring. *J. Hydrometeorol.* 15, 1117–
907 1134. <https://doi.org/10.1175/JHM-D-13-0125.1>

908 Hollmann, R., Merchant, C.J., Saunders, R., Downy, C., Buchwitz, M., Cazenave, A.,
909 Chuvieco, E., Defourny, P., de Leeuw, G., Forsberg, R., Holzer-Popp, T., Paul, F.,
910 Sandven, S., Sathyendranath, S., van Roozendaal, M., Wagner, W., 2013. The ESA
911 Climate Change Initiative: Satellite Data Records for Essential Climate Variables. *Bull.*
912 *Am. Meteorol. Soc.* 94, 1541–1552. <https://doi.org/10.1175/BAMS-D-11-00254.1>

913 Huck, M.G., Ishihara, K., Peterson, C.M., Ushijima, T., 1983. Soybean Adaptation to Water
914 Stress at Selected Stages of Growth. *Plant Physiol.* 73, 422–427.
915 <https://doi.org/10.1104/pp.73.2.422>

916 Hunt, E.D., Svoboda, M., Wardlaw, B., Hubbard, K., Hayes, M., Arkebauer, T., 2014.
917 Monitoring the effects of rapid onset of drought on non-irrigated maize with agronomic
918 data and climate-based drought indices. *Agric. For. Meteorol.* 191, 1–11.
919 <https://doi.org/10.1016/j.agrformet.2014.02.001>

920 Huntington, T.G., 2006. Evidence for intensification of the global water cycle: Review and
921 synthesis. *J. Hydrol.* 319, 83–95. <https://doi.org/10.1016/j.jhydrol.2005.07.003>

922 Iizumi, T., Luo, J.-J., Challinor, A.J., Sakurai, G., Yokozawa, M., Sakuma, H., Brown, M.E.,
923 Yamagata, T., 2014. Impacts of El Niño Southern Oscillation on the global yields of
924 major crops. *Nat. Commun.* 5, 3712. <https://doi.org/10.1038/ncomms4712>

925 Jian, X., Wolock, D., Lins, H., 2008. WaterWatch-Maps, Graphs, and Tables of Current,
926 Recent, and Past Streamflow Conditions.

927 Jiang, C., Ryu, Y., 2016. Multi-scale evaluation of global gross primary productivity and
928 evapotranspiration products derived from Breathing Earth System Simulator (BESS).
929 Remote Sens. Environ. 186, 528–547. <https://doi.org/10.1016/j.rse.2016.08.030>

930 Jiang, C., Guan, K., Pan, M., Ryu, Y., Peng, B., Wang, S., 2020. BESS-STAIR: a framework
931 to estimate daily, 30 m, and all-weather crop evapotranspiration using multi-source
932 satellite data for the US Corn Belt. Hydrol. Earth Syst. Sci. 24, 1251–1273.
933 <https://doi.org/10.5194/hess-24-1251-2020>

934 Kennedy, D., Swenson, S., Oleson, K.W., Lawrence, D.M., Fisher, R., Lola da Costa, A.C.,
935 Gentine, P., 2019. Implementing Plant Hydraulics in the Community Land Model,
936 Version 5. J. Adv. Model. Earth Syst. 11, 485–513.
937 <https://doi.org/10.1029/2018MS001500>

938 Landerer, F.W., Swenson, S.C., 2012. Accuracy of scaled GRACE terrestrial water storage
939 estimates. Water Resour. Res. 48, 1–11. <https://doi.org/10.1029/2011WR011453>

940 Li, Y., Guan, K., Yu, A., Peng, B., Zhao, L., Li, B., Peng, J., 2019. Toward building a
941 transparent statistical model for improving crop yield prediction: Modeling rainfed corn
942 in the U.S. F. Crop. Res. 234, 55–65. <https://doi.org/10.1016/j.fcr.2019.02.005>

943 Lobell, D.B., Roberts, M.J., Schlenker, W., Braun, N., Little, B.B., Rejesus, R.M., Hammer,
944 G.L., 2014. Greater Sensitivity to Drought Accompanies Maize Yield Increase in the
945 U.S. Midwest. Science (80). 344, 516–519. <https://doi.org/10.1126/science.1251423>

946 Lu, J., Carbone, G.J., Gao, P., 2017. Detrending crop yield data for spatial visualization of
947 drought impacts in the United States, 1895–2014. Agric. For. Meteorol. 237–238, 196–
948 208. <https://doi.org/10.1016/j.agrformet.2017.02.001>

949 Luo, L., Apps, D., Arcand, S., Xu, H., Pan, M., Hoerling, M., 2017. Contribution of
950 temperature and precipitation anomalies to the California drought during 2012-2015.
951 Geophys. Res. Lett. 44, 3184–3192. <https://doi.org/10.1002/2016GL072027>

952 Mallya, G., Zhao, L., Song, X.C., Niyogi, D., Govindaraju, R.S., 2013. 2012 Midwest

953 Drought in the United States. *J. Hydrol. Eng.* 18, 737–745.
954 [https://doi.org/10.1061/\(ASCE\)HE.1943-5584.0000786](https://doi.org/10.1061/(ASCE)HE.1943-5584.0000786)

955 Martínez-Vilalta, J., Poyatos, R., Aguadé, D., Retana, J., Mencuccini, M., 2014. A new look
956 at water transport regulation in plants. *New Phytol.* 204, 105–115.
957 <https://doi.org/10.1111/nph.12912>

958 Masud, M.B., Khaliq, M.N., Wheeler, H.S., 2015. Analysis of meteorological droughts for the
959 Saskatchewan River Basin using univariate and bivariate approaches. *J. Hydrol.* 522,
960 452–466. <https://doi.org/10.1016/j.jhydrol.2014.12.058>

961 McKee, T.B., Doesken, N.J., Kleist, J., 1993. The relationship of drought frequency and
962 duration to time scales. *Proc. 8th Conf. Appl. Climatol.* 17-22 January 1993. Anaheim,
963 CA, Am. Meteorol. Soc. 179–184.

964 Meyer, S.J., Hubbard, K.G., Wilhite, D.A., 1993. A Crop-Specific Drought Index for Corn: I.
965 Model Development and Validation. *Agron. J.* 85, 388.
966 <https://doi.org/10.2134/agronj1993.00021962008500020040x>

967 Milly, P.C.D., Dunne, K.A., 2016. Potential evapotranspiration and continental drying. *Nat.*
968 *Clim. Chang.* 6, 946–949. <https://doi.org/10.1038/nclimate3046>

969 Mishra, A.K., Singh, V.P., 2010. A review of drought concepts. *J. Hydrol.* 391, 202–216.
970 <https://doi.org/10.1016/j.jhydrol.2010.07.012>

971 Mishra, V., Cherkauer, K.A., 2010. Retrospective droughts in the crop growing season:
972 Implications to corn and soybean yield in the Midwestern United States. *Agric. For.*
973 *Meteorol.* 150, 1030–1045. <https://doi.org/10.1016/j.agrformet.2010.04.002>

974 Mitchell, K.E., 2004. The multi-institution North American Land Data Assimilation System
975 (NLDAS): Utilizing multiple GCIP products and partners in a continental distributed
976 hydrological modeling system. *J. Geophys. Res.* 109, D07S90.
977 <https://doi.org/10.1029/2003JD003823>

978 Mladenova, I.E., Bolten, J.D., Crow, W.T., Anderson, M.C., Hain, C.R., Johnson, D.M.,
979 Mueller, R., 2017. Intercomparison of Soil Moisture, Evaporative Stress, and Vegetation
980 Indices for Estimating Corn and Soybean Yields Over the U.S. *IEEE J. Sel. Top. Appl.*

981 Earth Obs. Remote Sens. 10, 1328–1343. <https://doi.org/10.1109/JSTARS.2016.2639338>

982 Mu, Q., Zhao, M., Kimball, J.S., McDowell, N.G., Running, S.W., 2013. A Remotely Sensed
983 Global Terrestrial Drought Severity Index. *Bull. Am. Meteorol. Soc.* 94, 83–98.
984 <https://doi.org/10.1175/BAMS-D-11-00213.1>

985 Muller, B., Pantin, F., Génard, M., Turc, O., Freixes, S., Piques, M., Gibon, Y., 2011. Water
986 deficits uncouple growth from photosynthesis, increase C content, and modify the
987 relationships between C and growth in sink organs. *J. Exp. Bot.* 62, 1715–1729.
988 <https://doi.org/10.1093/jxb/erq438>

989 Njoku, E.G., Entekhabi, D., 1996. Passive microwave remote sensing of soil moisture. *J.*
990 *Hydrol.* 184, 101–129. [https://doi.org/10.1016/0022-1694\(95\)02970-2](https://doi.org/10.1016/0022-1694(95)02970-2)

991 Njoku, E.G., Jackson, T.J., Lakshmi, V., Chan, T.K., Nghiem, S.V., 2003. Soil moisture
992 retrieval from AMSR-E. *IEEE Trans. Geosci. Remote Sens.* 41, 215–229.
993 <https://doi.org/10.1109/TGRS.2002.808243>

994 Nocco, M.A., Smail, R.A., Kucharik, C.J., 2019. Observation of irrigation-induced climate
995 change in the Midwest United States. *Glob. Chang. Biol.* 25, 3472–3484.
996 <https://doi.org/10.1111/gcb.14725>

997 Novick, K.A., Ficklin, D.L., Stoy, P.C., Williams, C.A., Bohrer, G., Oishi, A.C., Papuga,
998 S.A., Blanken, P.D., Noormets, A., Sulman, B.N., Scott, R.L., Wang, L., Phillips, R.P.,
999 2016. The increasing importance of atmospheric demand for ecosystem water and
1000 carbon fluxes. *Nat. Clim. Chang.* 6, 1023–1027. <https://doi.org/10.1038/nclimate3114>

1001 Oki, T., Kanae, S., 2006. Global Hydrological Cycles and World Water Resources. *Science*
1002 (80-.). 313, 1068–1072. <https://doi.org/10.1126/science.1128845>

1003 Orellana, F., Verma, P., Loheide, S.P., Daly, E., 2012. Monitoring and modeling water-
1004 vegetation interactions in groundwater-dependent ecosystems. *Rev. Geophys.* 50.
1005 <https://doi.org/10.1029/2011RG000383>

1006 Ort, D.R., Long, S.P., 2014. Limits on Yields in the Corn Belt. *Science.* 344, 484–485.
1007 <https://doi.org/10.1126/science.1253884>

1008 Otkin, J.A., Anderson, M.C., Hain, C., Mladenova, I.E., Basara, J.B., Svoboda, M., 2013.

1009 Examining Rapid Onset Drought Development Using the Thermal Infrared–Based
1010 Evaporative Stress Index. *J. Hydrometeorol.* 14, 1057–1074.
1011 <https://doi.org/10.1175/JHM-D-12-0144.1>

1012 Otkin, J.A., Anderson, M.C., Hain, C., Svoboda, M., 2014. Examining the Relationship
1013 between Drought Development and Rapid Changes in the Evaporative Stress Index. *J.*
1014 *Hydrometeorol.* 15, 938–956. <https://doi.org/10.1175/JHM-D-13-0110.1>

1015 Ouyang, Y., 2002. Phytoremediation: modeling plant uptake and contaminant transport in the
1016 soil–plant–atmosphere continuum. *J. Hydrol.* 266, 66–82.
1017 [https://doi.org/10.1016/S0022-1694\(02\)00116-6](https://doi.org/10.1016/S0022-1694(02)00116-6)

1018 Palmer, W.C., 1965. Meteorological drought. US Department of Commerce. Research Paper
1019 45.

1020 Peng, B., Guan, K., Chen, M., Lawrence, D.M., Pokhrel, Y., Suyker, A., Arkebauer, T., Lu,
1021 Y., 2018a. Improving maize growth processes in the community land model:
1022 Implementation and evaluation. *Agric. For. Meteorol.* 250–251, 64–89.
1023 <https://doi.org/10.1016/j.agrformet.2017.11.012>

1024 Peng, B., Guan, K., Pan, M., Li, Y., 2018b. Benefits of seasonal climate prediction and
1025 satellite data for forecasting US maize yield. *Geophys. Res. Lett.*
1026 <https://doi.org/10.1029/2018GL079291>

1027 Peng, B., Guan, K., Tang, J., Ainsworth, E.A., Asseng, S., Bernacchi, C.J., Cooper, M.,
1028 Delucia, E.H., Elliott, J.W., Ewert, F., Grant, R.F., Gustafson, D.I., Hammer, G.L., Jin,
1029 Z., Jones, J.W., Kimm, H., Lawrence, D.M., Li, Y., Lombardozzi, D.L., Marshall-
1030 Colon, A., Messina, C.D., Ort, D.R., Schnable, J.C., Vallejos, C.E., Wu, A., Yin, X.,
1031 Zhou, W., 2020a. Towards a multiscale crop modelling framework for climate change
1032 adaptation assessment. *Nat. Plants* 6, 338–348. [https://doi.org/10.1038/s41477-020-](https://doi.org/10.1038/s41477-020-0625-3)
1033 [0625-3](https://doi.org/10.1038/s41477-020-0625-3)

1034 Peng, B., Guan, K., Zhou, W., Jiang, C., Frankenberg, C., Sun, Y., He, L., Köhler, P., 2020b.
1035 Assessing the benefit of satellite-based Solar-Induced Chlorophyll Fluorescence in crop
1036 yield prediction. *Int. J. Appl. Earth Obs. Geoinf.* 90, 102126.

1037 <https://doi.org/10.1016/j.jag.2020.102126>

1038 Peng, B., Zhao, T., Shi, J., Lu, H., Mialon, A., Kerr, Y.H., Liang, X., Guan, K., 2017.

1039 Reappraisal of the roughness effect parameterization schemes for L-band radiometry

1040 over bare soil. *Remote Sens. Environ.* 199, 63–77.

1041 <https://doi.org/10.1016/j.rse.2017.07.006>

1042 Rippey, B.R., 2015. The U.S. drought of 2012. *Weather Clim. Extrem.* 10, 57–64.

1043 <https://doi.org/10.1016/j.wace.2015.10.004>

1044 Rosenzweig, C., Iglesias, A., Yang, X.B., Epstein, P.R., Chivian, E., 2001. Climate change

1045 and extreme weather events: implications for food production, plant diseases, and pests.

1046 *Glob. Chang. Hum. Heal.* 2, 90–104. <https://doi.org/10.1023/A:1015086831467>

1047 Ryu, Y., Baldocchi, D.D., Kobayashi, H., van Ingen, C., Li, J., Black, T.A., Beringer, J., van

1048 Gorsel, E., Knohl, A., Law, B.E., Rouspard, O., 2011. Integration of MODIS land and

1049 atmosphere products with a coupled-process model to estimate gross primary

1050 productivity and evapotranspiration from 1 km to global scales. *Global Biogeochem.*

1051 *Cycles* 25. <https://doi.org/10.1029/2011GB004053>

1052 Sakumura, C., Bettadpur, S., Bruinsma, S., 2014. Ensemble prediction and intercomparison

1053 analysis of GRACE time-variable gravity field models. *Geophys. Res. Lett.* 41, 1389–

1054 1397. <https://doi.org/10.1002/2013GL058632>

1055 Seager, R., Hooks, A., Williams, A.P., Cook, B., Nakamura, J., Henderson, N., 2015.

1056 Climatology, variability, and trends in the U.S. Vapor pressure deficit, an important fire-

1057 related meteorological quantity. *J. Appl. Meteorol. Climatol.* 54, 1121–1141.

1058 <https://doi.org/10.1175/JAMC-D-14-0321.1>

1059 Sheffield, J., Wood, E.F., Roderick, M.L., 2012. Little change in global drought over the past

1060 60 years. *Nature* 491, 435–438. <https://doi.org/10.1038/nature11575>

1061 Sperry, J.S., Hacke, U.G., Oren, R., Comstock, J.P., 2002. Water deficits and hydraulic limits

1062 to leaf water supply. *Plant, Cell Environ.* 25, 251–263. [https://doi.org/10.1046/j.0016-](https://doi.org/10.1046/j.0016-8025.2001.00799.x)

1063 [8025.2001.00799.x](https://doi.org/10.1046/j.0016-8025.2001.00799.x)

1064 Sulman, B.N., Roman, D.T., Yi, K., Wang, L., Phillips, R.P., Novick, K.A., 2016. High

1065 atmospheric demand for water can limit forest carbon uptake and transpiration as
1066 severely as dry soil. *Geophys. Res. Lett.* 43, 9686–9695.
1067 <https://doi.org/10.1002/2016GL069416>

1068 Svoboda, M., LeComte, D., Hayes, M., Heim, R., Gleason, K., Angel, J., Rippey, B., Tinker,
1069 R., Palecki, M., Stooksbury, D., Miskus, D., Stephens, S., 2002. The Drought Monitor.
1070 *Bull. Am. Meteorol. Soc.* 83, 1181–1190. <https://doi.org/10.1175/1520-0477-83.8.1181>

1071 Tian, L., Yuan, S., Quiring, S.M., 2018. Evaluation of six indices for monitoring agricultural
1072 drought in the south-central United States. *Agric. For. Meteorol.* 249, 107–119.
1073 <https://doi.org/10.1016/j.agrformet.2017.11.024>

1074 Turner, N.C., Begg, J.E., 1981. Plant-water relations and adaptation to stress. *Plant Soil* 58,
1075 97–131. <https://doi.org/10.1007/BF02180051>

1076 Tyree, M.T., Ewers, F.W., 1991. The hydraulic architecture of trees and other woody plants.
1077 *New Phytol.* 119, 345–360. <https://doi.org/10.1111/j.1469-8137.1991.tb00035.x>

1078 Vicente-Serrano, S.M., 2015. The Climate Data Guide: Standardized Precipitation
1079 Evapotranspiration Index (SPEI). [https://climatedataguide.ucar.edu/climate-](https://climatedataguide.ucar.edu/climate-data/standardized-precipitation-evapotranspiration-index-spei)
1080 [data/standardized-precipitation-evapotranspiration-index-spei](https://climatedataguide.ucar.edu/climate-data/standardized-precipitation-evapotranspiration-index-spei)

1081 Vicente-Serrano, S.M., Beguería, S., López-Moreno, J.I., 2010. A Multiscalar Drought Index
1082 Sensitive to Global Warming: The Standardized Precipitation Evapotranspiration Index.
1083 *J. Clim.* 23, 1696–1718. <https://doi.org/10.1175/2009JCLI2909.1>

1084 Wayne, C.P., 1965. Meteorological drought. *US Weather Bur. Res. Pap.*

1085 Wells, N., Goddard, S., Hayes, M.J., 2004. A Self-Calibrating Palmer Drought Severity
1086 Index. *J. Clim.* 17, 2335–2351. [https://doi.org/10.1175/1520-](https://doi.org/10.1175/1520-0442(2004)017<2335:ASPDSI>2.0.CO;2)
1087 [0442\(2004\)017<2335:ASPDSI>2.0.CO;2](https://doi.org/10.1175/1520-0442(2004)017<2335:ASPDSI>2.0.CO;2)

1088 Wigneron, J.-P., Jackson, T.J., O'Neill, P., De Lannoy, G., de Rosnay, P., Walker, J.P.,
1089 Ferrazzoli, P., Mironov, V., Bircher, S., Grant, J.P., Kurum, M., Schwank, M., Munoz-
1090 Sabater, J., Das, N., Royer, A., Al-Yaari, A., Al Bitar, A., Fernandez-Moran, R.,
1091 Lawrence, H., Mialon, A., Parrens, M., Richaume, P., Delwart, S., Kerr, Y., 2017.
1092 Modelling the passive microwave signature from land surfaces: A review of recent

1093 results and application to the L-band SMOS & SMAP soil moisture retrieval
1094 algorithms. *Remote Sens. Environ.* 192, 238–262.
1095 <https://doi.org/10.1016/j.rse.2017.01.024>

1096 Williams, M., Rastetter, E.B., Fernandes, D.N., Goulden, M.L., Wofsy, S.C., Shaver, G.R.,
1097 Melillo, J.M., Munger, J.W., Fan, S.-M., Nadelhoffer, K.J., 1996. Modelling the soil-
1098 plant-atmosphere continuum in a *Quercus-Acer* stand at Harvard Forest: the regulation
1099 of stomatal conductance by light, nitrogen and soil/plant hydraulic properties. *Plant, Cell*
1100 *Environ.* 19, 911–927. <https://doi.org/10.1111/j.1365-3040.1996.tb00456.x>

1101 Wrather, J.A., Koenning, S.R., 2006. Estimates of disease effects on soybean yields in the
1102 United States 2003 to 2005. *J. Nematol.* 38, 173–80. [https://doi.org/10.1094/PHP-2009-](https://doi.org/10.1094/PHP-2009-0401-01-RS)
1103 [0401-01-RS](https://doi.org/10.1094/PHP-2009-0401-01-RS)

1104 Xia, Y., Mitchell, K., Ek, M., Cosgrove, B., Sheffield, J., Luo, L., Alonge, C., Wei, H., Meng,
1105 J., Livneh, B., Duan, Q., Lohmann, D., 2012a. Continental-scale water and energy flux
1106 analysis and validation for North American Land Data Assimilation System project
1107 phase 2 (NLDAS-2): 2. Validation of model-simulated streamflow. *J. Geophys. Res.*
1108 *Atmos.* 117, 1–23. <https://doi.org/10.1029/2011JD016051>

1109 Xia, Y., Mitchell, K., Ek, M., Sheffield, J., Cosgrove, B., Wood, E., Luo, L., Alonge, C., Wei,
1110 H., Meng, J., Livneh, B., Lettenmaier, D., Koren, V., Duan, Q., Mo, K., Fan, Y., Mocko,
1111 D., 2012b. Continental-scale water and energy flux analysis and validation for the North
1112 American Land Data Assimilation System project phase 2 (NLDAS-2): 1.
1113 Intercomparison and application of model products. *J. Geophys. Res. Atmos.* 117, n/a-
1114 n/a. <https://doi.org/10.1029/2011JD016048>

1115 Xu, X., Medvigy, D., Powers, J.S., Becknell, J.M., Guan, K., 2016. Diversity in plant
1116 hydraulic traits explains seasonal and inter-annual variations of vegetation dynamics in
1117 seasonally dry tropical forests. *New Phytol.* 212, 80–95.
1118 <https://doi.org/10.1111/nph.14009>

1119 Yang, Yang, Anderson, M.C., Gao, F., Wardlow, B., Hain, C.R., Otkin, J.A., Alfieri, J.,
1120 Yang, Yun, Sun, L., Dulaney, W., 2018. Field-scale mapping of evaporative stress

1121 indicators of crop yield: An application over Mead, NE, USA. *Remote Sens. Environ.*
1122 210, 387–402. <https://doi.org/10.1016/j.rse.2018.02.020>

1123 Zhao, M., A. G., Velicogna, I., Kimball, J.S., 2017. A Global Gridded Dataset of GRACE
1124 Drought Severity Index for 2002–14: Comparison with PDSI and SPEI and a Case
1125 Study of the Australia Millennium Drought. *J. Hydrometeorol.* 18, 2117–2129.
1126 <https://doi.org/10.1175/JHM-D-16-0182>

1127 Zipper, S.C., Qiu, J., Kucharik, C.J., 2016. Drought effects on US maize and soybean
1128 production: Spatiotemporal patterns and historical changes. *Environ. Res. Lett.* 11.
1129 <https://doi.org/10.1088/1748-9326/11/9/094021>

1130