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# The Impacts of Increased Heat Stress Events on Wheat Yield under Climate Change in China

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29 **ABSTRACT**

30

31 China is the largest wheat producing country in the world. Wheat is one of the two major  
32 staple cereals consumed in the country and about 60% of Chinese population eats the grain  
33 daily. To safeguard the production of this important crop, about 85% of wheat areas in the  
34 country are under irrigation or high rainfall conditions. However, wheat production in the  
35 future will be challenged by the increasing occurrence and magnitude of adverse and extreme  
36 weather events. In this paper, we present an analysis that combines outputs from a wide range  
37 of General Circulation Models (GCMs) with observational data to produce more detailed  
38 projections of local climate suitable for assessing the impact of increasing heat stress events  
39 on wheat yield. We run the assessment at 36 representative sites in China using the crop  
40 growth model CSM-CropSim Wheat of DSSAT 4.5. The simulations based on historical data  
41 show that this model is suitable for quantifying yield damages caused by heat stress. In  
42 comparison with the observations of baseline 1996-2005, our simulations for the future  
43 indicate that by 2100, the projected increases in heat stress would lead to an ensemble-mean  
44 yield reduction of  $-7.1\%$  (with a probability of 80%) and  $-17.5\%$  (with a probability of 96%)  
45 for winter wheat and spring wheat, respectively, under the irrigated condition. Although such  
46 losses can be fully compensated by  $\text{CO}_2$  fertilization effect as parameterized in DSSAT 4.5, a  
47 great caution is needed in interpreting this fertilization effect because existing crop dynamic  
48 models are unable to incorporate the effect of  $\text{CO}_2$  acclimation (the growth enhancing effect  
49 decreases over time) and other offsetting forces.

50

51 **KEY WORDS:** Extreme weather events; heat stress; probabilistic assessment; wheat yield;  
52 climate change, China.

53

## 54 1. INTRODUCTION

55 China is the largest wheat producing country in the world, with a share of 11% in global  
56 wheat areas and 17% in global wheat production during the 2014-2015 marketing year  
57 (USDA, 2016). Wheat is the staple food grain in north China and is eaten in the form of  
58 steamed bread and noodles. Chinese government and famers have worked very hard to  
59 maintain record or near-record levels of wheat production at about 130 million tons in recent  
60 years. However, strong domestic demand for premium quality wheat has continued to result  
61 in significant wheat imports at a scale of 2 to 6.8 million tons per year during 2011-2015  
62 (FAO- GIEWS, 2016; USDA, 2016). China's effort to maintain basic self-sufficiency in  
63 wheat supply in the future will further face the challenge posed by global warming and the  
64 resultant increase in the occurrence and magnitude of adverse and extreme weather events,  
65 including heat stress. An improved understanding of this new challenge will be of great  
66 importance not only for food security in the country but also for the stability and  
67 sustainability of the world's food market.

68 There is a growing body of literature that employs various crop-growing models to  
69 simulate the impact of increasing temperature during the growing season on crop production  
70 (e.g., Lobell & Asner 2003; You et al. 2009; Asseng et al. 2011, 2015; Liu and Tao 2013;  
71 Tao and Zhang 2013; Deryng et al. 2014). However, these studies mostly considered the  
72 impact of growing season mean temperature on crop development and yield. Teixeira et al.  
73 (2013) construct a daily yield damage intensity factor within a 30-day period centered on  
74 flowering to estimate the potential yield damage caused by high daily temperatures. Their  
75 damage intensity factor ranges from 0 when daytime temperatures (not maximum) are less  
76 than or equal to a crop specific critical temperature and increased linearly to a maximum  
77 value of 1 when day temperature reached a limiting upper threshold. The method is attractive  
78 in its simplicity, but it cannot account for processes of crop growth and development. In this  
79 research we assess the impact of high daily temperatures on wheat growth and development  
80 at thirty-six representative observation stations in China (cf. Table S1) and to quantify yield  
81 damage caused by heat stress events.

82 The crop growing model employed in this study is the CropSim module in the cropping

83 system model (CSM) of the Decision Support System for Agro-technology Transfer (DSSAT)  
84 (Jones et al. 2003; Hoogenboom et al. 2010). DSSAT is process-oriented and dynamic. It has  
85 been widely used for simulating the collective effects of crop genetics, management practices,  
86 and weather and soil conditions on the growth, development, and yield of individual crops for  
87 more than 25 different crops in various countries around the world,<sup>1</sup> and recently for  
88 assessing the impact of rising seasonal mean temperatures on wheat yield (Asseng et al.  
89 2015). The CSM-CropSim has a multiplying algorithm to represent crop's initial response to  
90 elevated CO<sub>2</sub>, but the algorithm is unable to parameterize the process of CO<sub>2</sub> acclimation, i.e.,  
91 the growth enhancing effect of elevated CO<sub>2</sub> decreases over time (Long et al. 2004; Smith  
92 and Dukes 2013). We activate this algorithm in our simulations for taking into account the  
93 potential CO<sub>2</sub> fertilization effect but with cautions in interpreting the relevant results.

94 To quantify yield damage caused by heat stress events, a challenging issue is how best to  
95 combine outputs from a wide range of GCMs with observational data, so as to produce robust  
96 future climate data in daily-step for crop impact assessment. Because the current GCMs are  
97 incapable of properly simulating daily variation of atmosphere owing to their coarse  
98 resolutions, which means that the drivers of local climate variation are not captured (Maurer  
99 and Hidalgo 2008), and more importantly, poor representation (e.g., parameterization) of  
100 physics, the daily weather output of GCMs should not be used directly as input into the  
101 CSM-CropSim simulation model. It was reported that certain distortions in daily weather  
102 variability can seriously bias crop model simulations (Semenov and Porter 1995; Baron et al.  
103 2005). To address this issue, we employ a pseudo-global warming (PGW) method, in which  
104 the climate perturbation (or global warming signal) fields produced by GCMs are  
105 superimposed onto observed historical daily weather series at specific locations. With the  
106 PGW method, we can obtain a new daily data set that includes the future climate change  
107 signals produced from monthly mean data of GCMs' projection, which is widely regarded as  
108 being the most reliable so far; and the characteristics of daily weather events under the  
109 present-day climate, which is most likely to be preserved in the future. The PGW approach is

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<sup>1</sup> For an informative review, see Timsina and Humphreys (2006).

110 based on the procedures developed in Schär et al. (1996) and has been adopted in many  
111 climate model downscaling studies and applications (Tubiello et al. 2000; Kawase et al. 2009;  
112 Rasmussen et al. 2011; Yoshikane et al. 2012; Lauer et al. 2013).

113 In the simulations, we work with 96 climate change scenarios, which are produced by  
114 applying the PGW procedure to 30 GCMs under 4 Representative Concentration Pathway  
115 (RCP) scenarios in the CMIP5 (Phase 5 of Coupled Model Inter-comparison Project) of the  
116 IPCC Fifth Assessment Report (cf. Table S2). Wheat growth simulations of the  
117 CSM-CropSim Wheat model under these 96 scenarios produce 960 (96×10 years) yield  
118 estimations at each station in each focal period. This in turn leads to 960 yield-loss/gain  
119 (yield in each scenario minus yield in the baseline) results at each station in each focal period.  
120 We use the frequency distribution of these 960 yield-loss/gain results to proxy the probability  
121 distribution of yield changes. This naturally leads to a probabilistic assessment of the impact  
122 of heat stress events. This probabilistic assessment method is potentially applicable for other  
123 crops and in other jurisdictions.

124

## 125 **2. MATERIALS AND METHODS**

### 126 **2.1 Study Sites**

127 Both winter wheat and spring wheat grow in China, typically in rotation with other crops  
128 such as maize and rice. Winter wheat accounts for about 95% of China's total wheat output,  
129 with more than 75% of the crop produced in 5 provinces located on the North China Plain,  
130 which are Henan, Shandong, Hebei, Anhui, and Jiangsu, in the descending order of output  
131 share (FAO- GIEWS, 2016; USDA, 2016). A USDA's estimation indicates that about 85% of  
132 wheat areas is under irrigation or high rain-fall conditions (USDA, 2006) and therefore our  
133 presentation mainly focuses on the results under the irrigated condition.

134 We selected 36 agro-meteorological observation stations based on the following criterions.  
135 They (1) represent the typical cropping system for wheat cultivation in China; (2) differ in  
136 terms of geographic and climatologic characteristics; and (3) have over 10 years of records of  
137 wheat crop management information and weather data (including planting, anthesis and  
138 harvest dates, crop yield, as well as daily records of minimum and maximum temperature,

139 precipitation, and solar radiation). Of these 36 stations, 26 are winter wheat stations and 10  
140 are spring wheat stations. General information on the location, climate and wheat cropping  
141 calendar at each of these stations is shown in Table S1. The order of stations in all tables and  
142 figures of this paper follows the order of planting dates (from the earliest to the latest).

143

## 144 **2.2 CSM-CropSim Wheat Model**

145 Crop simulation models are designed to assess the impacts of multiple climate factors on  
146 crop growth in a way considering how these factors interact with crop growth and yield  
147 formation processes that are sensitive to climate. Therefore they are widely employed in  
148 climate impact studies in the cropping sector (Challinor et al. 2014; Xiong et al. 2010; Ju et al.  
149 2013). We employ the CSM-CropSim Wheat model of the DSSAT V4.5 to assess the impact  
150 of climate change and climate variability on wheat development and growth. Similar to other  
151 process-oriented crop dynamic models, the CSM-CropSim Wheat calculates daily  
152 phenological development (i.e., vegetative growth, flowering, grain growth, maturity and  
153 senescence phases) and biomass growth in response to environmental (soil and climate) and  
154 management (crop variety, planting conditions, N fertilization, and irrigation) factors. This  
155 model is routinely used for quantifying wheat yields under current conditions as well as under  
156 climate change scenarios across a wide range of environments in different countries (e.g.,  
157 Challinor et al. 2005; Palosuo et al. 2011), including China (e.g., Xiong et al. 2008, 2010).

158 The overall temperature response of the CSM-CropSim wheat model is determined by  
159 the integration of a number of individual responses in the wheat growth cycle. Hunt and  
160 White (2013) present a technical overview of temperature response settings in the model. Its  
161 input files with information on crop management have a section dealing with environmental  
162 modifications. This setting allows a user to set up a sequence of simulation runs with the  
163 same general management, but with different conditions, for instance different sets of daily  
164 maximum and/or minimum air temperatures. Asseng et al. (2015) systematically test 30  
165 different wheat crop models of the Agricultural Model Inter-comparison and Improvement  
166 Project (AGMIP) against field experiments. The tests are for growing season mean  
167 temperatures, which ranged from 15°C to 32°C, including experiments with artificial heating.

168 Their results show that the CSM-CropSim wheat model outperformed other models in terms  
169 of simulating anthesis and maturity dates, with an average performance in terms of simulating  
170 yield.

171 Elevated CO<sub>2</sub> atmospheric concentrations decrease rates of photorespiration and initially  
172 enhance rates of photosynthesis and growth by a significant margin for C3 crops. This effect  
173 is represented by a simple multiplying algorithm with regard to the net assimilation rate. The  
174 multiplier values changed linearly from 1.0 at 330 ppm CO<sub>2</sub> to 1.25 at 660 ppm CO<sub>2</sub> and then  
175 to 1.43 at 990 ppm CO<sub>2</sub> (Hoogenboom et al. 2010). However, now we know that the above  
176 initial enhancement effect diminishes over time, a phenomenon known as CO<sub>2</sub> acclimation  
177 (Long et al. 2004; Bloom et al. 2010), or can be eliminated by joint water and nitrogen  
178 limitation (Reich et al. 2014).<sup>2</sup> The simple multiplying algorithm in CSM-CropSim is unable  
179 to capture the effect of this acclimation process and therefore, we must be cautious in  
180 interpreting the simulation results on the effect of CO<sub>2</sub> fertilization.

181

### 182 **2.3 Cultivar Parameters**

183 The crop cultivar parameters, which are named genetic coefficients in DSSAT,  
184 quantitatively describe how a particular genotype responds to environmental factors. For  
185 example, field experiments reported in Fischer (1985) show a good correlation between  
186 kernel number and incident solar radiation in the 30 days preceding anthesis and a  
187 proportional relationship between the stem weight at anthesis and the grain number. The  
188 CSM-CropSim Wheat model approximates these relationships in mathematical constructs.  
189 However, because the exact quantification of the factors determining grain numbers are not  
190 well understood, the CSM-CropSim Wheat model needs to calibrate three cultivar  
191 coefficients based on field observations of crop growth process to compute grain numbers per

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<sup>2</sup> Some other forces may also bring in eliminating effects. For example, rising levels of atmospheric CO<sub>2</sub> is highly likely to increase the severity of wheat diseases, thus reducing yields (Váry et al. 2015); and disease levels can become worse when the plants and pathogens have been acclimatized to the higher concentrations of CO<sub>2</sub> beforehand. Furthermore, weeds and other undesirable plants experience CO<sub>2</sub> fertilization as well.

192 plant as determined by the cultivar's genetic potential, canopy weight, average rate of  
193 carbohydrate accumulation during flowering, and temperature, water and nitrogen stresses  
194 (Jones et al. 2003). These three cultivar coefficients are: G1 or the kernel number coefficient,  
195 presented as the number of seeds per unit canopy weight at anthesis (#/g); G2 or the kernel  
196 weight coefficient, presented as normal seed weight under optimum conditions (mg); and G3  
197 or the spike number coefficient, presented as the normal dry weight (total, including grain) of  
198 one unstressed stem at maturity (g). Such coefficient calibration makes the application of the  
199 model cultivar- and location-specific, and consequently, the sensitivity results are also  
200 cultivar- and location-specific.

201 Calibration of cultivar parameters itself is a knowledge- and technical-demanding work  
202 and our calibration for each of the thirty-six stations, which is based on the DSSAT-provided  
203 Generalized Likelihood Uncertainty Estimation method, has been published in Tian et al.  
204 (2012).

205

## 206 **2.4 Incorporating Natural Adaptation of the Growing Cycle**

207 We incorporate the natural adaptation of the growing cycle under heat stress in two steps.  
208 Simulations in the first step do not alter the sowing dates of the baseline but allow the  
209 growing cycle after the sowing dates to follow the growing dynamics specified in the  
210 CSM-CropSim wheat model, which means a natural adaptation of the growing cycle to the  
211 new weather pattern. In the second step, we extend the natural adaptation simulations to  
212 include changes on sowing dates.

213 In the simulations, the irrigated condition means that when the effective water content in  
214 the 0-20cm soil layer is below 80% of moisture retention capacity, automatic irrigation set  
215 in the model takes place. Other management measures are set at the optimal levels to avoid  
216 disturbances caused by variations in management measures.

217

## 218 **2.5 Dataset**

219 Our analysis of climate change and climate variability is based on the simulations and  
220 projections of 30 GCMs used in the CMIP5 for the IPCC Fifth Assessment Report (AR5). In



221 the CMIP5, radiative forcing scenarios are derived from representative concentration  
222 pathways (RCPs) (Moss et al. 2010; van Vuuren et al. 2011). Monthly minimum temperature,  
223 maximum temperature, precipitation, and solar radiation from historical runs and future  
224 scenarios are used and the climate data are obtained from 96 runs of projections for the early  
225 century (2016–2025), middle century (2046–2055), and the end of the century (2091–2100)  
226 under the RCP scenarios. Table S2 lists the GCMs used in this study, including model  
227 resolution, scenarios, and availability. A more detailed documentation of CMIP5 models can  
228 be found at <http://cmip-pcmdi.llnl.gov/cmip5/>.

229 Observed daily data (minimum and maximum temperatures, sunshine hours,  
230 precipitation) for the period of 1996–2005, which served as the baseline for the 36 stations,  
231 were provided by the Chinese Meteorological Data Center. Solar radiation was estimated  
232 using empirical global radiation models based on observed daily sunshine hours (Pohlert,  
233 2004). Field data at the study sites, including anthesis and harvest dates, were also provided  
234 by the Chinese Meteorological Data Center (Table S1). Soil data were taken from Tian et al.  
235 (2012).

236

## 237 **2.6 PGW Approach**

238 In the PGW approach, the difference between present and future climate conditions  
239 simulated by GCMs was chosen to represent the climate warming signal or perturbation. To  
240 make the climate warming signal possess as little spatial variation (mostly from weather  
241 perturbations) as possible, the decadal climatology is used to average out the weather. The  
242 climate perturbation field (climate warming signal) is then added to the current weather field  
243 for the selected years, by linearly interpolating from monthly climatologies to each specified  
244 time period. In more detail, the climate warming perturbation field is obtained by subtracting  
245 the current (1996–2005) monthly 10-yr climatology from a future (2016–2025, 2046–2055,  
246 and 2091–2100, respectively) monthly 10-yr climatology, both from the same GCM  
247 projection.<sup>3</sup> The climate perturbation field is then added to the current weather field. The

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<sup>3</sup> For daily data, herein 10 year periods are considered sufficient to generate a climatology. Longer, 20 or 30 year periods should be used to obtain monthly climatologies.

248 difference between climatological fields used here to represent the climate warming signal  
249 must have as little spatial variation (mostly from weather perturbations) as possible, so the  
250 decadal climatology is used to average out the weather.

251 The signaling variables include minimum temperature, maximum temperature,  
252 precipitation, and solar radiation. The new daily data set is obtained by superposing the  
253 climate perturbation field to the observed daily data at each of the 36 stations. The  
254 superposing is done through linear interpolation from the monthly climatological predictions  
255 to each period in the observational daily data, with an assumption that monthly mean is valid  
256 on the 16<sup>th</sup> of each month. The new daily data include the future climate change signals of the  
257 GCM perturbation while retaining the characteristics of daily weather events observed in the  
258 historical time-series. This was considered to be the most probable distribution in the future  
259 based on GCM information. This is because the climate perturbation's primary impact is on  
260 the large-scale planetary waves and associated thermodynamics, while the weather patterns  
261 entering the domain boundary remained structurally identical in both simulations in terms of  
262 frequency and intensity. Weather events can nonetheless evolve within the regional model  
263 domain due to altered planetary flow and thermodynamics (Rasmussen et al. 2011).

264

## 265 **2.7 Definition of Heat Stress in Thermal Sensitive Periods**

266 There is a large body of literature identifying the cardinal temperature thresholds for  
267 different phenological processes in wheat under experimental conditions. As summarized in  
268 the survey reports of Russell and Wilson (1994) and Porter and Gawith (1999), 31-32°C are  
269 commonly regarded as the upper base temperature during the period immediately before  
270 anthesis. The official disaster grading standard of China Meteorological Administration  
271 (CMA-PAD, 2007) regards 32°C as the upper base temperature for defining heat stress events  
272 during the period prior to anthesis in China.

273 We double check the applicability of this official threshold by carrying out the following  
274 two sets of tests under the base-line climate. First, we test yield losses caused by imposing a  
275 single-day heat stress on the observed anthesis day for the consideration that short periods of  
276 heat stress during flowering period cause pollen indehiscence, disrupt pollination, decrease

277 the ability of pollen to germinate, and decrease the rate of pollen tube growth (Jagadish et al.  
278 2010; Yadav et al. 2011). Second, we apply the above single-day heat stress event to a period  
279 from the 30<sup>th</sup> day before anthesis to the 6<sup>th</sup> day after anthesis so as to detect the most sensitive  
280 periods before and after anthesis. The results show that grain numbers are significantly  
281 reduced as a result of single-day heat in the period spanning from the 20<sup>th</sup> day before anthesis  
282 to the anthesis day, when compared to the impacts prior to this 20-day interval. In contrast,  
283 the effect of single-day heat stress on each of the 6 days after anthesis is not significant.  
284 These two tests show that the period spanning from the 20<sup>th</sup> day before anthesis to the  
285 anthesis day is the period most sensitive to heat stress featured by the maximum daily  
286 temperature exceeding 32°C.

287 For the grain-filling period, the upper base temperature suggested in the literature is  
288 between 33.4 and 37.4°C (Russell and Wilson, 1994; Porter and Gawith, 1999). Therefore, it  
289 is not a surprise that yield reductions due to single-day heat-stress event above 32°C after  
290 anthesis is not significant in our tests. To identify the upper base temperature during the  
291 grain-filling period for popular cultivars in China, we test the impact of three consecutive  
292 days of heat-stress with maximum daily temperature exceeding 35°C during the grain-filling  
293 period. The results indicates that the yield reduction impact of such a heat stress event takes  
294 effect about one-week after anthesis, and imposing the same event on later days but before  
295 the end of the grain filling period will generate a similar level of damage.

296 Following the above findings, our thermal sensitivity assessments for the future climate  
297 conditions will focus on the following two periods: (a) The period spanning from the 20<sup>th</sup> day  
298 before anthesis to the anthesis day, we name it the “pre-anthesis period”, in which heat stress  
299 occurs if single-day maximum temperature exceeds 32°C. (b) The period spanning from the  
300 1<sup>st</sup> to 20<sup>th</sup> day after anthesis, we name it the “grain-filling period”, in which heat stress occurs  
301 when maximum daily temperatures exceed 35°C on three consecutive days.

302

### 303 **3. RESULTS**

#### 304 **3.1 Frequency and Intensity of Heat Stress Events**

305 Please note that we work with a set of climate change signaling variables, include

306 minimum temperature, maximum temperature, and precipitation, in the CSM-CropSim  
307 simulations. Because the ensemble-mean precipitation during the wheat growth season  
308 increases, by a moderate or significant scale at all study sites except Longhai, from the  
309 baseline of 1996-2005 to 2046-2055 and 2091-2100, and the decreases of precipitation in  
310 Longhai are less than 3.4%, as shown in Table S3, our discussion in this paper mainly  
311 focuses on the impact of heat stress.

312 Table 1 reports the projected mean increases in the frequency of heat stress occurrence at  
313 each of the 36 study sites. It shows that the increases in the frequency of heat stress  
314 occurrence during both the pre-anthesis and grain-filling periods at the spring-wheat stations  
315 are much more significant than those at the winter-wheat stations. In the pre-anthesis period  
316 and compared with the baseline, the ensemble-mean frequency of heat stress occurrence is  
317 projected to increase by about 8 (probability: 54%), 12 (70%), and 18 (78%) days/decade by  
318 2016-2025, 2046-2055, and 2091-2100, respectively, at the winter-wheat stations. In contrast,  
319 the corresponding figures at the spring wheat sites are 30 (60%), 41 (85%), and 55 (88%)  
320 days/decade. During the grain-filling period and in comparison with the baseline, the  
321 ensemble-mean frequency of heat stress occurrence increases by about 5 (44%), 9 (62%), and  
322 15 (70%) days/decade by 2016-2025, 2046-2055, and 2091-2100, respectively, at the  
323 winter-wheat stations; and by 22 (58%), 31 (76%), and 44 (83%) days/decade at the  
324 spring-wheat sites.

325 To visualize the changes, Figures S2 and S3 depict the time series of the assembled  
326 maximum, mean, and minimum of the projected changes in monthly mean (Fig. S2) and  
327 maximum (Fig. S3) temperature from the baseline of 1996-2005, for each of the selected nine  
328 stations in the wheat production zone of northern China. All these time series show a rising  
329 trend. The assembled maximum shows the steepest rise in all stations, which implies (a) an  
330 increase in the intensity and (b) an increase in the variability of heat stress. Tables S4 and S5  
331 summarize the assembled and decadal mean of the above-mentioned two changes from the  
332 baseline of 1996-2005 to each of the three periods: 2016-2025, 2046-2055, and 2091-2100,  
333 respectively. They show a trend of increase in both monthly mean and maximum  
334 temperatures at all study sites and the probability of such increase is between 92% and 100%.

335  
336  
337

*(Tables 1, 2 and Figure 1 about here)*

### 338 **3.2 Ensemble Projections of Wheat Yield under the Irrigated Condition**

339 Table 2 reports the summary statistics of our simulations in terms of ensemble-mean yield  
340 changes, probability of yield change, and standard deviation of yield change relative to the  
341 baseline under the irrigated condition. Figure 1 presents the corresponding box plots. Table 2  
342 and Figure 1 show that both the extent and probabilities of yield reduction increase with the  
343 GCM projected warming trend, at all 36 stations. To put this numerically, the ensemble-mean  
344 yield loss in comparison with the baseline will be 4.7 (with a probability of 71%), 5.4 (75%)  
345 and 7.1 (80%) percent by 2016-2025, 2046-2055, and 2091-2100, respectively. This suggests  
346 an increased risk of reduced yield in the middle and end of this century. In addition, the  
347 distributions of yield losses are increasingly skewed to the left when moving from 2016-2025  
348 to 2091-2100, as evidenced by the co-increases of the standard deviation and the probability  
349 of yield loss in Table 2 and box plots in Figure 1. In contrast to distributions without severe  
350 skewness, this high and increasing left-skewness indicates that the increase in standard  
351 deviation does not necessarily imply increasing uncertainty in mean yield losses. This finding  
352 enriches the existing literature in the climate change impact assessment field.

353 Consistent with the higher sensitivity of spring wheat to heat stress (Tian et al., 2012)  
354 and stronger future warming at the spring wheat stations, the yield losses in spring wheat  
355 stations are generally more severe than their winter-wheat counterparts in terms of percentage  
356 reduction. Spring wheat yield is projected to decrease by 8.2 (with a probability of 93%),  
357 12.8 (96%), and 17.5 (96%) percent on average by 2016-2025, 2046-2055, 2091-2100,  
358 respectively.

359 There is an increasing body of literature assessing the impact of rising temperatures on  
360 wheat production. The most comprehensive one in this literature is Asseng et al. (2015),  
361 which systematically tests 30 wheat crop models against field experiments in 30 global  
362 locations, with warming signals imposed on growing season mean temperatures. In

363 comparison with their results at two winter wheat stations in China,<sup>4</sup> our results of 7% yield  
364 reduction with a standard deviation of 9.6% by the end of the century are in line with the high  
365 end of the yield losses in their results under a 2°C increase in seasonal mean temperatures and  
366 lower than their results with a 4°C increase in seasonal mean temperatures. In comparison  
367 with their results at the only spring wheat station, Harbin, which is located in far north of  
368 Northeast China, our results of 17.5% yield reduction with a standard deviation of 14% is in  
369 line with their results based on an imposed 4°C increase in seasonal mean temperature.

370

### 371 **3.3 Natural Adaptation of Crop Growing Cycle**

372 We note that warming would allow for earlier planting of spring wheat and earlier ending  
373 of winter wheat dormancy, and this in turn would allow the crop to mature earlier, avoiding  
374 heat stress occurred later. Therefore, in our simulations, we allow for the natural adaptation  
375 of crop growing cycle to new climate patterns, meaning that the end of dormancy and mature  
376 dates will be determined endogenously by the model according to the growth dynamics of the  
377 cultivar under the new warming conditions.

378 In addition, we also run simulations on postponing the winter wheat plating dates within  
379 a window of 28 days and on bringing forward the spring wheat plating dates within a window  
380 of 28 days. The results for winter wheat do not show a statistically significant mitigation  
381 effect at virtually all winter wheat stations. The results for spring wheat at the two stations in  
382 Xingjian show that about 50-60% of the heat-stress induced yield losses can be avoided by  
383 this simple adaptation measure, but the results at other spring wheat stations do not produce  
384 statistically significant mitigation effect.

385

### 386 **3.4 Ensemble Projections of Wheat Yield under the Rain-fed Condition and** 387 **Considering CO<sub>2</sub> Fertilization Effect**

388 Although rain-fed wheat production accounts for less than 15% of total wheat production  
389 in China (USDA, 2006, 2016) and wheat growth at all 36 study sites are under irrigated

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<sup>4</sup> They are Luancheng station in Hebei Province of North China Plain and Nanjing station in the lower reach of Yangtze River Basin.

390 condition, we run simulations at all stations under rain-fed conditions. Table S6 reports the  
391 summary statistics of this set of simulations and Figure S4 presents the corresponding box  
392 plots. They show that the ensemble-mean yield will increase, in comparison with the baseline,  
393 by 7.9, 12.2 and 15.4 percent for winter wheat and by 28.1, 30.3, and 30.5 percent for spring  
394 wheat in 2016-2025, 2046-2055, and 2091-2100, respectively. Such increases mainly result  
395 from the significant increase in precipitation during the wheat growing season. As reported in  
396 Table S3, in comparison with the baseline, the ensemble-mean increases in precipitation  
397 during the wheat growing season will be 18.9, 31.6, and 38.5 percent at the 26 winter wheat  
398 stations, and 50.1, 78.5, and 74.6 percent at the 10 spring wheat stations by 2016-2025,  
399 2046-2055, and 2091-2100, respectively. However, even the highest yield-increase of 30.5%  
400 cannot compete with the gain from irrigation, which typically stands at a level of 75%  
401 (USDA, 2006, 2016).

402 Tables S7 and S8 are the counterparts of Tables 2 and S6, respectively, when considering  
403 the CO<sub>2</sub> fertilization effect. Figures S5 and S6 presents the corresponding box plots. Table S7  
404 and Figure S5 indicate that with reference to the baseline, although the incorporation of CO<sub>2</sub>  
405 fertilization effect under the irrigated condition cannot reverse the yield losses by 2016-2025,  
406 it will result in yield increases by 8.4 and 16.9 percent at winter wheat stations and by 3.4 and  
407 9.3 percent at spring wheat stations by 2046-2055 and 2091-2100, respectively. Under the  
408 rain-fed condition, the effect of CO<sub>2</sub> fertilization becomes more significant. The gain on the  
409 ensemble-mean yield will be 17.6, 42.5, and 70.2 percent for winter wheat and 39.6, 64.6,  
410 and 93.2 percent for spring wheat by 2016-2025, 2046-2055, and 2091-2100, respectively  
411 (Table S8 and Figure S6). This means that by the end of this century, the yield gain from the  
412 combined effect of increased rainfall and CO<sub>2</sub> fertilization will have the potential to fully  
413 match the yield gain from irrigation and thus reduce irrigation water demand. However, as we  
414 discussed in Section 2.2, such yield gain could be illusive because the growth enhancing  
415 effect of CO<sub>2</sub> decreases over time and the parameterization of DSSAT model is unable to  
416 incorporate such acclimation process.

417

#### 418 **4. DISCUSSION AND CONCLUSION**

419 Wheat is one of the two major staple cereals consumed in China and about 60% of  
420 Chinese population eats the grain daily. Basic self-sufficiency of wheat supply in the future  
421 will be of fundamental importance not only for food security in China but also for the  
422 sustainability of the world's food market. However future wheat production in China will  
423 face the challenge posed by the increasing occurrence and magnitude of adverse and extreme  
424 weather events such as heat stress. In this research we first combine outputs from a wide  
425 range of General Circulation Models (GCMs) with observational data to produce more  
426 detailed projections of local climate suitable for assessing the impact of increasing heat stress  
427 events on wheat yield. This is done by applying the Pseudo-global Warming Method (PGW)  
428 method to the outputs of 96 GCM-RCP combinations to effectively couple observed trend in  
429 historical weather fields with the difference components of the global warming signal  
430 produced by GCMs. These PGW-enhanced ensembles of climate change scenarios provide a  
431 robust way for ensuring a reliable probabilistic assessment of climate change impact on crop  
432 yield.

433 We then employ the CSM-CropSim Wheat model of DSSAT 4.5 to simulate wheat  
434 development and growth processes under current and future climate conditions at 36  
435 representative observation stations in the major wheat growing areas of China. The  
436 simulations under current climate conditions indicate that the thermal sensitivity assessments  
437 should focus on two critical periods – one spanning from the 20<sup>th</sup> day preceding flowering to  
438 the anthesis day, in which heat stress event occurs if single-day maximum temperature  
439 exceeds 32°C; and the other spanning from the 1<sup>st</sup> to the 20<sup>th</sup> day after anthesis, in which heat  
440 stress events occur if maximum daily temperature exceeds 35°C on three consecutive days.

441 The ensemble of future climate conditions shows increasing frequency and intensity of  
442 heat stress incidence. The probability of such increase is also increasing with time. The  
443 CSM-CropSim simulations under the 96 climate change scenarios provide a probability  
444 assessment of future yield losses caused by heat stress events, which incorporate the natural  
445 adaptation of crop growing cycle to new climate conditions. Our discussion in this  
446 concluding section focuses on irrigated wheat production because it accounts for more than  
447 85% of the total wheat production in China. The results show ensemble-mean yield



448 reductions at all 36 sites, with an increasing trend in terms of both yield reduction extent and  
449 the probability of yield reduction. In comparison with the baseline 1996-2005, the extent and  
450 probability of yield reduction by 2091-2100 are 7.1% and 80%, respectively, for winter wheat,  
451 and 17.5% and 96%, respectively, for spring wheat. The results for winter-wheat are in line  
452 with the high end of the yield losses in Asseng et al. (2015) under a 2°C increase in seasonal  
453 mean temperatures at Luancheng and Nanjing stations. The results for spring wheat are in  
454 line with the results of Asseng et al. (2015) on an imposed 4°C increase in seasonal mean  
455 temperature at the Harbin station. Although the CO<sub>2</sub> fertilization effect as parameterized in  
456 DSSAT 4.5 can compensate these losses, such fertilization effect might be illusive because  
457 the effect of CO<sub>2</sub> acclimation (i.e., the growth enhancing effect decreases over time) and  
458 other offsetting forces are not considered in the parameterization of existing crop growth  
459 models (Smith and Dukes 2013).

460 Two limitations of this research are worth mentioning. First, despite the advantage of the  
461 PGW method in generating coherent and robust scenarios which preserve the characteristics  
462 of observed daily weather events while incorporating GCM-derived increases in frequency  
463 and intensity, it is unable to consider the nonlinear interaction between climate change and  
464 inter-annual variations in regional climate systems. The approach also implies the assumption  
465 that the same frequency and intensity of weather perturbations occur in the regional  
466 simulation domain for mean conditions of future climate (Rasmussen et al. 2011). These two  
467 weaknesses mean that the uncertainty caused by changes in inter annual variability is still not  
468 accounted for in the probability assessment of this research. Second, the simulation results  
469 from one crop model only are subject to the limitations on thermal-sensitivity in this crop  
470 model. As highlighted in Asseng et al. (2013; 2015), a greater proportion of the uncertainty in  
471 climate change impact assessments can be attributed to variations across crop models. While  
472 the present study enriches the literature by assessing the impact of daily heat stress events  
473 under future climate change on wheat growth and development with the assistance of a highly  
474 dynamic crop model, future assessments will benefit from extended analyses using multiple  
475 crop models.

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601 Table 1. Changes in the frequency of heat stress relative to the baseline (in days/decade)

Station	2016-2025		2045-2055		2091-2100	
	Pre-anthesis	Grain-filling	Pre-anthesis	Grain-filling	Pre-anthesis	Grain-filling
<i>Winter wheat station</i>						
Tacheng (TC)	21.8	11.4	28.8	20.4	40.6	35.4
Ruoqiang (RQ)	70.7	63.7	85.4	82	102.9	102.1
Tongzhou (TZ)	4.3	5.8	8.0	10.3	15.5	19.4
Linfen (LF)	14.5	6.1	20.1	11.4	29.8	21.8
Taigu (TG)	8.2	4.3	14.1	9.5	24.5	20.7
Jinghai (JH)	4.9	2.1	8.7	4.6	16.7	10.9
Tai-an (TA)	2.3	0.5	4.1	1.5	8.6	5.3
Dingxian (DN)	7.6	8.5	12.8	14.9	21.4	26.8
Linyi (LY)	7.2	4.5	12.6	7.1	20.6	10.3
Wugong (WG)	12.4	8.9	16.1	12.3	22.1	13.6
Xuzhou (XZ)	4.6	1	6.8	2.6	11.5	6.7
Tianshui (TS)	17	2.4	23.9	5	34.4	12.9
Lasa (LS)	0.8	0.1	2.5	0.5	10.3	0.8
Zhumadian (ZM)	4.0	4.2	6.1	5.8	10.7	11.2
Kashi (KS)	12.2	5.4	21.5	13.6	37	29.7
Nangong (NG)	11.5	9.4	17.5	12.8	29.1	18.2
Zhengzhou (ZZ)	10.8	3.1	15.5	4.3	18.8	9.2
Pu-an (PA)	6.9	3.6	11	6.1	17.9	15.5
Hefei (HF)	2.4	2.8	4.2	5.3	8.5	8.9
Kunming (KM)	0.5	0.1	1.0	0.1	3.1	1.0
Baoshan (BS)	0.2	0.1	0.3	0.1	0.5	0.4
Wenjiang (WJ)	0.5	0.7	1.1	1.2	3.4	3.5
Songjiang (SJ)	0.1	0.2	0.6	1	1.8	2.8
Macheng (MC)	1.5	2.1	3.4	3.7	7.6	8.7
Jiangjin (JJ)	0.3	1.7	0.7	2.8	2.4	6.1
Longhai (LH)	0.2	0.1	0.3	0.1	0.5	0.1
<i>Spring wheat station</i>						
Jiuquan (JQ)	30.8	7.0	36	13.9	49.3	24.4
Tulufan (TL)	91.7	105.1	107	122.3	120.8	136.2
Dunhuang (DH)	56.1	46.9	73.5	70.5	92.3	92.4
Dingxi (DX)	0.4	0.1	1.2	0.6	8.3	5.2
Guyuan (GN)	1.4	0.0	4.6	0.6	12.9	6.7
Huangyuan (HY)	0.2	2.1	1.4	4.6	8.5	9.7
Guyang (GY)	74.6	29.2	93.5	42	114.8	63.6
Aletai (AL)	43.6	7.7	58.5	16.2	72.5	28.4
Zhangbei (ZB)	6.7	1.4	12.8	3.5	24.4	9.2
Huma (HM)	27.7	18.7	39.6	26.6	55.2	40.4

602 Note: Specific to this research, pre-anthesis period spans from the 20<sup>th</sup> day before anthesis to the anthesis day,  
 603 and grain-filling period spans from the 1<sup>st</sup> to 20<sup>th</sup> day after anthesis.

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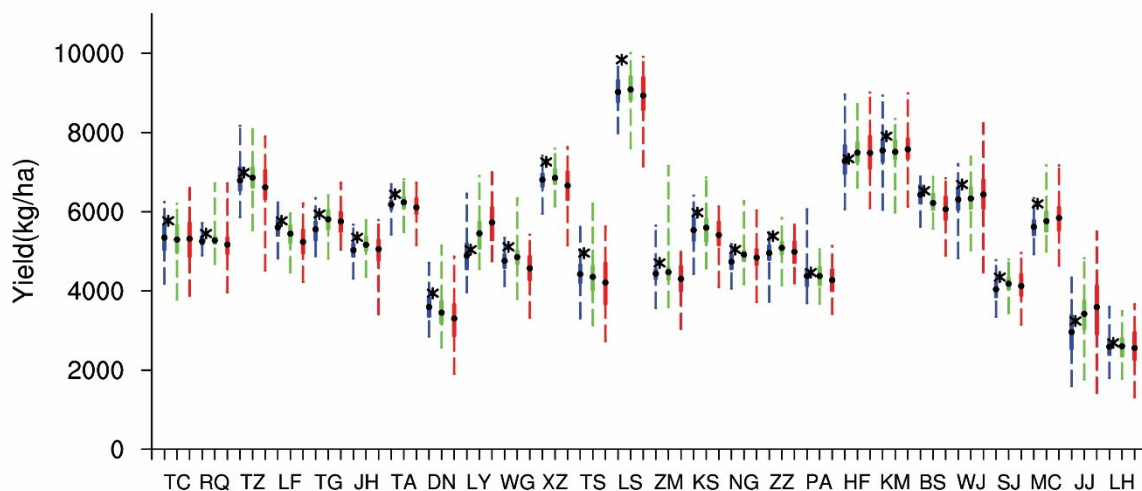


606 Table 2. Ensemble mean yield changes, probability of yield loss, and standard deviation (S.D.)  
 607 of yield change relative to the baseline and under irrigated condition

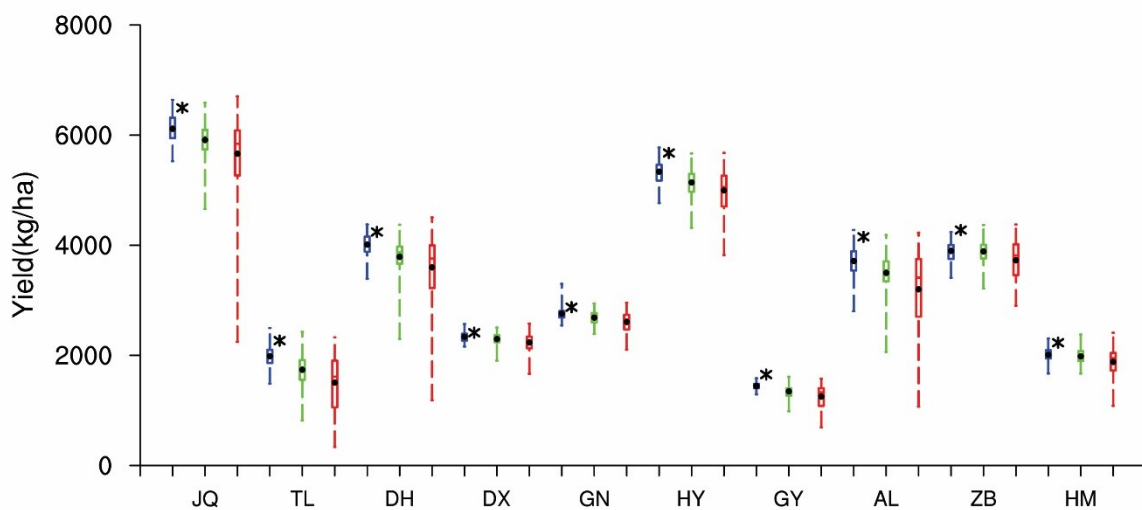
Station	2016-2025		2045-2055		2091-2100	
	Mean yield change in % (Probability in %)	S.D. in kg/ha (as % of baseline yield)	Mean yield change in % (Probability in %)	S.D. in kg/ha (as % of baseline yield)	Mean yield change in % (Probability in %)	S.D. in kg/ha (as % of baseline yield)
<i>Winter wheat station</i>						
Tacheng	-7.4 (80.6)	447.3 (7.7)	-8.2 (80.6)	484.6 (8.4)	-7.9 (74.6)	627.9 (10.9)
Ruoqiang	-3.6 (94.0)	144.0 (2.6)	-3.2 (94.0)	231.5 (4.2)	-5.1 (91.0)	379.9 (7.0)
Tongzhou	-2.8 (71.6)	424.1 (6.1)	-5.8 (58.2)	441.6 (6.3)	-8.3 (70.1)	581.2 (8.3)
Linfen	-2.8 (68.7)	302.0 (5.2)	-5.6 (85.1)	302.1 (5.2)	-9.2 (92.5)	426.5 (7.4)
Taigu	-6.5 (86.6)	325.5 (5.5)	-2.2 (61.2)	321.4 (5.4)	-3.1 (68.7)	337.7 (5.7)
Jinghai	-6.0 (88.1)	280.3 (5.2)	-3.5 (73.1)	278.1 (5.2)	-5.5 (76.1)	404.3 (7.6)
Taian	-4.0 (88.1)	218.7 (3.4)	-3.1 (82.1)	234.7 (3.6)	-5.2 (82.1)	375.6 (5.8)
Dingxian	-8.9 (82.1)	349.4 (8.9)	-12.4 (92.5)	437.5 (11.1)	-16.2 (83.6)	610.1 (15.5)
Linyi	-3.0 (67.2)	509.4 (10.1)	8.2 (70.9)	500.8 (9.9)	13.6 (80.4)	568.6 (11.3)
Wugong	-3.7 (61.9)	330.0 (6.9)	-7.9 (69.2)	315.5 (6.6)	-10.8 (71.4)	501.7 (10.5)
Xuzhou	-6.2 (94.0)	274.4 (3.8)	-7.6 (91.0)	333.4 (4.6)	-8.2 (91.0)	494.7 (6.8)
Tianshui	-10.7 (92.5)	384.8 (7.8)	-12.1 (91.0)	514.5 (10.4)	-15.0 (85.1)	638.9 (12.9)
Lasa	-8.3 (100.0)	359.3 (3.7)	-7.6 (94.0)	466.3 (4.7)	-9.2 (97.0)	557.6 (5.7)
Zhumadian	-3.8 (88.1)	283.4 (6.0)	-4.9 (88.1)	412.2 (8.8)	-8.5 (80.6)	429.9 (9.1)
Kashi	-5.4 (85.1)	415.3 (6.9)	-6.3 (88.1)	369.5 (6.2)	-9.4 (97.0)	414.4 (6.9)
Nangong	-5.8 (78.1)	210.4 (4.0)	-7.5 (83.3)	245.7 (4.7)	-9.6 (95.2)	381.2 (7.2)
Zhengzhou	-4.7 (70.5)	255.6 (4.9)	-7.5 (77.8)	273.6 (5.3)	-9.2 (82.4)	501.7 (9.6)
Puan	-1.9 (58.2)	335.1 (7.5)	-1.9 (56.7)	302.7 (6.8)	-4.3 (68.7)	372.6 (8.3)
Hefei	-0.7 (58.2)	524.2 (7.1)	-2.1 (69.9)	414.9 (5.7)	-6.1 (70.3)	603.7 (8.2)
Kunming	-4.6 (80.6)	426.7 (5.4)	-5.0 (83.6)	387.3 (4.9)	-4.2 (77.6)	541.1 (6.8)
Baoshan	-1.5 (53.7)	302.9 (4.6)	-4.7 (89.6)	255.8 (3.9)	-7.2 (88.1)	432.4 (6.6)
Wenjiang	-3.7 (80.6)	471.3 (7.0)	-4.3 (80.6)	459.8 (6.9)	-5.8 (65.7)	549.7 (8.2)
Songjiang	-3.1 (85.1)	310.5 (7.1)	-4.9 (79.1)	256.9 (5.9)	-5.2 (68.7)	387.3 (8.9)
Macheng	-3.4 (94.0)	313.5 (5.1)	-7.0 (91.0)	388.9 (6.3)	-9.8 (79.1)	499.4 (8.1)
Jiangjin	-5.6 (62.7)	586.0 (18.1)	-7.6 (34.3)	642.8 (19.8)	-10.9 (32.8)	851.3 (26.3)
Longhai	-3.1 (68.7)	306.8 (11.4)	-4.2 (67.2)	342.2 (12.7)	-4.9 (56.7)	529.9 (19.7)
<i>Spring wheat station</i>						
Jiuquan	-9.1 (92.5)	269.1 (5.4)	-15.3 (95.2)	452.9 (15.9)	-19.5 (98.4)	843.6 (29.6)
Tulufan	-12.4 (92.5)	201.3 (8.9)	-23.3 (98.5)	273.2 (12.0)	-33.6 (98.5)	489.9 (21.6)
Dunhuang	-5.4 (89.6)	209.7 (4.9)	-10.7 (98.5)	339.0 (8.0)	-15.2 (94.0)	572.1 (13.5)
Dingxi	-3.1 (79.1)	86.7 (3.6)	-4.8 (83.6)	105.3 (4.4)	-7.4 (88.1)	174.2 (7.2)
Guyuan	-4.1 (89.6)	116.6 (4.1)	-6.6 (98.5)	114.9 (4.0)	-9.3 (95.5)	186.7 (6.5)
Huangyuan	-6.0 (95.5)	193.2 (3.4)	-9.4 (100.0)	254.0 (4.5)	-12.0 (98.5)	397.5 (7.0)
Guyang	-12.5 (100.0)	62.6 (3.8)	-18.5 (100.0)	109.5 (6.6)	-24.2 (100.0)	236.1 (14.3)
Aletai	-10.7(95.2)	321.7 (8.2)	-19.2 (96.7)	484.1 (12.4)	-25.6 (98.4)	745.2 (19.1)
Zhangbei	-8.9(100.0)	175.1 (4.1)	-9.1 (97.0)	199.2 (4.7)	-12.9 (97.0)	386.3 (9.0)
Huma	-9.9 (98.5)	121.4 (5.4)	-11.1 (97.0)	133.9 (6.0)	-15.7 (95.5)	249.9 (11.2)

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612 Fig.1 The ensemble yields of irrigated winter wheat (upper panel) and spring wheat (lower  
613 panel) in early (blue), middle (green), and the end (red) of the 21st century. The asterisk  
614 represents the 10-year average irrigated wheat yield from 1996 to 2005 simulated with the  
615 observation data as the baseline. The dot denotes the ensemble mean.

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