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# 1 **Drought Risk Assessment: Towards Drought Early Warning System and** 2 **Sustainable Environment in Western Iran**

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## 9 **Abstract**

10 Prolonged drought is considered as a creeping natural hazard, which has created a financial  
11 burden and unsustainable environment in Iran. Moreover, the effect of drought phenomenon in  
12 rural areas is more extensive, causing significant challenges to the rural economy in general  
13 and agricultural production in particular. A common strategy to manage drought is based on  
14 crisis management (ex-ante). However, for effective drought management, risk management  
15 seems to be more in line with drought early warning systems. This quantitative study used risk  
16 assessment, which is the function of two elements such as hazard (SPI and SDI indices) and  
17 vulnerability (exposure, sensitivity, and adaptive capacity). This study aims to build the  
18 foundations for drought early warning systems in limited resource areas such as Kermanshah  
19 Township in the northwestern part of Iran. The population of this study comprised of wheat  
20 farmers in which 293 farmers were selected using multistage cluster sampling method. In the  
21 next step, the drought risk map for Kermanshah Township was developed, which revealed that  
22 the majority of villages are at intense environmental risk. The result of this study has  
23 implications for drought management practitioners. For example, the results can aid  
24 policymakers in the design of an early warning system in order to reduce risk and thus empower  
25 farmers toward resilient farming.

26 **Keywords:** Drought; Early warning system; Risk management; Vulnerability; Environmental  
27 risk; Resilient farming.

## 28 **1. Introduction**

29 Iran is located in a dry and semi-arid climate (Daryabari, 2011). Consequently, dry years  
30 are more prevalent than wet ones, which lead to prolonged drought incidents in the country  
31 every few years or even in continuous years (Daryabari, 2011; Babae Fini and Alijani, 2013).  
32 Recently, the head of the National Center for Climatology in Iran announced that over the next  
33 40 years, the Middle East region, including Iran, will face severe drought for 30 years (Jamshidi,  
34 2016). This growing threat has extended throughout the country, more specifically in the western part  
35 of Iran, including Kermanshah province.

36 Moreover, the effect of drought phenomenon in rural areas is more extensive as it can lead  
37 to significant challenges to the rural economy in general and agricultural production in  
38 particular. In fact, reducing rainfall and its impact on surface and underground water flows,  
39 along with inappropriate water management, have caused farmers to experience the worst drought  
40 conditions and thus become more vulnerable to them (Zarafshani et al., 2012). Studies show  
41 that the vulnerability of rural communities is in fact related to crisis management in Iran  
42 (Karami, 2009). Many researchers have clearly indicated that crisis management is  
43 significantly non-productive, untimely, and not economically viable (Knutson et al., 2001;  
44 Thurow and Taylor, 1999; Wilhite, 2017; Gerber and Mirzabaev, 2017; Zhao et al., 2017).  
45 However, for effective hazard management such as drought control, some scholars believe that  
46 planning should be based on environmental risk management. Although researchers have  
47 contended that for risk management strategy, it is imperative to launch an early warning system  
48 (Wilhite et al., 2014), this strategy is not well-appreciated among disaster policy-makers in Iran  
49 (Sharafi, 2017).

50 The current study is novel due to implementing mutually compatible methodologies as a  
51 means of comprehensively assessing drought costs and impacts. Currently, it is difficult to  
52 compare many available estimates of drought costs. Therefore, in this study, the main step is  
53 to establish a drought early warning system to conduct a continuous risk assessment. Drought  
54 risk assessment helps in identifying drought prone areas towards enabling policy-makers to  
55 provide the necessary information and warn farmers based on the risk map of regions. Drought  
56 risk assessment provides the opportunity to reduce the high cost of crisis management, which  
57 in turn increases the resilience of farmers and leads to sustainable production.

58 Therefore, the main objective of this study is to assess drought risk at farm level and build  
59 the foundations for drought early warning systems in Kermanshah Township. Toward this end,  
60 the specific objectives are as follows: i) reviewing several methodologies to come up with  
61 economic drought impact assessments and describing the main obstacles and opportunities  
62 facing the transition from crisis management to risk management, ii) exploring the drivers of  
63 ex-ante and ex-post actions against drought, iii) determining the main actions linked with co-  
64 benefits beyond the management of drought risk, and iv) establishing a drought early warning  
65 system to conduct a continuous risk assessment using the function of two elements such as  
66 hazard (SPI and SDI indices) and vulnerability (exposure, sensitivity, and adaptive capacity).  
67 The risk assessment is a part of a drought early warning system, and this paper would shed  
68 light on establishing a drought early warning system.

### 69 *1.1. Risk assessment*

70 Risk assessment is a common type of risk knowledge creation. Moreover, the risk  
71 assessment process has three steps: (i) identifying the nature, location, intensity, and probability  
72 of a threat (hazard assessment); (ii) determining the existence and degree of vulnerability and  
73 exposure; and (iii) identifying the coping capacities and resources available to address or  
74 manage threats. Risk knowledge has the benefit of allowing decision-makers and the

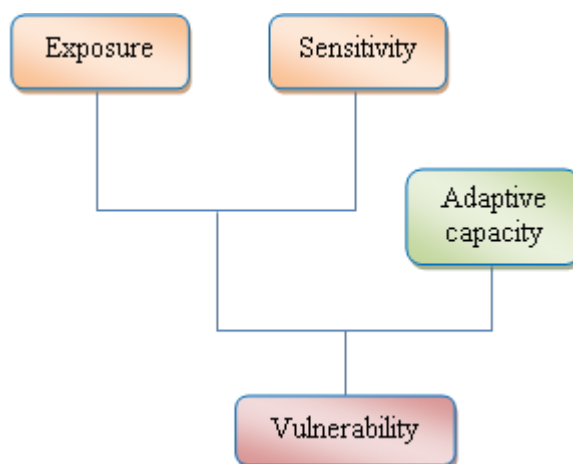
75 community to understand their exposure to various hazards and their social, economic,  
76 environmental, and physical vulnerabilities (Zhang, 2004; Chang Seng, 2010).

77 Risk is a combination of hazard, vulnerability, and coping capacity. ISDR expresses risk in  
78 the context of the probability of harmful consequences or expected losses (i.e., deaths, injuries,  
79 property, livelihoods, disrupted economic activity, or environmental damage). These  
80 consequences result from crossovers between natural or human-induced disasters and  
81 vulnerable conditions (UN/ISDR, 2004; Gao et al., 2018). In this direction, Sönmez et al.  
82 (2005) have estimated that the drought poses a significant risk to agriculture in the south-  
83 eastern region of Anatolia from a climatological perspective. In addition, Kahraman and Kaya  
84 (2009) estimated the drought risk of Istanbul dams using several processes-based indices, and  
85 Şen et al. (2012) estimated the drought risk associated with crop productivity for future  
86 projection.

### 87 *1.1. Vulnerability assessment*

88 Hazard is defined as a phenomenon that causes harm or loss to people's lives (Multihazard  
89 Mitigation Council, 2002). Hazard leads to social, economic, and environmental impacts  
90 (Aliasgar, 2012). In this research, drought is defined as a hazard, and its evaluation is based on  
91 indicators such as frequency, duration, and severity of drought. Assessing the frequency,  
92 duration, and severity of the drought is extremely important in planning future policy actions  
93 to reduce the potential damages (Rajsekhar et al., 2015). Risk assessment is not only relevant  
94 to hazard but also relevant to the vulnerability. Accordingly, the concept of vulnerability will  
95 be reviewed in the next section. The vulnerability assessment provides a framework for  
96 identifying the social, economic, and environmental causes of a disaster (Zarafshani et al.,  
97 2016) and is a central moment in adaptation activity to mitigate adverse climatic impacts such  
98 as drought (Corobov et al., 2013). In recent decades, a considerable number of studies (Füssel  
99 and Klein, 2006; Füssel, 2007; Reed et al., 2013) have focused on vulnerability to climate

100 change. The result of such studies has led to several frameworks for vulnerability assessment.  
101 Among vulnerability assessment models, the Intergovernmental Panel on Climate Change  
102 (2001) has presented a model, which can be generalized to our context in Kermanshah  
103 Township (Fig. 1).



104

105 **Fig. 1.** Vulnerability model presented by the IPCC (2001).

106 According to IPCC (2001), vulnerability is defined as the extent to which a natural or social  
107 system is susceptible to damage from climate change. Furthermore, vulnerability is a function  
108 of three attributes: 1) the “exposure” of a particular system to climate change, 2) the  
109 “sensitivity” of the system to climate change, and 3) the “adaptive capacities” of the system to  
110 cope with losses when exposed to climate change. Exposure is related to the degree in which a  
111 system is exposed to environmental, political, and social stresses. Sensitivity is the degree in  
112 which a social system is susceptible to hazards such as drought (Fontaine and Steinemann,  
113 2009). Adaptive capacity tends to reduce stressful conditions. In other words, farmers with high  
114 adaptive capacity tend to mitigate the harmful effect of drought. The IPCC model has been  
115 considered by many researchers when measuring vulnerability (Sharma and Patwardhan, 2008;  
116 Fontaine and Steinemann, 2009; Gizachew and Shimelis, 2014; Nazari et al., 2015; Zarafshani  
117 et al., 2016; Zarafshani et al., 2019).

118 Garcia et al. (2011) used biophysical indicators (sensitive areas and sensitive products) and  
119 socioeconomic indicators (dependency rates such as old and young members of population and

120 income from climate sensitive sources) to estimate the sensitivity. Piya et al. (2012) identified  
121 rural households' sensitivity to climate change by assessing the income structure (income based  
122 on climatic conditions and non-agricultural income) and damage to assets (damage to farmland,  
123 loss of livestock, and crop damage).

### 124 *1.2. Adaptive capacity assessment*

125 Due to lack of a comprehensive framework for assessing adaptive capacity (Jones, 2011),  
126 a large part of studies in this field are categorized based on five capitals (natural, economic,  
127 human, social, and physical capitals) (Zarafshani et al., 2016; Nazari et al., 2015; Maleki et al.,  
128 2014; Piya et al., 2012; Guerrin, 2009; Eakin and rquez-Tapia, 2008; Deressa, 2008; Brown et  
129 al., 2010; Brooks et al., 2005). However, Jones (2011) criticized using the five capitals as they  
130 do not provide a clear picture of the adaptive capacity of a system. Farmers' ability to adapt to  
131 growing hazards and environmental risks such as drought is related to their coping strategies.

132 The study by Venot et al. (2010) showed that farmers mitigated drought conditions through  
133 various practices, including crop diversification, a shift in calendar, late sowing, selling their  
134 livestock, and using sprinkler irrigation. Interestingly, Campbell et al. (2011) showed Jamaican  
135 farmers' coping strategies to drought, including resistant crop varieties, crops with multiple use,  
136 scaling down production, avoiding planting during the dry season, mulching, drip irrigation,  
137 changing the timing of water application, buying water, sharing water, spraying plants with  
138 leaf fertilizer, limiting cultivation, downscale cropping, seeking off-farm employment, seeking  
139 labor work, and selling livestock. Bryan et al. (2011) showed an interesting result by arguing  
140 that meteorological information is an effective tool in enhancing the adaptive capacity of  
141 farmers to mitigate the stressful effects of drought. Given the literature discussed above, Fig. 2  
142 is a schematic representation of the main steps in designing a risk assessment model in  
143 Kermanshah Township.

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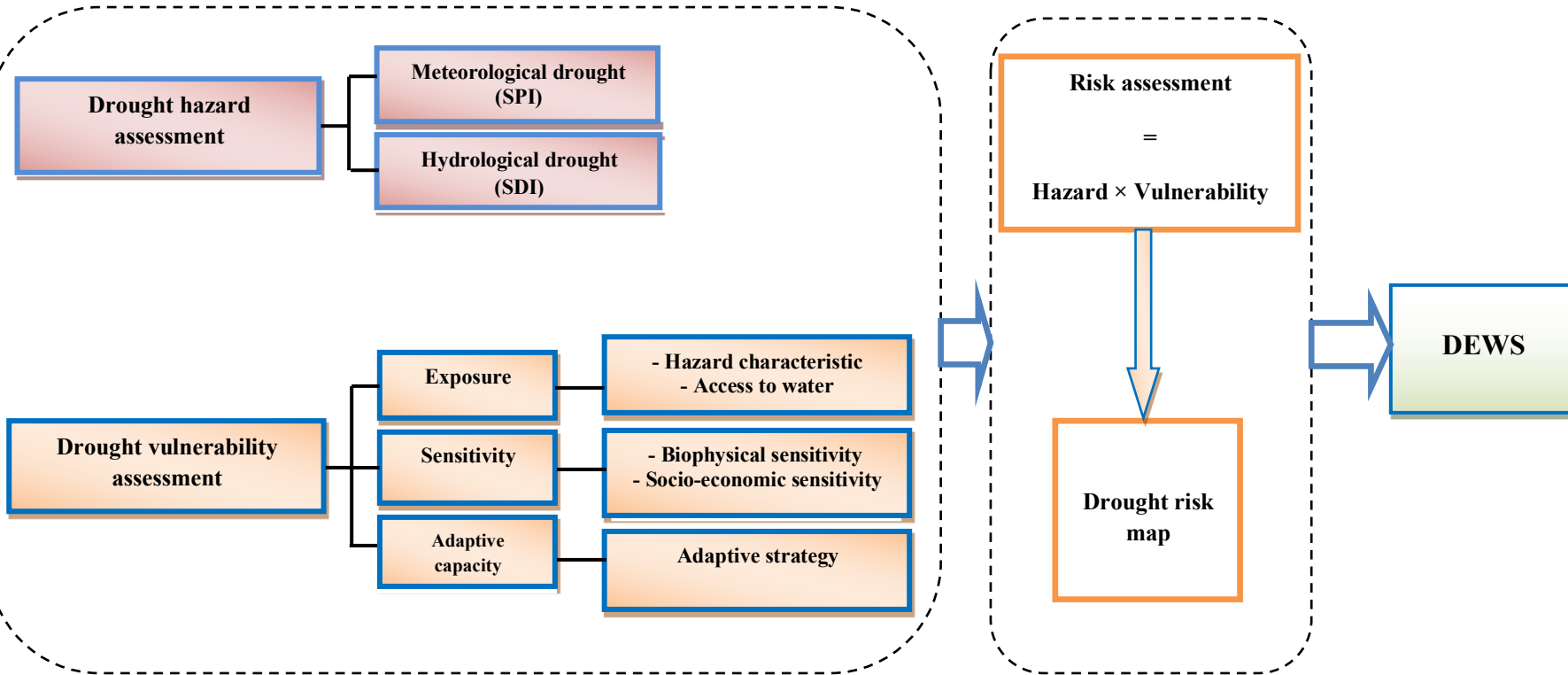
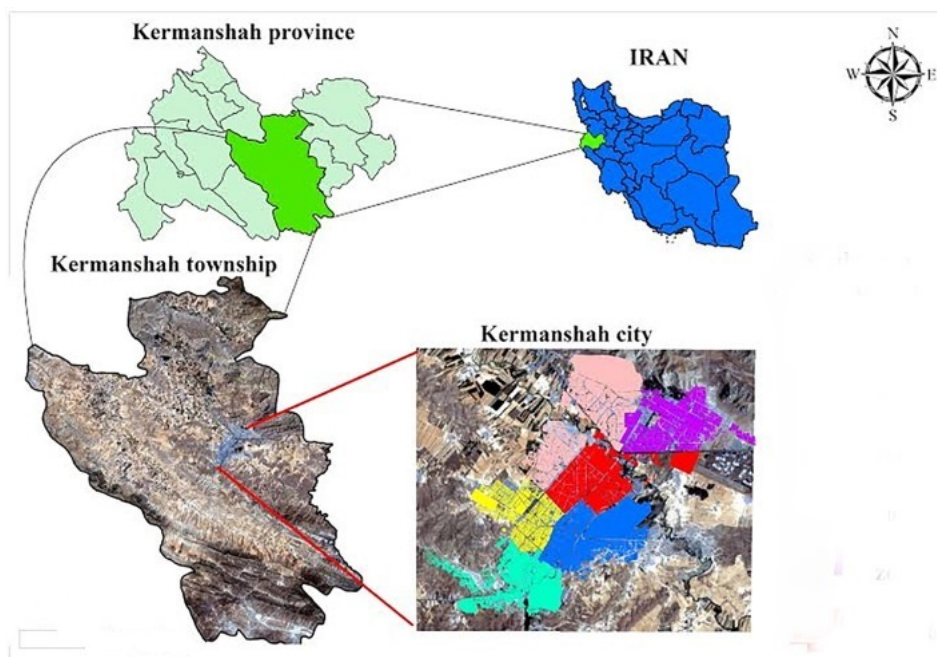


Fig. 2. Conceptual framework for risk assessment.



169 **2. Research Method**

170 This study utilized a survey research design in Kermanshah Township in the western part  
171 of Iran (Fig. 3). In the following section, the method of study (hazard assessment and  
172 vulnerability assessment) will be reviewed in detail.



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174  
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**Fig. 3.** Geographical position of the study area.

176 *2.1. Hazard assessment*

177 In this research, the hazard is defined as the meteorological drought and hydrological  
178 drought severity, which has different severity in different parts of Kermanshah. In the  
179 following, the estimation of meteorological drought indices based on SPI indices will be  
180 provided. Subsequently, the estimation of hydrological drought indices will be investigated.

181 *2.1.1. Meteorological drought*

182 In order to measure meteorological drought severity, the SPI index (Standardized  
183 Precipitation Index) proposed by McKee et al. (1993) was used. SPI is a climate drought index  
184 that calculates the probability of precipitation for timescales. As a matter of fact, the only  
185 needed input parameter is precipitation. The SPI is a powerful, flexible index that is simple to  
186 use. In addition, it is effective in analyzing both wet and dry periods/cycles, as well as drought

187 warning severity. Positive SPI values are greater than median precipitation, and negative values  
 188 are less than median precipitation (World Meteorological Organization, 2012).

189 McKee et al. (1993) used the classification system shown in the SPI value (Table 1) to  
 190 define drought intensities resulting from the SPI. A drought incident occurs at any time when  
 191 the SPI is continuously negative and reaches an intensity of -1.0 or less. However, the incident  
 192 ends when the SPI becomes positive.

**Table 1**  
 Drought severity classification system based on SPI index.

SPI values	Drought situation
-2 and less	extremely dry
-1.5 to -1.99	severely dry
-1.0 to -1.49	moderately dry
0 to -0.99	mild drought
0 to 0.99	mildly wet
+1.0 to +1.49	moderately wet
1.5 to 1.99	very wet
2.0+	extremely wet

195  
 196 In order to measure SPI for 12-month timescales, 10 barometric stations, including long-  
 197 term precipitation statistics, were used (from 1985-1986 to 2014-2015). Table 2 shows  
 198 different rain station locations in Kermanshah Township.

**Table 2**  
 Rain station locations in Kermanshah Township.

Station	Village	Longitude	Latitude	Altitude (m)	Renovation years
Boozhan	Osmanvand	47.25	33.97	1600	11
Sarfiroozabad	Sarfiroozabad	47.28	34.06	1510	3
Sarabniloofar	Baladarband	46.87	34.40	1280	9
Mahidasht	Mahidasht Chaghanarges	46.85	34.27	1415	2
Shadman	Droodfaraman Gharahsoo	47.19	34.26	1320	7
Koozaran	SanjabiHaftas hian	46.60	34.50	1380	6
Marzbani	Bilavar	47.08	34.70	1650	10
Chenar- Jalalvand	Jalalvand	47.12	33.93	1140	11
Jologireh-olya	Miandarband	46.85	34.58	1180	2

201  
 202 To calculate the SPI index, the following formula presented by McKee et al. (1993) was used:

203  
 204 
$$SPI = \frac{X_i - \bar{X}}{S_x}$$

205

206  $X_i$ : Monthly rainfall

207  $X$ : The average rainfall on the time scale

208  $S_X$ : Deviation of rainfall on a time scale

209 *2.1.2. Hydrological drought*

210 The hydrological drought was measured using SDI (Streamflow Drought Index). This  
211 indicator was presented by Nalbantis et al. (2009) to identify the hydrological drought (Table  
212 3). Based on this classification, positive SDI values indicate a normal or wet condition, whereas  
213 negative values indicate drought status.

214 **Table 3**  
215 Classification of hydrological drought based on SDI.

Description	Criterion
Extreme drought	$SDI < -2.0$
Severe drought	$-2.0 \leq SDI < -1.5$
Moderate drought	$-1.5 \leq SDI < -1.0$
Mild drought	$-1.0 \leq SDI < 0.0$
None drought	$SDI \geq 0.0$

216

217 Long-term Debi river statistics (30 years) that had a longer statistical period were used to  
218 calculate SDI. The hydrological drought was measured using 12-month time scales using the  
219 following formula provided by Nalbantis et al. (2009):

$$SDI_{i,k} = \frac{V_{i,k} - \bar{V}_k}{\bar{S}_k}$$

223  $V_{i,k}$ : Monthly river flow

224  $V_k$ : Mean value of cumulative streamflow for the kth period

225  $S_k$ : Standard deviation of cumulative streamflow for the kth period

226 Table 4 shows the geographic location of the hydrometric stations in Kermanshah  
227 Township.

228 **Table 4**  
229 Hydrometric station locations in Kermanshah Township.

Station	River	Village	Longitude	Latitude	Altitude (m)
Doabmerg	Gharahsoo	Sanjabi	47.47	34.33	1290

Khersabad	Mereg	Sarfiroozabad Haftashian Mahidasht Chaghanarges	47.44	34.30	1320
Faraman	Gharahsoo	Droodfaraman Gharahsoo Baladarband	47.15	34.14	1295
Hojatabad	Razavar	Miandarband Bilavar	46.53	34.38	1300
Gamasiab	Gamasiab	Jalalvand Osmanvand	47.54	34.53	1410

230

231 Finally, the total weight of hazard indicators (SIP value and SDI value for the 2014-15

232 period) was considered as a drought hazard for each village. The weight of hazard indicators is

233 calculated using the Shannon Entropy Method (Table 5).

234

**Table 5**  
Weight of hazard indicators.

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Component	Index	Weight
Hazard	Meteorological drought severity in 2014-15	0.491
	Hydrological drought severity in 2014-15	0.509

236

## 237 2.2. *Vulnerability assessment*

238 The vulnerability was evaluated using the Fontaine and Steinemann (2009) formula:

$$239 \text{ Vulnerability} = (\text{Exposure} + \text{Sensitivity}) / \text{Adaptive Capacity}$$

240 Using the literature review, variables for each component (exposure, sensitivity, and

241 adaptive capacity) were extracted, and the indicators for each variable were identified through

242 the index construction method (Table 6). Since each and every indicator held different scales,

243 we attempted to fix and homogenize the scales (Kalantari, 2001).

244 Fixing scales were assessed using Indexing Method. In this method, the maximum value of

245 each index was considered as 100; thus, other values were proportionately given certain values.

246 This method has the advantage of keeping the proportionate values unchanged. Thus, the

247 different coefficients obtained are equal to different coefficients of the main values (Kalantari,

248 2001). Finally, using Shannon Entropy Method, the weight of each indicator (exposure,

249 sensitivity, and adaptive capacity) was determined (Table 6).

250  
251

**Table 6**  
Weight of vulnerability indicators.

Component	Variable	Index	Weight
<b>Exposure (Negative index)</b>	Frequency of meteorological droughts	The ratio of meteorological drought for each village during the past 10 years to total drought for each village during the past 30 years	0.236
	Frequency of hydrological drought	The ratio of hydrological drought for each village during the past 10 years to total drought for each village during the past 30 years	0.303
	Access to water (rain-fed farming)	Average water accessibility for irrigation (inches)	0.253
	Access to water (irrigated farming)	Average water accessibility for irrigation (inches)	0.208
<b>Sensitivity (Negative index)</b>	Rate of individuals under 5 years old in household	The ratio of under 5 years old to total household	0.069
	Rate of literacy or low literacy adults in the household	The ratio of illiterate adults to the total household	0.078
	Household unemployment rate	The ratio of unemployed to the total household	0.080
	Income dependency on climate resources	The ratio of climate resource based income to total households' income	0.116
	Rate of drought immigrant households	The ratio of drought immigrants to total households	0.054
	Rate of household individuals who left farming due to drought	The ratio of unemployed (due to drought) to total household	0.052
	Number of land fragmentation near water resources	The ratio of land fragmentation near water resources to total land holdings	0.110
	Distance from farmland to the main road	The average farm ownership from main road	0.088
	Damage to land due to drought	Percentage of damage to land due to drought	0.107
	Rate of livestock sold due to drought	The ratio of animal units sold to total livestock units	0.056
	Rate of farmland sold due to drought	The ratio of land sold to the total land	0.024
	The size of irrigated land	The size of irrigated land to the total land	0.104
	The size of rain-fed land	The size of rain-fed land to the total land	0.062
<b>Adaptive Capacity (Positive index)</b>	Using new and high performance varieties	The ratio of farmers who use new and high-yielding wheat cultivars to the total number of farmers	0.039
	Using drought tolerant varieties	The ratio of farmers who use drought resistance wheat cultivars to the total number of farmers	0.041
	Using early yielding wheat cultivars	The ratio of farmers who used early wheat cultivars to the total number of farmers	0.026
	Tillage operations	The ratio of farmers who practiced minimum tillage to the total number of farmers	0.044
	Crop rotation practice	The ratio of farmers who practiced crop rotation to the total number of farmers	0.042
	Changes in wheat sowing date	The ratio of farmers who changed sowing date to the total number of farmers	0.034
	Less use of chemical fertilizer	The ratio of farmers who used less chemical fertilizers during drought to the total number of farmers	0.051
	Less use of herbicides	The ratio of farmers who used less herbicides during drought to the total number of farmers	0.045
	Weed control practices	The ratio of farmers who controlled weeds during drought to the total number of farmers	0.042
	Using more animal manure	The ratio of farmers who used animal manure during drought to the total number of farmers	0.024
	Increased row distances	The ratio of farmers who increased row distances during drought to the total number of farmers	0.027
	Cultivation of spring crops	The ratio of farmers who cultivated spring crops to the total number of farmers	0.028
	Irrigated channels construction	The ratio of farmers who constructed irrigation channels during drought to the total number of farmers	0.017

Buying water during drought	The ratio of farmers who bought water during drought to the total number of farmers	0.023
Using less water during each irrigation period	The ratio of farmers who used less water during drought to the total number of farmers	0.035
Using new irrigation systems	The ratio of farmers who used new irrigation systems to the total number of farmers	0.020
Using plastic covers to conserve water	The ratio of farmers who used plastic covers to conserve water to the total number of farmers	0.028
Selecting suitable irrigation time	The ratio of farmers who selected suitable irrigation time to the total number of farmers	0.037
Avoid irrigation in the middle of the day	The ratio of farmers who avoided mid-day irrigation during drought to the total number of farmers	0.029
Digging wells	The ratio of farmers who dug well during drought to the total number of farmers	0.022
Digging new wells	The ratio of farmers who dug new wells to the total number of farmers	0.014
Receiving a bank loan	The ratio of farmers who received bank loan to the total number of farmers	0.031
Using crop insurance	The ratio of farmers who used crop insurance to the total number of farmers	0.036
Practicing non-agricultural jobs	The ratio of farmers who turned to non-agricultural jobs during drought to the total number of farmers	0.038
Using savings in drought	The ratio of farmers who used their savings during drought to the total number of farmers	0.041
Using weather forecasting	The ratio of farmers who used meteorological forecasting to the total number of farmers	0.046
Contact with agricultural experts	The ratio of farmers who contacted agricultural experts to the total number of farmers	0.048
Participating in extension classes	The ratio of farmers who participated in extension classes to the total number of farmers	0.034
Reducing unnecessary expenses like clothes and so on	The ratio of farmers who reduced unnecessary expenses during drought to the total number of farmers	0.046
Changing agricultural land to non-agricultural activities	The ratio of farmers who changed their land-based activities to non-agricultural activities to the total number of farmers	0.012

252

253 The population of this study comprised of 31,000 wheat farmers in Kermanshah Township.

254 Using a sample size table (which certifies a 5% margin of error) proposed by Bartlett et al.

255 (2001), 370 farmers were selected by a multi-stage cluster sampling method (12 villages, 12

256 clusters). The research instrument for assessing vulnerability was a questionnaire. The

257 vulnerability was measured through drought exposure (4 items), sensitivity (13 items), and

258 adaptive capacity (30 items). Vulnerability questionnaire was distributed among the statistical

259 population, and finally, 293 questionnaires were completed and found to be suitable for

260 analysis (return rate: 79.2%). Reliability was measured using Cronbach's alpha coefficient

261 ( $\alpha=0.82$ ). Internal validity was measured using a panel of experts (including the scientific staff

262 of the College of Agriculture, Razi and Shiraz University).

263 Finally, the risk was assessed using the multiplication of hazard and vulnerability. In some  
264 studies, the relationship between vulnerability, hazard, and risk is presented in the following  
265 formula (Wolfgang and Bollin, 2001; Global Water Partnership, 2015; Aliasgar, 2012; Füssel,  
266 2007; Kumpulainen, 2006; Brooks et al., 2005; Wisner, 2004; 2001; Wolfgang et al., 2001).

$$267 \text{Risk} = \text{Vulnerability} \times \text{Hazard}$$

268 The Arc GIS software was utilized to graph the study area in terms of drought hazard, exposure,  
269 sensitivity, adaptive capacity, vulnerability, and risk.

### 270 **3. Result**

#### 271 *3.1. Drought hazard assessment*

##### 272 *3.1.1. Estimation of meteorological drought indices (SPI)*

273 Two indicators of meteorological drought (SPI) and hydrological drought (SDI) were  
274 used for hazard assessment.

275 Results indicate that the Sarfiroozabad station shows the highest drought frequency (18  
276 meteorological droughts) in a 30-year period. Other stations have also experienced droughts,  
277 including Mahidasht and Jologireholya stations (17 meteorological droughts), Chenar-  
278 Jalalvand and Sarabniloofar stations (17 meteorological droughts), Shadman station (15  
279 meteorological droughts), and Ghoharchagha and Koozaran stations (14 meteorological  
280 droughts). It is worth mentioning that in recent years, the stations of Kermanshah Township have  
281 experienced several droughts. In addition, droughts have been observed in all stations during  
282 2014-2015 (Table 7).

**Table 7**  
SPI trend in a one-year period at barometric stations in Kermanshah Township.

Year	Mahidasht		Sarabniloofar		Sarfiroozabad		Chenar-Jalalvand		Boozhan		Jologireholya		Marzbani		Koozaran		Ghoharchagha		Shadman	
	Drought situation	SPI	Drought situation	SPI	Drought situation	SPI	Drought situation	SPI	Drought situation	SPI	Drought situation	SPI	Drought situation	SPI	Drought situation	SPI	Drought situation	SPI	Drought situation	SPI
1985-1986	S. d.	0.54	S. d.	-0.10	S. W.	0.56	S. W.	0.30	S. w.	0.70	V. w.	1.52	V. w.	1.50	V. w.	1.67	V. w.	1.65	S. w.	0.79
1986-1987	S. d.	-0.10	S. d.	-0.08	S. W.	0.34	S. W.	0.28	S. W.	0.29	S. w.	0.30	Se. d.	-1.50	S. w.	0.22	S. d.	-0.38	S. w.	0.70
1987-1988	M. w.	1.21	M. w.	1.33	S. W.	0.86	S. W.	0.99	S. W.	0.83	V. w.	1.90	S. w.	0.37	V. w.	1.72	S. w.	0.23	V. w.	1.96
1988-1989	S. d.	0.94	S. d.	1.06	S. d.	-0.36	S. d.	-0.43	S. d.	-0.55	S. d.	-0.08	S. d.	-0.55	S. w.	0.36	V. w.	1.58	S. d.	-0.05
1989-1990	S. d.	0.08	S. d.	0.09	S. d.	-0.31	S. d.	-0.34	S. d.	-0.38	S. w.	0.75	S. w.	0.22	S. d.	-0.19	S. w.	0.39	M. w.	1.06
1990-1991	S. d.	-0.79	S. d.	-0.66	S. d.	-0.76	M. d.	-1.02	M. w.	-1.10	S. d.	-0.60	S. d.	-0.47	M. d.	-1.20	M. d.	-1.03	S. d.	-0.72
1991-1992	M. w.	1.02	S. W.	0.98	S. W.	0.03	S. W.	0.38	S. W.	0.21	M. w.	1.16	S. w.	0.33	S. w.	0.41	M. w.	1.23	S. w.	0.68
1992-1993	S. d.	-0.01	S. d.	-0.04	S. W.	0.53	S. d.	-0.47	S. d.	-0.29	S. d.	-0.63	S. d.	-0.23	S. w.	0.52	V. w.	1.50	S. w.	0.67
1993-1994	S. d.	0.52	S. W.	0.22	V. w.	1.87	M. w.	1.14	S. W.	0.99	S. w.	0.50	M. w.	1.30	S. w.	0.65	S. w.	0.30	S. w.	0.02
1994-1995	E. w.	2.69	E. w.	2.18	E. w.	2.89	E. w.	2.39	E. w.	3.26	V. w.	1.55	E. w.	2.58	V. w.	1.58	M. w.	1.21	E. w.	2.20
1995-1996	S. d.	-0.02	S. W.	0.09	V. w.	1.68	E. w.	2.94	E. w.	2.48	S. d.	-0.12	S. d.	-0.58	S. d.	-0.06	S. w.	0.82	S. d.	-0.12
1991-1997	S. d.	-0.58	S. d.	-0.55	S. d.	-0.47	M. w.	1.29	M. w.	1.02	S. d.	-0.10	M. d.	-1.09	M. d.	-1.03	S. d.	-0.86	M. d.	-1.13
1997-1998	V. w.	1.68	V. w.	1.87	M. w.	1.40	S. W.	0.19	S. W.	0.26	V. w.	1.61	V. w.	1.66	M. w.	1.27	M. w.	1.01	S. w.	0.82
1998-1999	S. d.	-1.65	M. d.	-1.43	M. d.	-1.08	M. d.	-1.40	M. d.	-1.28	S. d.	-0.57	S. d.	-0.57	Se. d.	-1.08	S. d.	-0.86	S. d.	-0.85
1999-2000	S. d.	-1.56	M. d.	-1.24	M. d.	-1.43	S. d.	-0.55	M. d.	-1.19	Se. d.	-1.60	M. d.	-1.01	Se. d.	-1.55	Se. d.	-1.83	M. d.	-1.37
2000-2001	S. d.	0	S. d.	-0.41	S. d.	-0.69	S. d.	0.02	S. d.	-0.65	M. d.	-1.05	S. d.	-0.70	S. d.	-0.95	S. d.	-0.94	M. d.	-1.21
2001-2002	S. d.	-0.05	S. d.	-0.34	S. d.	-0.27	S. d.	-0.19	S. d.	-0.34	S. w.	0.06	S. w.	0.31	S. w.	0.24	S. d.	-0.26	S. w.	0.51
2002-2003	S. d.	-0.10	S. d.	-0.27	S. d.	-0.30	S. d.	-0.12	S. W.	0.03	S. d.	-0.13	S. w.	0.61	S. w.	0.10	S. d.	-0.14	S. d.	-0.31
2003-2004	S. d.	-0.26	S. W.	0.32	S. d.	0.28	S. d.	0.01	S. d.	0.08	S. d.	-0.06	S. w.	0.07	S. w.	0.73	S. w.	0.60	S. w.	0.84
2004-2005	S. d.	-0.12	S. W.	0.39	S. d.	-0.48	S. d.	-0.91	S. d.	-0.24	S. w.	0.10	S. w.	0.50	S. w.	0.84	S. w.	0.84	S. d.	-0.53
2005-2006	S. W.	0.75	V. w.	1.63	S. d.	-0.56	S. W.	0.40	S. W.	0.27	S. w.	0.79	S. w.	0.78	S. w.	0.86	S. w.	0.60	S. w.	0.27
2006-2007	S. W.	0.38	S. W.	0.05	S. W.	0.36	S. W.	0.28	S. W.	0.18	S. d.	-0.12	M. w.	1.45	S. w.	0.49	S. w.	0.42	M. w.	1.08
2007-2008	E. d.	-2.35	E. d.	-2.54	Se. d.	-1.72	Se. d.	-1.85	Se. d.	-1.43	E. d.	-2.12	Se. d.	-1.69	E. d.	-2.30	E. d.	-2.30	E. d.	-2.13
2008-2009	S. d.	-0.73	S. d.	-0.93	S. d.	-0.69	S. d.	-0.65	S. d.	-0.93	M. d.	-1.15	S. d.	-0.10	S. d.	-0.08	S. d.	-0.51	S. d.	-0.39
2009-2010	S. W.	0.41	S. W.	0.70	S. w.	0.83	S. W.	0.39	S. W.	0.38	V. w.	1.62	S. w.	0.47	S. w.	0.25	S. w.	0.13	S. w.	0.44
2010-2011	S. d.	-0.51	S. d.	-0.37	S. d.	-0.11	S. d.	-0.21	S. d.	-0.50	S. w.	0.07	S. d.	-0.18	S. d.	-0.15	S. d.	-0.85	S. d.	-0.82
2011-2012	M. d.	-1.14	M. d.	-1.03	S. d.	-0.56	S. d.	-0.69	S. d.	-1.17	S. d.	-0.31	S. d.	-0.48	S. d.	-0.41	S. w.	0.24	M. d.	-1.10
2012-2013	S. d.	-0.12	S. d.	-0.24	S. d.	-0.32	S. d.	-0.94	S. d.	-0.28	S. d.	-0.86	M. d.	-1.47	S. d.	-0.97	S. d.	-0.96	S. d.	-0.67
2013-2014	S. W.	0.72	S. W.	0.33	S. d.	-0.21	S. d.	-0.22	S. d.	-0.28	S. d.	-0.46	S. d.	-0.50	S. d.	-0.13	S. d.	-0.94	S. w.	0.57
2014-2015	S. d.	-0.85	M. d.	-1.02	M. d.	-1.29	S. d.	-0.98	S. d.	-0.35	S. d.	-0.92	M. d.	-1.02	S. d.	-0.89	S. d.	-0.89	M. d.	-1.22

S. d. (Slightly dry)    M. d. (Moderately dry)    Se. d. (Severely dry)    E. d. (Extremely dry)    S. w. (Slightly wet)    M. v. (Moderately wet)    V. w. (Very wet)    E. w. (Extremely wet)



**Table 8**  
SDI trend in a one-year period at hydrometric stations in Kermanshah Township.

Year	Gamasiab		Faraman-Ghorbaghestan		Sarasiab		Khersabad		Doabmereg	
	Drought situation	SDI	Drought situation	SDI	Drought situation	SDI	Drought situation	SDI	Drought situation	SDI
1985-1986	None drought	0.14	None drought	0.54	None drought	1.47	None drought	0.44	None drought	0.37
1986-1987	None drought	0.32	None drought	0.75	None drought	1.47	None drought	0.36	None drought	0.65
1987-1988	None drought	1.03	None drought	2.43	None drought	1.80	None drought	1.65	None drought	2.38
1988-1989	None drought	0.33	None drought	0.78	None drought	1.47	None drought	0.89	None drought	0.60
1989-1990	None drought	0.07	None drought	0.61	None drought	1.47	None drought	0.84	None drought	0.56
1990-1991	Mild drought	-0.27	Mild drought	-0.24	None drought	1.47	Mild drought	-0.19	Mild drought	-0.18
1991-1992	None drought	1.32	None drought	1.86	None drought	1.14	None drought	1.73	None drought	1.75
1992-1993	None drought	1.12	None drought	0.14	Mild drought	-0.44	None drought	0.63	Mild drought	-0.07
1993-1994	None drought	0.32	None drought	0.58	None drought	0.12	None drought	0.61	None drought	0.54
1994-1995	None drought	1.45	None drought	1.61	None drought	1.15	None drought	3.01	None drought	2
1995-1996	None drought	0.72	None drought	0.82	None drought	0.22	None drought	1.03	None drought	0.93
1996-1997	Mild drought	-0.13	Mild drought	-0.55	Mild drought	-0.92	Mild drought	-0.09	Mild drought	-0.13
1997-1998	Mild drought	0.09	None drought	1.67	None drought	0.54	Mild drought	1.22	Mild drought	-0.13
1998-1999	Mild drought	-0.56	Mild drought	-0.83	Moderate drought	-1.10	Mild drought	-0.64	Moderate drought	-0.63
1999-2000	Mild drought	-0.54	Moderate drought	-1.38	Moderate drought	-1.31	Mild drought	-0.77	Moderate drought	-1.03
2000-2001	Mild drought	-0.51	Moderate drought	-1.20	Moderate drought	-1.06	Mild drought	-0.73	Moderate drought	-1.05
2001-2002	Mild drought	-0.48	Mild drought	-0.75	Mild drought	-0.60	Mild drought	-0.72	Mild drought	-0.83
2002-2003	Mild drought	-0.25	Mild drought	-0.41	Mild drought	-0.30	Mild drought	-0.78	Mild drought	-0.25
2003-2004	Mild drought	-0.18	Mild drought	-0.28	Mild drought	-0.13	Mild drought	-0.38	Mild drought	-0.33
2004-2005	Mild drought	-0.06	None drought	0.35	None drought	0.31	Mild drought	-0.42	None drought	0.17
2005-2006	None drought	0.12	None drought	0.54	None drought	0.23	None drought	0.21	Mild drought	-0.11
2006-2007	Mild drought	0.29	None drought	0.07	Mild drought	-0.09	Mild drought	-0.64	Mild drought	-0.04
2007-2008	Mild drought	-0.32	Moderate drought	-1.14	Moderate drought	-1.30	Mild drought	-0.92	Moderate drought	-1.15
2008-2009	Mild drought	-0.67	Moderate drought	-1.06	Mild drought	-0.73	Mild drought	-0.90	Moderate drought	-1.13
2009-2010	Mild drought	-0.38	Mild drought	-0.46	Mild drought	-0.44	Mild drought	-0.86	None drought	0.27
2010-2011	Mild drought	-0.70	Mild drought	-0.91	Mild drought	-0.93	Mild drought	-0.92	Mild drought	-0.94
2011-2012	Mild drought	-0.58	Mild drought	-0.89	Mild drought	-0.66	Mild drought	-0.90	Mild drought	-0.97
2012-2013	Mild drought	-0.66	Mild drought	-0.89	Mild drought	-0.92	Mild drought	-0.92	Moderate drought	-1.07
2013-2014	Mild drought	-0.30	Mild drought	-0.77	Mild drought	-0.76	Mild drought	-0.91	Mild drought	-0.95
2014-2015	Mild drought	-0.73	Moderate drought	-1.07	Moderate drought	-1.15	Mild drought	-0.92	Moderate drought	-1.21

283 3.1.2. Estimation of hydrological drought indices (SDI)

284 Results of hydrological drought show that the most intensive drought occurred in  
 285 Doabmereg station with a frequency of 19 times in a 30-year period. However, Faraman  
 286 experienced the least frequency (16 droughts). This result clearly indicates that drought  
 287 occurrence has increased in the study area. For example, the Khersabad station had experienced  
 288 19 drought incidents within a 30-year period (1985-86 to 2014-15). This condition remains the  
 289 same across Kermanshah hydrometric stations (Table 8).

290 **Table 9**  
 291 Value of drought hazard across villages in Kermanshah Township.

Villages	Meteorological drought	Hydrological drought	Hazard	Ranking
Droodfaraman	-1.22	-1.07	-2.29	1.5
Gharahsoo	-1.22	-1.07	-2.29	1.5
Sarfiroozabad	-1.29	-0.92	-2.21	3
Bilavar	-1.02	-1.15	-2.17	4
Sanjabi	-0.89	-1.21	-2.10	5
Baladarband	-1.02	-1.07	-2.09	6
Miandarband	-0.92	-1.15	-2.07	7
Haftashian	-0.89	-0.92	-1.81	8
Mahidasht	-0.85	-0.92	-1.77	9.5
Chaghanarges	-0.85	-0.92	-1.77	9.5
Jalalvand	-0.98	-0.73	-1.71	11
Osmanvand	-0.35	-0.73	-1.08	12

292 Total Mean: 1.95  
 293 Total Std. deviation: 0.36

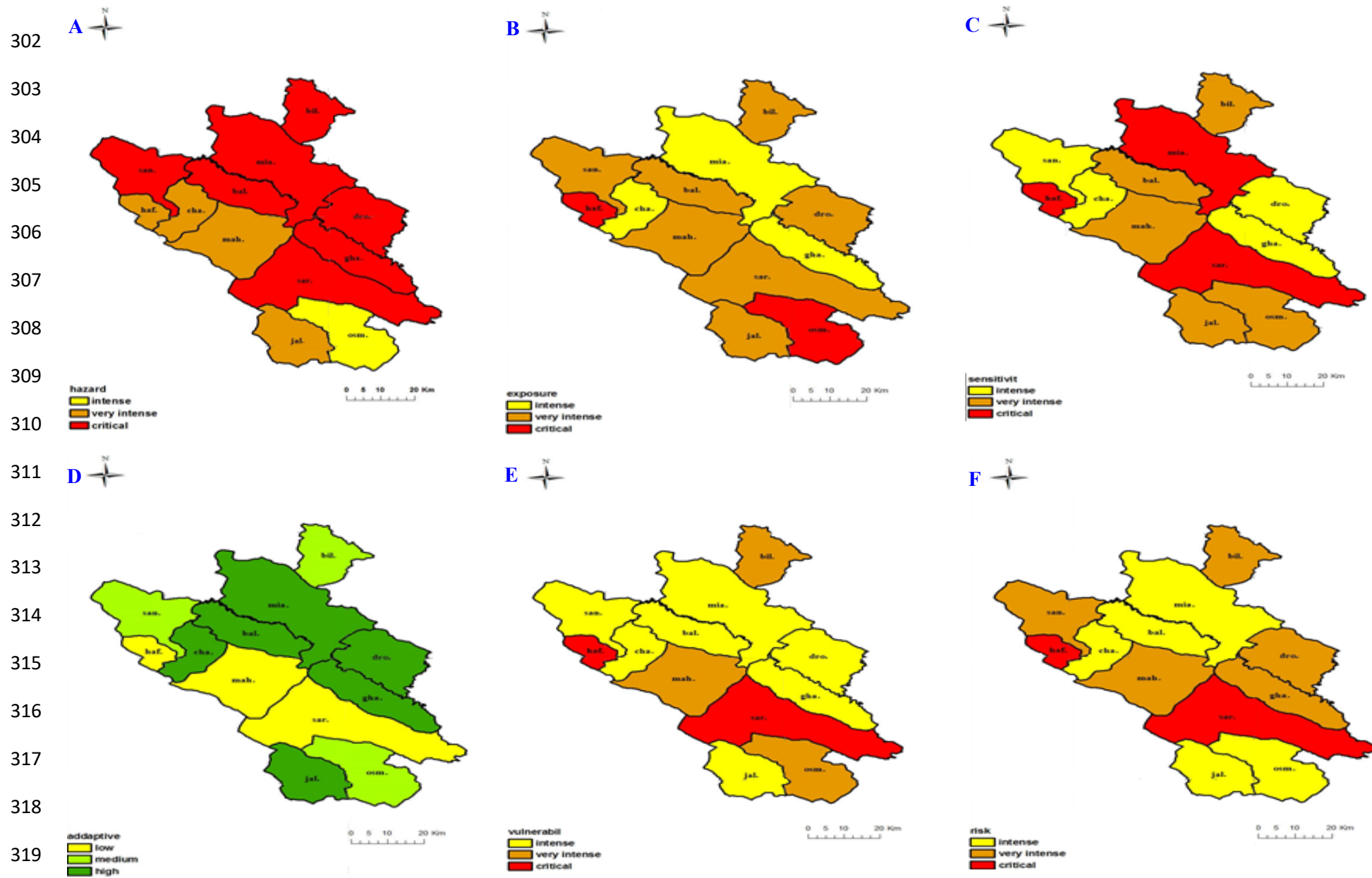
294 The result of the drought hazard showed that Droodfaraman and Gharahsoo villages had  
 295 the highest drought severity (-2.29). Moreover, Sarfiroozabad and Bilavar villages were ranked  
 296 3rd and 4th in terms of drought hazard with the values of -21.2 and -2.17 (Table 9).

297 The results also indicate that the crisis was more severe in 7 villages. In addition, 4 villages  
 298 were in very intense condition, and finally, 1 village was in intense condition. Fig. 4 (A) shows  
 299 the hazard prone areas in Kermanshah Township<sup>1</sup>.

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<sup>1</sup> These maps are provided in the UTM system and in Zone 38N.



320 **Fig. 4.** Drought hazard (A), exposure (B), sensitivity (C), adaptive capacity (D), vulnerability (E), and risk (F) prone areas in the study area.

321 3.2. Vulnerability assessment

322 3.2.1. Drought exposure assessment

323 Exposure, sensitivity, and adaptive capacity components were evaluated using the formula  
324 proposed by Fontaine et al. (2009). This formula is derived from the IPCC model. Exposure  
325 was measured using four indicators. The total weight of the indicator was considered for each  
326 village based on the exposure value (Table 10).

327 **Table 10**  
328 Value of drought exposure across villages in Kermanshah Township.

Villages	Exposure	Ranking
Osmanvand	93.81	1
Haftashian	93.03	2
Sarfiroozabad	87.20	3
Jalalvand	86.27	4
Sanjabi	85.43	5
Droodfaraman	84.80	6
Mahidasht	83.74	7
Bilavar	83.36	8
Baladarband	82.04	9
Gharahsoo	78.81	10
Chaghanarges	77.98	11
Miandarband	74.87	12

329 Total Mean: 84.28

330 Total Std. deviation: 5.61

331 Exposure range: 0-100

332 As shown in Table 13, Osmanwand (93.81), Haftashian (93.03), and Sarfirozabad (87.20)  
333 were ranked high in terms of drought exposure. However, Chaghanarges (77.98) and  
334 Miandarband (74.87) were ranked low in terms of drought exposure.

335 The classification of villages in terms of drought exposure intensity shows that 2 villages  
336 were in critical condition, whereas 7 villages were in very intense condition. Finally, 3 villages  
337 were in intense condition. Moreover, Fig. 4 (B) shows the drought exposure prone areas in  
338 Kermanshah Township.

339 3.2.2. Drought sensitivity assessment

340 The sensitivity component was evaluated using 13 indicators. The total weight of each  
341 indicator for each village reflects the sensitivity of that village.

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**Table 11**  
Value of drought sensitivity across villages in Kermanshah Township.

Villages	Sensitivity	Ranking
Miandarband	75.20	1
Haftashian	72.17	2
Sarfiroozabad	69.45	3
Bilavar	67.78	4
Jalalvand	66.88	5
Mahidasht	66.03	6
Osmanvand	63.23	7
Baladarband	61.46	8
Droodfaraman	57.73	9
Sanjabi	57.14	10
Gharahsoo	56.60	11
Chaghanarges	53.33	12

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Total Mean: 63.92  
Total Std. deviation: 6.81  
Exposure range: 0-100

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Table 11 shows the value of drought sensitivity for each village in Kermanshah Township.

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The villages of Miandarband (75.20), Haftashian (72.17), and Sarfiroozabad (69.45) ranked first to third in terms of sensitivity, while the lowest sensitivity belonged to Gharahsoo and Chaghanarges villages (56.60 and 53.33).

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Table 14 represents the level of sensitivity in Kermanshah Township. The result showed that 3 villages were in critical condition, 5 villages were in very intense condition, and 4 villages were in intense condition. Fig. 4 (C) shows the drought sensitive prone areas in Kermanshah Township.

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### 3.2.3. Adaptive capacity assessment

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Adaptive capacity was measured with 30 indicators. The total weight of these indicators constitutes the amount of adaptive capacity of each village. Information on prioritization of villages in terms of adaptive capacity is visible in Table 12.

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**Table 12**  
Value of drought adaptive capacity across villages in Kermanshah Township.

Villages	Adaptive Capacity	Ranking
Miandarband	81.68	1
Chaghanarges	81.11	2
Jalalvand	78.10	3
Gharahsoo	74.64	4
Baladarband	74.59	5
Droodfaraman	69.94	6
Sanjabi	66.64	7
Bilavar	64.55	8
Osmanvand	60.49	9
Sarfiroozabad	52.58	10
Mahidasht	51.33	11
Haftashian	45.93	12

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372  
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Total Mean: 66.80  
Total Std. deviation: 12.09  
Adaptive capacity range: 0-100

374 According to Table 12, farmers in Miandarband, Chaghanarges, and Jalalvandhad have a  
375 better adaptive capacity (81.68, 81.11, 78.10) compared to their counterparts. However,  
376 farmers in Mahidasht and Haftashian had somewhat weak adaptive capacity (51.33, 45.93)  
377 towards drought.

378 In terms of the level of adaptive capacity, 6 villages were considered highly adaptive,  
379 whereas 3 villages were considered moderately adaptive, and finally, 3 villages were  
380 considered low adaptive. Fig. 4 (D) shows the drought adaptive capacity prone areas in  
381 Kermanshah Township.

#### 382 3.2.4. Drought vulnerability assessment

383 According to Table 13, the result of vulnerability assessment revealed that Haftashian (3.60),  
384 Sarfiroozabad (2.98), and Mahidasht (2.92) were most vulnerable towards drought. On the  
385 other hand, Gharahsoo and Chaghanarges were least vulnerable towards creeping hazards such  
386 as drought (1.81, 1.62).

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**Table 13**  
Value of drought vulnerability across villages in Kermanshah Township.

Villages	Vulnerability	Ranking
Haftashian	3.60	1
Sarfiroozabad	2.98	2
Mahidasht	2.92	3
Osmanvand	2.60	4
Bilavar	2.34	5

Sanjabi	2.14	6
Droodfaraman	2.04	7
Jalalvand	1.96	8
Baladarband	1.92	9
Miandarband	1.84	10
Gharahsoo	1.81	11
Chaghanarges	1.62	12

Total Mean: 2.31  
Total Std. deviation: 0.59

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392 The level of vulnerability among farmers illustrated that 2 villages were in critical  
393 condition, 3 villages were in very intense condition, and finally, 7 villages were in intense  
394 condition. Fig. 4 (E) shows the status of the villages of Kermanshah in terms of vulnerability.

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### 3.3. Drought risk assessment

397 As already stated, risk is a function of two components of hazard and vulnerability, which  
398 are shown in the following table. Therefore, the drought risk was investigated using this  
399 relationship in the villages of Kermanshah Township (Table 14).

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401

**Table 14**

Value of drought risk across villages in Kermanshah Township.

Villages	Hazard	Vulnerability	Risk	Ranking
Sarfiroozabad	-2.21	2.98	-6.58	1
Haftashian	-1.81	3.60	-6.52	2
Mahidasht	-1.77	2.92	-5.17	3
Bilavar	-2.17	2.34	-5.08	4
Droodfaraman	-2.29	2.04	-4.67	5
Sanjabi	-2.10	2.14	-4.49	6
Gharahsoo	-2.29	1.82	-4.17	7
Baladarband	-2.09	1.92	-4.01	8
Miandarband	-2.07	1.84	-3.81	9
Jalalvand	-1.71	1.96	-3.35	10
Chaghanarges	-1.71	1.62	-2.87	11
Osmanvand	-1.08	2.60	-2.81	12

Total Mean: -3.99  
Total Std. deviation: 2.42

402  
403

404 Results of drought risk assessment revealed that farmers in Sarfiroozabad (-6.58), Haftashin  
405 (-6.52), and Mahidasht (-5.17) were at high risk, whereas farmers in Chaghanarges (-2.87) and  
406 Osmanvand (-2.81) villages were facing minimum risk.

407 Based on the risk level, 2 villages in Kermanshah Township were in critical condition,  
408 whereas 5 villages were in very intense condition, and finally, 5 villages were facing intense  
409 conditions. Fig. 4 (F) shows the drought risk prone areas in Kermanshah Township.

410

#### 411 **4. Discussion**

##### 412 *4.1. Hazard assessment*

413 The risk assessment proposed in this study has provided a methodology for Iran. The  
414 country is unable to develop its own risk assessments due to poor resources and facilities.  
415 Disaster authorities can use this map to allocate resources across townships in Kermanshah  
416 province. The results can also be used to develop local and national adaptive capacity to control  
417 drought in Iran.

418 The present study also showed that Kermanshah Township has experienced drought for the  
419 past 30 years; thus, it has become a recurrent incident. This is due to the fact that the majority  
420 of farmlands in Kermanshah Township are rain-fed. Shewmake (2008), Paavola (2008),  
421 Trærup (2007), and Alcamo (2005) have revealed that rain-fed farms are more affected by  
422 climate change and thus are more vulnerable. The obtained results indeed suggest that the  
423 drought incident will be prolonged in the study area; therefore, farmers should take appropriate  
424 actions to compensate for the severe effects of drought. Jamshidi et al. (2016) confirmed that  
425 the climate in Iran is changing in a way that the country will experience prolonged drought in  
426 the next 40 years.

427 In addition, the results showed that the majority of villages in Kermanshah Township have  
428 experienced both hydrological and meteorological drought. This means that farmers in those  
429 regions have faced dry rivers as well as dry wells, which in turn have reduced the adaptive  
430 capacity of farmers, thus making them more vulnerable. In this regard, Koochaki et al. (2007)  
431 argued that data (from 37 meteorological stations across Iran) showed an increase in average  
432 temperature over 25-50 years. This clearly indicates that water management policy-makers in



433 Iran should focus their attention on measuring both meteorological and hydrological drought  
434 in order to set a reliable drought early warning system.

#### 435 *4.2. Exposure assessment*

436 The findings revealed that farmers' exposure to drought across villages was high. However,  
437 the variation of exposure between villages is somewhat different. Recurring drought incidents  
438 in the region, on the one hand, and lack of water access, on the other hand, have created a  
439 critical status for farmers in arid and semi-arid areas. As mentioned earlier, low precipitation  
440 across the region has dried up rivers, wells, and qanats, which in turn has increased farmers'  
441 vulnerability. High exposure to drought forced farmers to leave their land for better  
442 opportunities, and other farmers have limited irrigation and crop production. This dilemma was  
443 even common in irrigated farming. Brant (2007) and Wilhelmi and Wilhite (2002) showed that  
444 lack of access to water supply tends to decrease farmers' resilience and thus increase their  
445 vulnerability.

#### 446 *4.3. Sensitivity assessment*

447 The region's sensitivity analysis showed that farmers were highly sensitive to conditions of  
448 drought. According to the findings, "the size of irrigated land" is one of the indicators that has  
449 made farmers more sensitive to drought conditions. This can be explained by the fact that rain-  
450 fed farming is more prevalent in the studied region. In general, rain-fed farming does not take  
451 much time to work. In other words, farmers have limited adaptive capacity depending on  
452 natural precipitation. Although Iran's government has provided subsidies for rain-fed farmers  
453 to practice conservative agriculture, in reality, farmers are not motivated to practice  
454 conservative agriculture. This is due to the fact that most farmers believe that conservative  
455 agriculture plays a limited role in improving their economic conditions. Therefore, most rural  
456 development projects such as limited tillage, no-tillage, and interventions of climate smart  
457 agriculture have not been successful in recent years. In line with the results of this study, several

458 studies, including Zarafshani et al. (2012), Shewmake (2008), and Paavola (2008), also showed  
459 that farmers who rely on rainfall are more sensitive to drought compared with those with  
460 irrigated farming.

461 Loss of land due to drought is another indicator of sensitivity. When farmers are forced to  
462 leave their farms unplanted, their income reduces drastically. Research shows that major  
463 sources of income for Iranian farmers are based on the size of land and yield. When drought  
464 hits rural communities, production loss is the first and direct impact. The study by Paavola  
465 (2008) confirms that income loss has a significant role in increasing farmers' vulnerability.  
466 Eakin and Tapia (2008) and Guerrin (2009) also showed that damage to land due to drought  
467 has an effect on farmers' sensitivity towards drought.

468 The biophysical status of the study area showed that those farmers who had access to water  
469 were somewhat in a better position compared with those without access to nearby water. The  
470 proximity to the water source leads to cheaper water prices as well as low pipes and fittings  
471 costs. In other words, water distribution in well-designed irrigation systems tends to save a  
472 large amount of money and thus build farmers' resilience to drought sensitivity. However, our  
473 study revealed that farmers are faced with high water distribution costs due to the distance from  
474 the water source. In this regard, Garcia et al. (2011) argue that some areas are more susceptible  
475 to disasters (sensitive areas); therefore, they suffer more damage during hazards. The  
476 researchers introduced this kind of sensitivity as biophysical sensitivity. Thus, during drought,  
477 lands located near water resources are less susceptible.

478 One of the interesting indicators of sensitivity is known as “climate change migration”. In  
479 the study area, it was concluded that climate change migration had become an epidemic among  
480 rural populations. Although researchers have concluded that rural migration is considered as  
481 an adaptive capacity towards natural disasters such as drought (Vento et al., 2010; Singtam,  
482 2009; Shewmake, 2008), only a few researchers have shown concern towards this notion.

483 *4.4. Adaptive capacity assessment*

484 The results showed that the majority of farmers in this study were highly to moderately  
485 adaptive to the drought incidents. The rest of this article will discuss some of the shared  
486 adaptive capacity indicators across villages in Kermanshah Township.

487 Tillage operation is one of the key indicators of adaptive capacity. Extension agents have  
488 consistently emphasized minimum tillage practices among farmers in the study area. In other  
489 words, farmers are motivated to practice minimum or no-tillage operations as a means to save  
490 or conserve water resources. Numerous researchers have emphasized that soil conservation  
491 practices are among the effective adaptive strategies when dealing with drought (Gwambene  
492 and Majule, 2010; Zarei et al., 2014). Minimum tillage practices also tend to preserve crop  
493 remains in the soil that turn into usable fertilizers and prevent water evaporation from sunlight,  
494 which in turn, conserve water in the soil (Keshavarz and Karami, 2008).

495 The results also revealed that minimum use of chemical fertilizers and herbicides was  
496 practiced by farmers as an adaptive strategy. Studies showed that the use of chemical fertilizers  
497 and herbicides during drought not only creates more water stress for plants but also eradicates  
498 organisms that are helpful in water infiltration (Karami, 2008; Sharafi and Zarafshani, 2014).  
499 Thus, such an adaptive strategy is considered as an effective mitigation method in dealing with  
500 drought incidents.

501 The results of this study indicated that farmers' information has helped them use effective  
502 adaptive strategies to reduce their vulnerability towards drought. For example, contacting  
503 extension agents, using the weather forecasts, using appropriate irrigation timing, changing the  
504 wheat sowing date, and avoiding mid-day irrigation were all effective in coping with drought  
505 incidents. Several studies have shown that farmers do not operate based on a conventional  
506 agricultural calendar during climatic hazards, but their coping behavior is based on previous  
507 rainfall duration (Vento, 2010; Mengistu, 2011; Ifeanyi-obi et al., 2012). In Iran, the

508 government-based extension system has its strengths and weaknesses. For example, when  
509 farmers are motivated to contact extension agents, it shows that the extension system is working  
510 effectively to the extent that target groups are willing to use extension advice to cope with  
511 drought. This, in turn, would lead to a situation where agents provide farmers with  
512 meteorological information to improve crop production. Pat and Guata (2002) agreed that  
513 farmers with high meteorological literacy would more likely use weather information for crop  
514 cultivation. In addition, Simlton et al. (2009) concluded that farmers who have more access to  
515 meteorological information tend to use this information in selecting suitable seeding dates,  
516 which in turn, can help them cope with drought more effectively. In other words, the advantage  
517 of contacting agents is to use weather forecast information and receive information for proper  
518 planting timing.

## 519 **5. Conclusion and recommendations**

520 Drought risk reduction measures require long term plans, and early warning should be seen  
521 as a strategy to effectively reduce the growing vulnerability of communities and assets (Grasso,  
522 2009). In terms of drought early warning systems, it is generally recognized that it is  
523 fundamental to establish an effective drought early warning system to better identify the risk  
524 and better monitor the level of vulnerability of farmers (Grasso, 2009). The main argument of  
525 this study is that an effective and sustainable DEWS depends on multi-level governance,  
526 institutional arrangements, and frameworks that draw on attributes of risk assessment for a  
527 creeping hazard such as drought.

528 In this regard, Iran has a weak system of governance and would probably face tough  
529 challenges to implement and sustain an effective DEWS. However, by embarking and focusing  
530 on multi-stakeholder perspectives, the current challenges can be overcome. For example, sound  
531 data is necessary for implementing an effective drought early warning system. However, Iran  
532 is facing issues such as data poverty to develop its own risk assessments. Poor data sources are

533 due to weak real-time sensors that are required for a disaster such as drought that usually affects  
534 a much larger, less dense, and less developed area. Moreover, although Iran has meteorological  
535 and hydrological stations throughout the country, inadequate and less coordinated network of  
536 stakeholders creates an ineffective spatial characterization of drought. In addition, these  
537 stations are only capable of presenting raw data which is not adequate and in most cases is less  
538 up-to-date.

539 Finally, for a drought early warning system to be used by drought policy-makers, it is  
540 necessary that the system provides valid information. A wrong forecast creates distrust among  
541 users which in turn makes any preventive measures unsuitable. Hence, drought early warning  
542 system administrators should make sure that reliable information is being communicated to  
543 decision-makers and the general public.

544 Potential future research directions are as follows:

- 545 - Building up case studies and evaluating the costs of action versus inaction against  
546 droughts using consistent and mutually comparable methodological approaches. This  
547 should allow a better understanding of the drought costs, impact pathways,  
548 vulnerabilities, costs and benefits of various crisis and risk management approaches  
549 against droughts, and the co-benefits of risk management approaches. These actions  
550 will ultimately lead to better informed policy and institutional actions on droughts.
- 551 - Comprehensive evaluations of the costs of action need to be performed by drought risk  
552 assessments. They require weather and drought monitoring networks with sufficient  
553 coverage as well as the adequate human capacity to analyze and transform this  
554 information into drought preparedness and mitigation actions.

555

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