

Authors' response to the reviewers' comments

Dear Editor,

We greatly appreciate your time dealing with our manuscript and the review process. We also thank the reviewers for the fruitful reviews and their support to our findings. Please find attached the revised version of our paper in which the changes performed are shown with red color. As you will see, we have taken into account all comments, suggestions etc made by the reviewers and revised our manuscript, accordingly. Below we summarize our actions on the comments of the reviewers.

Thanking you once more

Yours sincerely

Prof. Costas Varotsos

Response to Referee #1

1. In Section 2, lines 23-24 (Page 35789): The authors mention that the method of analysis they used is based on the change of the entropy in natural time under time reversal calculated for a window size of i events. Although they give a few references on this subject, it would be useful for the reader to insert a brief description of “natural time” and “the entropy in natural time under time reversal”.

We added the following phrases in the second paragraph of Section 2: “Within this window, natural time ... the time reversal operator in the window of i events”.

2. Page 35795: In Figure 1 the y-axis titles should be centered and parallel to the axis.

We revised Figure 1 accordingly.

3. Page 35797: The same as before. In Figure 3 the y-axis titles should be centered and parallel to the axis.

We also revised Figure 3 accordingly.

Response to Referee #2

- The El Niño Southern Oscillation (ENSO) and its effects have been widely studied by the scientific community. Thus, I suggest adding a few references on the subject in the Introduction section.

We inserted a few references on this subject in the Introduction Section.

- In page 35790 and in Figure 2 the results of the Receiver Operating Characteristics (ROC) analysis and the estimation of the appropriate value of the threshold ΔS_{thres} on the basis of ROC are presented. It would be helpful to give some more information about the ROC analysis before the presentation of the results obtained.

We added the following sentence in the second paragraph of Section 2 in order to give some more information about the ROC analysis: “ROC is a method for the visualization ... applied to the present case”.

Response to Referee #3

In lines 17-22, Page 35791 the authors compare the variation of the entropy change in natural time under time reversal during the current El Niño event with that during the events of 1982–1983 and 1997–1998 in order to confirm their results. The authors should make their justification more clear or insert more discussion on this point.

We inserted the following phrases in the last paragraph of Section 2: “In order to estimate the extent of this variation ... markedly smaller than the value of 0.0205”. We also added Figure 4.

Author's changes in manuscript

- 1) We made a few editing improvements and inserted a few clarifications for the reader's convenience.**
- 2) We also redrawn Figure 2 in order to make it more clear to the reader.**
- 3) After the revision implemented, the present content of the paper reflects better the features of a research paper. That is why in the revised version we deleted the "Technical note" from its title.**

1 On the progress of the 2015–2016 El Niño event

2
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9 10 **Abstract**

11 It has been recently reported that the current 2015–2016 El Niño could become “one of the
12 strongest on record”. To further explore this claim, we performed the new analysis described
13 in detail in Varotsos et al. (2015) that allows the detection of precursory signals of the strong
14 El Niño events by using a recently developed non-linear dynamics tool. In this context, the
15 analysis of the Southern Oscillation Index time series for the period 1876–2015 shows that the
16 running 2015–2016 El Niño would be rather a “moderate to strong” or even a “strong” event
17 and not “one of the strongest on record”, as that of 1997–1998.

18 19 **1 Introduction**

20 El Niño/La Niña Southern Oscillation (ENSO) is an oceanic-atmospheric quasi-periodic
21 phenomenon with **several** impacts on climate and weather not only in the tropical Pacific, but
22 in many regions all over the world (**Varotsos and Deligiorgi, 1991**; Kondratyev and Varotsos,
23 1995**a,b**; Klein et al., 1999; Xue et al., 2000; Eccles and Tziperman, 2004; **Cracknell and**
24 **Varotsos, 2007, 2011**; Lin, 2007; Chattopadhyay and Chattopadhyay, 2011; Efstathiou et al.,
25 **1998, 2011**; **Varotsos, 2013**; Varotsos et al., 2009**a, 2012, 2014a,b**). The disastrous effects of
26 the strong ENSO events necessitate their reliable short and long-term prediction (Latif et al.,
27 1998; Stenseth et al., 2003; Monks et al., 2009; Hsiang et al., 2011; Cheng et al., 2011;
28 Barnston et al., 2012; Krapivin and Shutko, 2012; Tippett et al., 2012). In this context,
29 Varotsos et al. (2015) presented a new method (see also Varotsos and Tzanis, 2012) for the

1 detection of precursory signals of the strong El Niño events by using the **entropy** change in
2 “natural time” (a new time domain, **see** Varotsos et al., 2002) under time reversal. The
3 analysis of the Southern Oscillation Index (SOI) time series by **using** this modern method
4 provided significant precursory signals of two of the strongest El Niño events (1982–1983 and
5 1997–1998).

6 Very recently, Klein (2015) reported that the running 2015–2016 El Niño could become “one
7 of the strongest on record”. Furthermore, the Australian Government Bureau of Meteorology
8 (BOM) in their report
9 (http://www.bom.gov.au/climate/enso/archive/ensowrap_20150901.pdf) of 1 September 2015
10 stated that “The 2015 El Niño is now the strongest El Niño since 1997–98” and moreover on
11 29 September 2015 they reported that most international climate models indicate current El
12 Niño (http://www.bom.gov.au/climate/enso/archive/ensowrap_20150929.pdf) “is likely to
13 peak towards the end of 2015” as also reported on 8 October 2015 by the Climate Prediction
14 Center, National Centers for Environmental Prediction, National Oceanic and Atmospheric
15 Administration (NOAA)/National Weather Service
16 (http://www.cpc.ncep.noaa.gov/products/analysis_monitoring/enso_disc_oct2015/ensodisc.pdf).
17 f).

18 In this study, we further explore these claims, by **applying to the SOI time series the recently**
19 **proposed analysis by Varotsos et al. (2015). The ability of accurate predictions of such severe**
20 **natural events, like El Niño, is of crucial importance especially nowadays, where the global**
21 **annual average temperature in 2015 reached the warmest on record values, which might be**
22 **associated with the 2015 El Niño event (WMO, 2016).**

23

24 **2 Results and discussion**

25 As mentioned in the previous section, we **analyse** the SOI time series (Troup, 1965; Power
26 and Kociuba, 2011) for the period January 1876 – October 2015 **by employing the method**
27 **described in detail in Varotsos et al. (2015). More specifically, we conduct the analysis of the**
28 **SOI monthly values by using the** dataset, entitled “Monthly SOI Phase 1887 – 1989 Base”,
29 (<https://www.longpaddock.qld.gov.au/seasonalclimateoutlook/southernoscillationindex/soidat>
30 [afiles/index.php](https://www.longpaddock.qld.gov.au/seasonalclimateoutlook/southernoscillationindex/soidat)) **derived from the Long Paddock site. It should be clarified that we** use the
31 **monthly values of SOI, instead of the daily ones, as the latter introduce significant noise** due

1 to daily weather patterns **variability**. It should be reminded here that El Niño and La Niña
2 episodes are associated with negative and positive values of the SOI, respectively.

3 The method used by Varotsos et al. (2015) is based on the entropy **change** in natural time
4 under time reversal ΔS_i (e.g., see Varotsos et al., 2005, 2007, 2009b; Sarlis et al., 2010, 2011)
5 calculated for a window size of i events. **Within this window, natural time χ_k characterizing**
6 **the k -th event is defined by $\chi_k = k/i$ (Varotsos et al., 2002). The analysis in natural time is**
7 **based on the study of the pair (χ_k, Q_k) where $Q_k (> 0)$ is proportional to the “energy” emitted**
8 **during the k -th event. Thus, one can define the quantity $p_k = Q_k / \sum_{n=1}^i Q_n$ which can be**
9 **considered as a probability, since it is positive and satisfies the condition $\sum_{n=1}^i p_n = 1$**
10 **(Varotsos et al., 2011). For the study of El Niño, Varotsos et al. (2015) suggested that Q_k**
11 **could be considered proportional to $(SOI + c)$, where c is an appropriate constant, since Q_k**
12 **should be positive. Under these assumptions, the average values of quantities, which are**
13 **functions of natural time χ , can be evaluated by $\langle f(\chi) \rangle = \sum_{n=1}^i f(\chi_n) p_n$ and the entropy in**
14 **natural time can be defined by $S = \langle \chi \ln \chi \rangle - \langle \chi \rangle \ln \langle \chi \rangle$ (Varotsos et al., 2005, 2011). The latter**
15 **quantity changes to a value S_- if, instead of the true sequence of events, one uses the time-**
16 **reversed process that is described by $p'_k = \hat{T} p_k = p_{i-k+1}$, where \hat{T} denotes the time reversal**
17 **operator in the window of i events. The quantity $\Delta S_i (= S - S_-)$ reveals the breaking of time-**
18 **symmetry by capturing the difference in the dynamics as the system evolves from present to**
19 **future and vice-versa. In short, it has been shown (e.g., see Varotsos et al., 2007, 2011) that**
20 **positive values of ΔS_i correspond to a decreasing time-series in natural time, and hence when**
21 **ΔS_i exceeds a certain threshold this reveals that SOI is approaching at small values indicating**
22 **El Niño (Varotsos et al., 2015). Varotsos et al. (2015) have also shown (see their Fig. 4) that**
23 **the most useful window size for this purpose is $i = 20$ events (months). In their prediction**
24 **scheme, the monthly SOI values for the past 20 months are used for the calculation of ΔS_{20}**
25 **(see the red crosses in Figs. 1 and 3) and compared with a threshold ΔS_{thres} , which can be**
26 **determined on the basis of Receiver Operating Characteristics (ROC, see Fawcett, 2006).**
27 **ROC is a method for the visualization, evaluation, and selection of prediction schemes based**
28 **on their performance, which is quantified by a plot of the hit rate vs. the false alarm rate**
29 **obtained by the following procedure applied to the present case. When $\Delta S_{20} \geq \Delta S_{\text{thres}}$, one**

1 issues an alarm that the value of SOI for the next month will be smaller than or equal to T (see
2 the black broken line in Fig. 2). If this turns out to be true, then we have a true positive
3 prediction. If $\Delta S_{20} < \Delta S_{\text{thres}}$ and the next month's SOI is larger than T , then we have a true
4 negative prediction. All other combinations lead to errors (which are inevitable in stochastic
5 prediction), which can be either false positive or false negative predictions. Figure 2 depicts
6 the ROC curve obtained, when using ΔS_{20} as a predictor for the SOI value of the next month
7 with $T = -14$ (which is the upper limit of the yellow area in Figs. 1 and 3 discussed below).
8 This is a diagram of the hit rate (or True Positive rate, i.e., the number of true positive
9 predictions over all cases with $\text{SOI} \leq T = -14$) vs. the false alarm rate (or False Positive rate,
10 i.e., the number of false positive predictions over all cases with $\text{SOI} > -14$) as we vary ΔS_{thres} .
11 A method to estimate an appropriate value of ΔS_{thres} is that of iso-performance lines suggested
12 by Provost and Fawcett (1998, 2001). In this scheme, a line of constant slope m (see the blue
13 line in Fig. 2) is selected on the basis of the relative cost of false positive predictions over the
14 cost of false negative predictions multiplied by the relative frequency of negatives over
15 positives, i.e., see Eq. (1) of Fawcett (2006). As a typical selection we chose $m = 1$. We fitted
16 ROC points with the red curve (having a simple analytical form $a + b\sqrt{x} + cx^d$) and
17 determined the point at which the slope was unity. This leads to the ROC point indicated by
18 an arrow in Fig. 2 and corresponds to $\Delta S_{\text{thres}} = 0.0035$ (i.e., a value very close to that 0.00326
19 presented in Table 1 of Varotsos et al (2015) for $T = -15$). Thus, in Figs. 1 and 3 when $\Delta S_{20} \geq$
20 0.0035 the alarm is set on for the SOI value of the next month.

21 The time progress of the SOI monthly values as well as the entropy change in natural time
22 under time reversal (for the window length $i = 20$ months) ΔS_{20} are depicted in Fig. 1 (as well
23 as in Fig. 3). Beyond the information gained from the exploration of the ΔS_{20} dynamics and in
24 order to further identify if 2015–2016 El Niño could be characterized as a “very strong” one
25 or even more as “one of the strongest on record”, we followed the classification and
26 characterization of the past El Niño events given by BOM
27 (<http://www.bom.gov.au/climate/enso/enlist/>). The coloured areas in Figs. 1 and 3 represent
28 the mean minimum negative values of SOI along with the 1σ standard deviation bands for the
29 two cases of “weak, weak to moderate, moderate, moderate to strong” (green band) and
30 “strong, very strong” (yellow band) El Niño events.

31 As can be clearly seen in Fig. 3, the SOI values during the last three months remain in the
32 green band and in the limits of the yellow one, indicating that 2015 El Niño should be rather

1 characterized as a “moderate to strong” or even “strong” event and not “one of the strongest
2 on record”, as also shown by comparing with the El Niño events of 1982–1983 and 1997–
3 1998. Furthermore, the variation of ΔS_{20} during the 2015 El Niño in comparison with 1982–
4 1983 and 1997–1998 El Niño events is not as sharp, confirming that the undergoing El Niño
5 event is not “one of the strongest on record”. In order to estimate the extent of this variation,
6 we plot with the black curve in Fig. 4 the probability density function (PDF) of ΔS_{20} obtained
7 from the estimator $f_N(\Delta S_{20}) = \frac{1}{N} \sum_{i=1}^N \frac{1}{b_N} K\left(\frac{\Delta S_{20} - O_i}{b_N}\right)$, where O_i are the observed values of
8 ΔS_{20} since the beginning of our study, N is the total number of these observations, the kernel
9 $K(x)$ is non-zero only when $|x| < 1$ having the value $K(x) = \frac{3}{4}(1 - x^2)$ and b_N is related with the
10 standard deviation σ of the observed ΔS_{20} values by $b_N = 10.25\sigma / N^{0.34}$ as suggested by
11 Mercik et al. (1999). We observe in Fig. 4 that only rarely ΔS_{20} exceeds the value of 0.02,
12 which can be also verified by the red histogram obtained for ΔS_{20} using the TISEAN package
13 (Hegger et al., 1999) (also plotted in Fig. 4). In the latter histogram, the minimum non-zero
14 height is observed in the bar that includes the value $\Delta S_{20} = 0.02$ covering the range up to
15 approximately 0.0205. To detect when ΔS_{20} exceeds the latter value, we plot with blue crosses
16 the time series of ΔS_{20} vs. time, which can be read in the right axis of Fig. 4. We see (blue
17 arrows in Fig. 4) that $\Delta S_{20} > 0.0205$ is observed only in the three strong El Niño events of
18 1905-1906, 1982-1983 and 1997-1998. This inequality, however, is not fulfilled in the current
19 case (2015–2016 El Niño), since the currently observed values are close to 0.01, i.e.,
20 markedly smaller than the value of 0.0205.

21

22 **3 Conclusions**

23 Recent reports indicate that 2015–2016 El Niño event could become “one of the strongest on
24 record” or could be already characterized as “the strongest El Niño since 1997–98”. In order
25 to investigate these assertions, we analyzed the SOI time series for the period January 1876 –
26 October 2015 by using the method described in Varotsos et al. (2015) based on the entropy
27 change in natural time under time reversal. The results obtained indicate that the undergoing
28 2015–2016 El Niño event should be rather characterized as a “moderate to strong” or even
29 “strong” event and not “one of the strongest on record”.

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Figure captions

1

2

3 **Figure 1.** The entropy change ΔS_{20} in natural time for the window length $i = 20$ months (red
4 line, left scale) along with SOI monthly values (blue line, right scale) for the period January
5 1980 – October 2015. The alarm is set on (black line), when ΔS_{20} exceeds the threshold value
6 $\Delta S_{\text{thres}} = 0.0035$.

7

8 **Figure 2.** The hit rate vs. false alarm rate when using ΔS_{20} as a predictor for the SOI value of
9 the next month. The ROC point indicated by the arrow has been selected so that the slope of
10 the tangent of the analytical fitting of the ROC points indicated by the red curve has unit slope
11 and hence it corresponds to the $m = 1$ iso-performance line of the ROC space (e.g., see
12 Fawcett, 2006; Provost and Fawcett, 1998, 2001).

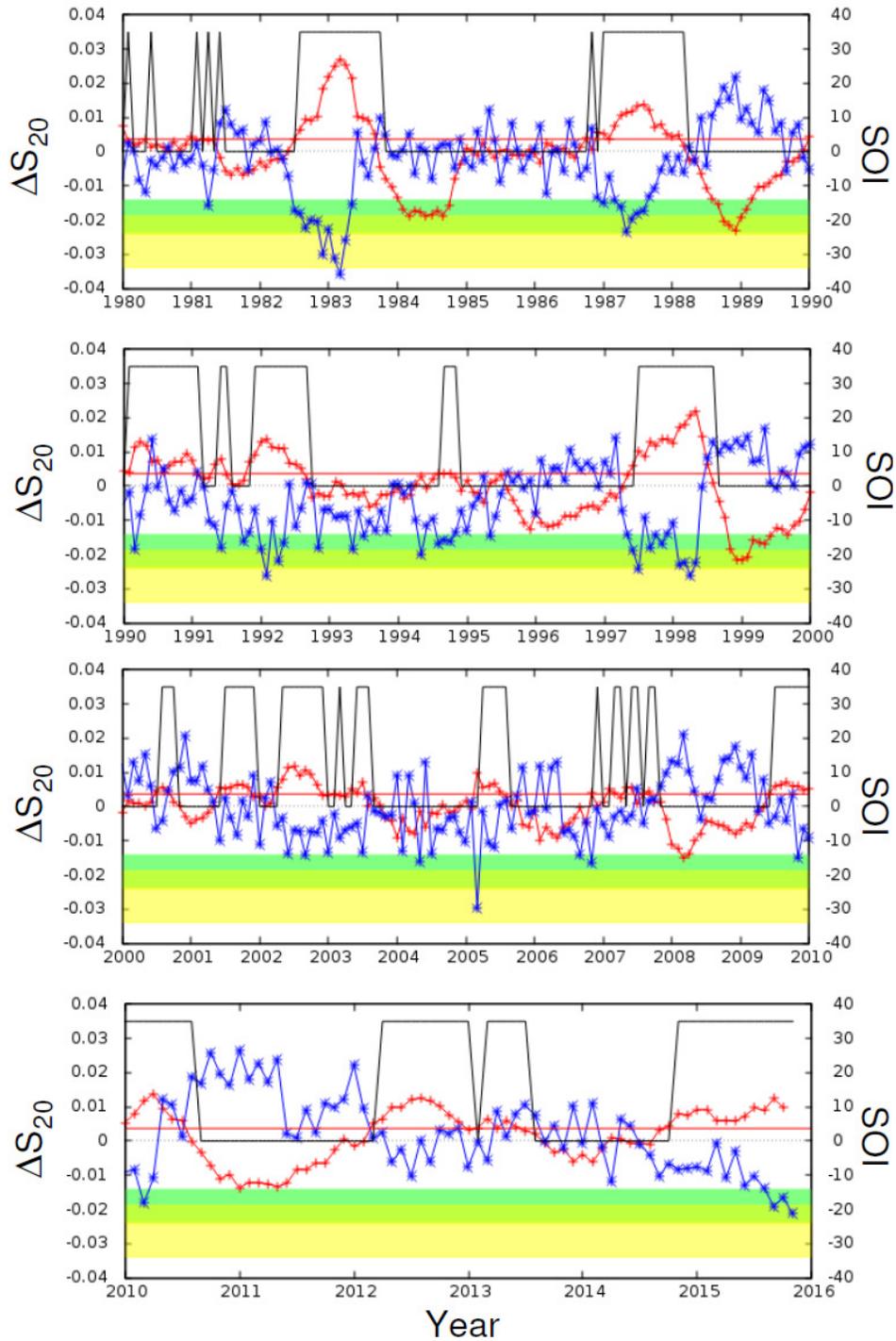
13

14 **Figure 3.** As in Fig. 1, but only for the 1982–1983, 1997–1998 (the two strongest in the last
15 century) and the current 2015–2016 El Niño events.

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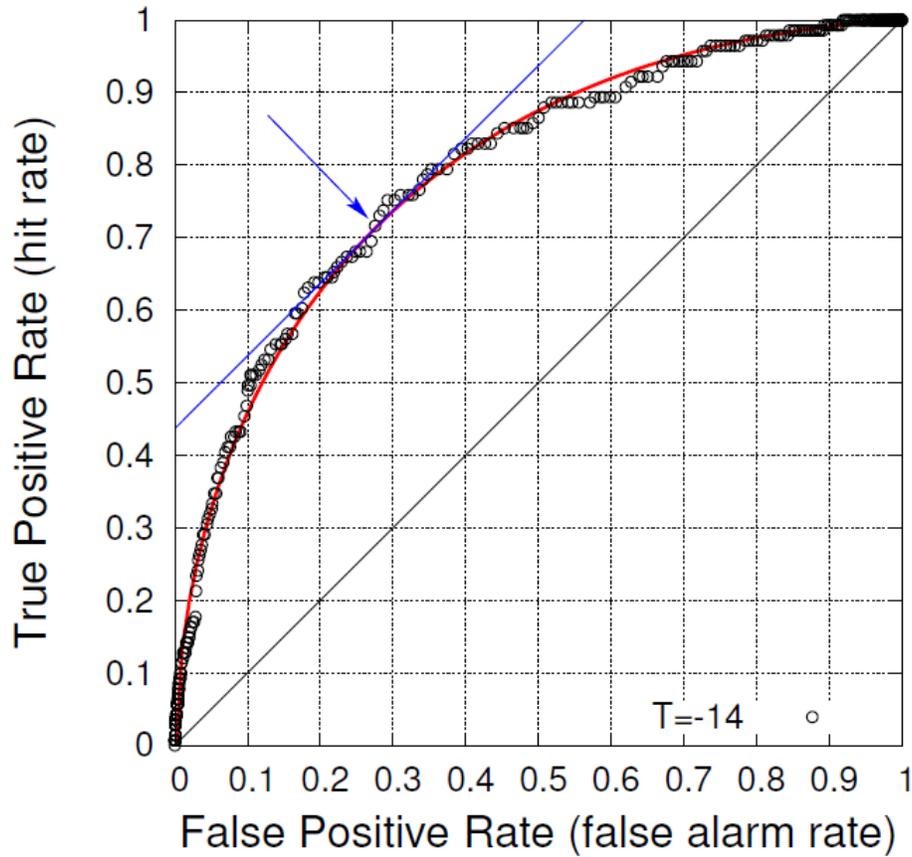
17 **Figure 4.** The PDF of ΔS_{20} (black curve, left scale) together with the corresponding histogram
18 (red bars, left scale) obtained from the time series of ΔS_{20} , which is also plotted vs. time (blue
19 crosses, right scale) along the vertical axis. The arrows indicate when ΔS_{20} exceeds 0.0205
20 and are labeled by the corresponding ongoing strong El Niño events.

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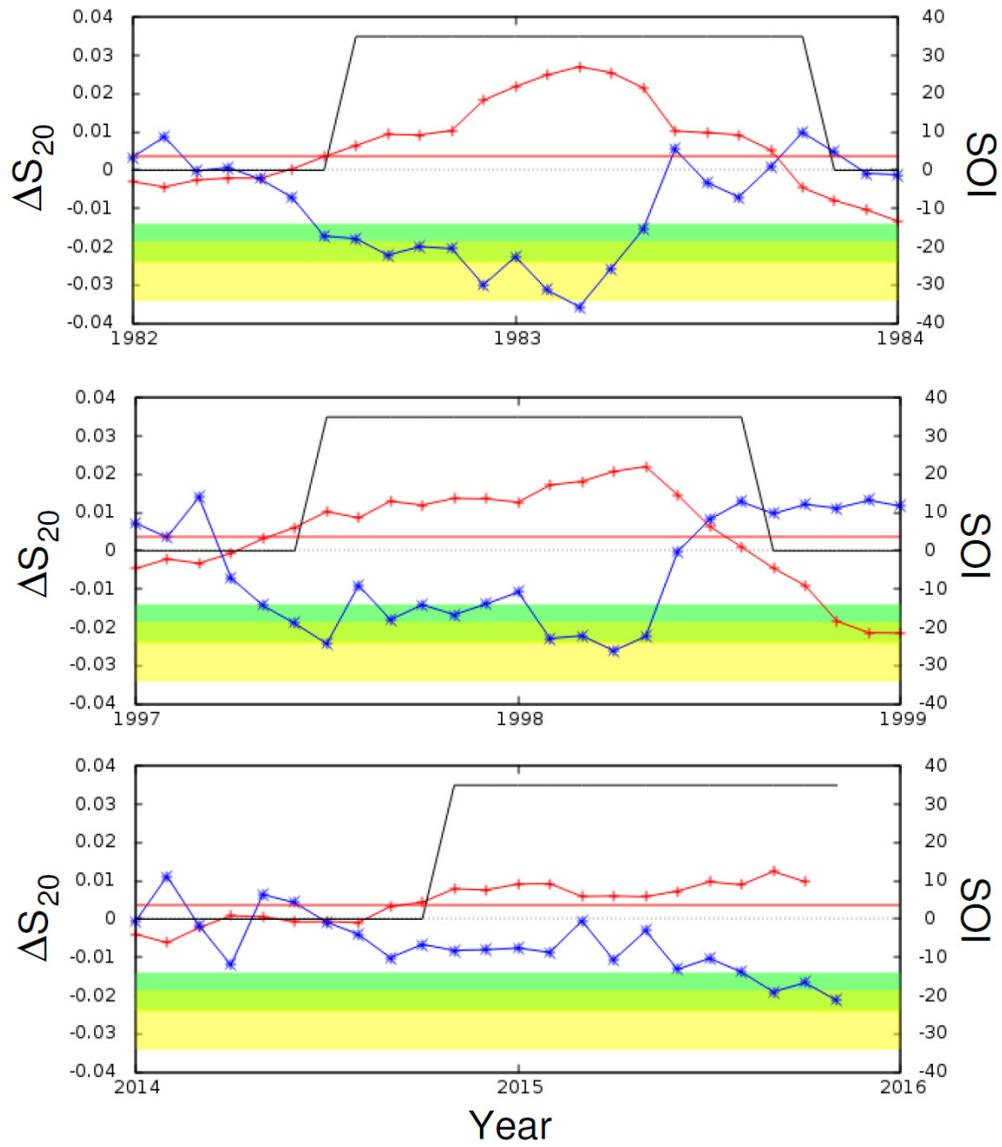
2 **Figure 1.** The entropy change ΔS_{20} in natural time for the window length $i = 20$ months (red
3 line, left scale) along with SOI monthly values (blue line, right scale) for the period January
4 1980 – October 2015. The alarm is set on (black line), when ΔS_{20} exceeds the threshold value
5 $\Delta S_{\text{thres}} = 0.0035$.



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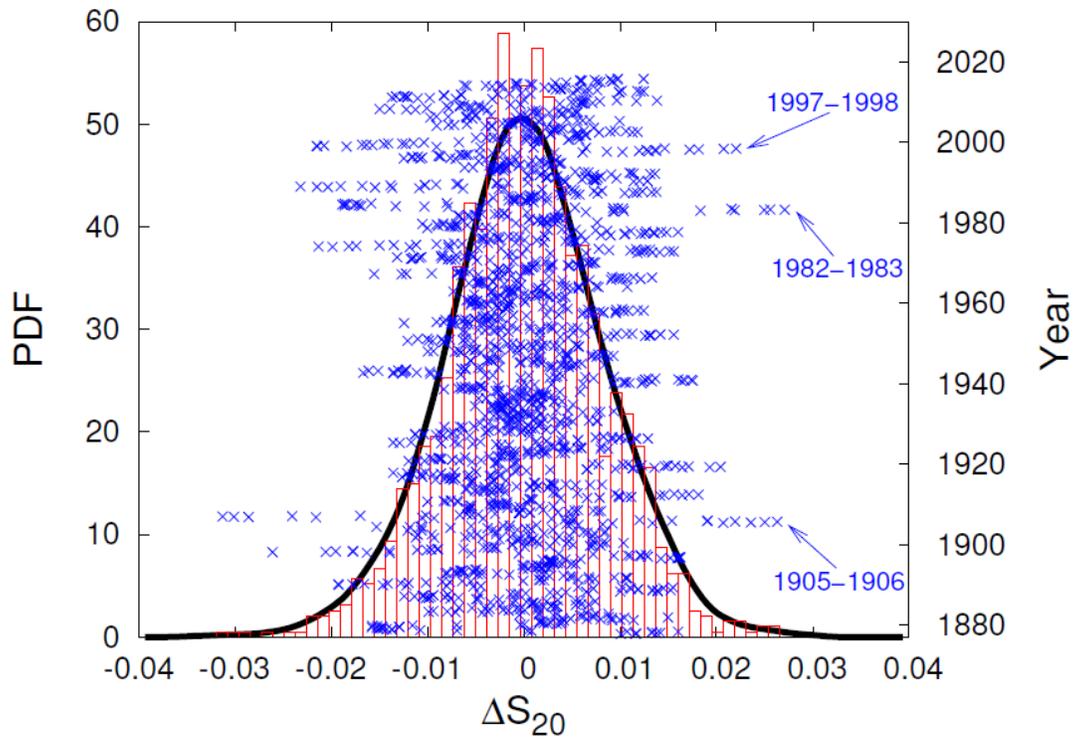
3 **Figure 2.** The hit rate vs. false alarm rate when using ΔS_{20} as a predictor for the SOI value of
 4 the next month. The ROC point indicated by the arrow has been selected so that the slope of
 5 the tangent of the analytical fitting of the ROC points indicated by the red curve has unit slope
 6 and hence it corresponds to the $m = 1$ iso-performance line of the ROC space (e.g., see
 7 Fawcett, 2006; Provost and Fawcett, 1998, 2001).



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3 **Figure 3.** As in Fig. 1, but only for the 1982–1983, 1997–1998 (the two strongest in the last
 4 century) and the current 2015–2016 El Niño events.



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Figure 4. The PDF of ΔS_{20} (black curve, left scale) together with the corresponding histogram (red bars, left scale) obtained from the time series of ΔS_{20} , which is also plotted vs. time (blue crosses, right scale) along the vertical axis. The arrows indicate when ΔS_{20} exceeds 0.0205 and are labeled by the corresponding ongoing strong El Niño events.