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**Climate and fragmentation affect forest structure in the southern border of
Amazonia**

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25 **Abstract**

26 **Background:** The remaining forests in the extensive contact zone between southern
27 Amazonia (seasonal rain forest) and the Cerrado (savanna) biomes are at risk due to
28 intense land-use and climate change.

29 **Aims:** To explore the vulnerability of these transitional forests to changes in land use
30 and climate, we evaluated the effects of fragmentation and climatic variables on forest
31 structure.

32 **Methods:** We measured the diameter and height of 14,185 trees with diameter ≥ 10 cm
33 at 24 forest plots distributed over an area of 25,000 km². For each plot, we obtained data
34 on contemporary fragmentation and climatic variables.

35 **Results:** Forest structure variables (height, diameter, height:diameter allometry,
36 biomass) varied significantly both within and among plots. The height, H:D and
37 biomass of trees were positively correlated with annual precipitation and fragment area.

38 **Conclusions:** The association between forest structure and precipitation indicates that
39 these forests plots are likely to be vulnerable to dry season intensification anticipated for
40 the southern edge of the Amazon. Additionally, the reduction in the fragment area may
41 contribute to reductions in forest biomass and tree height, and consequently ecosystem
42 carbon stocks. Given the likely susceptibility of these forests, urgent conservation action
43 is needed to prevent further habitat degradation.

44

45 **Keywords:** allometry; Amazon arc of deforestation; biomass; climate change; habitat
46 fragmentation; precipitation; stem diameter; tree height; transition zone

47

48 **Introduction**

49 Across the Earth's biomes, environmental conditions are expected to be
50 more variable close to the edges than in the core area of each biome, posing potentially
51 ecological and evolutionary challenges to biota towards their biogeographical edges
52 (Safriel et al. 1994; Kark and van Rensburg 2006; Kark et al. 2008). This may be
53 particularly the case in regions subject to rapid environmental change, of which perhaps
54 the most extreme example are the forests of the southern edge of the Amazon rain forest
55 biome, an area affected by high deforestation rates and subject to significant recent and
56 forecast climate change. Thus, here the advance of the agricultural frontier has already
57 resulted in converting most forest to pasture and cropland, increasingly fragmenting the
58 landscape over the last few decades (Alencar et al. 2004, 2015; Nogueira et al. 2008).
59 The remaining forests are subject to recent climate change, including lengthening of the
60 dry season and increasing incidence of strong droughts (Marengo et al. 2011; Gloor et
61 al. 2015; Feldpausch et al. 2016), trends which are expected to intensify further (e.g.
62 Boisier et al. 2015). The land surface temperature has been rising steadily recently,
63 especially in the south and east of the Amazon region (Jiménez-Muñoz et al. 2013), and
64 the effects of these climatic changes may be exacerbated by changes in land use
65 (Aragão 2012; Silvério et al. 2015). Finally, research elsewhere in Amazonia clearly has
66 indicated that the structure of the tropical forest vegetation is affected by both climate
67 change (e.g. Phillips et al. 2010; Feldpausch et al. 2016) and fragmentation of habitats
68 (e.g. Laurance et al. 1997, 2000; Laurance 2004).

69 Yet few studies have evaluated structural variation among the forests in the
70 southern border region of the Amazon forest biome and its covariation with climate and
71 landscape factors. Exceptions include one analysis of the effects of the interaction
72 between droughts and wildfires on tree mortality at one experimental site (Brando et al.

73 2014), and a landscape study which showed that habitat fragmentation, combined with
74 droughts, increased the susceptibility of the forests to fire (Alencar et al. 2015). We are
75 not aware of a single study that has evaluated the effects of habitat fragmentation and
76 different climate variables across the region's forests using direct, on-the-ground
77 measurement of vegetation structural variables such as tree diameter, height, and
78 biomass.

79 Habitat fragmentation, by decreasing fragment size and increasing forest
80 edges and numbers of fragments, may modify the forest structure in the remaining
81 fragments (Fahring 2003; Haddad et al. 2015). For example, fragment edges are subject
82 to a greater incidence of insolation and increased velocity of winds, resulting in higher
83 temperatures and a drier microclimate than the forest interior (D'Angelo et al. 2004;
84 Laurance 2004; Haddad et al. 2015), which increases tree mortality rates, principally for
85 larger trees (Laurance et al. 2000; Laurance 2004). The death of bigger trees reduces
86 total biomass, height, mean diameter and basal area, especially in the smaller fragments
87 and the areas closest to the forest edge, although with some mortality effects also
88 propagating a few hundred meters into the forest (Laurance 2004; Haddad et al. 2015;
89 Rocha-Santos et al. 2016). Recently, it has even been suggested, based on interpretation
90 of pantropical satellite imagery, that in tropical forests the negative effects on standing
91 biomass and forest structure penetrate as much as 1.5 km into forests (Chaplin-Kramer
92 et al. 2015).

93 In addition to landscape-scale factors, regional climate is related to variation
94 in the forest structure (e.g. Banin et al. 2015). For example, where precipitation and
95 temperature are higher, forests generally have taller trees that accumulate more biomass
96 (Koch et al. 2004; Way and Oren 2010; Feldpausch et al. 2011; Pan et al. 2013; Chave

97 et al. 2014). However, in the very warmest forests the forest structural responses are
98 unclear. There is some evidence that here plants may photosynthesise less and expend
99 more energy on respiration, so potentially accumulating less biomass (Lloyd and
100 Farquhar 2008; Lewis et al. 2013). However, the temperature sensitivity of key
101 respiration processes appears to decline in warmer environments (Atkin et al. 2015,
102 Heskell et al. 2016), rather than increasing exponentially as simple Q_{10} formulations in
103 earlier global vegetation models suggested (Cox et al. 2000), suggesting that the overall
104 sensitivity of biomass stocks to high temperatures might be weaker than many models
105 indicated.

106 Extreme drought events may alter the forest structure. Drought causes
107 mortality, principally in the bigger trees, which are more susceptible to damage in their
108 vascular system (Phillips et al. 2010; Rowland et al. 2015; Bennett et al. 2015;
109 Feldpausch et al. 2016). During drought events, tropical trees may also grow less (e.g.
110 Worbes 1999; Doughty et al. 2015), and if droughts are prolonged or repeated forests
111 eventually accumulate less biomass (Feldpausch et al. 2016; Rowland et al. 2015).

112 In the context of regional land-use and climatic changes in southern Amazonia,
113 and the projected high regional climate sensitivity to global warming (IPCC 2015), it is
114 therefore extremely important to understand how the forest structure is affected by abiotic
115 factors. It may for example help to improve the conservation measures to protect the
116 remaining forest fragments. In this study, we evaluated whether, and to what extent,
117 climatic factors and fragmentation determine variation in the forest structure of the
118 southern Amazon border. We assembled data from permanent plots established across
119 the region close to the natural border of Amazonia with the neighboring Cerrado
120 (savanna) biome, to test hypotheses related to the variation in the forest structure and

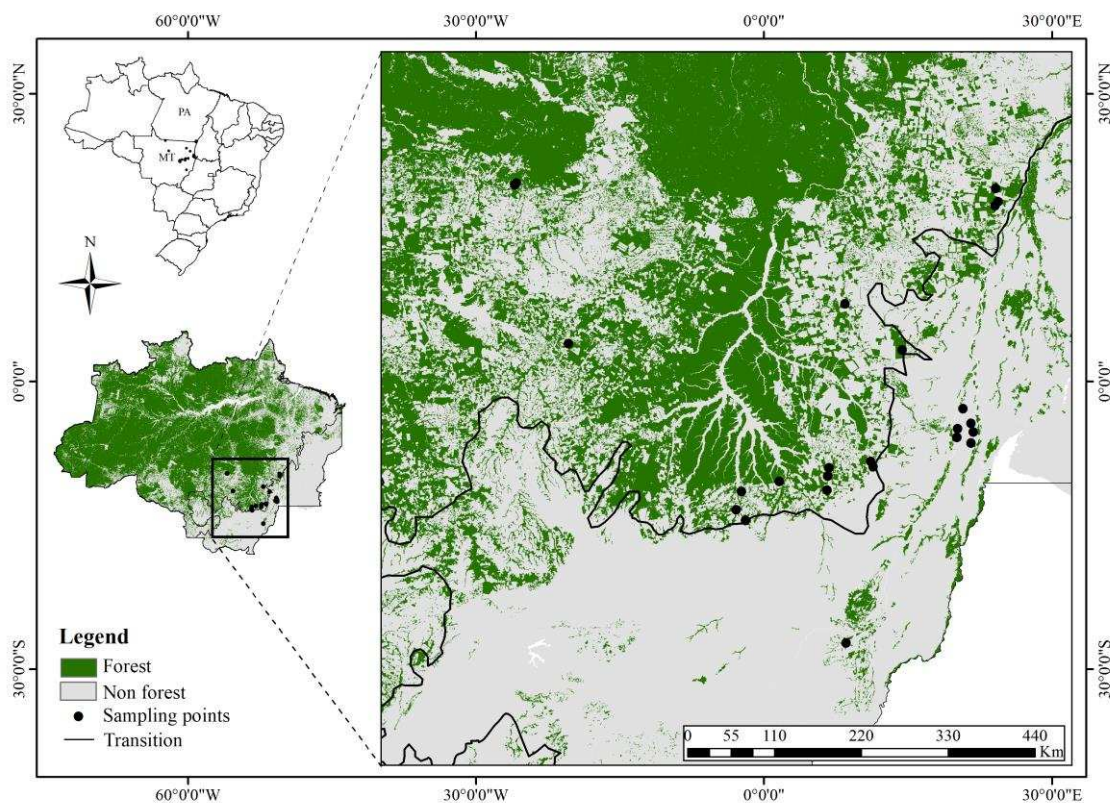
121 the factors that determine this variation. We addressed two questions. First, does habitat
122 fragmentation affect the forest structure? We expected that forest cover loss and forest
123 plots present in smaller fragments and/or nearer the edge would have trees with lower
124 height and smaller diameter stems, or with smaller height:diameter (H:D) allometric
125 relationships and reduced biomass, since work elsewhere has shown mortality rates are
126 greater in smaller, more edge-affected fragments, especially for bigger trees (e.g.
127 Laurance et al. 1997, 1998, 2000; Laurance 2004; Chaplin-Kramer et al. 2015). Second,
128 how does the forest structure vary in relation to the climate? We expected that the
129 height and the diameter of stems, the H:D ratio, and biomass were all greater in forest
130 plots that have greater precipitation, and consequently less deficit water, since the
131 greater water availability favours the height growth of the trees, accumulating more
132 biomass (e.g. Feldpausch et al. 2011; Pan et al. 2013; Chave et al. 2014).

133

134 **Materials and methods**

135 Study area

136 We studied 24 forest plots distributed in the so-called ‘arc of deforestation’
137 (Nogueira et al. 2008) over an area of ca. 25,000 km² (Figure 1 and Table 1). The
138 regional climate is of the Aw (tropical with dry winters) and Am (tropical monsoon)
139 types in the Köppen classification system (Alvares et al. 2013), and originally supported
140 evergreen or semi-evergreen forest vegetation in all cases. Mean annual precipitation
141 and temperature range from 1511 to 2353 mm and from 24.1 to 27.3 °C, respectively
142 (Table 1).



143

144 Figure 1. Location of the forests sampled in the southern Amazon border, between
 145 eastern and northern Mato Grosso and southern Pará, Brazil, showing the approximate
 146 biome boundaries based in IBGE (2004). The classification of forest and no forest was
 147 based on the PRODES (Amazon Deforestation Monitoring Project) (INPE 2017). All
 148 plots sampled lie within mature, evergreen or semi-evergreen forest fragments.

149

150 Table 1. Characteristics of plots sampled in different tropical forest ecosystems at the
 151 southern Amazon border. FA, fragment area; DE, distance to the forest edge; Prec, total
 152 mean annual precipitation; Temp, mean annual temperature; TB, total above-ground
 153 biomass per hectare; PP, private properties; and CU, conservation unit. In this study, we
 154 used codes ('Plot code') to represent the different types of vegetation: FEP, floresta
 155 estacional perenifólia (seasonal evergreen forest), FTP, floresta estacional perenifólia
 156 em terra preta de índio (seasonal evergreen forest on anthropogenic black earth); FES,

157 floresta estacional semidecidual (seasonal semi-deciduous forest); FOA, floresta
 158 ombrófila aberta (open rainforest); and FSI, floresta sazonalmente inundável
 159 (seasonally flooded forest). Equivalent forest plot codes are given to indicate
 160 equivalency to those codes used in the ForestPlots.net database (Lopez-Gonzalez et al.
 161 2011) where the data have been deposited.

Plot Code	Forest plot code	Geographical coordinate	Local	AF (ha)	DE (m)	Prec (mm)	Temp (°C)	TB (Mg)
FEP-01	FLO-01	-12.8S and -51.9W	PP	870	1,030	1613	25.5	111.1
FEP-02	FLO-02	-12.8S and -51.9W	PP	2,035	1,000	1621	25.6	144.7
FEP-03	TAN-02	-13.1S and -52.4W	PP	8,432	990	1625	24.9	143.5
FEP-04	TAN-03	-12.8S and -52.3W	PP	16,901	520	1679	25.1	127.4
FEP-05	TAN-04	-12.9S and -52.4W	PP	16,901	329	1662	25	138.3
FEP-06	FRP-01	-11.5S and -51.5W	PP	45,459	3,600	1634	26.9	135.1
FEP-07	POA-01	-11.0S and -52.2W	PP	9,789	1,180	1772	26.1	140.1
FES-01	VCR-02	-14.8S and -52.2W	PP	4,968	1,350	1511	25.2	196.8
FES-02	GAU-02	-13.4S and -53.3W	PP	3,499	160	1701	24.1	91.7
FES-03	SAT-01	-9.8S and -50.5W	PP	17,624	90	1821	26.7	121.8
FES-04	SAA-01	-9.8S and -50.4W	PP	13,039	860	1815	26.8	187.7
FES-05	SAA-02	-9.6S and -50.4W	PP	15,680	2,980	1778	26.6	166.3
FOA-01	SIP-01	-11.4S and -55.3W	PP	12,066	900	1848	25.1	79.2
FOA-02	ALF-01	-9.6S and -55.9W	CU	17,628	5,440	2350	25.5	98.8
FOA-03	ALF-02	-9.6S and -55.9W	CU	17,628	5,410	2353	25.6	160.5
FSI-01	PEA-01	-12.1S and -50.8W	CU	21	1	1631	27.3	133.7
FSI-02	PEA-02	-12.3S and -50.7W	CU	378	1	1637	27.2	154.7
FSI-03	PEA-03	-12.4S and -50.9W	CU	164	1	1621	27.1	131.4
FSI-04	PEA-04	-12.4S and -50.7W	CU	605	1	1637	27.1	210.4
FSI-05	PEA-07	-12.5S and -50.9W	CU	5	1	1621	27.1	226.8
FSI-06	PEA-08	-12.5S and -50.7W	CU	8	1	1632	27	222.5
FTP-01	GAU-04	-13.1S and -53.3W	PP	234	150	1795	24.7	145.8
FTP-02	GAU-05	-13.0S and -52.9W	PP	29,560	2,720	1757	24.9	250.2
FTP-03	GAU-06	-13.3S and -53.4W	PP	85	80	1729	24.7	176.9

162

163 Forest fragments

164 The largest and best preserved regional fragments of mature forests were
 165 selected for the study, using Google Earth imagery in order to capture regional variation
 166 in floristics and physiognomy, and with at least three plots for each forest type. All
 167 forest fragments are surrounded by extensive cattle-ranching or soybean fields. The
 168 fragments surveyed varied in size from 5 to 45,459 ha (Table 1).

169

170 Forest structure

171 In each fragment we established an inventory plot of 1 ha, which was
172 subdivided into 25 contiguous subplots of 20 m x 20 m. The forest plots were
173 established between 2008 and 2016 within the private properties and in conservation
174 units; locations varied between 1 and 5440 m from the nearest edge of the fragment. Six
175 plots were seasonally flooded (Table 1) and occasionally affected by fire; the others
176 have no recent record of fire and were either on anthropogenic black earth (terra preta
177 de índio), open rain forests, seasonal evergreen forests, or seasonal semi-deciduous
178 forests (Table 1). For this study, we used the latest available censuses between 2013 and
179 2016.

180 We identified and tagged all the woody individuals with a diameter at breast
181 height (1.3 m) of ≥ 10 cm, for a total of 14,185 (range = 338-1599; standard deviation =
182 31) trees and at least 410 (range = 9-135; standard deviation = 256) taxa identified to
183 species level. We identified species in the field or by comparison of collections with
184 herbarium (NX, UFMT, UB and IAN) material of known identity, and with the help of
185 specialists. After identification, the material was incorporated into Herbarium NX, Nova
186 Xavantina, Mato Grosso (Coleção Zoobotânica James Alexander Ratter). We
187 determined the classification of families based on APG III (Angiosperm Phylogeny
188 Group 2009) and reviewed and updated the nomenclature of the taxa using the Lista de
189 Espécies da Flora do Brasil (<http://floradobrasil.jbrj.gov.br/2015>).

190 We measured the diameter of each tree following standard protocols of the
191 RAINFOR network (<http://www.rainfor.org/>). We measured the total height using a

192 Leica DISTO laser measurement device. Data were deposited in the ForestPlots.net
193 forest monitoring database (Lopez-Gonzalez et al. 2011).

194

195 Habitat fragmentation

196 To evaluate the effect of habitat fragmentation on forest structure, we
197 measured distance from each plot to the forest edge, the size of each fragment and the
198 forest cover in surrounding landscapes. Whenever possible we measured the distance to
199 the nearest edge in the field. When this was not possible, we estimated this value using
200 Google Earth, which provided a spatial resolution of approximately 20 to 30 m
201 depending on available imagery, and based on our own detailed knowledge, having
202 explored the local context of each plot on foot. In our definition of forest habitat edge,
203 we included all other vegetation and land-use such as plantations, pastures, and roads at
204 least 25 m wide, as well as natural grasslands in the six floodplain forests.

205 We calculated the area of the fragment where each plot was located using
206 Google Earth and ZONUM software (<http://zonums.com/online/kmlArea/>). These edge
207 and fragment data were collected at the closest possible date to the field sampling and in
208 no case were they collected more than 2 years after the last forest census.

209 We calculated the percentage of forest cover surrounding each plot using
210 buffers of radius size of 1000 m (314 ha), following recommendations of Rocha-Santos
211 et al. (2016). For this we used the land-based metrics in the Fragstats software, that
212 computes descriptors of forest patch and landscape attributes (McGarigal and Cushman
213 2002).

214

215 Climate variables

216 To evaluate the climate effect on the forest structure, we obtained data on 19
 217 bioclimatic variables (Table S1) from the WorldClim 1.4 database, with a horizontal
 218 resolution of ca. 1 km (Hijmans et al. 2005). We also used data from the Tropical
 219 Rainfall Monitoring Mission (TRMM) (NASA 2012) to derive the mean of the annual
 220 maximum climatological water deficit (MCWD) (Aragão et al. 2007) between January
 221 1999 and December 2011, including the droughts of 2005, 2007 and 2010 (Figure S2).
 222 To estimate this, we first calculated MCWD for each year, and then took the mean of all
 223 years. MCWD was defined as the most negative value of climatological water deficit
 224 (precipitation lower than evapotranspiration) among all the months in each year.

225

226 Data analysis

227 In each plot, we calculated the minimum, maximum, median, and 95
 228 percentile of tree diameter (D), height (H) and their allometric (H:D) relationship. We
 229 also calculated the weighted Lorey's height values, based on basal area per subplot,
 230 using the equation

$$231 \quad \sum AB_i * H_i / \sum AB_i,$$

232 where AB_i is the basal area of an individual and H_i is its height (e.g. Saatchi et al. 2011).
 233 To evaluate the H:D relationship, independently of disturbance, such as the damage
 234 caused by recently-opened clearings, we excluded from the analyses all trees with
 235 broken stems or those with more than 50% of the crown broken off.

236 We also calculated the mean, median, and total biomass of trees per plot.
 237 We estimated the biomass (B) based on the Pantropical model revised by Chave et al.
 238 (2014), which is derived from the equation in Chave et al. (2005), that is,

$$239 \quad B = 0.0673 \times (\rho D^2 H)^{0.976},$$

240 where D is the diameter in cm, H is the total height of the tree in m, and ρ is
241 the density of the wood. We obtained wood density values from the ForestPlots
242 database (<https://www.ForestPlots.net/>). We chose this equation to calculate the
243 biomass because it is the most robust approach, given that it takes into consideration the
244 diameter and height of each tree.

245 We developed a correlation matrix of the Kendall's tau values of the
246 environmental and forest structure variables mentioned above (Table S3). Multiple
247 variables share similar source data, leading to high correlation amongst them, so we
248 excluded those with greatest correlations ($r > 0.7$) to avoid repetition of largely
249 redundant forest structure and climate variables (Tables S3 and S4). For all variables,
250 the maximum values and the 95 percentiles were highly correlated; we included only
251 the 95 percentile in order to avoid the influence of outliers. Finally, we excluded
252 predictor variables that correlated poorly ($r < 0.1$) with the vegetation descriptors
253 (Tables S3 and S4).

254 To verify possible differences among all forest plots in the structural
255 variables (95 percentiles of the D , H and $H:D$, and mean B), we applied the Kruskal-
256 Wallis analysis of variance with the Dunnett post hoc test and a Bonferroni correction
257 (Zar 2010).

258 We evaluated the influence of habitat fragmentation and climatic variables
259 on forest structure using simple correlation and Generalised Linear Models (GLM). We
260 also included in the models the forest type for each forest plot. Simple correlation
261 showed that, six seasonally flooded plots and two plots on anthropogenic black earth
262 were unduly influential, with extreme structure and covarying extreme climatic and

263 fragmentation conditions. To avoid these outliers driving the regional results we
264 excluded them from the GLM and correlation analyses described above.

265 To build the GLM, we first standardised the data and removed the
266 collinearities on the basis of Variance Inflation Factors (VIFs) of less than 10 (Quinn
267 and Keough 2002). We conducted model selection using the Akaike's Information
268 Criterion (AIC), with a model considered to be the best if it had the lowest AIC value
269 (Barton 2016). To assess the spatial autocorrelation in the residuals for each model we
270 used Moran's I. Here, no spatial dependence was detected among plots, indicating that
271 the data were not spatially structured (Figure S5). Thus, we considered the plots as
272 independent samples in our subsequent analyses.

273 We conducted the analyses using SAM 4.0 program (Rangel et al. 2010)
274 and R 2.15.1 (R Core Team 2012). The applied R packages were vegan (Oksanen et al.
275 2016), spdep (Bivand et al. 2013), spacemakeR (Dray 2013), MuMIn (Barton 2016) and
276 packfor (Dray et al. 2016). We adopted a 5% significance level for all analyses and used
277 999 randomisations for the permutation methods.

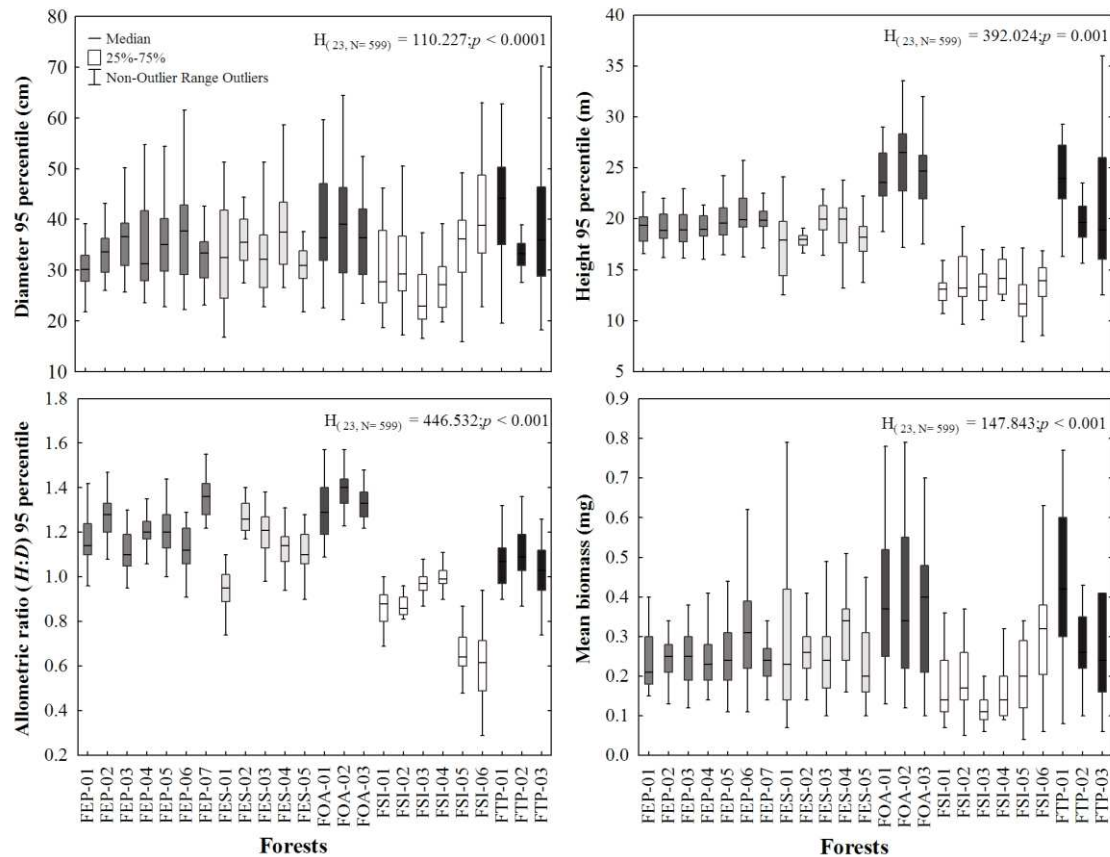
278

279 **Results**

280 Forest structure

281 In general, the three open rainforest plots (FOA-01-03), a forest plot on
282 anthropogenic black earth (FTP-01), were significantly taller than the six seasonally
283 flooded forest plots (FSI-01-06), three seasonal semi-deciduous forest (FES-01-02-05)
284 (Figure 2 and Table S6) and like the other 11 forest plots (FEP-01-07; FES-03-04 and
285 FTP-02-03). The H:D ratio varied in a similar fashion to tree height, with the lowest
286 ratios (i.e., the lowest heights for a given diameter) being recorded in two of the

287 seasonally flooded forest plots (FSI-05 and FSI-06). Tree diameter and biomass did not
 288 vary systematically among the plots, except for FSI-03, which had lower diameter and
 289 biomass than the most of others plots (Figure 2).



290

291 Figure 2. Variation in the vertical structure of forests at the southern Amazon border.
 292 Box-plots show subplot-level values in each location, statistical comparisons are made
 293 for among-forest analyses based on the non-parametric Kruskal-Wallis test (H). The
 294 complementary pair-wise analysis of forest structure is provided in Table S7. ■ = FTP
 295 (seasonal evergreen forest on anthropogenic black earth), ■ = FOA (open rainforest),
 296 ■ = FEP (seasonal evergreen forest), ■ = FES (seasonal semi-deciduous forest), ■ =
 297 FSI (seasonally flooded forest).

298

299 Relationship between forest structure, fragmentation and climate variables

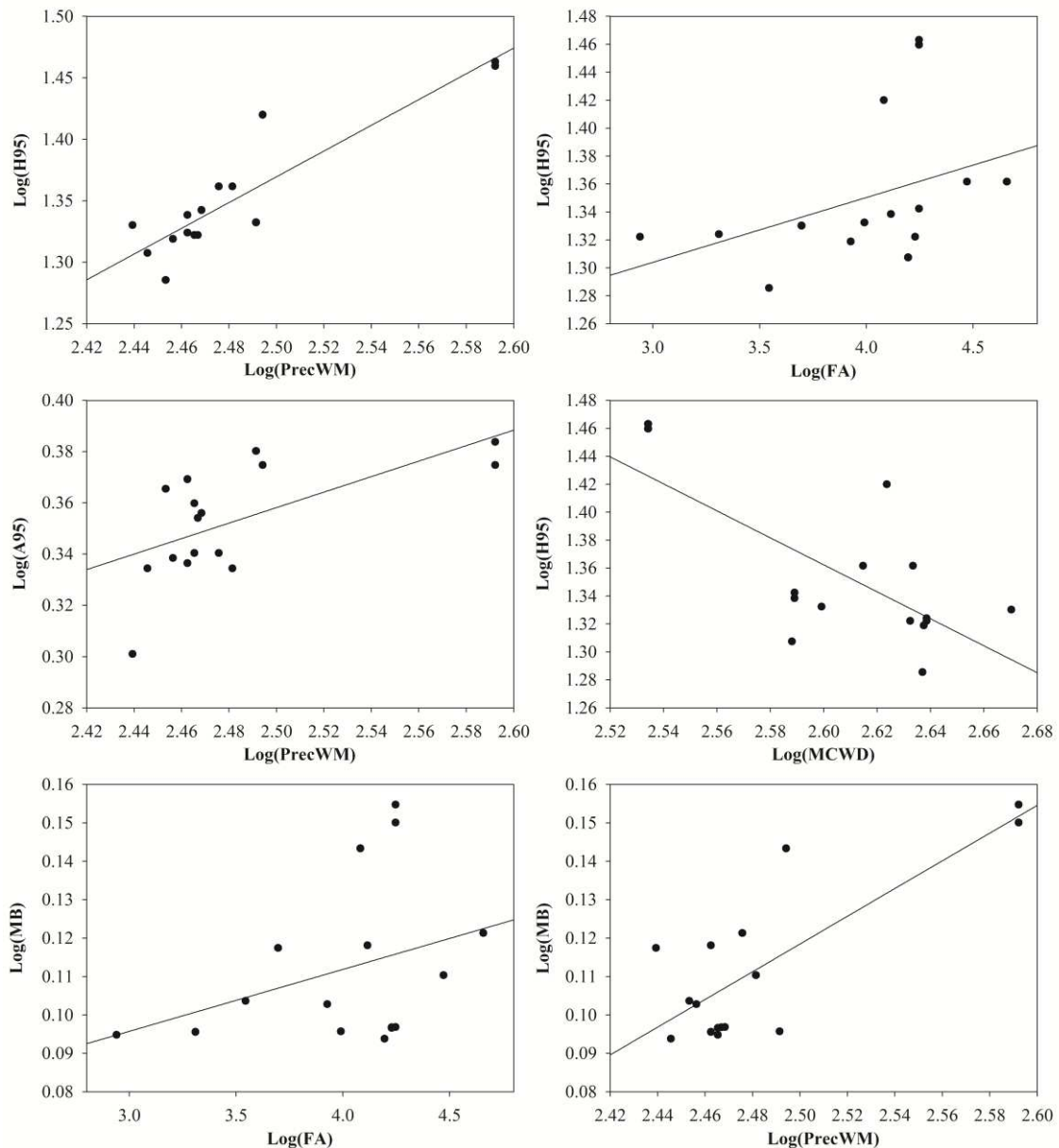
300 The structural variables were associated with the precipitation and with
 301 fragment area and distance from the edge (Figure 3 and Table 2). Tree height, allometry
 302 (H:D) and biomass all correlated positively with precipitation and fragment area (Figure
 303 3). Tree height also correlated with the MCWD (Figure 3). Tree diameter did not
 304 correlate with any of the variables. Additionally, the precipitation and MCWD
 305 correlated positively with the fragment area ($P < 0.05$; Kendal's $\tau = 0.44$ and 0.60 ,
 306 respectively).

307

308 Table 2. The relationship between environmental variables and forest structure, using
 309 generalised linear models, of the southern Amazonia forests, Brazil. DE, distance to the
 310 edge; PrecWM, precipitation of wettest month; H:D, allometric H:D ratio; FES,
 311 seasonal semi-deciduous forest-plots; FOA, open rainforest-plots. Significant effects (P
 312 ≤ 0.05) are shown in bold type.

Factors	Estimate	Standard	t	P
Height 95 percentile				
Intercept	-0.276	0.109	-2.531	0.003
FES	-0.008	0.161	-0.050	0.961
FOA	1.392	0.328	4.249	0.001
PrecWM	0.431	0.140	3.082	0.010
Diameter 95 percentile				
Intercept	-0.356	0.290	-1.228	0.243
FES	0.039	0.445	0.089	0.931
FOA	1.715	0.530	3.237	0.007
H:D 95 percentile				
Intercept	<0.001	0.174	<0.001	1.000
DE	-0.785	0.302	-2.597	0.023
PrecWM	1.260	0.302	4.167	0.001
Mean biomass				
Intercept	-0.540	0.166	-3.249	0.007
FES	0.244	0.257	0.949	0.361
FOA	2.291	0.303	7.555	<0.001

313



314

315 Figure 3. Significant ($P \leq 0.05$) relationships between forest structure and climatic and
 316 fragmentation variables of the southern Amazon border forest plots. H95 = height 95
 317 percentile, A95 = allometric ratio (H:D) 95 percentile, MB = mean biomass (Mg), FA =
 318 fragment area (ha), PrecWM = precipitation of wettest month (mm), MCWD =
 319 maximum climatological water deficit (mm).

320

321 Based on the best GLM models for each forest structure variable, forest type
322 and precipitation were most related to tree height (Table 2). Forest type was also a
323 strongly related to tree diameter and biomass. Annual mean precipitation and distance
324 from the edge were important factors for mean plot H:D (Table 2). The percentage of
325 forest cover around each plot was not selected in the best models and was not correlated
326 with any forest structure variables. All plots presented more than 50% forest cover in
327 surrounding landscapes.

328 Precipitation and MCWD were not selected in the same model, indicating
329 that each had similar (but inverse) effects on forest structure. Thus, all structural
330 parameters affected positively by precipitation (Table 2) are affected negatively by
331 moisture stress (MCWD) (Table S7).

332

333 **Discussion**

334 Our results show that the forests of the southern border zone of Amazonia
335 vary remarkably in their structure, principally in terms of their tree height and tree
336 height:diameter ratio. Most of the structural variation in these forests was statistically
337 related to fragment area and precipitation, supporting our overall expectations and
338 largely consistent with our hypotheses. Here we briefly first discuss this overall
339 variability and its potential ultimate drivers, before proceeding to discuss the results in
340 more detail.

341

342 Structural variability of the forests of the southern Amazon border zone

343 Our general expectation was that climatic variation in the region would be a
344 fundamental determinant of the variability in forest structure here, principally because

345 drought events and seasonality may be more intense at the southern border in relation to
346 the core area of the Amazonas basin with evergreen non-seasonal rain forests (Lewis et
347 al. 2011). In particular, water deficit may kill large trees (McIntyre et al. 2015), taller
348 trees tend to be most affected by these conditions (Rowland et al. 2015). As these trees
349 die and break-up or fall, large clearings are opened, favouring the establishment of
350 species of different ecological groups (Lawton and Putz 1988). The frequent formation
351 of clearings in these hyperdynamic transitional forests, as documented by Marimon et
352 al. (2014), may thus also contribute to the structural variability found here. Finally, the
353 forests of the southern border of the Amazon are located within a mosaic of vegetation
354 types with many species typical of the adjacent biomes (Ratter et al. 1973), which may
355 have a direct influence on the structural diversity of these forests.

356

357 Seasonally flooded forest plots

358 The lowest height and H:D allometric ratio in the seasonally flooded forest
359 plots may be explained by their smaller fragment size and proximity to edges. These
360 factors as well as higher temperatures and lower precipitation (Table 1) may intensify
361 the fire effects. Fires in the wider grassland matrix can penetrate into forest fragments
362 and increase tree mortality, as observed in a recent study in these forest plots
363 (Maracahipes et al. 2014). It therefore appears likely that the combined effects of
364 reduced fragment area and precipitation and higher temperatures, together with fire and
365 its potential interactions with droughts (Brando et al. 2014), contribute to forest
366 structure here.

367

368 Response of the forest structure to the fragmentation and climate variables

369 Temperature appears to be an important factor determining the height of the
370 trees worldwide, including potentially in tropical forests (Koch et al. 2004; Way and
371 Oren 2010; Feldpausch et al. 2011; Lines et al. 2012; Pan et al. 2013), but here the
372 absence of a clear statistical relationship between structure and temperature ($P > 0.05$,
373 Kendall's $\tau = 0.31$) suggests it is not critical at the southern Amazon transition zone.
374 Rather, in our study the greater forest heights, H:D ratio and biomass that were
375 observed with increasing precipitation suggest water supply is the dominant climate
376 control on forest structure, and is consistent with some work elsewhere in the tropics
377 (e.g. Alvarez et al. 2017), given especially that tropical plants tend to grow faster and
378 taller as water is more available (Vlam et al. 2014; Givnish et al. 2014). In addition to
379 apparent effects of annual rainfall, we also found that climatological water deficit was
380 associated with reduced investment by the trees in height growth, consistent with the
381 hypothesis that tree height is constrained by the availability of water (Ryan et al. 2004;
382 Givnish et al. 2014). A significant positive correlation was also found between
383 precipitation and tree height along a precipitation gradient in Australia, which Givnish
384 et al. (2014) related to the increase in leaf area and rates of photosynthesis with
385 increasing precipitation.

386 The negative correlation between the cumulative water deficit and tree
387 height may be related to the mortality of the largest individuals during extreme drought
388 events (Phillips et al. 2010). Such droughts have been directly observed in the study
389 region in 2005, 2007, and 2010 (e.g. Brando et al. 2014), and these have indeed tended
390 to kill larger trees (Phillips et al. 2010; Feldpausch et al. 2016), as is often the case with
391 droughts in other tropical forests (Bennett et al. 2015). In Amazonia, recent strong
392 droughts appear also to be a major cause of the recent basin-wide increase in tree

393 mortality rates (Phillips et al. 2009; Brienen et al. 2015). In the near future, more
394 frequent extreme droughts, especially if combined with warming of the Amazon region
395 and thermal peaks in El Niño events such as in 2015-16 (Jiménez-Muñoz et al. 2016),
396 may therefore have profound implications for the forest structure of the southern
397 Amazon border, located as they are in a region that is already naturally close to their
398 distributional and hydraulic limits. In this scenario, large trees are more susceptible to
399 damage to the xylem, which can ultimately result in the death of the plant (e.g. McIntyre
400 et al. 2015) and eventually lead to forests of lower stature (McDowell et al. 2008;
401 Rowland et al. 2015). Trees being smaller in drier areas with greater water deficiency is
402 directly be related to conservative modifications in the hydraulic structure of the plants
403 under hydrological stress to avoid embolism (e.g. Lines et al. 2012, Claeys and Inzé
404 2013). Thus, as have recently argued in both tropical and temperate zone contexts (e.g.
405 Stegen et al. 2011; Banin et al. 2012; McIntyre et al. 2015) it is likely that trees in
406 forests subject either to more extreme climatic events, or to more disturbance (including
407 seasonally flooded habitats), or both, will in general tend to be shorter at a given
408 diameter in order to avoid risks of hydraulic and/or mechanical failure, whereas trees in
409 forests with high rainfall, such as our FOA-01 and FOA-02, will have greater heights
410 and hence greater biomass.

411 Besides the correlation with the climatic variables, both height and the
412 biomass of trees were positively correlated with fragment area. This result may be
413 related to the incidence of wind in smaller fragments which have a higher proportion of
414 forest edge (D'Angelo et al. 2004; Laurance 2004; Haddad et al. 2015). These
415 disturbances are known to be able to generate high mortality, especially of the tallest
416 trees (Laurance et al. 2000; Laurance 2004), and consequently in our dataset such edge-

417 generated disturbances may have affected the height and biomass of trees. Elsewhere,
418 local climatic changes as a result of fragmentation can reduce the density and diversity
419 of species (Mantyka-Pringle et al. 2012). Such effects can also increase the
420 susceptibility of fragmented forest structure and their biota to fire (Laurance and
421 Williamson 2001; Laurance 2004). In the southern Amazon region, these different
422 effects are all likely to be relevant, but clearly further analysis is needed, including long-
423 term monitoring evaluation of the climatic and dynamic processes in these forests.

424

425 **Conclusions**

426 Our analysis across different locations, spanning a large part of the southern
427 Amazon zone, suggests climate sensitivity in forest structure here. Climate change, and
428 especially any reduction in annual or seasonal precipitation, is thus likely to have a
429 significant effect on the forest structure in the southern border of the Amazon.
430 Secondly, our results also suggest that the effects of reduction in the annual
431 precipitation may be further exacerbated in smaller fragments. This suggests that habitat
432 fragmentation may intensify the negative effects of climate change and burning in
433 forests in the southern Amazon border, resulting in a substantial risk of increases in tree
434 mortality. Given the likely susceptibility of the remaining southern Amazon border
435 forests to environmental change, strong conservation strategies are urgently needed to
436 guarantee the persistence of these habitats, especially for the smaller fragments and
437 those close to agricultural frontiers.

438

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490

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Supplementary material

Table S1. Environmental predictors and vegetation descriptors used in the analyses.

Variable abbreviation	Environmental predictors	Variable abbreviation	Vegetation descriptors
FA	Fragment area (ha)	MIH	Minimum height (m)
DE	Distance to the forest edge (m)	MAH	Maximum height (m)
FC	Forest cover (%)	MH	Median height (m)
MCWD	Maximum climatological water deficit (mm)	H95	Height 95 percentile (m)
Temp	Mean annual temperature (°C)	LH	Weighted Lorey's height
TempMDR	Mean diurnal range (°C)	MD	Median diameter (cm)
Isoter	Isothermality (°C)	MAD	Maximum diameter (cm)
TempSaz	Temperature seasonality (standard deviation *100) (°C)	D95	Diameter 95 percentile (cm)
TempWM	Max temperature of warmest month (°C)	MIA	Minimum allometric ratio (H:D)
TempCM	Min temperature of coldest month (°C)	MAA	Maximum allometric ratio (H:D)
TempAR	Temperature annual range (°C) TempWM - TempCM	MA	Median allometric ratio (H:D)
TempWeQ	Mean temperature of wettest quarter (°C)	A95	Allometric ratio (H:D) 95 percentile
TempDQ	Mean temperature of driest quarter (°C)	MB	Mean biomass (Mg ha)
TempWaQ	Mean temperature of warmest quarter (°C)	MEB	Median biomass (Mg ha)
TempCQ	Mean temperature of coldest quarter (°C)	TB	Total biomass (Mg ha)
Prec	Total annual precipitation (mm)		
PrecWM	Precipitation of wettest month (mm)	-	-
PrecDM	Precipitation of driest month (mm)	-	-
PrecSaz	Precipitation seasonality (Coefficient of Variation) (mm)	-	-
PrecWeQ	Precipitation of wettest quarter (mm)	-	-
PrecDQ	Precipitation of driest quarter (mm)	-	-
PrecWaQ	Precipitation of warmest quarter (mm)	-	-
PrecCQ	Precipitation of coldest quarter (mm)	-	-

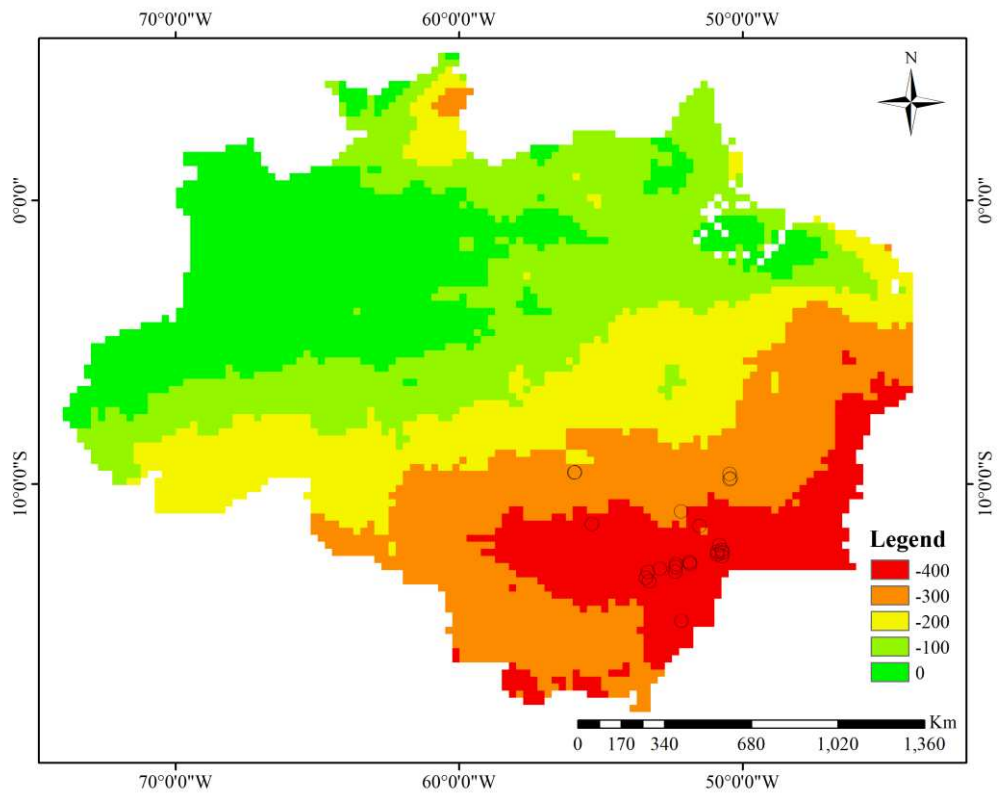


Figure S2. Mean of the maximum climatological water deficit (MCWD) (mm) in the Amazon basin between 1999 and 2011, in the context of the rest of Amazonia. Circles show the forest plots localization.

Table S3. Kendall tau correlations of the all 37 environmental and forest structure variables obtained to the forests of the southern Amazon border. FA = fragment area (ha), DE = distance to the edge (m), MCWD= maximum climatological water deficit (mm), Temp = mean annual temperature (°C), TempMDR = Mean diurnal range (°C), Isoter = Isothermality (°C), TempSaz = Temperature seasonality (standard deviation *100) (°C), TempWM = Max temperature of warmest month (°C), TempCM = Min temperature of coldest month (°C), TempAR = Temperature annual range (°C) TempWM – TempCM, TempWeQ = Mean temperature of wettest quarter (°C), TempDQ = Mean temperature of driest quarter (°C), TempWaQ = Mean temperature of warmest quarter (°C), TempCQ = Mean temperature of coldest quarter (°C), Prec = Total annual precipitation (mm), PrecWM = Precipitation of wettest month (mm), PrecDM = Precipitation of driest month (mm), PrecSaz = Precipitation seasonality (Coefficient of Variation) (mm), PrecWeQ = Precipitation of wettest quarter (mm), PrecDQ = Precipitation of driest quarter (mm), PrecWaQ = Precipitation of warmest quarter (mm), PrecCQ = Precipitation of coldest quarter (mm), MIH = Minimum height (m), MAH = Maximum height (m), MH = Median height (m), H95 = Height 95 percentile (m), LH = Weighted Lorey's height, MD = Median diameter (cm), MAD = Maximum diameter (cm), D95 = Diameter 95 percentile (cm), MIA = Minimum allometric ratio (H:D), MAA = Maximum allometric ratio (H:D), MA = Median allometric ratio (H:D), A95 = Allometric ratio (H:D) 95 percentile, MB = Mean biomass (Mg ha), MEB = Median biomass (Mg ha), TB = Total biomass (Mg ha). Significant correlations ($p \leq 0.05$) are shown in bold type.

Table S4. Pre-selected environmental and forest structure variables used in the analyses of the forest-plots of the southern Amazon border. FA = fragment area (ha), DE = distance to the edge (m), FC = forest cover (%), Temp = mean annual temperature (°C), PrecWM = precipitation of wettest month (mm), MCWD= maximum climatological water deficit (mm), MH= median height and H95 = 95 percentile, MD = median diameter and D95 = 95 percentile, MA = median allometric ratio (H:D) and A95 = 95 percentile, MB = mean biomass (Mg), and TB = total biomass.

Forest plots	Environmental predictors						Vegetation descriptors			
	FA	DE	FC	Temp	PrecWM	MCWD	H95	D95	A95	MB
FEP-01	870	1,030	99	25.5	291	-435.02	20.0	33.6	1.19	0.24
FEP-02	2,035	1,000	100	25.6	289	-435.02	20.1	36.6	1.34	0.25
FEP-03	8,432	990	98	24.9	285	-434.01	19.8	40	1.18	0.27
FEP-04	16,901	520	74	25.1	292	-428.93	20.0	37.8	1.26	0.25
FEP-05	16,901	329	100	25.0	291	-428.93	20.0	37.8	1.29	0.25
FEP-06	45,459	3,600	100	26.9	298	-411.82	22.0	41.4	1.19	0.32
FEP-07	9,789	1,180	100	26.1	309	-397.35	20.5	35.4	1.40	0.25
FES-01	4,968	1,350	78	25.2	274	-468.04	20.4	40.4	1.00	0.31
FES-02	3,499	160	69	24.1	283	-433.5	18.3	39.4	1.32	0.27
FES-03	17,624	90	58	26.7	293	-388.22	21.0	35.4	1.27	0.25
FES-04	13,039	860	88	26.8	289	-388.22	20.8	39.3	1.17	0.31
FES-05	15,680	2,980	100	26.6	278	-387.33	19.3	33.8	1.16	0.24
FOA-01	12,066	900	98	25.1	311	-420.38	25.3	44.8	1.37	0.39
FOA-02	17,628	5,440	100	25.5	390	-342.12	27.8	42.6	1.42	0.43
FOA-03	17,628	5,410	50	25.6	390	-342.12	28.1	42.3	1.37	0.41
FSI -01	21	1	-	27.3	273	-440.57	13.6	32.3	0.93	0.14
FSI -02	378	1	-	27.2	277	-454.52	15.0	35.2	0.92	0.19
FSI -03	164	1	-	27.1	273	-457.47	14.0	24.4	0.99	0.12
FSI -04	605	1	-	27.1	278	-454.52	15.7	28.1	1.02	0.15
FSI -06	5	1	-	27.1	274	-457.47	13.9	40.3	0.75	0.19
FSI -07	8	1	-	27.0	278	-444.82	15.6	45.0	0.77	0.3
FTP-01	234	150	38	24.7	308	-436.02	26.8	51.9	1.14	0.48
FTP-02	29,560	2,720	71	24.9	302	-429.99	22.0	34.7	1.16	0.29
FTP-03	85	80	30	24.7	294	-433.5	24.0	45.3	1.09	0.52

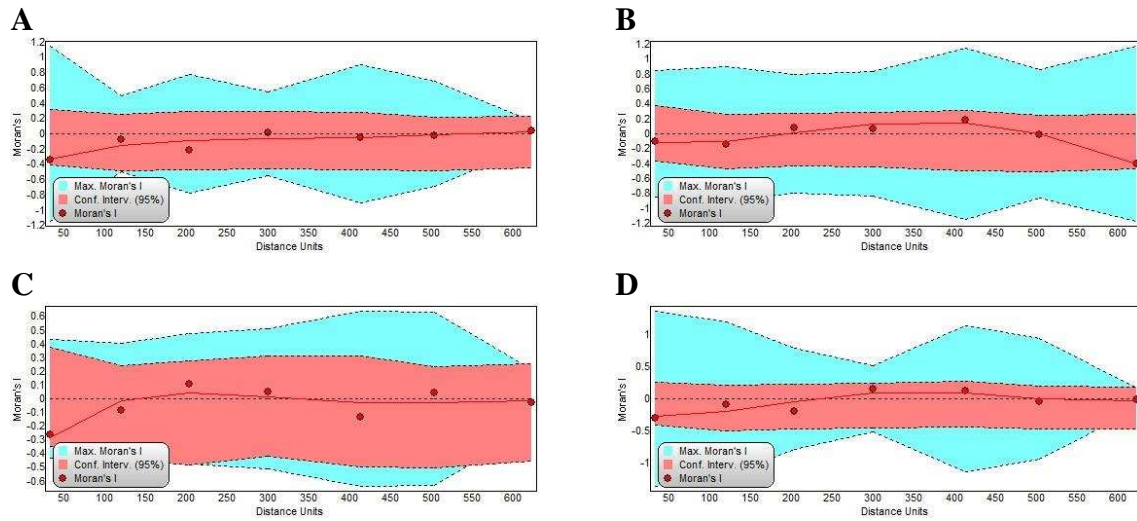


Figure S5. Spatial autocorrelation of the residuals of each model, based in Moran's I index for: A = height, B = diameter, C= allometric ratio (H:D), and D = biomass of the forests plots in the southern Amazon border.

Table S6. Comparison of the forest structure variables of the forests in the southern Amazon border, based on the Kruskal-Wallis nonparametric analysis of variance (H). MH= median height and H95 = 95 percentile, MD = median diameter and D95 = 95 percentile, MA = median allometric ratio (H:D) and A95 = 95 percentile, MB = mean biomass (Mg), and TB = total biomass. Values on different lines within the same column followed by different letters are significantly different based on Dunnett's post hoc test with the Bonferroni correction.

Forests	H95		D95		A95		MB	
FEP-01	19.3	afg	31.5	acd	1.17	aefghi	0.25	adef
FEP-02	19.3	afg	33.1	abcd	1.27	afg	0.25	abdef
FEP-03	19.0	fg	37.5	ab	1.10	degghi	0.27	abdef
FEP-04	19.0	fg	33.9	abcd	1.20	afghi	0.25	abdef
FEP-05	19.7	afg	35.1	abd	1.21	afgh	0.26	abdef
FEP-06	20.4	afg	38.1	ab	1.12	defghi	0.33	abf
FEP-07	19.9	afg	32.8	abcd	1.36	a	0.25	abdef
FES-01	17.6	def	33.8	abcd	0.94	bcd	0.30	abdef
FES-02	18.0	cdef	35.9	ab	1.26	afg	0.28	abef
FES-03	20.1	afg	34.4	abcd	1.19	afghi	0.26	abdef
FES-04	19.6	afg	38.2	ab	1.13	defghi	0.32	abf
FES-05	18.2	ef	31.9	acd	1.12	defghi	0.25	adef
FOA-01	24.0	a	38.8	ab	1.29	afg	0.39	ab
FOA-02	25.7	a	39.4	ab	1.39	a	0.44	ab
FOA-03	24.8	ag	38.3	ab	1.31	af	0.41	ab
FSI-01	13.1	bc	30.5	acd	0.84	bc	0.18	cde
FSI-02	14.2	bcde	31.6	acd	0.85	bc	0.20	cdef
FSI-03	13.1	bcd	24.5	c	0.97	bcd	0.12	c
FSI-04	14.3	bcde	27.0	cd	0.98	bcde	0.16	cd
FSI-05	11.9	b	35.2	ab	0.66	b	0.23	acdef
FSI-06	13.4	bcd	40.5	ab	0.61	b	0.32	abf
FTP-01	23.5	ag	43.2	b	1.06	cdehi	0.47	b
FTP-02	19.7	afg	33.1	abd	1.11	degghi	0.29	abef
FTP-03	21.1	afg	42.8	ab	1.02	bcdei	0.52	abdef

Table S7. Generalized linear models of the factors that influence forest structure of the vegetation in forest plots of the southern Amazon border. Temp = mean annual temperature, MCWD = maximum climatological water deficit, H:D = allometric H:D ratio, FES = seasonal semi-deciduous forest-plots, FOA = open rainforest-plots. Significant effects ($p \leq 0.05$) are shown in bold type.

Factors	Estimate	Standard	t	P
Height 95 percentile				
Intercept	2.462	1.229	2.003	0.070
FES	-0.206	0.177	-1.161	0.270
FOA	1.848	0.262	7.060	0.000
MCWD	0.007	0.003	2.340	0.039
H:D 95 percentile				
Intercept	8.630	2.679	3.221	0.007
MCWD	0.021	0.007	3.230	0.007
Temp	-0.497	0.230	-2.159	0.052