

# How might Planned Hydropower Dams Alter River Temperatures Around the World?

Shahryar Khaliq Ahmad<sup>1</sup>, Faisal Hossain<sup>1</sup>, Gordon William Holtgrieve<sup>1</sup>, Tamlin M Pavelsky<sup>2</sup>, and Stefano Galelli<sup>3</sup>

<sup>1</sup>University of Washington

<sup>2</sup>University of North Carolina at Chapel Hill

<sup>3</sup>Singapore University of Technology and Design

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## Abstract

Selective water release from the deeper pools of reservoirs for energy generation alters the temperature of downstream rivers. Thermal destabilization of downstream rivers can be detrimental to riverine ecosystem by potentially disturbing the growth stages of various aquatic species. To predict this impact of planned hydropower dams worldwide, we developed, tested and implemented a framework called ‘*Future Temperatures Using River hISTory*’ (*FUTURIST*). The framework used historical records of in-situ river temperatures from 107 dams in the U.S. to train an artificial neural network (ANN) model to predict temperature change between upstream and downstream rivers. The model was then independently validated over multiple existing hydropower dams in Southeast Asia. Application of the model over 216 planned dam sites afforded the prediction of their likely thermal impacts. Results predicted a consistent shift toward lower temperatures during summers and higher temperatures during winters. During Jun-Aug, 80% of the selected planned sites are likely to cool downstream rivers out of which 15% are expected to reduce temperatures by more than 6°C. Reservoirs that experience strong thermal stratification tend to cool severely during warm seasons. Over the months of Dec-Feb, a relatively consistent pattern of moderate warming was observed with a likely temperature change varying between 1.0 to 4.5°C. Such impacts, homogenized over time, raise concerns for the ecological biodiversity and native species. The presented outlook to future thermal pollution will help design sustainable hydropower expansion plans so that the upcoming dams do not face and cause the same problems identified with the existing ones.

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Shahryar K. Ahmad<sup>1\*</sup>, Faisal Hossain<sup>1</sup>, Gordon W. Holtgrieve<sup>2</sup>, Tamlin Pavelesky<sup>3</sup>, Stefano Galelli<sup>4</sup>

<sup>1</sup>University of Washington, Department of Civil and Environmental Engineering

<sup>2</sup>University of Washington, School of Aquatic and Fishery Sciences

<sup>3</sup>University of North Carolina, Department of Geological Sciences

<sup>4</sup>Singapore University of Technology and Design, Engineering Systems and Design

Corresponding author: Shahryar K. Ahmad ([skahmad@uw.edu](mailto:skahmad@uw.edu))

<https://orcid.org/0000-0002-9789-3137>

## Key Points:

- Past records of thermal impacts can help predict the likely impact of future dams
- Shift toward lower summer temperatures and higher winter temperatures for downstream rivers is predicted
- Reservoirs with strong thermal stratification tend to severely impact downstream thermal regime

## 20 **Abstract**

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23 detrimental to riverine ecosystem by potentially disturbing the growth stages of various aquatic  
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28 and downstream rivers. The model was then independently validated over multiple existing  
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35 relatively consistent pattern of moderate warming was observed with a likely temperature change  
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38 help design sustainable hydropower expansion plans so that the upcoming dams do not face and  
39 cause the same problems identified with the existing ones.

## 40 **Plain Language Summary**

41 Today, aquatic biodiversity is at very high risk in many large river systems such as the Congo,  
42 Amazon, and Mekong, where extensive hydropower dams are planned. In this study, we present  
43 a global study to map the impact of planned hydropower dams on the thermal regime of the river  
44 system. A machine learning model was used to learn how the operations of existing dams in the  
45 U.S. have altered river temperatures downstream of the dams. This model was validated over  
46 other existing dams in Southeast Asia and then used for predicting the impact of future  
47 hydropower dams. An assessment of 216 such future dams revealed that the vast majority will  
48 likely reduce the summer temperatures and increase the winter temperatures. Our framework,  
49 which is easy to implement and produces quick results, can aid in prioritizing hydropower

50 infrastructure in the context of renewable energy generation and proactively address the serious  
51 impacts on our ecosystem and river habitat.

## 52 **1 Introduction**

53         The arguments for or against building dams, particularly hydropower dams, are many.  
54 Hydropower dams serve as a source of relatively low-carbon energy, guarding against extreme  
55 floods and meeting a steadily increasing water demand. Many countries have included the  
56 expansion of hydropower infrastructure as part of their climate mitigation strategy, following the  
57 United Nations Climate Change Conference in Paris in 2015 (Zarfl et al., 2019). To date, about  
58 3600 medium and large hydropower dams are either under construction or planned,  
59 predominantly in South America, Africa, and South/East Asia, area with relatively untapped  
60 hydropower potential (Zarfl et al., 2015). Laos, for example, has pursued an ambitious initiative  
61 to become the 'Battery of Southeast Asia' by building an unprecedented number of dams in the  
62 Mekong River Basin (Schmitt et al., 2019; Chowdhury et al., 2020). However, hydropower dams  
63 also substantially affect surrounding ecosystems, and these long-term ecological impacts are  
64 often discounted in decision-making processes (Winemiller et al., 2016). In addition to  
65 fragmenting almost two-thirds of the world's free-flowing large rivers (Nilsson et al., 2005),  
66 dams in general have modified natural sediment transport (Zarfl and Lucía, 2018; Yang et al.,  
67 2005), disrupted natural hydrologic variability (FitzHugh and Vogel, 2011), contributed to  
68 greenhouse gas emissions (Deemer, 2016), and led to resettlement of local communities and loss  
69 of culture and heritage (Moran et al., 2018; Hecht et al., 2019). Such impacts have threatened  
70 freshwater biodiversity and harmed fisheries (Barbarossa et al., 2020).

71         Among the many negative impacts of hydropower dams, dramatic alteration of river's  
72 thermal regime is amongst the most adverse impacts (Bonnema et al., 2020). In the storage dams  
73 used for extensive hydropower generation, reservoirs are designed for higher hydraulic head and  
74 a large storage capacity. This relatively stagnant and deep body of water tends to thermally  
75 stratify into multiple horizontal layers or pools (Imboden and Wuest, 1995). Water for flood  
76 control tends to be released from the uppermost pool via the spillway, while water for irrigation  
77 or other downstream users is mostly released from the uppermost and middle pools (often called  
78 'conservation' pool). However, it is the water for hydropower production that causes the most  
79 drastic difference in temperature to downstream water, as it is drawn from the bottom pool. This

80 pool is often colder than the rest of the pool and the downstream river, especially during summer  
81 seasons. The selective release of water from the deeper pools is the main cause of river's thermal  
82 pollution, that is the modification of the natural thermal regime of downstream river segments  
83 (Niemeyer et al., 2018; Olden and Naiman, 2010). Because river temperature plays a vital role in  
84 sustaining the aquatic habitat (Angilletta, 2008), thermal pollution can damage aquatic  
85 biodiversity, potentially disturbing the growth stages of various fish and other aquatic species.

86 The significance of riverine thermal pollution caused by existing dams has been  
87 acknowledged but only partially addressed in the literature (Bonnema et al., 2020, Caissie, 2006;  
88 Poole and Berman, 2001). Moran et al. (2018) presents several challenges with building large  
89 dams which need to be addressed in order to achieve sustainable hydropower in developing  
90 countries. However, the authors did not include thermal pollution which can be a major factor in  
91 harming native fish species. Current approaches for estimating dam-driven thermal pollution rely  
92 on either statistical approaches such as regression (Benyahya et al., 2007; Ahmad and Hossain,  
93 2020b) or more complex and physically distributed river temperature (Yearsley, 2012) and  
94 hydrodynamic models (Niemeyer et al., 2018, Buccola et al., 2016; Cole and Wells, 2015).  
95 While some of these models use ambient conditions and flow variables to predict downstream  
96 river temperatures (Mohseni et al., 1998; Neumann et al., 2003), others solve thermal energy  
97 budget and heat advection-dispersion equations (Cole and Wells, 2015; Yearsley, 2012).  
98 However, current models have multiple limitations when it comes to studying the impact of  
99 planned hydropower dams. On one hand, hydrodynamic and thermodynamic models are  
100 complex and require inputs on quantities difficult to measure or estimate such as for non-  
101 radiative fluxes (Mohseni et al., 1998, Toffolon and Piccolroaz, 2015; Van Vliet et al., 2011).  
102 For instance, there may be no boundary condition data for flow and temperature to initialize such  
103 models when a dam has not been built yet. On the other hand, simpler statistical models cannot  
104 be extrapolated to predict thermal response of dams with unobserved hydro-climatological and  
105 geophysical characteristics (Toffolon and Piccolroaz, 2015). Both classes of models, however,  
106 suffer from the inability to work on large number of dams, which instead require a rapidly  
107 transferrable yet skillful technique of modeling dam's thermal response.

108 Given the pace at which future hydropower dams are being built, it is imperative to  
109 identify development pathways where the proposed infrastructure can serve its purpose while  
110 maintaining a sustainable and productive river system (Grill et al., 2015). As predicted by Zarfl

111 et al. (2019), the majority of future hydropower development is planned in catchments with a  
112 high share of threatened megafauna species. This requires a study of future dams in the context  
113 of their potential impacts on the ecosystem. Towards that end goal, we outline three key traits for  
114 a modeling framework to ‘predict’, or infer, the thermal modification impact of planned dams.  
115 As the aquatic biodiversity is more sensitive to alterations in thermal regime than the absolute  
116 change (Haxton and Findlay, 2008), we need a technique that is reliably accurate in providing  
117 the qualitative understanding of thermal regime change. Second, the technique should be  
118 transferrable for use over any planned dam site around the world. Finally, there should be  
119 minimal input data requirement, a fundamental prerequisite for working on the data-scarce  
120 conditions characterizing the Global South, where the majority of hydropower dams are planned.  
121 Thermal Infrared (TIR) remote sensing from the vantage of space offers the only feasible method  
122 over data-limited regions to monitor spatial and temporal patterns of surface water temperature  
123 due to hydropower development (Ling et al., 2017). The potential of TIR data has already been  
124 demonstrated by Bonnema et al. (2020) using the 3S (Sekong, Sesan, and Sre Pok) river basins  
125 as a microcosm of hydropower development for the rest of the Mekong basin.

126 Here, we predict the thermal impact of 216 planned hydropower dams around the world  
127 on their likely change to downstream river temperatures. The dams were selected to represent a  
128 diverse range of dams with different structural characteristics, types (storage or run-of-river),  
129 hydrology, and climates. Also, most of these dams are planned at locations far apart to avoid the  
130 thermal pollution of upstream dams from impacting the downstream ones. Our predictions are  
131 based on a novel framework for planned hydropower dams called ‘FUTURE Temperatures Using  
132 River hISTORY’ (FUTURIST). The FUTURIST framework is based on the key premise that a  
133 long record of the past thermal impact is a reasonable representation of the near-future impact  
134 due to planned hydropower dams. More specifically, we use FUTURIST framework to answer  
135 the following questions: (i) can we learn patterns of thermal impact on downstream rivers caused  
136 by the existing dams based on known climate, hydrology, and dam characteristics? (ii) having  
137 identified, or learnt, such a relationship over existing dams, can we predict the thermal impact of  
138 the future (planned or under construction) dams?

139 To answer these questions, we employed a historical record of in-situ river temperature  
140 changes from 107 dams in the U.S. to train an artificial neural network (ANN) model. This data-  
141 based ANN approach predicted temperature change between upstream and downstream rivers.

142 The ANN model was able to capture nonlinearities in predicting dam's thermal impacts that  
143 makes the technique transferrable to other dams with unobserved conditions. This was  
144 demonstrated by the high predictive skill over tropical climate of Southeast Asian dams during  
145 model validation. Also, the challenges with existing data-intensive models were tackled by  
146 FUTURIST for which the required inputs were either one of the dam's structural properties or  
147 variables derived from remote sensing products. TIR remote sensing-based thermal change was  
148 used for model training and validation where in-situ monitored values were absent or scarce.  
149 Finally, the ANN model was applied at planned hydropower sites worldwide to predict the likely  
150 thermal impacts and elucidate the need to include thermal pollution within dam planning to  
151 ensure safety and sustainability of the ecosystem.

152

## 153 **2 Materials and Methods**

### 154 **2.1 Dam Sites and Temperature Data Preparation**

155 For establishing the FUTURIST framework, we first selected dam sites in the U.S. where  
156 in-situ temperature measurements are available both upstream and downstream of the  
157 hydropower dams. For in-situ temperature data, we used the network of stream temperature  
158 monitoring stations from the United States Geological Survey (USGS). A total of 4,186 sites  
159 were first filtered out from the USGS gage database based on the availability of temperature  
160 measurements. To filter out stations that are located upstream and downstream of the existing  
161 dam sites, we used the Global Reservoir and Dams (GRanD) database (Lehner et al., 2011). This  
162 resulted in 87 hydropower dams, out of which a final selection of 68 locations had at least a year  
163 of overlapping temperature records on upstream and downstream stations. The temporal record  
164 length exceeded more than 10 years for most of the selected sites.

165 To expand the database of hydropower dams with information on thermal impacts in the  
166 past, we used remote sensing observations of surface water temperature from TIR data. Because  
167 the remote sensing-based temperature extraction is limited by the spatial resolution of the  
168 satellite (see next section), it is difficult to obtain pure water pixels over narrower river channels  
169 downstream of dams. Upstream of a dam, however, with the larger expanse of reservoir, the  
170 spatial resolution of TIR remote sensing is not an issue. We filtered out 39 additional sites with

171 USGS station located downstream for which the upstream reservoir temperatures were obtained  
172 from remote sensing to prepare a total of 107 dam locations (see supplementary information,  
173 Figure S1). The selection of sites consisted of a diverse range of climates, dam, and topography,  
174 so that the trained model on these sites can capture the variability found in various other regions  
175 with unobserved conditions.

176         Developing a thermal change model that can be scaled globally requires validation over  
177 sites that are devoid of in-situ measurements. Thus, for a robust validation of our approach, we  
178 selected existing dam sites in Southeast Asia, where a large number of hydropower dams may be  
179 built in the near future. Location and relevant information for dams MRB were obtained from  
180 CGIAR WLE Database (Mekong Dam Database, 2011), the Mekong River Commission (MRC,  
181 2009), Räsänen et al. (2017), Piman et al. (2013), and other reports from dam authorizing  
182 agencies. Data for existing dams in India were retrieved from the National Register of Large  
183 Dams (NRLD, 2012).

184         Information on planned hydropower dams was retrieved from multiple sources, as no  
185 global scale database exists yet with information on dam design features. Some of the sources  
186 used here include Georeferenced Information System of the Electric Sector (SIGEL –  
187 <https://sigel.aneel.gov.br/portal/home/>) of the Brazilian National Hydroelectric Agency  
188 (ANEEL) and Anderson et al. (2018) for Brazilian dams, Finer and Jenkins (2012) and Forsberg  
189 et al. (2017) for Andean dams, Hydropower Project Database from MRC (Hydropower Project  
190 Database, 2012), Piman et al. (2016), and Wild and Loucks (2014) for dams in MRB, and  
191 AQUASTAT (FAO AQUASTAT Main Database, 2016) for the dams in remaining countries.  
192 Individual reports from dam authorities were also consulted to fill in the missing data and to  
193 cross-validate the retrieved information. Detailed information on the dams selected for training  
194 and validating the FUTURIST framework as well as the 216 planned dams is provided in the  
195 supplementary information.

## 196         2.2 Monitoring Thermal Impacts from Space

197         Despite the advantage of a robust temperature monitoring network in U.S., developing  
198 nations still lack in-situ measurements. We therefore used Landsat-7 ETM+ TIR band  
199 observations to obtain estimates of surface water temperature for upstream reservoir (for selected

200 dams within U.S. where upstream USGS stations were absent) and both upstream and  
 201 downstream for dams in Southeast Asia (used for validation). Landsat-7 TIR band was acquired  
 202 at 60 m, due to which we restricted the observations to dams with rivers wider than 100 m (to  
 203 ensure pure water pixels are used). Single channel algorithm (Jiménez-Muñoz et al., 2008;  
 204 Jiménez-Muñoz and Sobrino, 2003) for temperature extraction was used, with atmospheric  
 205 correction for top-of-atmosphere (TOA) reflectance. The procedure is described in detail by  
 206 Ahmad and Hossain (2019). Because for some reservoirs, ice formation on the lake surface  
 207 during winters resulted in sub-zero temperatures when using TIR band, only positive values were  
 208 considered in the analysis.

209 A comparison of Landsat-derived surface temperature and insitu observations from  
 210 USGS stations upstream of a few dams in the U.S. was performed (see supplementary  
 211 information, Figure S2). Temporally synchronous measurements of in-situ and Landsat-derived  
 212 temperatures for the upstream and downstream waters were used to quantify the change in  
 213 thermal regime.

### 214 2.3 Dam-Induced Thermal Change

215 Dam operations affect downstream temperature regime in multiple aspects (see  
 216 supplementary information, Figure S3). Marked changes occur in the timing, magnitude and  
 217 duration of peaks and lows of the temperature distribution over the year relative to the natural  
 218 pre-dam regime (Olden and Naiman, 2010). Here, we considered the mean difference in  
 219 temperature during warm and cold seasons over multiple years on record to capture the key  
 220 aspects of thermal impact, homogenized over time. The temperatures of upstream river flowing  
 221 into the reservoir are considered as proxy to natural riverine thermal regime when the pre-dam  
 222 data are absent. Thus, we defined thermal change,  $\Delta T$  as,

$$223 \quad \Delta T_{warm} = \overline{T_{up}} - \overline{T_{down}} \quad (1)$$

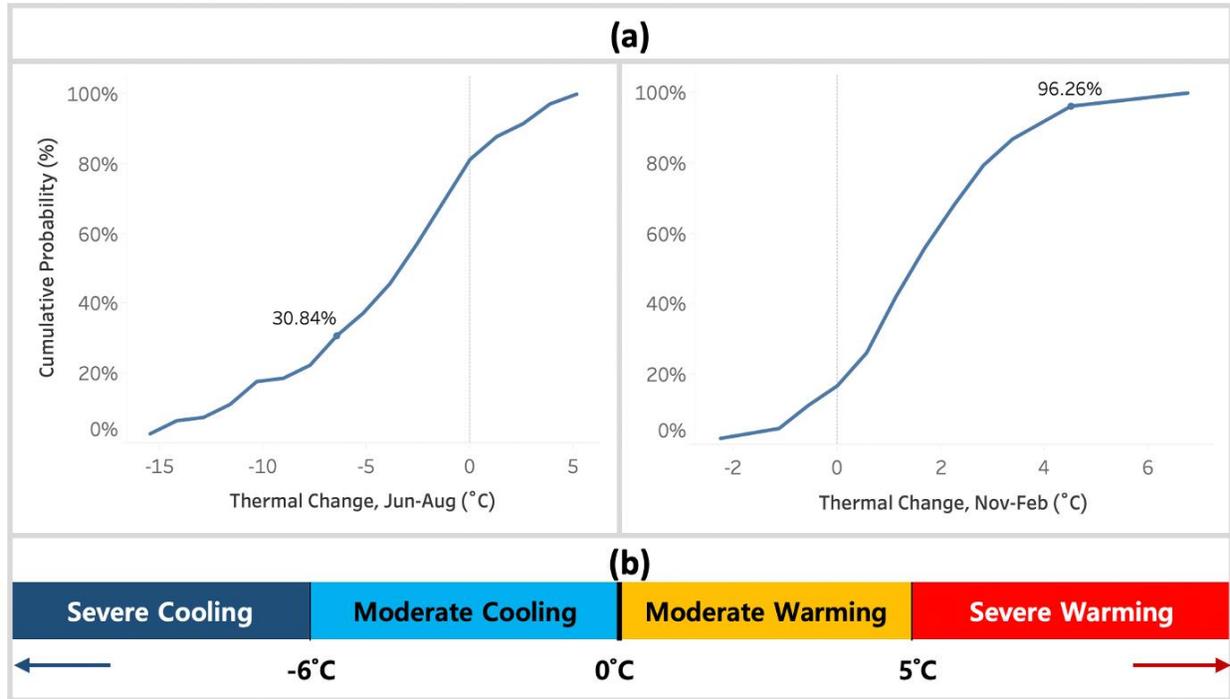
224 where,  $\Delta T_{warm}$  is the thermal change over warm season in Northern Hemisphere (months of  
 225 Jun-Aug, JJA) calculated as difference of the upstream ( $T_{up}$ ) and downstream water  
 226 temperatures ( $T_{down}$ ) over those months. A similar equation is used for the cold season ( $\Delta T_{cold}$ )  
 227 where averaging is performed over the months of Dec-Feb (DJF).

228 In light of the previous efforts to assess dam impacts on different ecosystem aspects using  
229 qualitative categories (Zarfl et al., 2019; Barbarossa et al., 2020; Grill et al., 2015), we  
230 introduced Thermal Change Class (TCC) for categorizing and assessing the thermal impact. We  
231 used the cumulative distribution function (CDF) plots of thermal change for existing dams as a  
232 guide (Figure 1) to formulate TCC. The thermal change values were first classified into two  
233 basic categories of cooling and warming, which were then broken down into four sub-categories:  
234 moderate cooling (between 0° C to -6° C), severe cooling (less than -6° C), moderate warming  
235 (between 0 to +5° C), and severe warming (more than + 5° C). It should be noted that the  
236 FUTURIST framework is independent of the choice of thermal thresholds, and the output classes  
237 can be adapted based on the needs of the stakeholder.

238 Further, to capture the impact of dams on a basin-wide scale, we mapped the average  
239 thermal regime changes on the river basins containing planned dams. We used the global dataset  
240 for watershed boundaries and sub-basin delineations called HydroBASINS (Lehner et al., 2013)  
241 to aggregate the thermal impacts. The aggregation was performed Pfafstetter Level 5 of  
242 HydroBASINS using the median of individual thermal impact classes when multiple dams were  
243 present in the considered basin.

## 244 2.4 FUTURIST Framework

245 Our proposed framework, FUTURIST, begins with developing a data-based model to  
246 learn historical patterns of the impact on rivers due to dam operations. Various dam  
247 characteristics, hydrology, topography and climate of the reservoir basin were used for training.  
248 A multilayer perceptron feedforward ANN model was selected, and hyperparameter tuning was  
249 performed for designing the network architecture. The model architecture consisted of three  
250 hidden layers with 256, 16 and 4 nodes, while the input layer contained seven nodes (see  
251 supplementary information, Figure S4). Further details on the neural network model design and  
252 development are provided in the supplementary information. The training was performed over  
253 dams in U.S. and then validated over selected sites in Southeast Asia (MRB and India).



254

255 **Figure 1.** (a) Cumulative Distribution Functions (CDF) for thermal regime changes during cold  
 256 and warm season. (b) Thermal Change Class (TCC) based on the selected thresholds of  $-6^{\circ}\text{C}$  and  
 257  $5^{\circ}\text{C}$  for subclassifying the cooling and warming regimes, respectively.

258 The input nodes comprised of dam height (in meters), reservoir area (in  $\text{km}^2$ ), storage  
 259 capacity (in million  $\text{m}^3$ ), Köppen-Geiger climate class (Peel et al., 2007), terrain elevation (in  
 260 meters, retrieved from the Digital Elevation Model (DEM) from Shuttle Radar Topography  
 261 Mission (SRTM), ambient air temperature (in  $^{\circ}\text{C}$ , extracted from the ECMWF's ERA5 reanalysis  
 262 product from [https://developers.google.com/earth-](https://developers.google.com/earth-Engine/datasets/catalog/ECMWF_ERA5_DAILY)  
 263 [Engine/datasets/catalog/ECMWF\\_ERA5\\_DAILY](https://developers.google.com/earth-Engine/datasets/catalog/ECMWF_ERA5_DAILY)), and a dimensionless bathymetry coefficient  
 264 (see supplementary information, Table S1). The bathymetry coefficient is a measure of similarity  
 265 between reservoir's bathymetry and a rectangular cross-section, calculated as the ratio of storage  
 266 capacity with the product of reservoir's maximum area and depth. A similar dimensionless ratio  
 267 called reservoir coefficient was proposed by Mohammadzadeh-Habili et al. (2009) where lower  
 268 values correspond to reservoirs with gorge-like bathymetry. The modeling framework is open-  
 269 source and available on the GitHub repository at: <https://github.com/shahryaramd/futurist>.

270

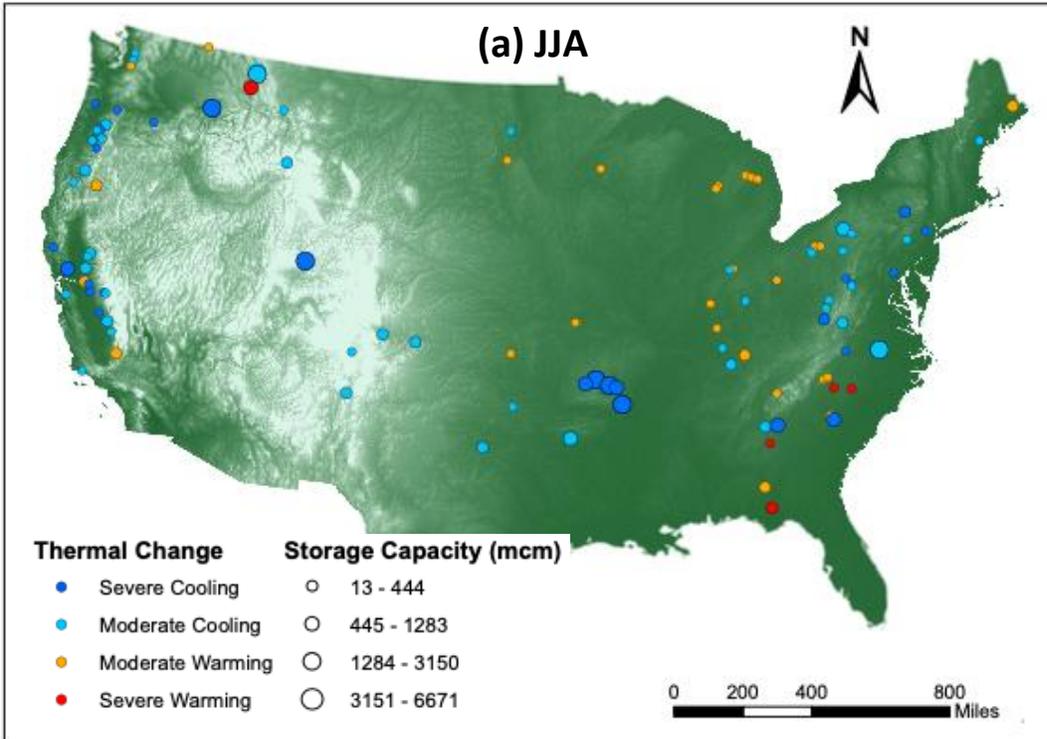
## 2.5 Climate Change Impact Assessment

271 By the end of the 21<sup>st</sup> century, air temperatures are projected to increase due to global  
272 warming according to all the climate models under the Coupled Model Inter-comparison Project  
273 Phase 5 (CMIP5) (Taylor et al., 2012). The ANN model developed for the prediction of thermal  
274 impact includes ambient air temperature as one of the predictors (see section 2.4). Therefore, we  
275 used different air temperature scenarios as forcings to the FUTURIST framework for studying  
276 the effect of climate change on riverine thermal regime change. Specifically, we used two  
277 Representative Concentration Pathway (RCP) scenarios, RCP4.5 and RCP8.5, and a  
278 retrospective (historical) run from globally downscaled Coupled Model Intercomparison Project  
279 Phase 5 (CMIP5) climate projections (Collins et al., 2013). The climate scenarios were acquired  
280 from GFDL-ESM2M General Circulation Model (GCM) runs conducted under CMIP5,  
281 distributed by NASA Earth Exchange (NEX) GDDP dataset  
282 ([https://developers.google.com/earth-engine/datasets/catalog/NASA\\_NEX-GDDP](https://developers.google.com/earth-engine/datasets/catalog/NASA_NEX-GDDP)). The GFDL-  
283 ESM2M air temperatures were averaged over the dam's location over 2000-05 for baseline  
284 scenario and over 2095-99 for the two RCP scenarios.

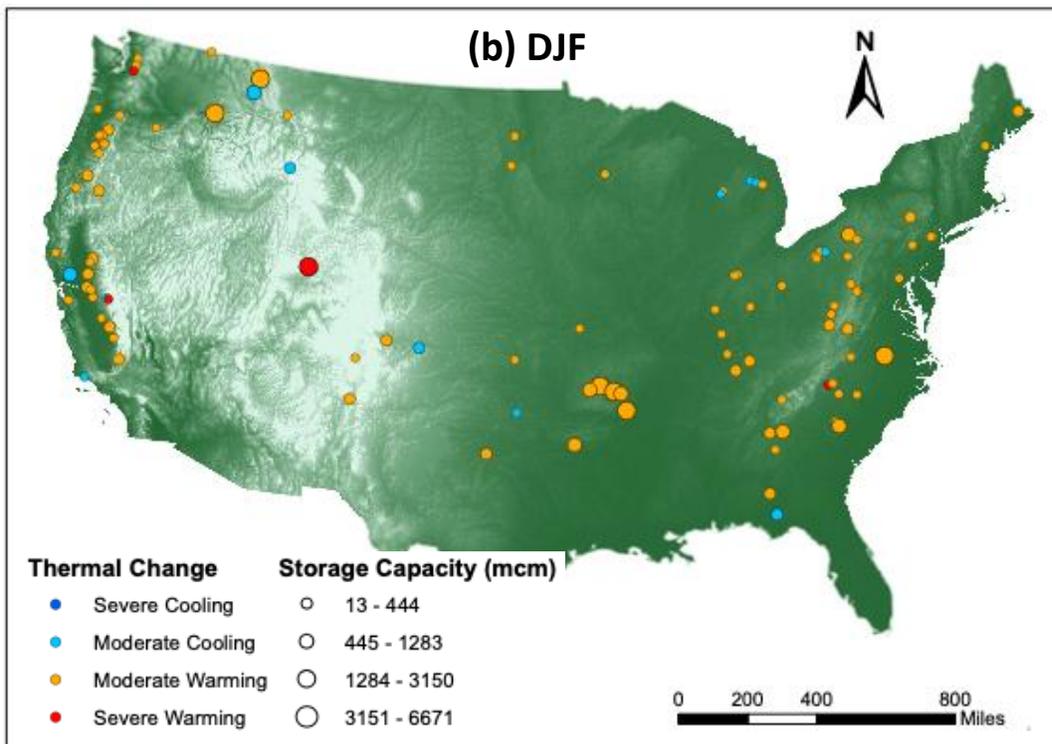
### 285 **3 Results**

#### 286 **3.1 Thermal Impact of Existing Dams in US**

287 The large number of U.S. dams with long temperature records form an ideal testbed to  
288 study the thermal impact of their operations and use that knowledge to predict the impact of  
289 planned hydropower dams. We found that most U.S. dams in general tend to cool downstream  
290 rivers during the warm season (JJA) and have a warming impact during the cold season (DJF).  
291 These impacts reflect homogenized changes over the available data during the past two decades.  
292 During months of JJA, 74 (69%) hydropower dams in the U.S have cooled downstream rivers  
293 when compared to their upstream (used as the proxy to natural baseline) thermal regime  
294 (Figure 2a). Sub-categorizing this impact further, 27 of the dams (25%) caused severe cooling to  
295 the downstream rivers. Interestingly, only five hydropower dams (5%) severely warmed the  
296 tailwaters (defined as an increase of 5°C or more in the downstream river temperature). In  
297 contrast, during the cold season (DJF), most hydropower dams (85%) caused moderate warming,  
298 while only 11% led to moderate cooling and 4% led to severe downstream cooling (Figure 2b).  
299



300



301

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304

**Figure 2.** Dams used for training ANN model to learn thermal regime change (mean difference of upstream and downstream temperatures) over months of (a) JJA and (b) DJF. Classes of the thermal change are defined using quantiles of temperature distribution, see Methods section.

305

306           These results can be explained based on the characteristics of reservoirs and the ambient  
307 conditions. The primary cause of cooling is the stratification of reservoirs with significant  
308 difference between the temperatures of surface water and that of deeper pools from which the  
309 water is released. Reservoirs with larger storage pool and small areal extent (and hence a small  
310 area to storage ratio) experience strong thermal stratification. During warm season, such  
311 reservoirs experience a high temperature difference between the top (termed as epilimnion) and  
312 bottom pools (hypolimnion), thus releasing water that is considerably cooler compared to the  
313 thermal regime upstream of the dam. This is also illustrated by Figure 3a where dams with lower  
314 area-storage ratio exhibit large negative thermal change. Deeper reservoirs (shown with larger  
315 sized markers in Figure 3a) further intensified the stratification and subsequently their cooling  
316 impact. In contrast, smaller storage reservoirs with large area have weakly stratified water pools  
317 which can be easily mixed, even by a light wind. Such reservoirs weaken in their cooling impact  
318 leading to comparatively warmer release downstream under warmer climates.

319

320           Considering the effect of climate, hydropower dams lying in arid and warm regions with  
321 hotter summers (Köppen climate classes 7-9) favored to shift the thermal regime towards cooling  
322 (Figure 3b). This is likely as the surface water temperatures rise under contact with warm air and  
323 high solar radiation which cannot penetrate the cooler bottom layer (hypolimnion). Dams located  
324 in more humid and snowy climates (Köppen climate classes 25 and 26) experienced relatively  
325 cooler air temperatures which were not enough to cause any significant stratification of the  
326 reservoir. Such dams exhibited weaker cooling impact and even led to warming under several  
327 cases.

328

329           During the winter months of DJF, reservoirs that experience strong stratification caused  
330 warming with positive thermal change. As the air temperature decreases with declining solar  
331 radiation input during the winter season, reservoir's surface water begins to cool. This eventually  
332 leads to the top layer cooling down to a temperature similar or lower than the hypolimnion,  
333 breaking the thermal stratification. Thus, dams in such conditions exhibited a warming effect,  
334 although with no strong relationship with the dam size (Figure 3c). In cases when the winter  
335 temperatures drop below the temperature of maximum density of water, 4°C (for example, for

336 dams in climate class 26), surface waters become lighter than the bottom warmer water and a so-  
337 called inverse stratification develops, again causing the release of warm water downstream  
338 (Figure 3d).

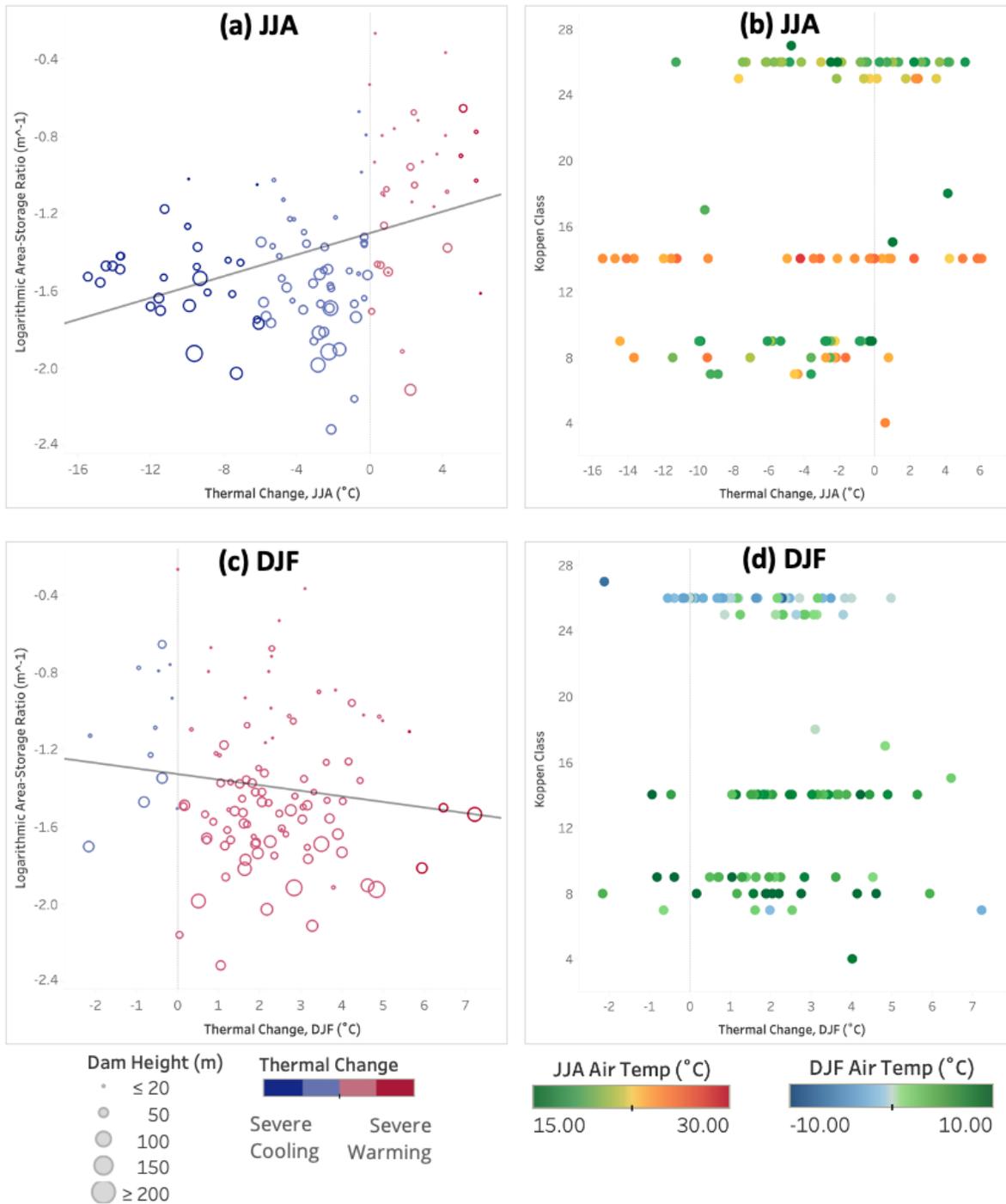
339

### 340 3.2 FUTURIST Thermal Change Model Development

341

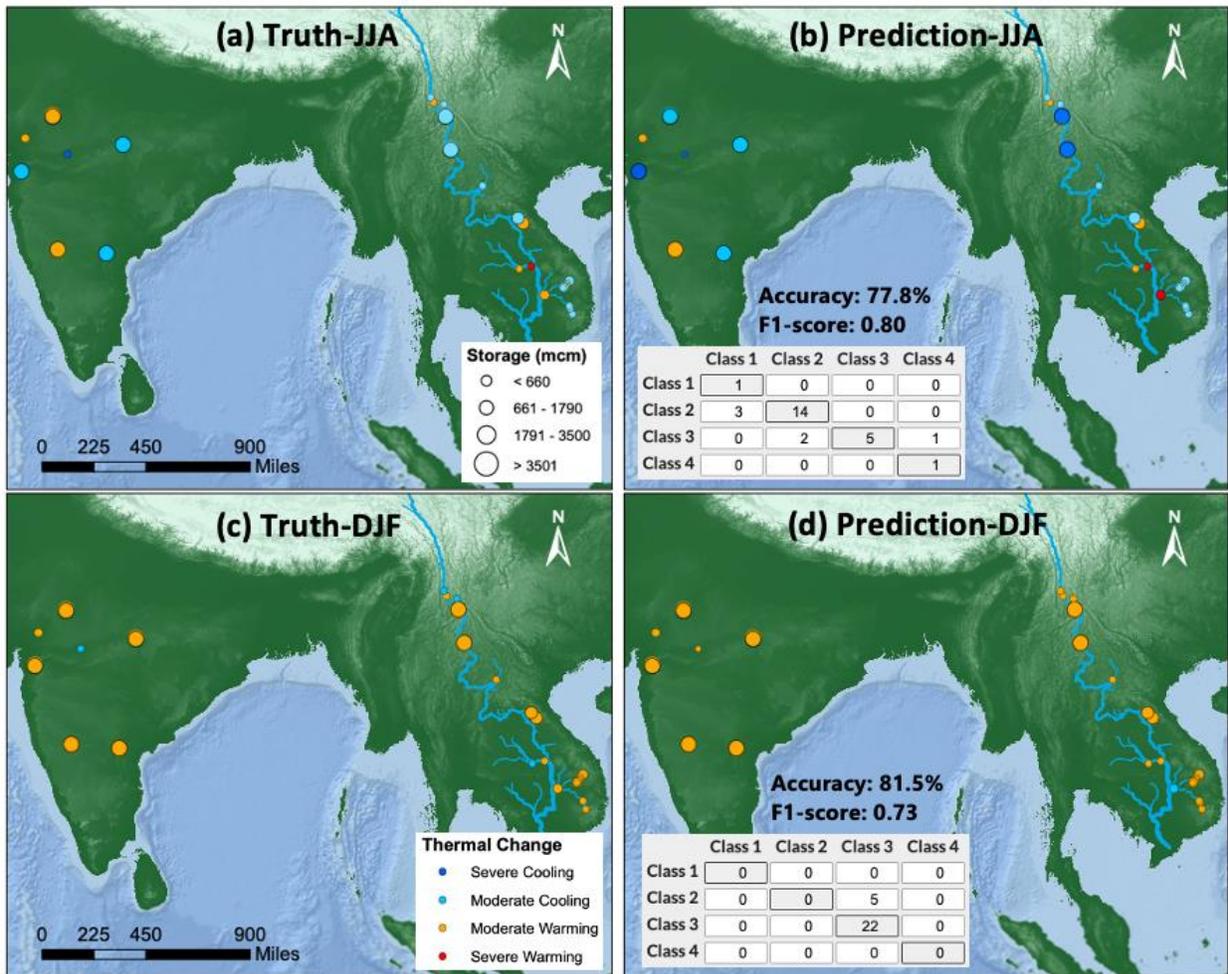
342 Using in-situ data, we trained an ANN model that predicts the mean temperature  
343 difference between upstream and downstream of a dam for each season. For most reservoirs, the  
344 stations that provided upstream temperatures were located on rivers flowing into the reservoir.  
345 This minimized the impact of reservoir's surface area on water temperature. However, the dams  
346 for which upstream insitu stations were unavailable and the upstream rivers were narrow (see  
347 Methods section), remote sensing was used to observe the skin temperature of the reservoirs.  
348 Model validation was performed over 27 existing dams in Southeast Asia located in Mekong  
349 River Basin (MRB) and India.

350



351  
 352 **Figure 3.** Trends in thermal regime change (X-axis) observed for 107 existing dams in the U.S.  
 353 for **(a,b)** JJA and **(c,d)** DJF. Left panel (a & c) shows trends with the log of area-storage ratio, as  
 354 a measure of reservoir's thermal stratification and right panel (b & d) denote distribution of  
 355 Köppen-Geiger climate class for the respective dams.

356 During JJA, when observed temperature changes ranged between  $-6.7$  to  $5.6^{\circ}\text{C}$ , 21 out of  
 357 27 existing dams in Southeast Asia were predicted correctly (78% accuracy) in terms of the  
 358 nature of thermal regime change (warming/cooling) as well as in severity (severe/moderate).  
 359 When considering only the nature of thermal change, however, the model was able to predict  
 360 almost all the thermal change scenarios correctly (accuracy of 93%) with just a single case of  
 361 warming misclassified as cooling (Figure 4). The model was relatively less sensitive during the  
 362 cold season (DJF) with observed temperature changes ranging between  $-1.8$  to  $3.8^{\circ}\text{C}$  (moderate  
 363 cooling/warming), predicted categorically with an accuracy of 81%. We also performed  
 364 assessment of the absolute temperature change values. The ANN model tended to overestimate  
 365 (underestimate) thermal change by  $1.3^{\circ}\text{C}$  ( $1.7^{\circ}\text{C}$ ) during warm (cold) season. Nonetheless, it was  
 366 able to accurately predict the direction and general magnitude of thermal change 78% (81%) of  
 367 the time, despite the geographic differences between training and validation datasets.  
 368



369

370 **Figure 4.** Validation results for existing dams in Southeast Asia during the months of JJA (top  
371 panel) and DJF (bottom panel). Reference thermal change classes are shown on the left (**a and c**)  
372 while corresponding model predictions are shown on the right panel (**b and d**). Confusion  
373 matrices, accuracy (ratio of correct predictions and total sample dams) and F1-scores for the  
374 respective classifications are shown in the right panel.

375

376 3.2 How will Planned Hydropower Dams Alter River Temperatures Around the World?

377

378 Using the model trained and validated on a variety of existing dams in the U.S., MRB,  
379 and India, we applied the FUTURIST framework on 216 planned (including those under  
380 construction) hydropower dam sites around the world. It is worth noticing here that the  
381 predictions are an estimate of the likely changes in thermal regime due to future hydropower  
382 dam operations if the plans are executed under the current temperature data.

383

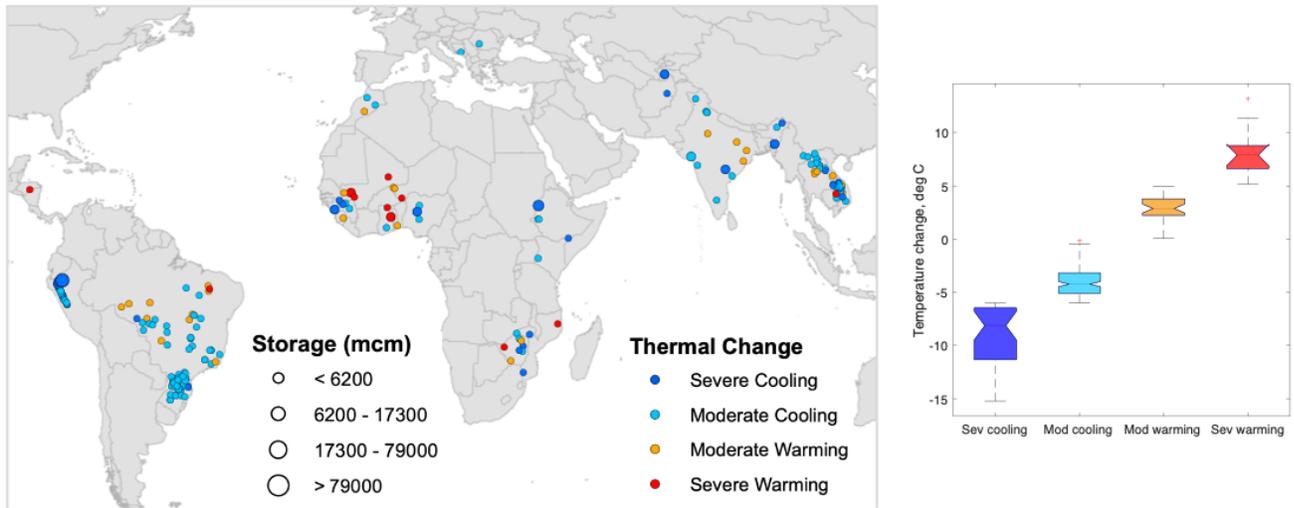
384 During the months of JJA, which are warmer in the northern hemisphere and cooler in the  
385 southern hemisphere, 172 hydropower dams (80%) are likely to cool downstream rivers, with 32  
386 (15%) expected to exhibit severe cooling (Figure 5). In contrast, only 44 (20%) of the planned  
387 hydropower dams are likely to warm downstream rivers, out of which 11 (5%) have the potential  
388 of causing severe warming to the tailwaters. The majority of dams that cause downstream rivers  
389 to cool during summers undergo strong reservoir stratification. As such, these have either large  
390 storage pool or smaller reservoir area. This is also suggested by Figure S5 (see supplementary  
391 information) where planned dams with smaller area-storage ratio general exhibit severe to  
392 moderate cooling. A similar pattern was observed for the existing U.S. dams used for training  
393 (Figure 3), although other factors like climate and dam bathymetry resulted in apparent  
394 differences between the dams in U.S. and across the world.

395

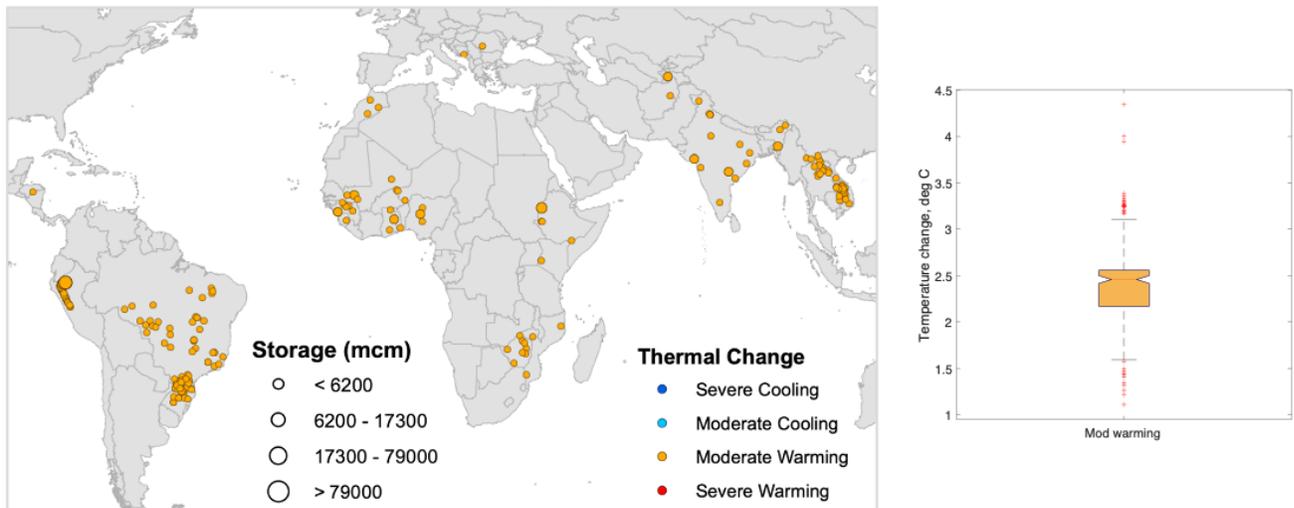
396 During the months of DJF, the same hydropower dams show a relatively consistent  
397 pattern of moderate warming with a likely temperature change varying between 1.0°C to 4.5°C.  
398 These results are consistent with the thermal impact of dams used for validation where most  
399 dams also resulted moderate warming of tailwaters. It is worth mentioning that the predictions on  
400 planned dams are dependent on the diversity and variability represented by the training set of the

401 FUTURIST framework. As only dams in the U.S. were used for training due to limitations of  
 402 data availability in other regions, uncertainty can increase in the predictions over significantly  
 403 different climates such as in Southern Hemisphere. The same class of thermal change predicted  
 404 across all the dams during winters could possibly be affected by this uncertainty.  
 405

**(a) Predictions - JJA**



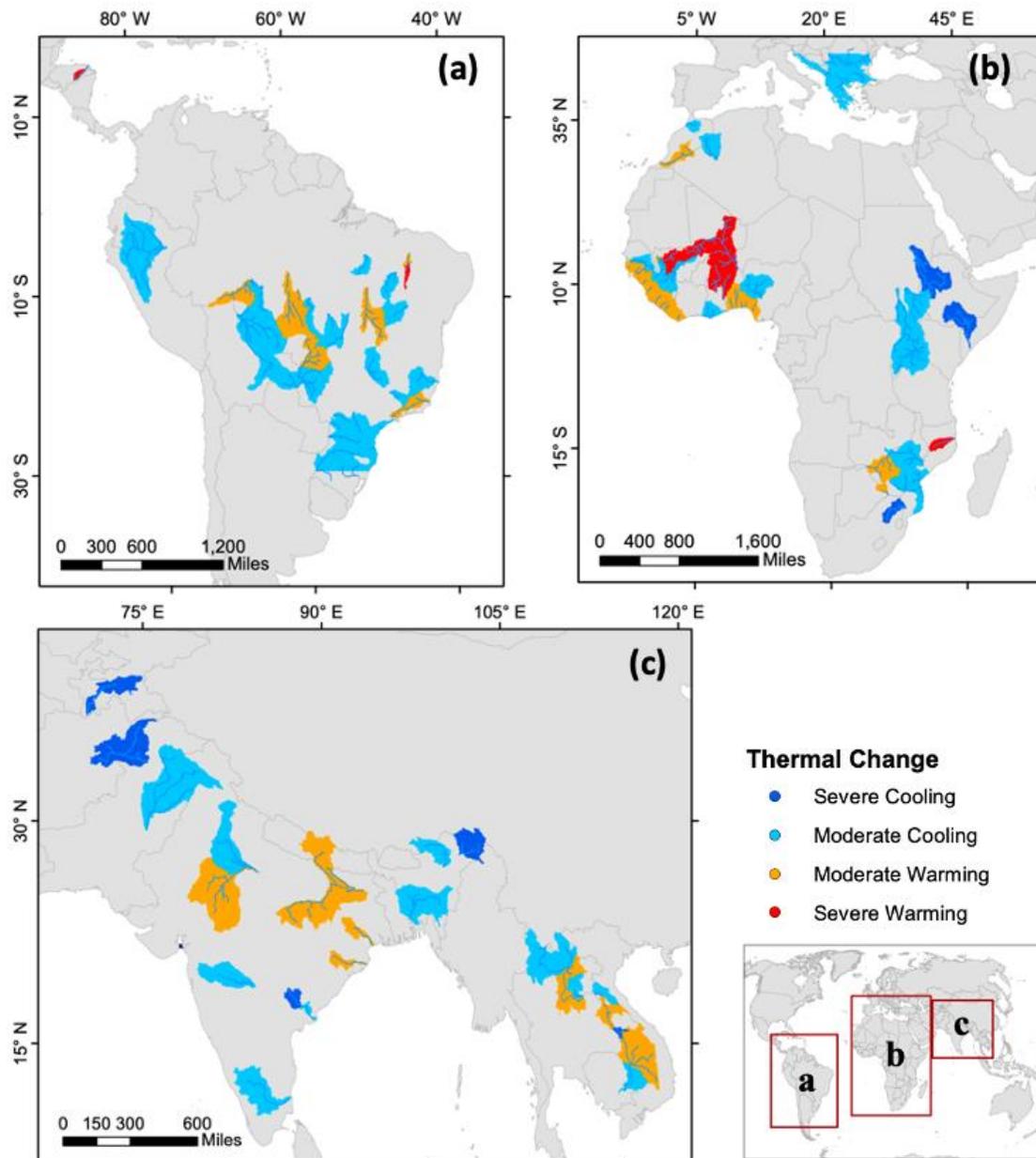
**(b) Predictions - DJF**



406  
 407 **Figure 5.** Thermal regime predictions for planned hydropower dams during the months of **(a)**  
 408 JJA and **(b)** DJF. Variability in each class of thermal change is shown as boxplots for the  
 409 respective seasons.

410

411 The effects of change in thermal regime are not only limited to the local river channel but  
 412 may also translate into basin-wide impacts, in many cases over longer period of times as reported  
 413 by Bonnema et al. (2020). To capture large scale impacts, we mapped the average thermal  
 414 regime changes to river basins containing planned dams. The global dataset for watershed  
 415 boundaries called HydroBASINS (Lehner et al., 2013) was used to aggregate the dam impacts on  
 416 the respective basins containing them. More details of the procedure are provided in section 2.3.  
 417 The results for the months JJA are shown in Figure 6.



419 **Figure 6.** Basin-scale thermal regime changes for the months of JJA corresponding to the  
420 planned dam locations. Basin boundaries are obtained from HydroBASINS databases. Level 4  
421 database is used for Africa while Level 5 is used for the rest.

422

### 423 3.3 Explaining Model Predictions

424

425 Neural networks have been criticized for being black-box type models with little insight  
426 into the physical processes driving the outputs. However, in order to build a trustworthy model,  
427 an explanation of the predictions made by the model is fundamental. Here, we used a technique  
428 called Local Interpretable Model-Agnostic Explanations (LIME) (Ribeiro et al., 2016). The  
429 technique provides prediction of any classifier in an interpretable manner presenting  
430 contributions (set of coefficients) of the individual predictors towards the final model outcome.

431

432 Using LIME model, we analyzed our trained NN model for the contributions from  
433 selected input nodes for modeling the thermal change. Figure S6 in supplementary information  
434 shows these contributions for a sample of existing and future dams. The magnitude of individual  
435 contributions suggest that the top contributors are, in general, the parameters that control  
436 reservoir's stratification such as reservoir area and storage capacity. Also, ambient air  
437 temperature plays significant role for the majority of dams. These findings build confidence in  
438 the model and allow the planner or manager to decide if the predictions should be trusted  
439 depending on which predictors are deriving the outcomes.

440

### 441 3.4 Impact of Climate Change on Predicted Thermal Pollution

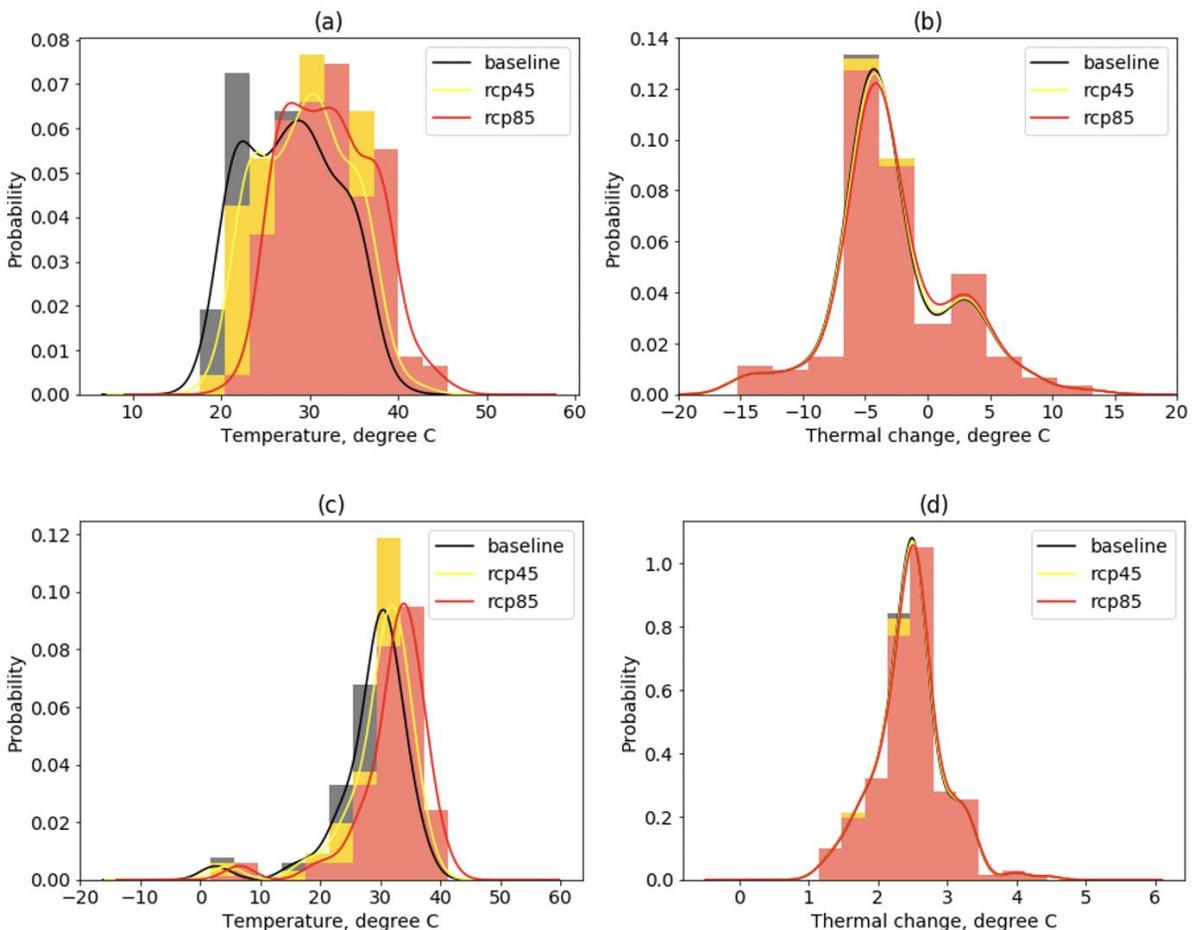
442

443 To study the effect of climate change on riverine thermal regime change, we used  
444 downscaled climate scenarios of RCP4.5, RCP8.5, and a baseline retrospective run derived from  
445 the GFDL-ESM2M model to force the FUTURIST ANN model. Resulting predictions of  
446 riverine thermal changes (average difference between upstream and downstream temperatures)  
447 were compared across the three scenarios. Figure 7 shows the empirical distribution of predicted  
448 temperatures and respective thermal changes over the 216 planned sites for both the winter and  
449 summer seasons.

450

451 The greenhouse gas emissions scenarios of RCP4.5 and RCP8.5 cause the temperature  
 452 distribution to shift towards right with a higher amplitude of thermal change. The resulting  
 453 thermal regimes also experience changes under the projections of changing climate. During JJA,  
 454 the dams that are predicted to cause warming under current temperatures (dams with positive  
 455 thermal change in Figure 7) will intensify in their impact with an average increase in the  
 456 amplitude of thermal change by up to 1.0% and 2.6% under RCP4.5 and RCP8.5 scenarios  
 457 respectively. However, the dams causing downstream cooling (negative thermal change in  
 458 Figure 7), on experiencing warmer air temperatures, will have a curtailed cooling impact by up  
 459 to 1.2% (2.2%) under RCP4.5 (RCP8.5) scenario. In contrast, under the projected rise in air  
 460 temperatures during DJF, the dams will experience comparatively lower increases in mean  
 461 downstream warming amounting to 0.2% (0.6%) under RCP4.5 (RCP8.5) with respect to the  
 462 baseline scenario.

463



464

465 **Figure 7.** Probability distributions of air temperature as histogram and smoothed curves (left  
466 panel) and those for respective thermal regime changes (right panel) for three scenarios of  
467 baseline (historical temperatures during 2000-05), RCP4.5 (2095-99), and RCP8.5 (2095-99)  
468 during months of **(a, b)** JJA and **(c, d)** DJF.

#### 469 **4 Discussion**

470 We have shown in this study that the past historical records of dams in the U.S. can be  
471 leveraged to predict the likely impact of future hydropower dams on river temperature in a  
472 variety of climates and basins around the world. The FUTURIST modeling framework provides  
473 an unprecedented advantage in terms of efficiently learning how future dams might affect  
474 ecosystems by altering the natural thermal regimes of rivers. It also allows for the assessment of  
475 climate drivers of water temperature in addition to dam operations. By providing a preliminary  
476 estimate of likely thermal impacts due to dam operations, our FUTURIST framework also helps  
477 prioritize the planned sites where more detailed and expensive physical studies need to be carried  
478 out.

##### 479 4.1 Global Overlook of Thermal Impacts in the Future

480

481 Existing studies on dams have demonstrated the potential impacts on freshwater  
482 megafauna species (Zarfl et al., 2019), fragmentation of the fish occurrence ranges (Barbarossa  
483 et al., 2012), flow regulation and fragmentation of large rivers (Nilsson et al., 2005, Grill et al.,  
484 2015). A global overlook of thermal impacts due to future dams adds another dimension to our  
485 understanding of human-induced changes to riverine ecosystems and the services they provide.

486

487 Our results reveal interesting and varying patterns of thermal impacts across the selected  
488 planned dams. A general trend of lower highs (reduced temperatures during summers) and higher  
489 lows (warmer temperatures during winters) is predicted. The predictions reflect homogenized  
490 changes in the thermal regime of downstream rivers over a long period of time. Dams with  
491 strong thermal stratification tend to cool downstream rivers during warm seasons. A number of  
492 potential hotspots appear that may lead to severe changes of warming or cooling for the native  
493 biodiversity. Noteworthy conclusions can be inferred using the index of dam impact matrix  
494 (DIM) presented by Grill et al. (2015) for dam development. Basins like Amazon which have

495 been labeled as relatively pristine in terms of fragmentation and flow regulation will be  
496 experiencing dam development that can lead to moderate cooling and, in some cases, moderate  
497 warming (Figure 6). There are also basins such as the Parana in South America and the Niger in  
498 Africa that have undergone significant fragmentation in the past due to hydropower dams. These  
499 two basins are projected to experience further hydropower dam developments in the near future.  
500 While the hydropower dams in the Niger basin will likely be causing a severe warming impact  
501 on the tailwaters, those in Parana basin are predicted to cause moderate cooling (Figure 6). This  
502 suggests that basins already fragmented due to hydropower dam operations are also susceptible  
503 to serious thermal impacts. Such basins demand reconsideration of hydropower generation plans  
504 or design of adaptive operation procedures to protect the ecosystem from long-term ecological  
505 impacts due to thermal regime change.

506

507 Climate change is a major challenge, especially for developing countries in their efforts  
508 to install more hydropower capacity (Ali et al., 2018). While the impacts of climate change on  
509 the hydropower potential have been studied globally (Liu et al., 2016; Turner et al., 2017; Ali et  
510 al., 2018). Our FUTURIST framework also allows assessing the thermal response of downstream  
511 rivers due to dam operations under long-term changes in climate. This is pertinent for performing  
512 more holistic environmental impact assessment studies with insights into thermal modifications  
513 due to hydropower generation and its variability. The impact of increased warming by the end of  
514 the century on thermal regime changes revealed that not all dams will respond the same to  
515 changing climate. Figure 7 shows, under increased global warming, dams that have a cooling  
516 impact on the tailwaters (negative thermal change) will get weaker in their impact, with  
517 decreasing amplitude of thermal cooling during summers. However, the dams that led to  
518 downstream warming will likely intensify in their warming impact with higher amplitude of  
519 thermal change.

520

521 Our FUTURIST modeling framework can be easily transferred to any other hydropower  
522 dam site of interest with minimal data requirements. Because the framework is trained on  
523 temperature change values and not on qualitative classes, the technique provides flexibility in the  
524 choice of output classes of moderate/severe change. Depending on the focus of stakeholders  
525 (fisheries, resource management, water management), the thermal class definitions can be

526 tweaked and trained accordingly. Each community can assign its own priorities of the acceptable  
527 as moderate and unacceptable as severe to understand the impacts of a planned hydropower dam.

528

#### 529 4.2 Ecological Consequences of Thermal Pollution

530

531 The established thermal impacts of the existing dams have already raised concerns for  
532 ecological processes and biodiversity (Olden and Naiman, 2010). With the understanding of the  
533 potential thermal alterations due to planned dams from FUTURIST framework, it is imperative  
534 to study how the ecology will respond to these predictions. We present here a few case examples  
535 that highlight the trade-offs and provide insight into the potential ecological response if the dam  
536 development plans are to be executed.

537

538 The operations of Xinanjiang and Danjiangkou hydroelectric dams in China, that began  
539 in 1960s, have been causing serious environmental impacts on the downstream reaches of  
540 Qiantang and Han rivers, respectively. Zhong and Power (1996) showed that these dams caused  
541 peak summer temperatures to decrease by 4-6°C and winter temperatures to increase by 4-6°C.  
542 As a result of cooler summer discharge, the fish spawning was retarded by three to eight weeks,  
543 causing extirpation of a majority of warmwater fishes. In the alpine climate of Colorado River  
544 basin, operations of Flaming Gorge dam contributed to local extinction of multiple endangered  
545 fish species in the downstream Green River. Again, this was a consequence of the significant  
546 cooling of downstream channels where peak temperatures depressed to 6 °C from a previous  
547 range of 7–21 °C (57). Also, in Australia, Preece and Jones (2002) concluded that the cooler and  
548 delayed peak temperatures hamper the spawning success of several native fish species.

549

550 Fluctuations in winter temperature have also caused damage to the biodiversity. For  
551 example, consistent warming during winters was observed downstream of a dam on the  
552 Saskatchewan River in Canada. This caused complete loss of insect fauna due to the elimination  
553 of stimuli essential for the completion of their life cycles (Lehmkuhl, 1974). Another such  
554 impact was observed by Stevens et al. (1997) where macroinvertebrate fauna of the Colorado  
555 River downstream of Glen Canyon Dam was highly depauperate compared with other  
556 unregulated rivers of the basin (Olden and Naiman, 2010).

557

558           Temperature variation of rivers is a natural phenomenon and the ecosystem is, in general,  
559 resilient to adapt to natural fluctuations. However, the intensive damming of those natural river  
560 systems has not only also caused net shifting of temperature profiles but also led to the  
561 homogenization of those temperatures over longer periods. Such homogenized changes as  
562 predicted by the FUTURIST framework (warmer cool water periods and colder warm water  
563 periods) are the drivers of negative biological responses. Our study clearly elucidates the need of  
564 frameworks like FUTURIST using which thermal pollution can be included within the dam  
565 planning to ensure sustainable river systems.

566

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571 *Hydrologic Change to Hydropower, Human Nutrition, and Livelihoods in the Lower Mekong*  
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### 574 **Data Availability Statement**

575 Dataset on the selected dams for training and validating the FUTURIST framework and on the  
576 planned dams used for predicting their thermal impacts is available in the supplementary  
577 information. Provided spreadsheet contains all the necessary inputs for simulating the  
578 FUTURIST framework along with the ancillary information on their location and logistics.

579

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