

# Impacts of Degradation on Water, Energy, and Carbon Cycling of the Amazon Tropical Forests

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## Key Points:

- Airborne lidar can be used to inform degradation-driven changes in structure to vegetation models

- 31 • Forest degradation typically depletes evapotranspiration and productivity and in-  
32 creases flammability
- 33 • Extreme droughts reduce functional differences between degraded and intact trop-  
34 ical forests

**Abstract**

Selective logging, fragmentation, and understory fires directly degrade forest structure and composition. However, studies addressing the effects of forest degradation on carbon, water, and energy cycles are scarce. Here, we integrate field observations and high-resolution remote sensing from airborne lidar to provide realistic initial conditions to the Ecosystem Demography Model (ED-2.2) and investigate how disturbances from forest degradation affect gross primary production (GPP), evapotranspiration (ET), and sensible heat flux (H). We used forest demography information retrieved from airborne lidar samples (13,500 ha) and calibrated with 817 inventory plots (0.25 ha) across precipitation and degradation gradients in the Eastern Amazon as initial conditions to ED-2.2 model. Our results show that the magnitude and seasonality of fluxes were modulated by changes in forest structure caused by degradation. During the dry season and under typical conditions, severely degraded forests (biomass loss  $\geq 66\%$ ) experienced water-stress with declines in ET (up to 34%) and GPP (up to 35%), and increases of H (up to 43%) and daily mean ground temperatures (up to 6.5°C) relative to intact forests. In contrast, the relative impact of forest degradation on energy, water, and carbon cycles markedly diminishes under extreme, multi-year droughts, as a consequence of severe stress experienced by intact forests. Our results highlight that the water and energy cycles in the Amazon are not only driven by climate and deforestation, but also the past disturbance and changes of forest structure from degradation, suggesting a much broader influence of human land use activities on the tropical ecosystems.

**Plain Language Summary**

In the Amazon, timber extraction and forest fires that are ignited by people are the chief causes of damages that we call forest degradation. Degradation is as widespread as deforestation, and change the way forests behave. Degraded forests may pump less water to the atmosphere and absorb less carbon dioxide from the atmosphere. To understand the differences in behavior between degraded and intact forests, we used high-resolution scanning laser data collected from aircraft flights over regions in the Amazon where we knew if and when the forest was degraded. Then, we provided these data to a computer program that calculates the exchange of water and carbon between the forest and the atmosphere. We found that, during the dry season, degraded forests are 6.5°C warmer, pump 1/3 less water, absorb 1/3 less carbon, and show higher fire risk than in-

67 tact forests. To our surprise, when the Amazon is hit by severe droughts, intact forests  
68 start to behave like degraded forests, because all forests run out of water and become  
69 hot. Our results are important because they show that forest degradation caused by peo-  
70 ple can have large impacts on dry-season climate and favor more fire, especially during  
71 typical, non-drought years.

## 72 **1 Introduction**

73 Tropical forests account for 25–40% of total carbon stocks in terrestrial ecosystems  
74 (Sabine et al., 2004; Meister et al., 2012), but their maintenance and functioning have  
75 been weakened by climate and land-use change. As a result, tropical forests may shift  
76 to net sources of carbon to the atmosphere, with residence time of carbon in forests de-  
77 clining by 50% (Davidson et al., 2012; Grace et al., 2014; Lewis et al., 2015; Erb et al.,  
78 2016). Land use and land cover changes contribute to nearly 15% of total annual car-  
79 bon emissions (Harris et al., 2012; Friedlingstein et al., 2019). However, most studies as-  
80 sessing the effects of land use change on tropical forest stocks and fluxes have focused  
81 on the effects of deforestation (e.g., Harris et al., 2012; Achard et al., 2014). The effects  
82 of logging, understory fires and forest fragmentation — collectively known as *forest degra-*  
83 *dation* (Hosonuma et al., 2012) — could play a comparable role in the forest’s energy,  
84 water, and carbon cycle, but they remain poorly quantified.

85 Significant fractions of the remaining tropical forests are located within 1 km to the  
86 forest’s edge (Haddad et al., 2015; Lewis et al., 2015) and thus are probably degraded  
87 (Asner et al., 2006; Morton et al., 2013; Pütz et al., 2014; Tyukavina et al., 2016; Potapov  
88 et al., 2017). The area impacted by forest degradation in the Amazon each year is highly  
89 uncertain, but likely comparable to deforestation (Asner et al., 2006; Morton et al., 2013;  
90 Tyukavina et al., 2017). Total carbon losses attributable to degradation may be simi-  
91 lar or exceed deforestation-related losses in tropical forests (Berenguer et al., 2014; Pear-  
92 son et al., 2017; Baccini et al., 2017; Aragão et al., 2018; Erb et al., 2018), and degra-  
93 dation may even dominate the carbon losses in indigenous lands and protected areas (Walker  
94 et al., 2020). At the local scale, carbon stocks in degraded forests are extremely variable.  
95 Lightly disturbed forests (e.g., reduced-impact logging) store as much carbon as intact  
96 forests, while forests impacted by severe or multiple disturbances may lose 65–95% of  
97 their original carbon stocks (Berenguer et al., 2014; Alamgir et al., 2016; Longo et al.,  
98 2016; Rappaport et al., 2018; Ferraz et al., 2018). Unquestionably, estimates of fluxes

99 from forest degradation and regeneration are more uncertain than emissions from de-  
100 forestation (Aragão et al., 2014; Morton, 2016; Bustamante et al., 2016), because their  
101 impacts on forests are more subtle than deforestation and thus more difficult to detect  
102 and quantify with traditional remote sensing techniques.

103 Selective logging and fires also modify the forest structure, composition and func-  
104 tioning. For example, selective logging in the tropics generally targets large trees (diam-  
105 eter at breast height,  $DBH \geq 40\text{--}60$  cm) from a few marketable species (e.g., Feldpausch  
106 et al., 2005; Blanc et al., 2009; Pinagé et al., 2019), but the other logging structures such  
107 as skid trails and log decks kill or damage mostly small trees ( $DBH < 20$  cm) (Feldpausch  
108 et al., 2005). Likewise, fire mortality decreases with tree size and the bark thickness (e.g.,  
109 Brando et al., 2012; Pellegrini et al., 2016), although areas disturbed by recurrent fires  
110 also show significant losses of large trees (Martins et al., 2012). Consequently, degrada-  
111 tion creates more open canopies and thinner understory (e.g., d’Oliveira et al., 2012; Pinagé  
112 et al., 2019; Silvério et al., 2019) and increased abundance of fast-growing, low wood-  
113 density species (Barlow et al., 2016; Both et al., 2019; Brando, Silvério, et al., 2019).

114 Previous studies indicate an increase in dry-season length in parts of the Amazon  
115 where both deforestation and forest degradation are pervasive (e.g., Fu et al., 2013; Sena  
116 et al., 2018), and that the onset of the wet season is modulated by forest transpiration  
117 (J. S. Wright et al., 2017). Temperature and vapor pressure deficit (VPD), important  
118 drivers of evapotranspiration (ET), were found by Kapos (1989) to be significantly higher  
119 near forest edges. Likewise, Jucker et al. (2018) installed a network of micrometeorolog-  
120 ical measurements across a study area in Sabah, Malaysia, that included intact forests,  
121 a broad range of degraded forests and oil-palm plantations, and found that forest struc-  
122 ture, along with topographic features, explained most of the variance in understory tem-  
123 perature. Yet, only a few studies on experimental sites quantified the magnitude, sea-  
124 sonality, and interannual variability of water, and energy cycles in degraded forests. For  
125 example, S. D. Miller et al. (2011) analyzed the impact of reduced-impact, low-intensity  
126 selective logging in the Amazon using eddy covariance towers and found only minor im-  
127 pacts of logging on sensible and latent heat fluxes. Recently, Brando, Silvério, et al. (2019)  
128 compared eddy covariance data from two towers at an experimental fire site in the Ama-  
129 zon forest, and found declining differences in gross primary productivity and small dif-  
130 ferences in evapotranspiration between the control and burned area between 4 and 8 years  
131 after the last burn.

132 Field inventory plots are fundamental to sample the structure and species compo-  
133 sition of tropical forests, but they also have important limitations to characterize the het-  
134 erogeneity of degraded landscapes. First, the number of plots required to characterize  
135 stands increase with heterogeneity, often reaching impractical numbers (Marvin et al.,  
136 2014). In addition, most tropical forest degradation occurs in private landholdings and  
137 privately managed logging concessions, where limited access by researchers may create  
138 sampling bias towards well-managed areas, which generally experience less intensive degra-  
139 dation. However, airborne laser scanning (airborne lidar) can circumvent these limita-  
140 tions over large areas with sub-meter resolution. Airborne lidar data have been used suc-  
141 cessfully to quantify structural characteristics of the canopy such as height and leaf area  
142 distribution (Hunter et al., 2013; Shao et al., 2019). Moreover, these data have also been  
143 used to quantify changes in canopy structure and carbon stocks at local to regional scale  
144 that experienced multiple levels of degradation (e.g., Asner et al., 2010; Longo et al., 2016;  
145 Ferraz et al., 2018; Meyer et al., 2019).

146 Numerical models can be used to understand the links between changes in forest  
147 structure, light and water availability for different local plant communities, and the over-  
148 all impact on energy, water, and carbon fluxes between forests and the atmosphere. In  
149 the past, *big-leaf* models have been modified to account for the long-term impacts of se-  
150 lectively logged tropical forests on the carbon cycle of tropical forests (e.g., Huang et al.,  
151 2008; Huang & Asner, 2010). However, big-leaf models cannot represent the mechanisms  
152 that control access and availability of light and water in complex and heterogeneous for-  
153 est structures (Purves & Pacala, 2008; Fisher et al., 2018). Individual-based models can  
154 represent the changes in the population structure and micro-environments due to degra-  
155 dation (R. Fischer et al., 2016; Maréchaux & Chave, 2017), but the complexity and com-  
156 putational burden of these simulations often limit their application to single sites. Cohort-  
157 based models, such as the Ecosystem Demography (ED-2.2) model (Medvigy et al., 2009;  
158 Longo, Knox, Medvigy, et al., 2019), strike a balance between these end-members be-  
159 cause they can efficiently represent the horizontal and vertical heterogeneity of forests,  
160 provided that they are informed with initial conditions and accurate parameterizations  
161 that can capture the landscape variability.

162 In this study, we use airborne lidar data to quantify forest structure variability across  
163 the Amazon in order to provide critical initial conditions for ecosystem demography mod-  
164 els. We also investigate the role of forest degradation on the Amazon forest productiv-

165 ity, flammability, as well as the degradation impacts on the water and energy cycles. Specif-  
166 ically, we seek to answer the following questions:

- 167 1. What are the relationships between degradation metrics (e.g. biomass loss) and  
168 changes in carbon, water, and energy fluxes, and how does it vary across seasons  
169 and regions with different rainfall regimes?
- 170 2. How do droughts affect the relationships between degradation and ecosystem func-  
171 tioning?
- 172 3. Does forest degradation make Amazon forests more susceptible to fires? If so, which  
173 parts of the Amazon experience the largest flammability response to degradation?

174 To this end, we integrate field inventory plots with high-resolution airborne lidar data  
175 over five study regions in the Eastern Amazon along a precipitation gradient and with  
176 a broad range of anthropogenic disturbance histories, to provide initial conditions to ED-  
177 2.2 that realistically represent the structural diversity of degraded forests. While lim-  
178 ited to specific regions in the Amazon where detailed degradation information exists, our  
179 goal is to provide a framework that can be extended to larger scales, including biome-  
180 and pantropical scales.

## 181 **2 Materials and Methods**

### 182 **2.1 Study regions**

183 We selected five study regions across a gradient of disturbance and climate con-  
184 ditions where ground and airborne lidar are available to study the forest function (Fig-  
185 ure 1; Table 1). Three of these sites include eddy covariance tower measurement of en-  
186 ergy, water, and carbon dioxide fluxes for comparison with the model simulations, and  
187 have been the focus of several ecological studies in the past.

- 188 1. *Paracou, French Guiana (GYF)* is a field station where a logging experiment was  
189 conducted between 1987 and 1988 that includes intact forest controls and three  
190 selective logging treatments: timber extraction using conventional logging tech-  
191 niques, timber extraction and canopy thinning, and timber and fuelwood extrac-  
192 tion followed by canopy thinning (Gourlet-Fleury et al., 2004). The eddy covari-  
193 ance tower at the site is located in the undisturbed forest and has been operational  
194 since 2004 (Guyaflux; Bonal et al., 2008).

**Table 1.** Overview of the study regions, including mean annual precipitation (MAP) and dry-season length (DSL).

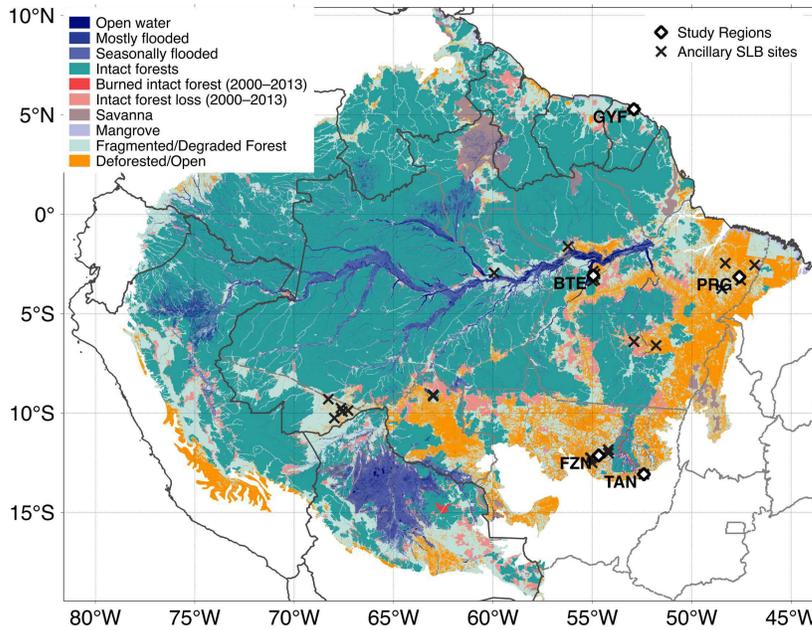
Region (Code)	Coordinates	MAP <sup>a</sup> [mm]	DSL <sup>b</sup> [mo]	Lidar [ha]	Inventory [ha]	Disturbances <sup>c</sup>
Paracou (GYF)	5.28°N; 52.91°W	3040	2(0)	963	79.8	INT, CL1, LTH
Belterra (BTE)	3.09°S; 54.95°W	1890	5(1)	4057	16.7	INT, RIL, BN1, BN2, BN3
Paragominas (PRG)	3.15°S; 47.61°W	1850	6(2)	3217	35.6	INT, RIL, CL1, BN1, LB1, BN2, BN3
Feliz Natal (FZN)	12.14°S; 54.68°W	1940	5(4)	4210	14.0	INT, CL1, CL2, BN1, LB1, BN2, BN3
Tanguro (TAN)	13.08°S; 52.41°W	1800	5(4)	1006	22.9	INT, BN1, BN3, BN6

<sup>a</sup> Source for mean annual precipitation (MAP) data: GYF – Gourlet-Fleury et al. (2004); other regions – nearest site available at INMET (2019).

<sup>b</sup> Dry-season length (DSL): number of months with precipitation below 100 mm; numbers in parentheses indicate number of severely dry months (precipitation below 30 mm).

<sup>c</sup> Disturbance history classes: INT – intact; RIL – reduced-impact logging; CL $x$  – conventional logging ( $x$  times); LTH – conventional logging and thinning; LB1 – conventional logging and burned (once); BN $x$  – burned  $x$  times.

- 195        2. *Belterra, Brazil (BTE)*. Over the past 100 years, this region experienced cycles  
196            of economic growth and recession that created a complex landscapes dominated  
197            by deforestation, degradation and second-growth (VanWey et al., 2007), with in-  
198            tact areas in the Tapajós National Forest. An eddy covariance tower known as Km  
199            67 overlaps with one of the surveyed sites and has data for 2001–2005, and 2008–  
200            2011 (Hayek et al., 2018).
- 201        3. The *Paragominas, Brazil (PRG)* region used to be within the largest timber pro-  
202            duction area in Brazil and has undergone selective logging since the 1970s (Veríssimo  
203            et al., 1992). Since the 1990s, the economy has shifted towards agriculture, intro-  
204            ducing large-scale deforestation such that nearly half of the original forest cover  
205            has been lost, and most of the remaining areas have been logged (Pinto et al., 2009).
- 206        4. *Feliz Natal, Brazil (FZN)* is located at the southern fringe of the Amazon in a mo-  
207            saic landscape of soybean fields, grazing lands, and logged forests. This region reg-  
208            ularly experiences severe dry seasons and frequent understory fires (Morton et al.,  
209            2013; Rappaport et al., 2018).
- 210        5. *Tanguro, Brazil (TAN)* is located in an experimental fire study area within a larger  
211            landscape covered by intact forests and forests that were disturbed with low-intensity  
212            understory fires (one, three, and six times) between 2004 and 2010 (Brando et al.,  
213            2014). The surveyed region also includes two eddy covariance towers that have been  
214            operating since 2014 both at the intact and burned forests (Brando, Silvério, et  
215            al., 2019).



**Figure 1.** Location of the five study regions within the Amazon biome region, along with land classification as of 2013. Intact forest and intact forest loss were obtained from Potapov et al. (2017); open and deforested areas were obtained from PRODES-INPE (2018) (Brazil) and areas with tree cover below 20% according to Hansen et al. (2013) (other countries); wetlands and water bodies in the Amazon River Basin were from Hess et al. (2015) and savannas and mangroves were obtained from Olson et al. (2001).

216 These five study regions were sampled at multiple sites by small-footprint, multiple-  
 217 return airborne lidar. The lidar data provided both the terrain elevation at high spatial  
 218 resolution (1-m) and detailed information about the vertical structure of forests from a  
 219 uniform point cloud density to meet a minimum return density of 4 returns per  $\text{m}^2$  over  
 220 99.5% of the area (Leitold et al., 2015). Living trees of diameter at breast height  $\text{DBH} \geq$   
 221 10 cm were either botanically identified (experimental plots in GYF) or identified from  
 222 field characteristics by local parataxonomists. To characterize the disturbance history,  
 223 we used either published information from the experimental regions GYF (Gourlet-Fleury  
 224 et al., 2004; Bonal et al., 2008; Wagner et al., 2013) and TAN (Brando et al., 2012, 2014),  
 225 or the disturbance history analysis from (Longo et al., 2016), which was based on a vi-  
 226 sual interpretation of the Normalized Burn Ratio (NBR) of cloud-free Landsat images  
 227 since 1984, and complemented with information from logging companies for the reduced-  
 228 impact logging sites (e.g., Pinagé et al., 2019). Details on site-specific data used in this

229 study are available in Text 1 and previous work (Longo et al., 2016; Vincent et al., 2017;  
230 Brando, Silvério, et al., 2019), and were obtained through the Paracou Experimental Sta-  
231 tion and the Sustainable Landscapes Brazil data servers (Paracou Portal, 2016; Sustain-  
232 able Landscapes Brazil, 2019; dos-Santos et al., 2019).

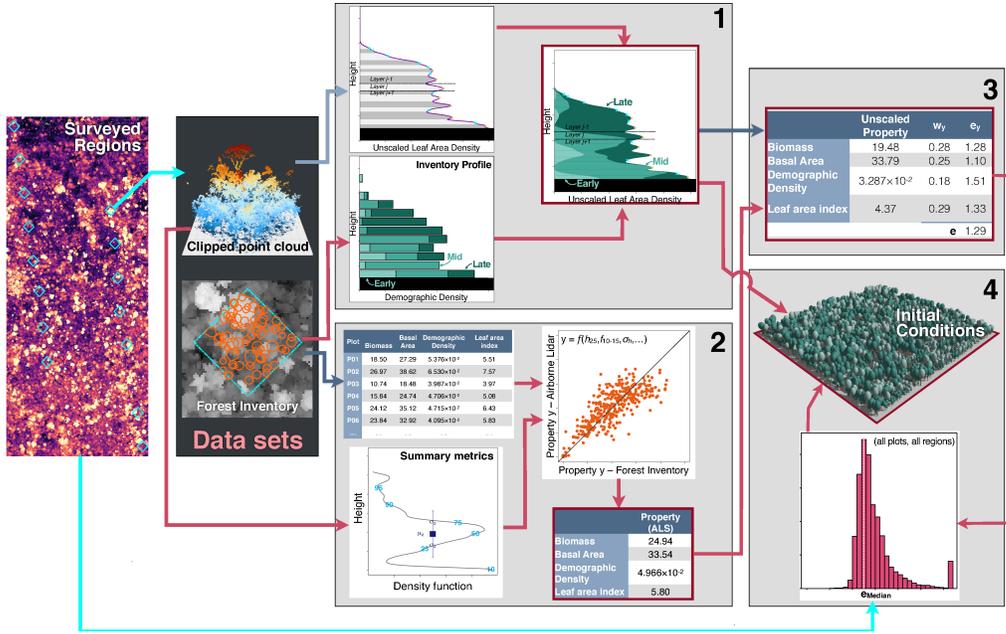
## 233 **2.2 Overview of the modeling framework**

234 In this study, we used the Ecosystem Demography model, version 2.2 (ED-2.2) (Moorcroft  
235 et al., 2001; Medvigy et al., 2009; Longo, Knox, Medvigy, et al., 2019) to simulate the  
236 impacts of forest structure on energy, water, and carbon cycles. For any point of inter-  
237 est, the ED-2.2 model simulates the forest structure and functional diversity across a land-  
238 scape, and simulates the energy, water, and carbon budgets for multiple canopy envi-  
239 ronments, which represent the forest heterogeneity (Longo, Knox, Medvigy, et al., 2019).  
240 ED-2.2 has been successfully evaluated and used in both short-term and long-term stud-  
241 ies in the Amazon forest (Powell et al., 2013; Zhang et al., 2015; Levine et al., 2016; Longo,  
242 Knox, Levine, et al., 2019). In ED-2.2, the horizontal and vertical heterogeneities of forests  
243 are represented through a hierarchical structure. Each area with the same climate (e.g.,  
244 footprint of an eddy covariance tower or a grid cell in a gridded meteorological driver)  
245 is called a *polygon*. Each polygon is subdivided into *patches*, which represent collections  
246 of forest gaps within a polygon that share a similar age since last disturbance and same  
247 disturbance type (although not necessarily contiguous in space). Patches are further sub-  
248 divided into *cohorts*, which are collections of individual plants that have similar size and  
249 similar functional group. Importantly, because ED-2.2 incorporates the horizontal het-  
250 erogeneity of the plant community structure and composition, the model can efficiently  
251 incorporate and simulate the dynamics of degraded forests.

252 Most of the ED-2.2 modules used in this study have been previously described in  
253 Longo, Knox, Medvigy, et al. (2019). The main changes used in this study include (1)  
254 a modified height-diameter allometry based on the Jucker et al. (2017) approach and lo-  
255 cally collected field data that can be used consistently by the initialization and model;  
256 (2) an improved allocation to living and structural tissues, which is now based on more  
257 recent allometric equations (Chave et al., 2014; Falster et al., 2016) and datasets (Falster  
258 et al., 2015); (3) a revised photosynthesis solver, which now accounts for the maximum  
259 electron transport ratio and the maximum triose-phosphate utilization (von Caemmerer,  
260 2000; Oleson et al., 2013; Lombardozzi et al., 2018); (4) updated values of traits and trade-

261 offs, using multiple studies and trait databases, including GLOPNET, TRY, and NGEETropics (I. J. Wright et al., 2004; Santiago & Wright, 2007; Chave et al., 2009; Kattge  
262 et al., 2009, 2011, 2020; Baraloto et al., 2010; Powers & Tiffin, 2010; Gu et al., 2016; Ba-  
263 har et al., 2017; Norby et al., 2017). These changes are described in Text 2. Moreover,  
264 we used an approach developed by X. Xu (unpublished) and based on Lloyd et al. (2010)  
265 to account for light-dependent plasticity of three leaf traits (specific leaf area, leaf turnover  
266 rate, and carboxylation capacity), and calibrated using existing data (Lloyd et al., 2010;  
267 Russo & Kitajima, 2016; Keenan & Niinemets, 2016).

269 To obtain initial conditions for ED-2.2 from airborne lidar, we devised a multi-step  
270 approach that links airborne lidar data with ecosystem properties (Figure 2). Here we  
271 provide a summary of the initialization procedure; the technical details of this approach  
272 are described in Text 3. For step 1, we split all collected point cloud data into  $50 \times 50$  m  
273 columns, simulated waveforms from the discrete returns (Blair & Hofton, 1999; Popescu  
274 et al., 2011; Hancock et al., 2019) to obtain unscaled leaf area density profiles based on  
275 the vertical distribution of returns (e.g., MacArthur & Horn, 1969; Ni-Meister et al., 2001;  
276 Stark et al., 2012; Antonarakis et al., 2014; Tang & Dubayah, 2017), and assigned the  
277 relative proportion of each plant functional type provided by one of the 769 training plots  
278 that had the most similar vertical structure; the similarity was based on the profile com-  
279 parison that yielded the smallest Kolmogorov-Smirnov statistic. The vertical profile was  
280 split into cohort layers centered around local maxima or saddle points, using a modified  
281 procedure based on function `peaks` (package `RSEIS`, Lees, 2017) of the R statistical soft-  
282 ware (R Core Team, 2019). For step 2, we used a collection of 817 forest inventory plots  
283 (0.16–0.26 ha) that were also surveyed by airborne lidar, which included plots from all  
284 study regions as well additional sites available from Sustainable Landscapes Brazil (SLB)  
285 and used in a previous study (ancillary SLB sites, Figure 1; Longo et al., 2016); we de-  
286 veloped statistical models based on subset selection of regression (A. J. Miller, 1984) and  
287 heteroskedastic distribution of residuals (Mascaro et al., 2011) to estimate plot-level prop-  
288 erties (aboveground biomass, basal area, stem number density, leaf area index) from point  
289 cloud metrics and field estimates, following the approach by Longo et al. (2016). For step  
290 3, we sought to obtain a plot-specific scaling factor to the leaf area density profile that  
291 produced the best agreement between the four estimated plot-level properties from step  
292 1 and the plot-level properties obtained by integrating the vertical distribution from step  
293 2, by minimizing the sum of relative square differences of the four properties. For step



**Figure 2.** Schematic representation of the method to obtain initial conditions for ED-2 from airborne lidar. Each light box represents one step in the procedure. The results of each step are highlighted with a red border. Dark blue arrows are stages that require individual-based allometric equations, and light blue arrows are stages that require a light extinction model.

294 4, we analyze the scaling factor distribution for all plots for which we could test the ap-  
 295 proach, and define a unique and global scaling factor, based on the median scaling factor  
 296 tor, that is used to correct all predicted profiles.

297 Once we obtained the initial conditions for each 50×50 m column, we grouped in-  
 298 dividual columns based the disturbance history (degradation level) and the study region  
 299 (Table 1). We used the following broad categories for disturbance history: intact (INT),  
 300 reduced-impact logging (RIL), conventional logging (CL $x$ , where  $x$  is the number of log-  
 301 ging disturbances), conventional logging and thinning (LTH), logged and burned once  
 302 (LB1) and burned (BN $x$ , where  $x$  is the number of burns). Importantly, we did not per-  
 303 form any averaging or sampling of the individual columns before providing them to ED-  
 304 2.2; instead, we provided all columns to the model, so the initial conditions character-  
 305 ize the observed distribution of forest structures that exist within each group.

### 2.3 Assessment of the modeling framework

We evaluated three characteristics to assess the ability of model framework to represent the forest structure heterogeneity caused by degradation, and to represent components of the energy, water, and carbon cycle. First, we quantified the ability of the airborne lidar initialization to capture the differences in forest structure caused by degradation. Second, we assessed whether the model can realistically represent fluxes and storage of water, energy and carbon across different regions. Third, we compared the model sensitivity to degradation-driven effects on fluxes and storage with independent observations.

To evaluate the airborne lidar initialization, we used a cross-validation approach in which we replicated the procedure described above (Section 2.2) 2000 times, using a hierarchical bootstrap approach. We first sampled regions (with replacement), to ensure that some regions would be entirely excluded from the replicate, then we sampled plots (also with replacement), to ensure that the replicate had the same number of plots as the original training data set. We then predicted the structure of all plots in the excluded regions, using iterations that did not have any plot in the training data set; to make this number consistent across regions, we used the smallest number of iterations that met this criterion across all regions ( $n = 612$ ). Finally, for each region, we compared the average forest structure from all cross-validation replicates that excluded the region from the training stage. Because estimates of forest properties have larger uncertainties in smaller plots (Chave et al., 2004; Meyer et al., 2013; Mauya et al., 2015), we only evaluated the method when a disturbance class within a region had at least 20 plots.

To verify the model's ability to realistically represent the regional variability of fluxes and storage, we carried out ED-2.2 simulations initialized with airborne lidar for the intact forests regions where eddy covariance tower and forest inventory plots co-located with airborne lidar were available (GYF and BTE). Region TAN had two eddy-covariance towers, one within the footprint of the burned forests and a second in intact forest (Brando, Silvério, et al., 2019), which allowed us to contrast the model's predicted impacts of degradation on fluxes and biophysical properties with the pair of tower measurements.

## 2.4 Model configuration and analyses

Our main focus is to understand the role of degradation-driven changes in forest structure in altering both the state and the fluxes of energy, water, and carbon, both under typical and extreme climate. To account for regional differences in climate and to sample a broad range of interannual variability, we used time series of meteorological drivers pooled from gridded reanalyses (one set of time series per region). For most meteorological variables required by ED-2.2 (pressure, temperature, humidity, incoming short-wave and longwave radiation, and winds), we used  $0.625^\circ \times 0.5^\circ$ , hourly averages (1980–2016) from the version 2 of the Modern-Era Retrospective Analysis for Research and Applications (MERRA-2, Gelaro et al., 2017). MERRA-2 precipitation is known to have significant negative biases in the tropics (Beck et al., 2019); therefore we used the  $0.1^\circ \times 0.1^\circ$ , 3-hourly precipitation rates from the version 2 of the Multi-Source Weighted Ensemble Precipitation product (MSWEP-2, Beck et al., 2019). To ensure that the only difference between simulations in the same study region was the distribution of forest structures, we imposed the same edaphic conditions: free-drainage soils with 8 m deep, and nearly equal fractions of sand (32%), silt (34%), and clay (34%). To avoid confounding effects from post-disturbance mortality and recovery, all simulations were carried out without enabling dynamic vegetation, such that the differences in forest structure would remain the same for the entire time series, and all differences between simulations in the same region could be attributable to well-characterized differences in forest structure.

To investigate the role of degradation on fire risk, we built on the original fire model from ED-1 (Moorcroft et al., 2001) to determine when fire-prone conditions would occur in each patch. The flammable area  $\alpha_F$  ( $\% \text{ yr}^{-1}$ ) is calculated from the fire disturbance rate  $\lambda_F$  ( $\text{yr}^{-1}$ ):

$$\alpha_F = 100 [1 - \exp(-\lambda_F \Delta t)], \quad (1)$$

$$\lambda_F = \begin{cases} I C_{\text{Fuel}} & , \text{ if } \left[ \frac{1}{|z_F|} \int_{z_F}^0 \vartheta(z) dz \right] < (1-f) \vartheta_{\text{WP}} + f \vartheta_{\text{Fc}} \\ 0 & , \text{ otherwise} \end{cases} . \quad (2)$$

where  $\Delta t = 1 \text{ yr}$ ;  $I = 0.5 \text{ m}^2 \text{ kgC yr}^{-1}$  is a fire intensity parameter;  $z_F = 30 \text{ cm}$  is the depth of the soil layer used to estimate dryness;  $\vartheta$  ( $\text{m}^3 \text{ m}^{-3}$ ) is the soil moisture;  $\vartheta_{\text{WP}}$  is the permanent wilting point and  $\vartheta_{\text{Fc}}$  is the field capacity, both defined as in Longo, Knox, Medvigy, et al. (2019); and  $f = 0.02$  is a phenomenological parameter that defines dry conditions. Because understory fires are the dominant type of fire in the Ama-

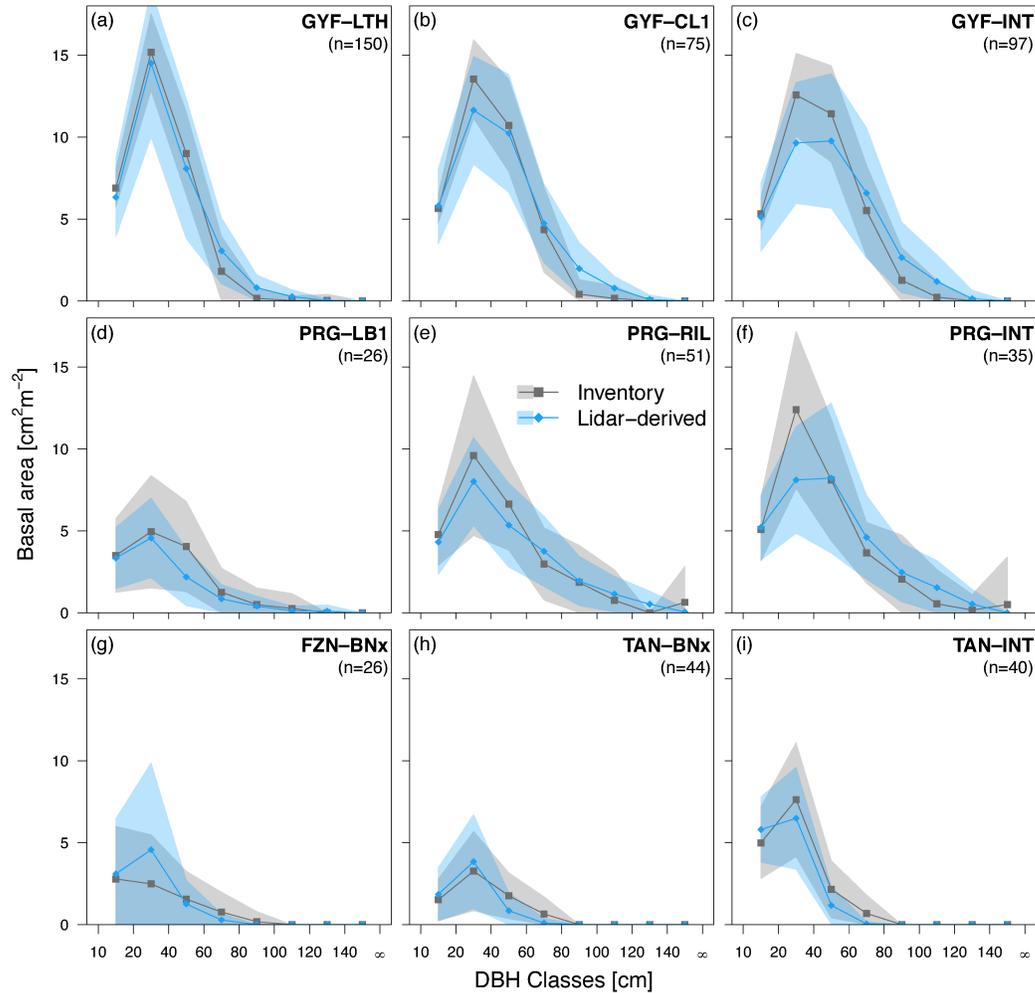
364 zon (A. Alencar et al., 2006; Morton et al., 2013), we considered fuels to be comprised  
365 by above-ground litter, above-ground coarse woody debris, and above-ground biomass  
366 from grasses and seedlings (trees with height  $< 2$  m); canopy trees were not considered  
367 to be fuels. The fire parameterization, although simple, has been previously demonstrated  
368 to capture the general features of fire regime across tropical South America (Longo, Knox,  
369 Levine, et al., 2019).

### 370 **3 Results**

#### 371 **3.1 Evaluation of the model initialization and simulated dynamics**

372 The ED-2.2 model initialization approach from airborne lidar (Figure 3) captured  
373 the main differences in forest structure and composition, both across study regions and  
374 along degradation gradients. To illustrate the initialization, we focus on the basal area  
375 distribution obtained from cross-validation at disturbance histories within study regions  
376 that had at least 20 plots (Figure 3). At sites GYF, PRG, and TAN, the airborne lidar  
377 initialization predicted the total basal area with absolute biases ranging from 3% (GYF)  
378 to 13% (TAN), and root mean square error of the order of 18–27% (Figures 3c, 3f and  
379 3i). The largest absolute discrepancies occurred for intermediate-sized trees ( $20 \leq \text{DBH}$   
380  $< 40$  cm) at GYF and PRG, where the airborne lidar initialization underestimated basal  
381 area by 2.9 and 4.3  $\text{cm}^2 \text{m}^{-2}$ , respectively (Figures 3c and 2f). The largest overestima-  
382 tion of airborne lidar was observed among larger trees ( $60 \leq \text{DBH} < 100$  cm) in intact  
383 forests at GYF (2.4  $\text{cm}^2 \text{m}^{-2}$ ; Figure 3c). The size distribution of most degraded forests  
384 were well characterized (Figures 3a-b, 3d-e and 3g); the largest deviations from inven-  
385 tory were observed in logged and burned forests in PRG, where airborne lidar underes-  
386 timated total basal area by 3.0  $\text{cm}^2 \text{m}^{-2}$  (Figure 3d). Likewise, the initialization algo-  
387 rithm represented the higher relative abundance of early successional plants in the most  
388 degraded sites, and the dominance of mid- and late-successional plants at intact forests  
389 at GYF and PRG (Figure S1), and realistically represented the leaf area distribution across  
390 regions and degradation levels (Figure S2).

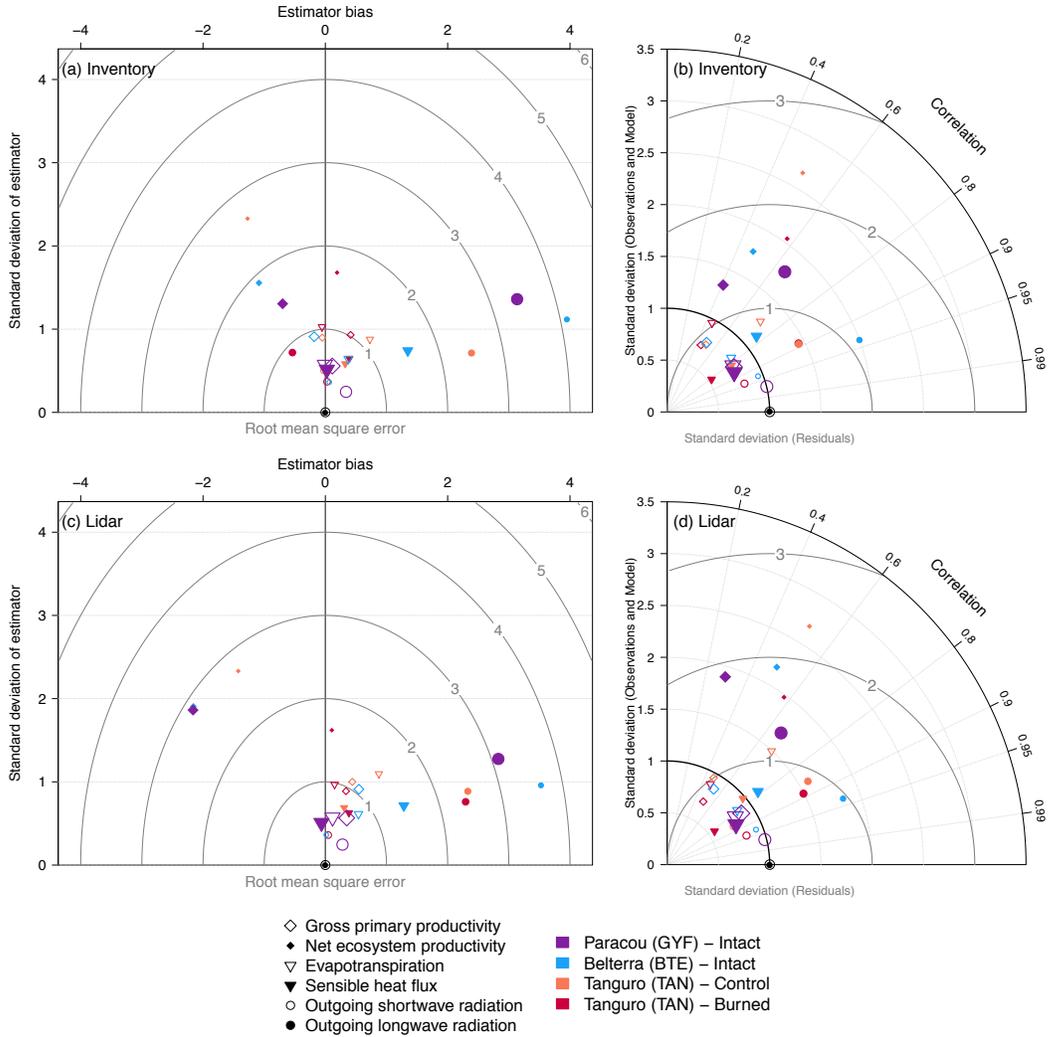
391 ED-2.2 simulations using forest inventory and airborne lidar as initial conditions  
392 were compared with eddy covariance tower estimates of all sites (Figures 4 and S4-S9,  
393 and Table S1). Gross primary productivity (GPP) generally showed small biases rela-  
394 tive to tower estimates ( $-0.046$  to  $+0.394 \text{ kgC m}^{-2} \text{ yr}^{-1}$ ), and relatively small errors (less



**Figure 3.** Assessment of basal area distribution as a function of diameter at breast height (DBH) for different study regions and degradation levels. Grey points are obtained from forest inventory plots, and blue points are obtained from the airborne lidar initialization (Figure 2) using a 612-fold regional cross-validation (i.e. excluding all plots from region in the calibration stage). Bands around points correspond to the standard deviation either across all plots in the same category (inventory) or across all plots and replicates (lidar). Sites: GYF – Paracou, PRG – Paragominas, FZN – Feliz Natal, TAN – Tanguro. Disturbance classes: BNx – Burned twice or more, CL1 – conventional logging (once), LB1 – logged and burned once, LTH – logged and thinned, RIL – reduced-impact logging, INT – intact. Additional comparisons are shown in the Supporting Information: basal area as functions of plant functional type (Figure S1); leaf area index profiles as functions of height (Figure S2); comparisons for Belterra (BTE-RIL) (Figure S3).

395 than observed variability) at all sites, regardless of the initial conditions (Figure 4; Ta-  
396 ble S1). While the GPP seasonality was correctly represented at GYF, the model did  
397 not capture the late wet-season decrease and early dry-season increase of GPP at BTE,  
398 and it showed a delayed dry-season decline GPP at TAN compared to tower estimates  
399 (Figure S4). Net ecosystem productivity (NEP), on the other hand, showed significant  
400 biases, large errors, and relatively small correlation with tower estimates (Figure 4; Ta-  
401 ble S1), which were driven by excessive seasonality of heterotrophic respiration (Figure S5).  
402 Because the initial carbon stocks in necromass pools are uncertain, and the results on  
403 magnitude and seasonality of ecosystem respiration (and consequently NEP) are incon-  
404 sistent with tower estimates, we will not discuss the simulation results in terms of res-  
405 piration and NEP.

406 Water fluxes also showed small biases relative to the observed variability at GYF,  
407 TNF and TAN (Burned), regardless of the initialization ( $-0.01$  to  $+0.54$  mm day $^{-1}$ ; Fig-  
408 ures 4a and 4c; Table S1); biases at TAN (Intact) were larger ( $0.69-0.82$  mm day $^{-1}$ ).  
409 With the exception of TAN (Burned), the correlation between ED-2.2 and tower was high  
410 at daily averages (Figures 4b and 4d; Table S1). At TAN (Burned), the poorer agree-  
411 ment with tower estimates was caused by the model predicting a similar seasonality of  
412 water flux at both control and burned forests, whereas towers suggest an increase in wa-  
413 ter flux during the earlier part of the dry season (Figure S6). ED-2.2 predictions of sen-  
414 sible heat flux had high correlation with observations at all sites (Figures 4b and 4d; Ta-  
415 ble S1), although sensible heat flux shows significant biases at BTE, and dampened sea-  
416 sonality at GYF and TAN (Burned) (Figures 4a and 4c; Table S1; Figure S6). Outgo-  
417 ing shortwave radiation correctly captured the seasonality at the wettest sites, but it did  
418 not capture the sharp dry-season increase at TAN (Figure S8), which may be associated  
419 with dry-season leaf senescence and shedding that was likely underestimated by ED-2.2.  
420 In addition, ED-2.2 simulations overestimated outgoing longwave radiation at all sites  
421 except at TAN (Burned) using inventory initialization (Figure S9). Nonetheless, the sea-  
422 sonality and the intra-seasonal variation of outgoing longwave radiation were correctly  
423 captured by ED-2.2, resulting in generally high correlation and small standard devia-  
424 tion of residuals at most sites (Figure 4; Table S1).



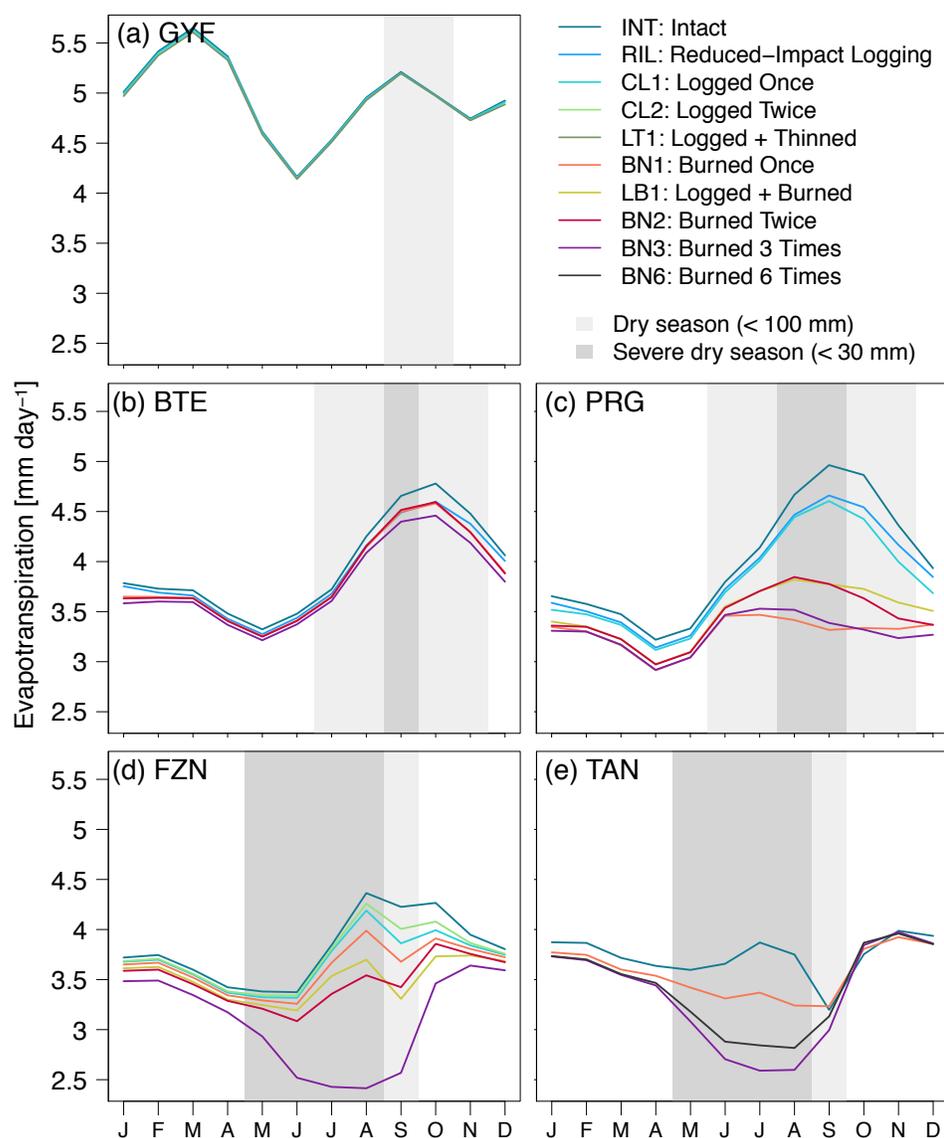
**Figure 4.** Summary of ED-2.2 model assessment using eddy covariance towers as benchmarks, using simulations initialized with forest inventory and airborne lidar. (a,c) Bias-variance diagram and (b,d) Taylor diagram of multiple daily-averaged fluxes of carbon, energy, and water for Paracou (GYF), Belterra (BTE) and Tanguro (TAN, control and burned), for simulations initialized with (a,b) forest inventory plots and (c,d) airborne lidar. In the bias-variance diagram, bias ( $x$  axis), standard deviation of residuals ( $y$  axis) and root mean square error (concentric arcs) are normalized by the standard deviation of observations, as is the standard deviation of models in the Taylor diagram. In both diagrams,  $\odot$  corresponds to the perfect model prediction. In all plots, we only compare daily averages of days with no measurement gaps. Comparisons of the seasonal cycle for all variables included in the diagrams are available at Figures S4-S9.

### 3.2 Degradation effects on seasonality of fluxes

From ED-2.2, we found that forest degradation can have substantial impacts on the ecosystem function such as evapotranspiration (ET) or ground temperature in severely or recently degraded forests, and in parts of the Amazon with a longer dry season. At GYF, the airborne lidar survey sampled only intact forests and areas that were logged 25 years prior to the data acquisition: consequently, the average water vapor flux and ground temperature were nearly indistinguishable across degraded and intact forests (Figures 5a, S10a). At the equatorial sites, degradation effects were small during the wet season but showed marked reduction in ET (2.1–6.7% in BTE and 4.3–31.8% in PRG) and increase in daytime temperature (0.4–0.9°C in BTE and 1.0–6.0°C in PRG) during the dry season, with the largest changes relative to intact forests found at burned areas (Figures 5b, 5c, S10b,c). At the southern (driest) sites, the seasonal changes were even more pronounced: at both FZN and TAN, ET decreased by 21–25% early in the dry season (Jun) at the most severely burned forests, whereas ET in intact forests peaked in the middle of the dry season (Jul–Aug; Figures 5d and 5e). Similarly, burned forests were warmer year-round than intact forests at the southern sites (FZN and TAN), with minimum warming during the wet season (Dec–Mar; 0.5–0.8°C), and maximum warming occurring at the peak of the dry season (Jul–Aug; 1.0–6.5°C; Figures S10d and S10e).

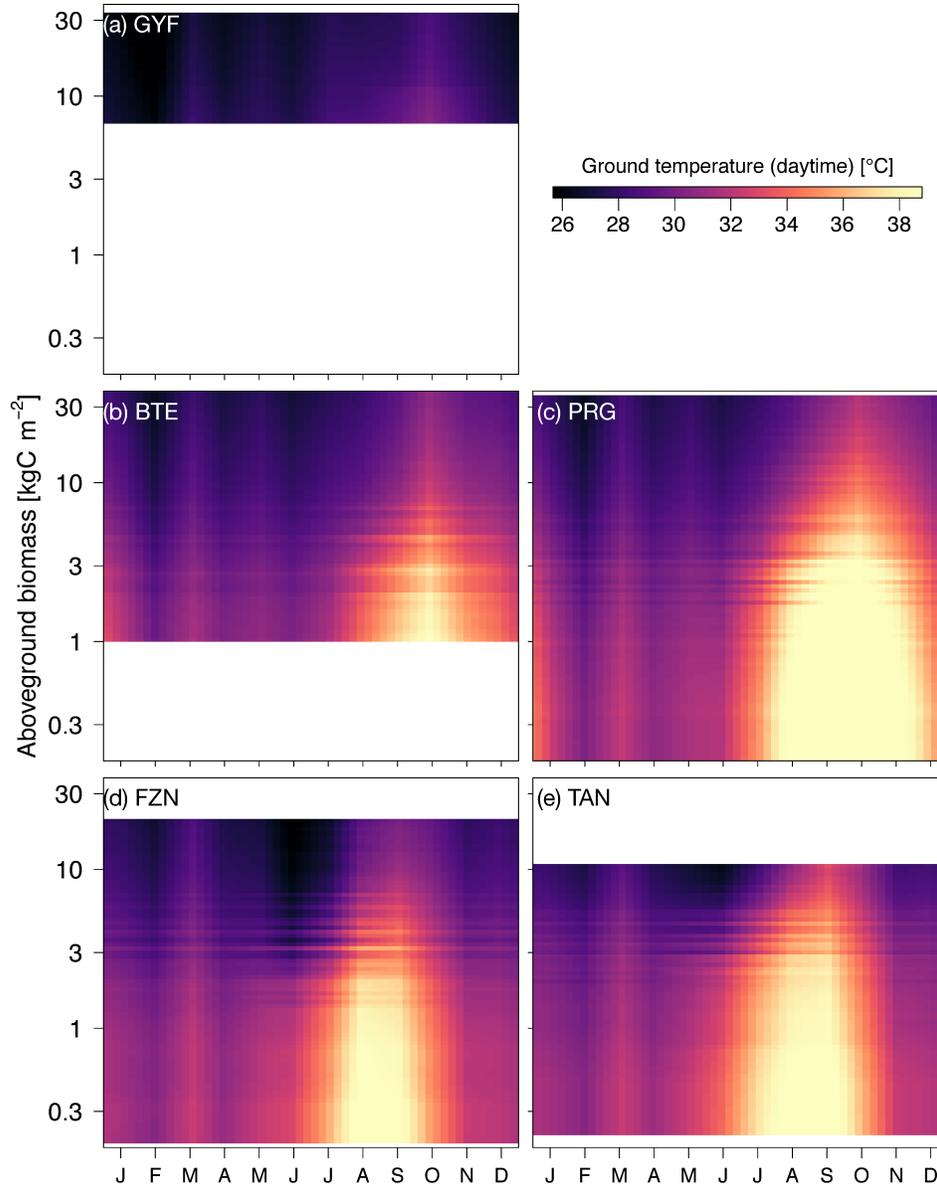
Importantly, the ED-2.2 results in Figures 5 and S10 emerge from the different distribution of forest structures associated with degradation histories. ED-2.2 accounts for the diversity of forest structures within each disturbance history by means of patches; each patch represents a different forest structure found within any disturbance regime, and patch area is proportional to the probability of finding such forest structure (Longo, Knox, Medvigy, et al., 2019). For example, the ground temperature is consistently warmer at the low biomass patches, but the differences between the lowest and highest patch temperatures are as low as 1°C at GYF (Figure 6a) and less than 4°C during the wet season even at the southern regions (Figures 6d and 6e). In contrast, differences along biomass gradients exceed 9°C during the dry season at all regions except GYF (Figure 6).

Likewise, when all simulated patches are considered, we observe strong coherence between biomass and gross primary productivity (GPP) across all regions and throughout the year (Figures 7 and S11). However, the effect of local communities on GPP is seasonal: differences in typical GPP between low-biomass and high-biomass patches do



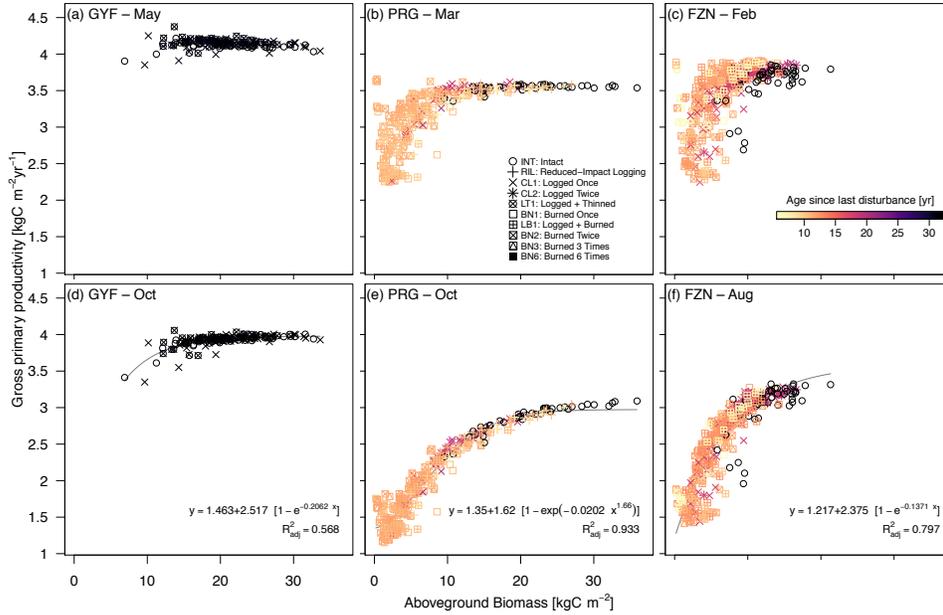
**Figure 5.** Monthly mean evapotranspiration (ET) as a function of region and degradation. Monthly averages correspond to the 1980–2016 period, simulated by ED-2.2 for (a) Paracou (GYF), (b) Belterra (BTE), (c) Paragominas (PRG), (d) Feliz Natal (FZN), and (e) Tanguro (TAN), aggregated by degradation history within each region (lines). Grey rectangles in the background correspond to the average dry season.

457 not exceed  $1.1 \text{ kgC m}^{-2} \text{ yr}^{-1}$  during the wettest months (Figures 7a–7c), whereas the range  
 458 of GPP reaches  $0.7 \text{ kgC m}^{-2} \text{ yr}^{-1}$  at the short dry-season at GYF and exceeds  $2.0 \text{ kgC m}^{-2} \text{ yr}^{-1}$   
 459 during the dry season at the most degraded and driest sites (Figures 7e and 7f). Sim-



**Figure 6.** Monthly mean daytime ground temperature as a function of region and local (patch) aboveground biomass. Monthly averages correspond to the 1980–2016 period, simulated by ED-2.2 for (a) Paracou (GYF), (b) Belterra (BTE), (c) Paragominas (PRG), (d) Feliz Natal (FZN), and (e) Tanguro (TAN), and the y axis corresponds to the aboveground biomass for each patch, linearly interpolated for visualization. White areas are outside the range of biomass of each region and thus excluded.

460 ilar effects were observed in evapotranspiration, where differences along biomass are the  
 461 strongest during the dry season (Figure S12).



**Figure 7.** Variability of gross primary productivity (GPP) as a function of local (patch) aboveground biomass (AGB). Scatter plot of AGB ( $x$  axis) and GPP ( $y$  axis) at sites (a,d) Paracou (GYF), (b,e) Paragominas (PRG), (c,f) Feliz Natal (FZN), for (a-c) the peak of wet season — May (GYF), March (PRG), and February (FZN) — and (d-f) peak of dry season — October (GYF and PRG), and August (FZN). Each point represents the 1980–2016 average GPP of each patch solved by ED-2.2; point shapes correspond to the disturbance history, and point colors represent the time between the last disturbance (undetermined for intact forests) and lidar data acquisition. Curves correspond to non-linear least squares fits of the most parsimonious function, defined from Bayesian Information Criterion (Schwarz, 1978), between shifted exponential or shifted Weibull functions. Only fits that produced  $R_{adj}^2 > 0.5$  were included.

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### 3.3 Degradation impacts on forest flammability

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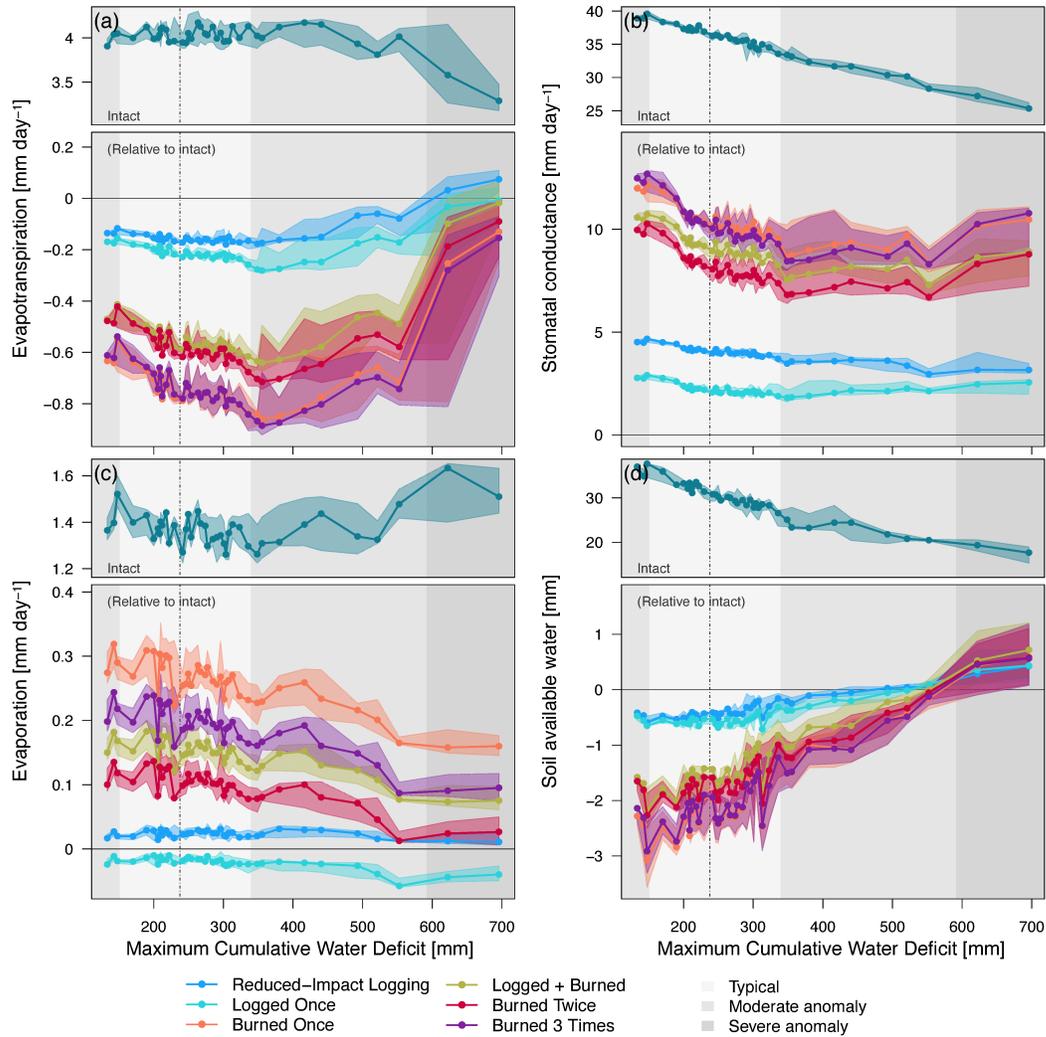
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The impact of forest degradation on ecosystem functioning showed important year-to-year variability, and differences between intact and degraded forests were generally larger during typical years than during extreme droughts. For this section, we calculate the monthly water deficit based on the difference between potential evapotranspiration (calculated following Priestley & Taylor, 1972) and rainfall, and relate the 12-month running averages of multiple response variables with the maximum cumulative water deficit over the previous 12 months, and define drought length as the number of consecutive months in water deficit exceeds 20 mm. Using region PRG as an example, as the region has the

471 broadest range of recent disturbances and maximum cumulative water deficit, we found  
472 that, during typical rainfall periods, evapotranspiration in logged forests and burned forests  
473 were 3–6% and 11–22% lower than intact forests, respectively (Figure 8a); this differ-  
474 ence was significantly reduced or even reversed during severe droughts, when evapotran-  
475 spiration of degraded forests were up to 4% higher than in intact forests (Figure 8a). De-  
476 graded forests have a lower proportion of shade-tolerant, late-successional trees, and typ-  
477 ical stomatal conductance is higher by 19–34% in burned forests and by 5–13% in logged  
478 forests (Figure 8b). This result indicates that the reduced typical evapotranspiration re-  
479 sults from degraded forests having lower leaf area index relative to intact forests, as lo-  
480 cal leaf area index is related to local aboveground biomass (Figure S13). In addition, ex-  
481 treme droughts did not substantially reduce the differences in stomatal conductance be-  
482 tween degraded and intact forests (Figure 8b). While evapotranspiration was generally  
483 lower in degraded forests, total evaporation (from ground and canopy intercepted wa-  
484 ter) was higher in most degraded forests, with burned forests experiencing 3–26% more  
485 evaporation in typical years and 0–14% during severe droughts (Figure 8c). The com-  
486 bination of higher evaporation and relatively shorter canopy (shallower roots) in degraded  
487 forests were typically translated into slightly drier near-surface soils (Figure 8d): dur-  
488 ing typical years, soil water availability at the top 30 cm layers was 1.2–12% lower in burned  
489 forests than intact forests, whereas the differences were more modest in logged forests  
490 (0.2–3%) and even reversed during extreme droughts (Figure 8d). Carbon and energy  
491 fluxes showed similar behavior. Gross primary productivity in intact forests steadily de-  
492 creased with increased drought severity, and the depletion of productivity caused by degra-  
493 dation is most marked during typical years but is reduced during severe droughts (Fig-  
494 ure S14a). While ground temperature is always higher in degraded forests (Figure S14b),  
495 differences in sensible heat fluxes and outgoing longwave radiation also diminish during  
496 extreme drought conditions (Figure S14c,d).

497 Degraded forests show drier near-surface soils (Figure 8d) and warmer surface tem-  
498 peratures (Figure S14) than intact forests for most years, yet the interannual variabil-  
499 ity of climate also modulates the differences in water, carbon, and energy cycles between  
500 degraded and intact forests (Figures 8 and S14). Therefore, both degradation and cli-  
501 mate may influence the flammability of forests. The average flammable area predicted  
502 by ED-2.2 (Section 2.4) shows large variation across regions, ranging from nearly zero  
503 at GYF forests (the wettest region) to over 25% yr<sup>-1</sup> at some of the forests in TAN (the



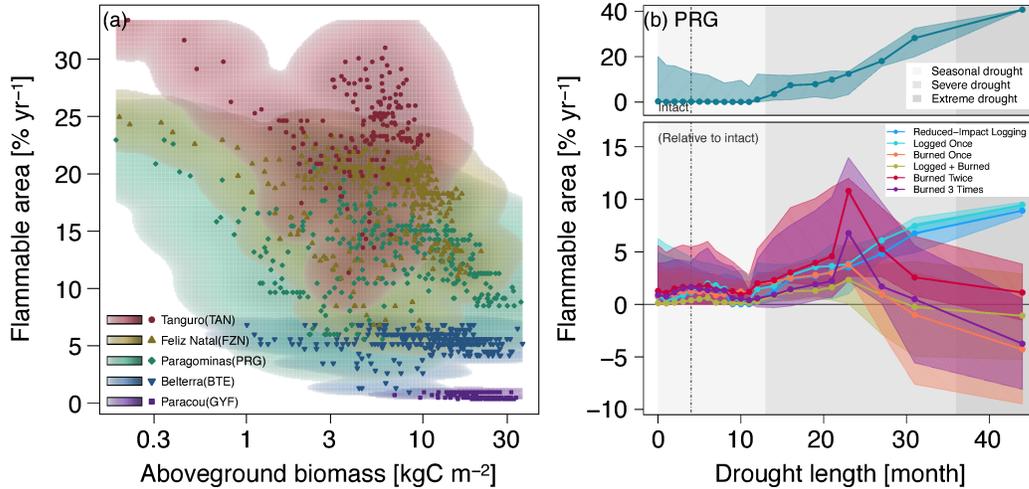
**Figure 8.** Response of the water cycle components across a forest degradation gradient and drought severity in Paragominas (PRG). Selected components: (a) Total water vapor flux, (b) stomatal conductance, averaged by leaf area, (c) evaporation, and (d) soil available water (i.e. in excess of permanent wilting point) of the top 30 cm. Points correspond to the median value of 12-month running averages, aggregated into 40 quantiles along the range of maximum cumulative water deficit (MCWD). Bands around the points correspond to the 95% range within each MCWD bin. Top panels are the absolute value for intact forests, and bottom panels are the absolute difference between degraded and intact forests. Background shades denote the MCWD anomaly: light gray – 68% range around the median (dot-dash vertical line); intermediate gray – 95% range; dark gray – anomalies exceeding the 95% range.

504 driest region) (Figure 9a). Within each region (i.e. under the same prescribed climate),  
505 the model generally predicted higher flammability for the shortest forests (< 10 m), al-  
506 though predictions also indicate large within-region variability of flammable area for forests  
507 with intermediate canopy height (10–25 m) (Figure 9a). For most forests, flammable con-  
508 ditions were predicted mostly during moderate or severe droughts, regardless of the degra-  
509 dation history, as exemplified by region PRG (Figure 9b). While the time series of flammable  
510 area were synchronized across degradation types, ED-2.2 predictions of flammable area  
511 were generally higher for burned forests than intact or lightly logged forests (Figures 9b  
512 and S15). The one exception was the driest region (TAN), where forests that burned mul-  
513 tiple times experienced lower flammability than intact forests (Figure S15d); at TAN,  
514 even intact forests were relatively short (Figure 9a), which caused ED-2.2 to predict lim-  
515 ited access to deeper soils and increased desiccation.

## 516 **4 Discussion**

### 517 **4.1 Initialization of forest structure from remote sensing**

518 Our method to derive the vertical structure of the canopy from high-resolution air-  
519 borne lidar successfully characterized the diversity of forest structures of the Amazon,  
520 captured differences in forest structure variability along a precipitation gradient, and de-  
521 scribed the within-region variability in forest structure caused by forest degradation (Fig-  
522 ures 3 and S2-S3). Previous studies have used forest structure derived from remote-sensing  
523 data to initialize vegetation demography models in tropical forests (e.g., Hurtt et al., 2004;  
524 Antonarakis et al., 2011; Rödig et al., 2018). However, these studies often assume a re-  
525 lationship between forest structure and canopy height with stand age. While this assump-  
526 tion has been successfully applied to intact and second-growth tropical forests (Hurtt  
527 et al., 2004; Antonarakis et al., 2011), the association between forest structure and suc-  
528 cession is unlikely to be preserved in degraded forests. For example, understory fires pro-  
529 portionally kill more smaller trees than large trees (Uhl & Kauffman, 1990; Brando et  
530 al., 2012; Silva et al., 2018), and selectively logging creates complex mosaics of forest struc-  
531 ture, with substantial losses of large trees from harvesting, and extensive damage to smaller  
532 trees in skid trails (Feldpausch et al., 2005). In contrast, our approach accounts for the  
533 entire vertical profile at local (50-m) scale, similarly to Antonarakis et al. (2014), which  
534 does not require any assumption on the successional stage of the forest. Importantly, our  
535 approach requires only the vertical distribution of returns, and could be adapted to large-



**Figure 9.** Average flammability as functions of degradation and climate variability. (a) Scatter plot shows the average flammable area (1980–2016) for each simulated patch across all regions, as a function of canopy height. Density cloud (background color) was produced through a bi-dimensional kernel density estimator; points are the averages used to generate each density cloud. Color ramps (logarithmic) range from 0.1 – 100% of the maximum computed scale. (b) Flammable area at region PRG, as a function of degradation history and drought length (number of consecutive months with water deficit in excess of 20 mm). Points correspond to the median value of 12-month running averages, aggregated into quantiles along the drought length. Bands around the points correspond to the 95% range within each drought length bin. Top panels are the absolute value for intact forests, and bottom panels are the absolute difference between degraded and intact forests. Background shades denote drought-length classes used in the text: seasonal (light gray, less than 12 months); severe (intermediate gray, 12–36 months); extreme (dark gray; more than 36 months). Flammability response to degradation and drought duration for other regions are shown in Figure S15.

536 footprint, airborne or spaceborne lidar data, including the NASA’s Global Ecosystem  
 537 Dynamics Investigation (GEDI, Hancock et al., 2019).

538 We demonstrated that the initialization from airborne lidar profiles captures most  
 539 of the variability across and within regions, yet it has important assumptions and lim-  
 540 itations. First, our approach relies on allometric equations to determine both the diam-  
 541 eter at breast height (DBH), and the individual leaf area ( $L_i$ , Text S3.3). These equa-  
 542 tions have either large uncertainties (DBH) or limited number of samples (Figure S16).

543 The use of allometric equations that account for regional variation (e.g., Feldpausch et  
544 al., 2011, 2012), and the expansion of open-source databases, such as the Biomass And  
545 Allometry Database (BAAD, Falster et al., 2015) used in our study, could further im-  
546 prove the characterization of the vertical structure. In addition, the increased availabil-  
547 ity of terrestrial laser scanning (TLS) and high-resolution, low-altitude unmanned aerial  
548 vehicle lidar could substantially increase the data availability and thus improve the over-  
549 all quality of allometric equations (Calders et al., 2015; Stovall et al., 2018; Schneider  
550 et al., 2019). Alternatively, techniques that extract individual tree crowns from lidar point  
551 clouds readily provide highly accurate local stem density and local size-frequency dis-  
552 tributions (e.g., tree height or crown size; Ferraz et al., 2016). These distributions can  
553 be used to attribute DBH to individuals and generate initial conditions akin to forest  
554 inventory to the ED-2.2 model, and data-model fusion techniques that leverage the grow-  
555 ing availability of data could reduce uncertainties on many model parameters, includ-  
556 ing allometry (F. J. Fischer et al., 2019). Finally, ED-2.2 overestimated the seasonality  
557 of gross primary productivity and evapotranspiration at the driest region (TAN) (Fig-  
558 ures S4 and S6). This result suggests that simulated rooting depth for TAN was under-  
559 estimated in the model. Rooting profiles in tropical forests remain largely uncertain: some  
560 site studies have sought to relate individual tree size with rooting depth using isotopic  
561 measurements (e.g., Stahl et al., 2013; Brum et al., 2019), whereas regional studies that  
562 provide spatial distribution of rooting depth still show important discrepancies in the  
563 tropics (e.g., Yang et al., 2016; Fan et al., 2017). Constraining the below-ground allo-  
564 cation of tropical ecosystems should be a priority in future studies.

565 In our study we inferred the functional diversity from forest structure obtained from  
566 existing forest inventory plots. The functional group attribution captured the general  
567 characteristics of functional composition along degradation gradients (Figure S1), includ-  
568 ing the more frequent occurrence of early-successional individuals in degraded forests,  
569 consistent with field-based studies (Both et al., 2019); nonetheless, uncertainties in func-  
570 tional attribution from field measurements are high. The increased availability of coor-  
571 dinated airborne laser scanning (ALS) and airborne imaging spectroscopy (AIS) data  
572 in mid-latitudes has lead to opportunities to link structural variability with functional  
573 diversity (e.g., Antonarakis et al., 2014; Schneider et al., 2017), and previous studies have  
574 successfully integrated ALS and AIS data to attribute functional groups in the ED-2 model  
575 (e.g., Antonarakis et al., 2014; Bogan et al., 2019). Overlapping ALS and AIS data over

576 tropical forests are becoming increasingly common (Asner et al., 2014; de Almeida et al.,  
577 2019; Laybros et al., 2019) and could provide new opportunities to reduce uncertainties  
578 in functional attribution in future studies. Likewise, ongoing and upcoming spaceborne  
579 missions at the International Space Station such as GEDI (Hancock et al., 2019), and  
580 the Hyperspectral Imaging Suite (HISUI, Matsunaga et al., 2017) will allow for large-  
581 scale characterization of structure and function of ecosystems at global scale (Stavros  
582 et al., 2017; Schimel et al., 2019).

## 583 **4.2 Degradation impacts on ecosystem functioning**

584 In addition to carbon losses and structural changes, degradation has substantial  
585 impacts on energy and water cycles in Amazonian forests, especially in severely degraded  
586 forests with marked dry season. According to the ED-2.2 simulations, ground temper-  
587 ature of logged forests ranged from nearly-identical to intact forests (low-impact logging  
588 or old logging disturbances) to 0.7°C warmer (recently logged forests), whereas severely  
589 burned forests experienced daytime near-surface temperatures increases of as much as  
590 4°C (Figure S10), and differences between the lowest and highest biomass patches ex-  
591 ceeded 9°C (Figure 6). Observed differences in understory temperatures show large vari-  
592 ability, but they generally agree with the ED-2.2 results. For example, results of tem-  
593 perature differences between logged and intact areas in the wet forests of Sabah, Malaysia,  
594 ranged from negligible to 1.2°C for average maximum temperature (Senior et al., 2018;  
595 Jucker et al., 2018). The predicted warmer daytime understory temperatures at recur-  
596 rently burned forests also yielded drier near-surface conditions: daytime ground vapor  
597 pressure deficit was on average 15–25 hPa greater than in intact forests (equivalent to  
598 5–15% reduction in relative humidity), which is within the range observed after the most  
599 damaging experimental fire at TAN in 2007 (Brando et al., 2014), and similar to differ-  
600 ences in understory relative humidity reported in the dry season between open-canopy  
601 seasonally flooded forests and closed-canopy upland forests in the Central Amazon (de  
602 Resende et al., 2014).

603 ED-2.2 showed various degrees of agreement with the few existing observational  
604 studies comparing changes in evapotranspiration due to degradation. Evapotranspira-  
605 tion response to reduced-impact logging was minor (–1.9% reduction relative to intact  
606 in BTE), consistent with eddy covariance tower estimates in a logging experiment in the  
607 same region (–3.7% reduction after accounting for site differences and interannual vari-

608 ability, S. D. Miller et al., 2011). The model results for the experimental fire at TAN,  
609 however, suggested similar wet-season ET between burned and intact forests ( $\Delta ET =$   
610  $ET_{\text{Brn}} - ET_{\text{Int}} = 0.002 \text{ mm day}^{-1}$ ), with stronger depletion of ET in burned forests  
611 during the dry season ( $\Delta ET = -0.31 \text{ mm day}^{-1}$ ) (Figures 5 and S6). In contrast, Brando,  
612 Silvério, et al. (2019) found higher ET in burned forests over a period of 4 years, albeit  
613  $\Delta ET$  also showed significant interannual variability. A few other studies suggest that the  
614 significant decline in dry-season ET in burned forests may be expected in some areas:  
615 for example, Hirano et al. (2015) found that evapotranspiration of drained and burned  
616 peatlands with second-growth vegetation in Central Kalimantan (Indonesia) was  $0.43 \text{ mm day}^{-1}$   
617 lower than drained forests; Quesada et al. (2004) inferred ET changes from soil water  
618 budget in savannas and found significant reductions following fires in a savanna site in  
619 Central Brazil. The advent of high-resolution remote sensing products that quantify en-  
620 ergy, water, and carbon fluxes, such as the ECOSystem Spaceborne Thermal Radiome-  
621 ter Experiment on Space Station (ECOSTRESS) and the Orbiting Carbon Observatory  
622 3 (OCO-3), will provide new opportunities to quantify the role of tropical forest degra-  
623 dation on ecosystem functioning at regional scale (Schimel et al., 2019), as well as to pro-  
624 vide new benchmark data for ecosystem models.

625 Our model results indicate that severe degradation substantially alters the mag-  
626 nitude and seasonality of energy, water, and carbon fluxes (Figures 5-7 and S10-S12).  
627 In our study, we disabled the vegetation dynamics in ED-2.2 to ensure that predicted  
628 differences in ecosystem functioning could be unequivocally attributed to structural di-  
629 versity, but the differences in ecosystem functioning between degraded and intact forests  
630 may diminish over time as the forest recovers from previous disturbance. This pathway  
631 is consistent with the relatively small differences in ET and surface temperature (Fig-  
632 ures 5-6) observed at logged forests at GYF (25 years since last disturbance) and burned  
633 forests at BTE (15 years since last disturbance). However, the recovery trajectory is one  
634 out of multiple possible pathways: degraded forests may be more prone to subsequent  
635 disturbances (Silvério et al., 2019; Hérault & Piponiot, 2018); the recovery dynamics can  
636 be long or not attainable if multiple stable states exist or if succession is arrested (Mesquita  
637 et al., 2015; Ghazoul & Chazdon, 2017), potentially prolonging the impacts of forest degra-  
638 dation on energy and water cycles; and feedbacks on precipitation caused by degrada-  
639 tion could affect the spatial distribution of rainfall similarly to the effect observed with

640 deforestation (Spracklen et al., 2018), although to our knowledge this impact has not yet  
641 been quantified for degraded forests.

### 642 **4.3 Interactions between forest degradation and climate variability**

643 The predicted reductions in evapotranspiration (ET) in the most degraded areas  
644 during the dry season suggest that land-use change impacts on the water cycle may be  
645 more widespread and pervasive than indicated by earlier studies. Previous model-based  
646 studies showed that biome-wide deforestation could cause ET to decrease by 25–40% rel-  
647 ative to intact forests in the Amazon during the dry season (e.g., von Randow et al., 2004;  
648 Zemp et al., 2017). These reductions are comparable to the ET reductions predicted by  
649 ED-2.2 at the most degraded forests (21–32%, Figure 5). Because tropical forest degra-  
650 dation affects an area comparable to deforestation in the Amazon (Tyukavina et al., 2017),  
651 it may further reduce the strength of the Amazon water vapor source to the atmosphere.  
652 In our study, we focused on understanding how climate and structure variability impacts  
653 the water and energy fluxes, but degradation-driven changes in these fluxes are likely to  
654 feed back into the atmosphere. For example, changes in evapotranspiration and sensi-  
655 ble heat flux associated with deforestation are known to either redistribute or reduce to-  
656 tal rainfall in tropical forests (Spracklen et al., 2018, and references therein), and a sub-  
657 stantial fraction of South American precipitation water comes from evapotranspiration  
658 from Amazonian forests (van der Ent et al., 2010). Recent estimates of ET for the Ama-  
659 zon Basin from the Gravity Recovery and Climate Experiment (GRACE) suggest that  
660 the basin-wide ET (including intact forests) has decreased by 1.7% between 2002 and  
661 2015 (Swann & Koven, 2017). In addition, several studies suggest that the dry season  
662 in the Amazon is becoming longer (Fu et al., 2013; Sena et al., 2018), and land use change  
663 is one of the main drivers of the drying trend (Barkhordarian et al., 2018). The role of  
664 forest degradation on ongoing and future changes in climate across the Amazon remains  
665 uncertain and deserves further investigation, potentially with coupled biosphere-atmosphere  
666 models that represent heterogeneity in forest structure and functioning (Swann et al.,  
667 2015; Knox et al., 2015; Wu et al., 2017).

668 Our results show that structural changes resulting from forest degradation make  
669 the forest surface drier and warmer (Figures 5-8 and S10). Drier and warmer conditions  
670 near the surface increase flammability (Brando, Paolucci, et al., 2019, and references therein),  
671 and it has been long suggested that forest degradation and canopy opening make forests

672 more likely to burn (e.g., Uhl & Buschbacher, 1985; Cochrane et al., 1999; Ray et al.,  
673 2005; A. A. C. Alencar et al., 2015). The ED-2.2 simulations indeed predicted higher flamma-  
674 bility in degraded (more open-canopy) forests on any given year (Figures 9 and S15). How-  
675 ever, our results also suggest that climate strongly drives the variability of flammable  
676 area across most of our study regions (Figures 9b and S15), which is consistent with the  
677 significant increases in forest fires in the Amazon during extreme drought years (Morton  
678 et al., 2013; Aragão et al., 2018). Moreover, our results indicate that differences in flammable  
679 area between intact and degraded forests are reduced or even reversed during extreme  
680 droughts, which indicates that under extreme conditions, the level of degradation is less  
681 critical to create flammable conditions. This effect was predicted for most years at TAN,  
682 which typically experiences severe and longer dry seasons compared to the other study  
683 regions (Figure S15).

684 Previous studies suggest that parts of the Eastern Amazon could become drier by  
685 the end of the century and experience more extreme events, including droughts (IPCC,  
686 2014; Duffy et al., 2015), and thus potentially more susceptible to future fires (De Faria  
687 et al., 2017; Brando et al., 2020). However, how tropical forest flammability will respond  
688 in the long-term to ongoing changes in climate and land use is still uncertain, and re-  
689 cent studies have shown that either climate (Le Page et al., 2017) or land use (Fonseca  
690 et al., 2019) could be dominant on predicted shifts in fire regime. Importantly, while our  
691 analysis focused on flammability, and ED-2.2 fire model captures the general patterns  
692 of fire disturbance across the Amazon (Longo, Knox, Levine, et al., 2019), it does not  
693 represent many mechanisms and processes that are critical to describe fire dynamics in  
694 tropical forests, such as anthropogenic ignitions, diurnal cycle of fire intensity, and fire  
695 termination, therefore we could not quantify the effects of fire on further forest degra-  
696 dation. The use of process-based fire disturbance models within the ED-2.2 (e.g., Thon-  
697 icke et al., 2010; Le Page et al., 2015) framework could contribute to further improve our  
698 understanding of interactions between forest degradation, climate, and flammability across  
699 the Amazon.

## 700 **5 Conclusion**

701 Our study showed that tropical forest degradation can markedly modify the ecosys-  
702 tem functioning in the Amazon, with substantial reductions in evapotranspiration (ET)  
703 and gross primary productivity (GPP), and increase in surface temperature (Figures 5-

8). Within the regions included in our study, the effects of degradation on energy, water, and carbon cycles were the strongest in the Eastern and Southern Amazon, where the dry season is more pronounced. Notably, in areas where severe forest degradation resulted in substantial changes in forest structure, reductions in dry-season evapotranspiration are similar to those found in deforested areas (Figure 5; von Randow et al., 2004). The area of the Amazon forest impacted by degradation is comparable to the deforested area (Asner et al., 2005; Morton et al., 2013; Souza Jr. et al., 2013; Tyukavina et al., 2017), and thus degradation-driven changes in water, energy, and carbon cycles are potentially important. However, the extent to which degradation affects the biophysical and biogeochemical cycles at regional scale ultimately depends on (1) annual degradation rates; (2) recovery time of degraded forests; and (3) the likelihood that degraded forests are cleared. For example, (Brando, Silvério, et al., 2019) found that ET in burned forests was indistinguishable from intact forests 7 years after the last fire. While their result suggests fast recovery of degraded forests, the impacts of degradation on ET can still be regionally relevant if degradation rates are sufficiently high to maintain low average age since last disturbance in degraded forests. Moreover, we found that the impacts of tropical forest degradation on energy, water, and carbon cycles and on flammability are more pronounced during typical years than during extreme droughts (when all forests become flammable), which highlights the complex interactions between climate and forest structure. To understand and reduce uncertainties of climate-structure interactions, it would be valuable to leverage the recent advances in remote sensing of forest structure, including the recently launched GEDI mission (Hancock et al., 2019), and terrestrial biosphere models that can represent complex and heterogeneous ecosystems (Fisher et al., 2018). Our study, while focusing on airborne lidar data, has demonstrated the opportunities to integrate remote sensing and terrestrial biosphere models even in regions with complex forest structure such as degraded forests.

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