

The text that follows is a PREPRINT.

Please cite as:

**Lees, A.C.; C.A. Peres, P.M. Fearnside,
M. Schneider & J.A.S. Zuanon. 2016.
Hydropower and the future of
Amazonian biodiversity. *Biodiversity
and Conservation* 25(3): 451-466. doi
10.1007/s10531-016-1072-3. ISBN
0960-3115**

ISSN: 0960-3115 (Print) 1572-9710 (Online)

Copyright: Springer Netherlands

The original publication is available at:

<http://link.springer.com/article/10.1007/s10531-016-1072-3>

Title: Hydropower and the future of Amazonian biodiversity

Authors: Alexander C Lees^{1*}, Carlos A Peres², Philip M Fearnside³, Maurício Schneider⁴, Jansen A S Zuanon³

5

Affiliations:

¹Cornell Lab of Ornithology, Cornell University, 159 Sapsucker Woods Rd, Ithaca, NY 14850, USA

²School of Environmental Sciences, University of East Anglia, Norwich NR4 7TJ, UK

³Instituto Nacional de Pesquisas da Amazônia (INPA), Manaus, Amazonas, 69067-375, Brazil

10 ⁴Consultoria Legislativa, Câmara dos Deputados, Brasília, Distrito Federal, 70160-900, Brazil

* Correspondence author: alexanderlees@btopenworld.com +1 (607) 697 3325

Summary

15 In an effort to ensure energy independence and exploit mineral resources, the governments of Amazonian countries are embarking on a major dam building drive on the basin's rivers, with 191 dams finished and a further 246 planned or under construction. This rush to harvest the basin's vast renewable energy capacity has come without proper consideration of the likely negative environmental externalities on the world's most speciose freshwater and terrestrial biotas. Here we highlight the economic drivers for hydropower development and review the literature to summarise the impacts of dam building on Amazonian biodiversity. We identify both direct and indirect impacts through the anticipated loss, fragmentation and degradation of riparian habitats. We then propose a series of measures to assess, curb and mitigate the impacts of destructive dams on Amazonian biodiversity.

25

Key Words: freshwater; connectivity; fish, endemic; mining; deforestation

Introduction

30 Humans have been building dams for over 5000 years, but the pulse of dam-building in the last century has altered riverine ecosystems more extensively than any other anthropogenic activity, leaving two-thirds of the world's large rivers fragmented by dams (Nilsson *et al.* 2005). This rise in dam construction is predominantly driven by greater electricity demands and a shortfall in global hydropower output of under a quarter of the estimated 14,576 TerraWatt/yr in latent technical potential (IJHD 2010), most of which now lies in tropical rivers.

35 Amazonia has latterly become synonymous with dam development, an unsurprising target given that water drained across the basin's 6.8 million km² accounts for 18% of global scale river discharge (Meybeck and Ragu 1996). The neighbouring Amazon and Tocantins watersheds (which form most of the Brazilian 'Legal Amazon' region) account for 6% of global hydropower resources. After having already built 191 dams (including small dams), the nine Amazonian countries are planning to develop 243 additional dams across the Amazon Basin (RAISG 2013), mostly in southern Amazonia (Fig. 1). The largest operational and under-construction hydroelectric power plants are Venezuela's Guri with a 10,325-megawatt (MW) capacity and Brazil's 11,233-MW Belo Monte on the Xingu River. Brazil will be most heavily impacted, with 397 dams (143 operational or under-construction and 254 planned, ANEEL 2016). The lower and middle parts of the Amazon and its tributaries (which already have 34 operational dams) will be affected by the greatest number of new large dams, whose ecological footprint is far greater; with 16 of the 79 planned dams larger than the 30-MW cut-off that officially defines 'large' dams in Brazil (RAISG 2013). Here we highlight the drivers of the current major push by Amazonian countries to dam the basin's rivers, explore the direct and indirect impacts

45

50 on the region's super speciose biota, and identify a roadmap of guidelines to avoid or mitigate the detrimental impacts of dams on the basin's biodiversity.

Dams and Energy Security

Ostensibly, energy security encompasses not just capacity, but also the inherent trade-offs between the relative availability, affordability, and safety of different energy sources and services and achieving a balanced strategy for the water-energy nexus (Winzer 2012). Hydropower is a favourite choice of energy strategists as it is ostensibly a predictable and typically price-competitive technology with up to ~ 90% water-to-wire conversion efficiency (Kumar *et al.* 2011), which can make significant contributions to both base load and peak load demands (Kahn *et al.* 2014). Brazil is unique among all major economies in that it already generates ~80% of its electricity from hydroelectric plants along fluvial gradients, albeit with an increasing reliance on more expensive thermal power as a back-up during times of insufficient rainfall (Prado *et al.* 2016). In order to satisfy its increasing energy demands (including inefficiency and waste) Brazil is required to add ~5000 MW each year for the next decade to its current 129,452 MW generating capacity (MME/EPE 2013). Brazil's energy planners favour hydropower over alternatives such as wind, solar and energy conservation because dams are perceived as the least expensive and most reliable option (Prado *et al.* 2016). However, the pattern for dam construction in Brazil and throughout the world is one of massive cost overruns and systematic delays in project completion, as shown by a recent world-wide review of hundreds of dams (Ansar *et al.* 2014). For example, by 2013 the cost of the Belo Monte Dam was already approximately double the amount originally budgeted (Pereira 2013), and the final total will likely far exceed that milestone. More important still, decision making on dams essentially considers only the monetary expenses incurred by the proponents, ignoring non-financial costs such as biodiversity loss and impacts on local human populations (e.g., Fearnside 2015).

Brazil uses little coal: 13 plants generating just 2.5% of the total electricity (ANEEL 2016); were Brazil to eschew building more dams, the path of least resistance to expand electricity supply would likely be energy from vast recently unveiled deposits of onshore and offshore oil and gas. However, like many tropical countries, Brazil also has the option of supplying all additional power without recourse to polluting fossil fuels, using the country's huge and largely untapped solar and wind energy resources (Baitelo *et al.* 2013, Moreira 2012). These renewable technologies, which have a diffuse geographic potential (in contrast to hydropower), cause relatively insignificant impacts on biodiversity through localised land-use change and some direct wildlife mortality and disturbance, for example through collisions with wind turbines (Drewitt *et al.* 2006). The geopolitical development frontier expansion plans of Brazil's Ministry of Mines and Energy favour hydropower (65% of the total in 2022), although these also include some wind power, biomass and natural gas (MME/EPE 2013). Most of the planned hydroelectric expansion will come from new dams in Amazonia, whose rivers are less saturated by hydroelectric plants than other Brazilian biomes and involve much lower compensation costs from permanent inundation of local communities and private lands.

However, a major incentive for investing in Amazonian hydropower sources, where local energy demand is currently low, are government goals to process domestic mineral resources, rather than merely export cheap ore to overseas markets (e.g., Fearnside 2016a). The contribution of mining to Brazil's gross domestic product (GDP) increased from 1.6 to 4.1% between 2000 and 2011 and production is anticipated to increase 3-5 fold by 2030 (MME 2011) helped by new political and legislative frameworks, which include draft legislation to enact a new Mining Code (Bill 37/2011) and develop new mines in protected areas (PAs) (Bill 3682/2012) and indigenous lands (Bill 1610/96, see www.camara.leg.br). The expansion of the hydropower network, particularly the gigantic Belo Monte Dam, will thus have a major secondary impact in facilitating expansion in regional mining operations for bauxite, nickel, copper and gold. For example, a massive 1305 km² gold-mining concession has

been granted to a Canadian company in the Xingu's 'Big Bend' river bed (Fig. 3a, Poirier 2012), which will become exposed when the Belo Monte Dam diverts 80% of the river's flow from this 100-km stretch. Developing the Araguaia-Tocantins and Madeira waterways will make longer stretches of major rivers more navigable, reducing transportation costs for agricultural exports, especially soybeans (Castello *et al.* 2013), both from central Brazilian agricultural heartlands and new peri-Amazonian agribusiness frontiers in Brazil, northern Bolivia, and southern Peru (Killeen 2007). Other widely-cited positive impacts of hydropower facilities such as mitigating freshwater scarcity, irrigation and flood control services (e.g., Kumar *et al.* 2011) are less pertinent to Amazonia.

105 **Impacts on biodiversity**

In comparison to the environmental impacts of traditional fossil-fuel based systems with their centralised contribution to air pollution, acid rain, and global climate change, renewable energy systems may have much smaller (but widely dispersed) environmental impacts (Fig. 2, Akella *et al.* 2009). Like all other renewables, there are environmental and social issues affecting hydropower deployment opportunities, and these vary depending on each project's type, size and local conditions. Scholarly debate and media interest on the detrimental impacts of hydropower infrastructure in Amazonia has largely focused on the displacement of human populations (including inundation of indigenous territories), loss of habitat for charismatic vertebrates (e.g., Alho *et al.* 2011), and questions over whether tropical dams are truly 'green' energy sources, with considerable mounting evidence that many are net greenhouse gas emitters (Fearnside and Pueyo 2012). Impacts of Amazonian dam projects have decisive ecological ramifications at local, regional and global scales (see summary in Table 1), and we believe that these impacts need to be better considered on a case-by-case basis and new policies developed to either reject or mitigate plans to construct new dams. In order to fully document the range of potential impacts, we carried out a search (Table 1) of the scientific literature to document the range of impacts of dams on both the aquatic and terrestrial biodiversity throughout lowland Amazonia. We searched the published literature including experimental and observational studies of dam impacts, to rigorously assess the generality of biodiversity impacts. We located studies using Web of Science and Google Scholar by searching for several combinations of search terms: Amazonia(n), dam(s), hydroelectric, biodiversity, conservation, fish, bird(s), mammal(s), invertebrate(s), plant(s), reptile(s), amphibian(s), Brazil(ian), Andes, flooding, protected area(s), extinction (the final search was conducted on 4 February 2016). Additional papers were located by searching the reference sections of these articles. We divide consequences for biodiversity into 'direct impacts', resulting from habitat loss and/or modification resulting directly from dam construction, and 'indirect impacts' on regional biodiversity catalysed by cascade effects on regional development trajectories.

Direct impacts

Dams are not randomly distributed across river basins; they need to be located on significant altitudinal gradients, typically descending from plateaus 200-1000 meters above sea level and on rivers with stable channels rather than meandering floodplains, disproportionately affecting more dissected regions and their biotas. Dams replace turbulent river sections with still water bodies, impacting flow and temperature regimes and sediment transport (Liermann *et al.* 2012, Fearnside 2013). This shift from lotic (fast-flowing) to more lentic (still) waters favours generalist or invasive species over specialist range-restricted and endemic species that require fast-flowing rivers (Sá-Oliveira *et al.* 2015b, Winemiller *et al.* 2016; Table 1) and exposed rocky islets, eventually leading to a significant loss of beta (regional) diversity (Agostinho *et al.* 2008). Operational rules designed to optimise energy production by dams throughout their seasonal cycle do not consider the ecological needs of the biota, drastically reducing the natural cycle of flood pulses and masking or eliminating environmental triggers necessary for the onset of fish spawning and the phenology of fruit/seed

145 production in the flooded forests that sustain local fisheries (Goulding 1980). The dams themselves
 146 inhibit both downriver sediment flow and organismal migration up and downstream. Severance of
 147 nutrient connectivity is likely to be most acute downstream of Andean-Amazonian dams, whose rivers
 148 supply the vast majority of the sediment, nutrients, and organic matter to the mainstem Amazon,
 149 ultimately affecting aquatic communities and marine processes thousands of kilometres away
 150 (McClain *et al.* 2008, Finer and Jenkins 2012).

150 Fish are the most celebrated dam casualty: changes in water depths, discharge, and sediment
 151 deposition patterns in reservoirs and dam tailwaters simplify or remove the niches for many species,
 152 and dams themselves obstruct migration to spawning or feeding grounds and fragment populations
 153 along the fluvial continuum (Agostinho *et al.* 2008, Sá-Oliveira *et al.* 2015a). Major hydroelectric
 154 reservoir often vastly augment the extent of freshwater environments but these typically provide low-
 155 quality habitat for aquatic biotas, including both fish populations and their apex-predators, such as
 156 giant otters (Palmerin *et al.* 2014). The Neotropical freshwater biota is severely under-inventoried,
 157 with 30% to 40% of the freshwater fish fauna still undescribed; Amazonia hosts over 2500 fish
 158 species, 80% of which are endemic, many with extremely small range sizes (Nogueira *et al.* 2010;
 159 Winemiller *et al.* 2016; Fig 2b). There are 285 restricted-range fish species in the Amazon and
 160 Tocantins-Araguaia hydrographic regions, meaning that nearly 11% of the regional fish biodiversity
 161 can be considered potentially threatened (Junk *et al.* 2007). Brazil's Ministry of Environment (MMA)
 162 recently completed an evaluation of the conservation status of its freshwater fishes, revealing that 71
 163 species are threatened in the Amazon basin, most of which (nearly 70%) by existing hydroelectric
 164 power plants or those planned to be built in the next decade (MMA 2014). However, the nominal
 165 protection afforded by the Brazilian Red List has already been subject to a number of legal challenges
 166 (e.g., Lees 2015) and its future integrity is far from secure.

167 In the case of the Belo Monte Dam on Brazil's Xingu River, among the nearly 450 fish species
 168 occurring in this river basin, at least 44 (~10%) are considered endemic, one third of which are under
 169 direct extinction risk by the construction of this dam (Isaac 2008, JZ *unpubl. data*). Furthermore, the
 170 loss of diadromous (species which migrate between fresh and salt water habitats) and potamodromous
 171 (migratory species restricted to freshwater) fish and crustaceans has cascade impacts on up and
 172 downstream nutrient transfers, including economic losses in local fisheries (Fearnside 2014a; Fig. 3c).
 173 Our knowledge of migratory behaviour for most species is very poor, and more spectacular
 174 discoveries, such as the previously undocumented mass-migration of juvenile pencil catfish
 175 (*Trichomycterus barbouri*), are to be expected (Miranda-Chumacero *et al.* 2015). It seems likely that
 176 the construction of many dams may put an end to such events before they are even known and subject
 177 to scientific scrutiny.

178 PAs are not guarantors of the integrity of aquatic ecosystems, particularly under the current political
 179 climate in which both state and federal executive branches continue to erode the legal protection of
 180 Brazilian parks and reserves. Of the 191 dams completed or underway, 13 (7.6%) fully or partially
 181 overlap existing PAs, whilst 36 (14.6%) of the planned dams would also downgrade or downsize
 182 existing PAs (RAISG 2013). Dam advocates argue that impacts can be mitigated by fish ladders and
 183 faunal translocations, yet the former are impermeable to many fish species in large Amazonian rivers
 184 (e.g., Agostinho *et al.* 2011; Fig. 3c) and translocations into habitats with resident populations already
 185 at carrying capacity are likely a worthless exercise (Alho 2011). The loss of endemic rheophilous fish
 186 species (restricted to fast-flowing water) resulting from the destruction or flooding of rapids cannot be
 187 mitigated by such actions.

188 Furthermore, understanding the magnitude of likely aquatic faunal extinction induced by the dam-
 189 building processes is hindered by a lack of information on the taxonomy, breeding habits,
 190 productivity, and seasonal dynamics of Amazonian fishes (Junk *et al.* 2012, Castello *et al.* 2013).

Exemplifying the uncertainty surrounding cryptic Amazonian biodiversity, Hrbek *et al.* (2014) recently described a new river dolphin, the Araguaian boto *Inia araguaiaensis* from the Araguaia River basin in south-eastern Brazilian Amazonia, which they anticipate will likely move straight onto the global Red List if the taxon is recognised by the International Union for Conservation of Nature. Regardless of taxonomic level, populations of river dolphins in this region are the most threatened in Amazonia (Araújo and Wang 2015).

Species occupying fluvial rocky outcrops (Fig. 3d) on the Brazilian and Guianan Shields are particularly threatened (Table 1). Without a change in policy, we anticipate a near total loss of these rare microhabitats in most stretches. These are crucial habitats for many rheophilic species, such as an entire radiation of Podostemaceae riverweeds (Philbrick *et al.* 2010) and micro-endemic armoured catfish such as the zebra pleco *Hypancistrus zebra* (Fig. 3e, Isbrücker and Nijssen 1991; Reis 2013). Moreover, such rocky outcrops are the main reproduction sites for many other restricted-range fish species and even for ‘terrestrial’ vertebrates such as *Nyctinomops* bats and the black-collared swallow *Atticora melanoleuca* (Table 1). Similarly, flow reduction over waterfalls may also have serious biodiversity impacts. The Salto das Andorinhas and Salto de Dardanelos waterfall complex on the Aripuanã River in northern Mato Grosso hosts globally-important colonies of swifts – 1.5 million white-collared swifts *Streptoprocne zonaris* were estimated to occupy this site in 1994 (De Luca *et al.* 2009). The construction of the 261-MW Dardanelos Dam will likely have negative consequences for these and other waterfall-nesting Amazonian swift species (Fig. 3f) if a reduction in flow leaves them exposed to terrestrial predators. Flooding of adjacent *terra firme* and seasonally-flooded *várzea* and *igapó* forests will reduce forest habitat availability to terrestrial biota, as will associated infrastructure improvements in the region. This will lead to the endangerment of floodplain and river island-dependent species which will lose significant proportions of their already-small global ranges (Bird *et al.* 2012).

Major dams also profoundly alter the structure of terrestrial biotas within insular forest communities stranded within vast archipelagos formed by hydroelectric reservoirs. Heavy-wooded tree species in primary forest islands created by the 26-year-old Balbina Dam of central Amazonia have been gradually replaced by short-lived pioneers, resulting in a staggering taxonomic and functional decay of tree assemblages (Benchimol and Peres 2015a). This also resulted in major losses of forest carbon storage in both lowland areas flooded by the reservoir and upland forests above the maximum water level.

Ironically, although many of the species threatened by dams in Amazonian Brazil are strictly protected by Brazilian law from hunting, sale or unlicensed collection (Law No. 9605/1998 - Articles 29, 34 & 53), there are legal provisions to allow their complete extirpation by dam-building projects (Fearnside 2014b). This is in contrast to legal provisions protecting the biodiversity of the Brazilian Atlantic Forest biome (Law No. 11.428/2006) by prohibiting the suppression of primary (or advanced secondary) vegetation hosting threatened species if the intervention would threaten their survival. A bill (3486/1989) proposing similar protection for the Amazonia biome was never sanctioned into law. Summarising, these direct impacts most acutely affect primarily aquatic biota through physical changes in water flow and quality flow, river system fragmentation and loss of specific micro-habitats (Table 1). We also note that the definition of ‘direct’ may be weak as cascade impacts within food-webs might be better described as ‘indirect’ effects, although given the wholesale changes to rivers following partial-impoundment it is likely that only extremely ‘generalist’ predators could fail to be impacted by direct changes to aquatic systems.

Indirect impacts

If mismanaged, indirect effects following dam construction have the potential to profoundly affect regional biodiversity in the absence of effective government command-and-control (Table 1). Once construction contracts terminate, the suddenly-unemployed construction workers often join other migrants and resort to exploitative activities such as illegal deforestation (Fearnside 2008). For example, Belo Monte is expected to trigger an *additional* 4000 to 5000 km² of forest loss by 2031 on top of that expected from business-as-usual scenarios (Barreto *et al.* 2011). Improved infrastructure in the form of roads, power grids and waterways has the potential to reverse recent gains in reducing Amazonian deforestation rates, as formerly financially marginal agricultural lands become more profitable, resulting in denudation, fragmentation and further degradation of remaining forest habitats. Loss of vegetation cover will result in drier climates (Nepstad *et al.* 2008), particularly in eastern Amazonia, reducing river water discharge and consequently hydropower output. Dam projects in the southern and eastern portion of the basin are already embedded within the infamous Amazonian ‘Arc of Deforestation’, the aggressively expanding agricultural frontier. The synergistic interaction between dam building and development could enhance positive feedback mechanisms that fuel forest fire dynamics with far-reaching consequences for biodiversity loss and the potential for future regional economic stagnation as river flows decline and power output decreases (Oliveira *et al.* 2013, Stickler *et al.* 2013). As such the indirect effects of dam building threaten to spill over to impact a substantial proportion of the basin’s terrestrial biota (Table 1) in watersheds with suitable conditions for dam construction.

The way forward

Where possible, major dams should not be built in the lower reaches of Amazonian rivers (which typically have greater environmental impacts) and the focus should be shifted to smaller headwater hydropower stations located upstream and along tertiary tributaries. Biodiversity impacts may be lessened in these areas, which may already be ‘naturally fragmented’ by waterfalls (Grill *et al.* 2015) although the cumulative environmental impacts of many small dams are still considerable (see, e.g., Premalatha *et al.* 2014) and pose a particularly important threat to the upper Xingu River aquatic biodiversity hotspot (Alho *et al.* 2015). To understand the relative impacts of a mixture of large and small dams, full river catchment environmental analyses are needed, as stated in the proposed Environmental Licensing Law (bill 3729/2004). In this case, consideration should be given to either building dams in series or distributing them among tributaries, whichever proves to be best option in a given catchment, and keeping dam-free stretches of rivers that contain representative sections of the original landscape (including stretches with rapids). These catchment analyses should be accompanied by a full trade-off analysis required to balance the negative externalities likely to afflict the region’s ethnobiodiversity with realistic estimates of energy production (Winemiller *et al.* 2016). Cumulative impacts of dam building need to be better assessed which should accompany a thorough overhaul of the whole environmental impact assessment procedure for dam construction (e.g., de Lima Andrade and dos Santos 2014). Existing legal requirements for the protection of native species need to be adhered to; dams should not be built if they are likely to lead to the extinction of restricted-range taxa as is expected to occur given current business-as-usual scenarios. The legislative integrity of the exemplary protected-area network in Brazilian Amazonia needs to be maintained, rescinding recent political actions aimed at unilaterally reducing the boundaries of protected areas and indigenous lands (Ferreira *et al.* 2014, Marques and Peres 2015).

Measures are needed to assess and curb the expansion of destructive dams and mitigate their negative impacts. These need to be subject to thorough trade-off analyses on a case-by-case basis to assess their relative merits as there is currently no ‘silver bullet’ to tackle energy supply issues in the region (Prado *et al.* 2016). Diversifying macroeconomic energy plans and reducing dependence on hydropower through investments in other ‘renewable’ technologies such as wind generation, photovoltaic power and other alternatives, such as concentrated solar power and gasification of waste,

285 will both increase efficiency and reduce costs over time (Kahn *et al.* 2014). Reducing power-line
transmission losses and grid connection miscalculations involving existing hydropower projects will
save considerable amounts of energy (Prado *et al.* 2016). Investing in modernising older hydropower
plants, which is less costly than developing new dams, ought to be a priority because they cause lower
290 environmental and social impacts, and require less time for implementation. It is not enough to
improve the design and siting of future Amazonian dams: the question of whether the massive dam-
building plans are needed must be faced (Fearnside 2016b).

Conclusion

295 Our review highlights how Brazil's reliance on hydropower may not be justified from an energy
security perspective and how the current dam-building regime will have a pervasive influence on the
process of human disturbance in lowland Amazonia. We anticipate the widespread loss, fragmentation
and degradation of riparian and terrestrial habitats resulting in varied direct and indirect impacts on
indigenous biota. If mismanaged, as appears to be the case with the current business-as-usual
300 scenario, the pulse of new dams in Amazonia threatens to catalyse further forest loss and threaten,
either directly or indirectly, many restricted-range species with global extinction.

Acknowledgments

We thank Priscilla Amaral for additional information and Leandro Sousa for the use of his fish
images. ACL, JZ and PMF thank CNPq for funding. CAP was funded by a CAPES grant (PVE
305 004/2012) during this writing.

References

- Agostinho AA, Pelicice FM, Gomes LC (2008) Dams and the fish fauna of the Neotropical region:
impacts and management related to diversity and fisheries. *Braz J Biol* 68:1119-1132.
- 310 Agostinho CS, Pelicice FM, Marques EE, Soares AB, de Almeida DAA (2011) All that goes up must
come down? Absence of downstream passage through a fish ladder in a large Amazonian river.
Hydrobiologia 675:1–12.
- 315 Akella AK, Saini RP, Sharma MP (2009) Social, economical and environmental impacts of renewable
energy systems. *Renew Energ* 34:390-396.
- Alho CJ (2011) Environmental effects of hydropower reservoirs on wild mammals and freshwater
turtles in Amazonia: a review. *Oecol Austral* 15:593–604.
- 320 Alho CJ, Reis RE, Aquino PP (2015) Amazonian freshwater habitats experiencing environmental and
socioeconomic threats affecting subsistence fisheries. *Ambio* 44(5):412-415.
- ANEEL (Agência Nacional de Energia Elétrica) (2016) Sistema de Informações Georreferenciadas do
325 Setor Elétrico – SIGEL. ANEEL, Brasília, DF, Brazil. <http://www.aneel.gov.br/>. Downloaded
02/04/2016.
- Ansar A, Flyvbjerg B, Budzier A, Lunn D (2014) Should we build more large dams? The
actual costs of hydropower megaproject development. *Energ Policy* 69:43–56.
330 doi:10.1016/j.enpol.2013.10.069

- Araújo CC, Wang JY (2015) The dammed river dolphins of Brazil: impacts and conservation. *Oryx* 49:17-24.
- 335 Barreto P, Brandão Jr A, Martins H, Silva D, Souza Jr C, Sales M, Feitosa T (2011) Risco de Desmatamento Associado à Hidrelétrica de Belo Monte. Instituto do Homem e do Meio Ambiente na Amazônia (Imazon), Belém, Pará, Brazil. <http://www.imazon.org.br/publicacoes/livros/risco-de-desmatamento-associado-a-hidreletrica-de-belo-monte-1>.
- 340 Baitelo R, Yamaoka M, Nitta R, Batista R (2013) [R]evolução energética: A caminho do desenvolvimento. Greenpeace Brasil, São Paulo, SP, Brazil. 79 pp. <http://www.greenpeace.org/brasil/pt/Documentos/Revolucao-Energetica/>
- 345 Benchimol M, Peres CA (2015a) Edge-mediated compositional and functional decay of tree assemblages in Amazonian forest islands after 26 years of isolation. *J Ecology* 103: 408–420.
- Benchimol M, Peres CA (2015b) Predicting local extinctions of Amazonian vertebrates in forest islands created by a mega dam. *Biol Conserv* 187:61-72.
- 350 Bird JP, Buchanan GM, Lees AC, Clay RP, Develey PF, Yépez I, Butchart SH (2012) Integrating spatially explicit habitat projections into extinction risk assessments: a reassessment of Amazonian avifauna incorporating projected deforestation. *Divers Distrib* 18:273–281.
- 355 Castello L, McGrath DG, Hess LL, Coe MT, Lefebvre PA, Petry P, Macedo MN, Renó VF, Arantes CC (2013) The vulnerability of Amazon freshwater ecosystems. *Conserv Lett* 6:217–229.
- de Lima Andrade A, dos Santos MA (2015) Hydroelectric plants environmental viability: Strategic environmental assessment application in Brazil. *Renew Sust Energ Rev* 52:1413-1423.
- 360 De Luca AC (2006) Final Report: Waterbirds in Brazil. SAVE Brasil, São Paulo, SP, Brazil.
- De Luca AC, Develey PF, Bencke GA, Goerck JM (2009) Áreas Importantes para a Conservação das Aves no Brasil. Parte II - Amazônia, Cerrado e Pantanal. SAVE Brasil, São Paulo, SP, Brazil.
- 365 Drewitt AL, Langston RH (2006) Assessing the impacts of wind farms on birds. *Ibis* 148:29-42.
- Fearnside PM (1989) Brazil's Balbina Dam: Environment versus the legacy of the pharaohs in Amazonia. *Environ Manage* 13:401–423.
- 370 Fearnside PM (1995) Hydroelectric dams in the Brazilian Amazon as sources of 'greenhouse' gases. *Environ Conserv* 22:7-19.
- Fearnside PM (2008) The roles and movements of actors in the deforestation of Brazilian Amazonia. *Ecol Soc* 13:23. <http://www.ecologyandsociety.org/vol13/iss1/art23/>
- 375 Fearnside PM (2013) Decision making on Amazon dams: politics trumps uncertainty in the Madeira river sediments controversy. *Water Alternat* 6:313-325.
- 380 Fearnside PM (2014a) Impacts of Brazil's Madeira River dams: unlearned lessons for hydroelectric development in Amazonia. *Environ Sci Policy* 38:164-172.

- Fearnside PM (2014b) Brazil's Madeira River dams: a setback for environmental policy in Amazonian development. *Water Alternat* 7:156-169.
- 385 Fearnside PM (2015) Amazon dams and waterways: Brazil's Tapajós Basin plans. *Ambio* 44:426–439.
- Fearnside PM (2016a) Environmental and social impacts of hydroelectric dams in Brazilian Amazonia: Implications for the aluminum industry. *World Devel* 77:48-65. doi: 10.1016/j.worlddev.2015.08.015
- 390 10.1016/j.worlddev.2015.08.015
- Fearnside PM (2016b) Tropical dams: to build or not to build? *Science* 351:456-457. doi: 10.1126/science.351.6272.456-b
- 395 Fearnside PM, Pueyo S (2012) Greenhouse-gas emissions from tropical dams. *Nat Clim Change* 2:382–384.
- Ferreira J, Aragão LEOC, Barlow J, Barreto P, Berenguer E, Bustamante M, Gardner TA, Lees AC, Lima A, Louzada J, Pardini R, Parry L, Peres CA, Pompeu PS, Tabarelli M, Zuanon J (2014) Brazil's environmental leadership at risk. *Science* 346:706-707.
- 400 10.1126/science.1257500
- Ferreira LV, Cunha DA, Chaves PP, Matos DC, Parolin P (2013) Impacts of hydroelectric dams on alluvial riparian plant communities in eastern Brazilian Amazonian. *An Acad Bras Ciênc* 85:1013–1023.
- 405 10.1590/0001-3765201300051013
- Finer M, Jenkins CN (2012) Proliferation of hydroelectric dams in the Andean Amazon and implications for Andes-Amazon connectivity. *PLOS ONE* 7: e35126.
- 410 10.1371/journal.pone.0171266
- Grill G, Lehner B, Lumsdon AE, MacDonald GK, Zarfl C, Liermann CR (2015) An index-based framework for assessing patterns and trends in river fragmentation and flow regulation by global dams at multiple scales. *Environ Res Lett* 10:015001.
- 415 10.1088/1748-7598/10/1/015001
- Goulding M (1980) *The Fishes and the Forest: Explorations in Amazonian Natural History*. University of California Press, Berkeley, California, USA.
- 420 10.1017/9780520306000
- Haffer J (1994) "Very Small" Bird Populations in Amazonia. *Minimum Animal Populations* (ed. H. Remmert), pp. 105-117. Springer, Berlin & Heidelberg, Germany.
- 425 10.1007/978-3-642-55000-0_10
- Hrbek T, da Silva VMF, Dutra N, Gravena W, Martin AR et al. (2014) A new species of river dolphin from Brazil or: how little do we know our biodiversity. *PLOS ONE* 9:e83623.
- 430 10.1371/journal.pone.0100000
- ICMBio (Instituto Chico Mendes de Biodiversidade) (2012) Sumário Executivo do Plano de Ação Nacional para a Conservação das Espécies Endêmicas e Ameaçadas de Extinção da Fauna da Região do Baixo e Médio Xingu. ICMBIO, Brasília, DF, Brazil.
- 435 http://www.icmbio.gov.br/portal/images/stories/docs-plano-de-acao/pan-xingu/sum%C3%A1rio_xingufauna.pdf.
- IJHD (International Journal on Hydropower and Dams) (2010) *World Atlas & Industry Guide*. International Journal of Hydropower and Dams. IJHD, Wallington, Surrey, UK, 405 pp.
- 440 10.1080/17445019.2010.500000

- 435 Isaac VJ (2008) Diagnóstico ambiental da AHE- Belo Monte – Médio e Baixo Rio Xingu - Ictiofauna e pesca. Aproveitamento hidrelétrico Belo Monte Diagnóstico – estudo de impacto Ambiental sobre a fauna e flora da região do médio rio Xingu – UHE Belo Monte. Museu Goeldi, Belém, Pará, Brazil. <http://licenciamento.ibama.gov.br/Hidreletricas/Belo%20Monte/EIA/Volume%2019%20-%20RELATORIOS%20MPEG%20ICTIOFAUNA/TEXT0/RELAT%D3RIO%20FINAL%20ICTIOFAUNA%20E%20PESCA%20V7.pdf>.
- 440 Isbrucker IJH, Nijssen H (1991) *Hypancistrus zebra*, a new genus and species of uniquely pigmented ancintrine loricariid fish from the Rio Xingu, Brazil (Pisces: Siluriformes: Loricariidae). *Ichthyol Explor Freshw* 1:345–350.
- Kahn JR, Freitas CE, Petreire M (2014) False Shades of Green: The Case of Brazilian Amazonian Hydropower. *Energies* 7:6063-6082.
- 445 Kumar A, Schei T, Ahenkorah A, Caceres Rodriguez R, Devernay J-M, Freitas M, Hall D, Killingtveit Å, Liu Z (2011) Hydropower. IPCC Special Report on Renewable Energy Sources and Climate Change Mitigation (eds. O. Edenhofer, R. Pichs-Madruga, Y. Sokona, K. Seyboth, P. Matschoss, S. Kadner, T. Zwickel, P. Eickemeier, G. Hansen, S. Schlömer, C. von Stechow), pp. 437-496. Cambridge University Press, Cambridge, UK .
- 450 Junk WJ, Soares MGM, Bayley PB (2007) Freshwater fishes of the Amazon River basin: their biodiversity, fisheries, and habitats. *Aquat Ecosyst Health* 10:153–173.
- 455 Killeen TJ (2007) A Perfect Storm in the Amazon Wilderness: Development and conservation in the Context of the Initiative for the Integration of the Regional Infrastructure of South America (IIRSA). Conservation International, Arlington, VA, USA. http://www.conservation.org/publications/Documents/AABS.7_Perfect_storm_English.low.res.pdf.
- 460 Lees AC (2015) Fisheries: Leave Brazil's Red List alone. *Nature* 518:167.
- Liermann CR, Nilsson C, Robertson J, Ng RY (2012) Implications of dam obstruction for global freshwater fish diversity. *BioScience* 62:539–548.
- 465 Marques AAB, Peres CA (2015) Pervasive legal threats to protected areas in Brazil. *Oryx* 49:25–29.
- Meybeck M, Ragu A (1996) River discharges to the oceans: an assessment of suspended solids, major ions and nutrients. Environment Information and Assessment Report, UNEP, Paris.
- 470 McAllister DE, Craig JF, Davidson N, Delany S, Seddon M (2001) Biodiversity Impacts of Large Dams. Background Paper 1. Prepared for IUCN / UNEP / WCD. <http://intranet.iucn.org/webfiles/doc/archive/2001/IUCN850.pdf>.
- 475 McClain ME, Naiman RJ (2008) Andean influences on the biogeochemistry and ecology of the Amazon River. *BioScience* 58:325–338.
- Miranda-Chumacero G, Álvarez G, Luna V, Wallace RB, Painter L (2015) First observations on annual massive upstream migration of juvenile catfish *Trichomycterus* in an Amazonian River. *Environ Biol Fishes* 98:1913-1926. Doi:10.1007/s10641-015-0407-3

- 480 Moreira PF (ed.). (2012) *Setor Elétrico Brasileiro e a Sustentabilidade no Século 21: Oportunidades e Desafios*. 2ª ed. Rios Internacionais, Brasília, DF, Brazil.
<http://www.internationalrivers.org/node/7525>
- 485 MMA (Ministério do Meio Ambiente) Brasil (2014) Portarias nº 443, 444, 445, de 17 de dezembro de 2014. *Diário Oficial da União, Seção 1 (245): 110-130, 18 Dezembro 2014*
- MME (Ministério de Minas e Energia) (2011) *Plano Nacional de Mineração 2030 (PNM – 2030)*. MME, Brasília, DF, Brazil.
- 490 MME/EPE (Ministério de Minas e Energia / Empresa de Pesquisa Energética) (2013) *Plano Decenal de Expansão de Energia 2022*. MME/EPE, Brasília, DF, Brazil.
<http://www.epe.gov.br/Estudos/Documents/PDE2022.pdf>
- 495 Nepstad DC, Stickler CM, Soares-Filho B, Merry F (2008) Interactions among Amazon land use, forests and climate: prospects for a near-term forest tipping point. *Philos Trans R Soc Lond B Biol Sci* 363:1737–1746.
- 500 Nilsson C, Reidy CA, Dynesius M, Revenga C (2005) Fragmentation and flow regulation of the world's large river systems. *Science* 308:405–408.
- Nogueira C, Buckup PA, Menezes NA, Oyakawa OT, Kasecker TP, Neto MBR, da Silva JMC (2010) Restricted-range fishes and the conservation of Brazilian freshwaters. *PLOS ONE*, 5:e11390.
- 505 Oliveira LJC, Costa MH, Soares-Filho BS, Coe MT (2013) Large-scale expansion of agriculture in Amazonia may be a no-win scenario. *Environ Res Letters* 8:024021.
- Palmeirim AF, Peres CA, Rosas FC (2014). Giant otter population responses to habitat expansion and degradation induced by a mega hydroelectric dam. *Biol Conserv* 174:30–38.
- 510 Pereira R (2013) Orçamento em R\$ 16 bilhões, custo da Usina de Belo Monte já supera os R\$ 30 Bilhões. *O Estado de S. Paulo*, 11 May 2013.
<http://economia.estadao.com.br/noticias/geral,orcado-em-r-16-bilhoes-custo-da-usina-de-belo-monte-ja-supera-os-r-30-bilhoes,153398e>
- 515 Philbrick CT, Bove CP, Stevens HI (2010) Endemism in Neotropical Podostemaceae 1. *Ann Missouri Bot Gard* 97:425–456.
- 520 Poirier C (2012) Belo Sun Mining sets sights on golden opportunity in the Xingu.
<http://amazonwatch.org/news/2012/1005-belo-sun-mining-sets-sights-on-golden-opportunity-in-the-xingu>
- 525 Prado AP, Athayde S, Mossa J, Bohlman S, Leite F, Oliver-Smith A (2016) How much is enough? An integrated examination of energy security, economic growth and climate change related to hydropower expansion in Brazil. *Renew Sust Energ Rev* 53:1132-1136.
- Premalatha M, Abbasi T, Abbasi SA (2014) A critical view on the eco-friendliness of small hydroelectric installations. *Sci Total Environ* 481:638-643.

- 530 RAISG (Rede Amazônica de Informação Socioambiental Georeferenciada) (2013) *Amazonía Bajo Presión*. Socio-Environmental Institute, São Paulo, SP, Brazil.
<http://www.raisg.socioambiental.org/amazonia-bajo-presion-2012>.
- Reis RE (2013) Conserving the freshwater fishes of South America. *Int Zoo Yearb* 47:65-70.
- 535 Ribeiro MCLDB, Petrere M, Juras AA (1995) Ecological integrity and fisheries ecology of the Araguaia—Tocantins River Basin, Brazil. *Regul Rivers Res Manage* 11:325–350.
- Sá-Oliveira JC, Isaac VJ, Ferrari SF (2015a) Fish community structure as an indicator of the long-term effects of the damming of an Amazonian river. *Regul Rivers Res Manage* 98:273-286.
- 540 Sá-Oliveira JC, Hawes JE, Isaac-Nahum VJ, Peres CA (2015b). Upstream and downstream responses of fish assemblages to an Eastern Amazonian hydroelectric dam. *Freshwater Biol* 60:2037-2050.
- 545 Stickler CM, Coe MT, Costa MH, Nepstad DC, McGrath DG, Dias LC, Rodrigues HO, Soares-Filho BS (2013) Dependence of hydropower energy generation on forests in the Amazon Basin at local and regional scales. *Proc Nat. Acad Sci USA* 110:9601–9606.
- 550 Sutherland WJ, Alves JA, Amano T, Chang CH, Davidson NC, Max Finlayson C, Gill JA, Thompson, D (2012) A horizon scanning assessment of current and potential future threats to migratory shorebirds. *Ibis* 154:663–679.
- 555 Winemiller KO, McIntyre PB, Castello L, Fluet-Chouinard E, Giarrizzo T, Nam S, Baird IG, Darwall W, Lujan NK, Harrison I, Stiassny ML (2016) Balancing hydropower and biodiversity in the Amazon, Congo, and Mekong. *Science* 351:128-129.
- Winzer C (2012) Conceptualizing energy security. *Energy Policy* 46:36-48.

Table 1. Generalized impacts of major hydroelectric dams on both the aquatic and terrestrial biodiversity throughout lowland Amazonia at varying spatial scales.

Habitat Type	Taxonomic groups affected		Extinction process	Scale and magnitude of impact	Source
	Aquatic	Terrestrial			
River channel	Large migratory fish (e.g. <i>Prochilodus nigricans</i> , <i>Semaprochilodus</i> sp., <i>Brachyplatystoma rousseauxii</i> , <i>B. capapretum</i> , <i>B. vaillantii</i>).		Migratory dis-connectivity.	Basin-wide declines or extinctions if species fail to reach headwater breeding grounds.	Ribeiro <i>et al.</i> 1995, Isaac 2008
	All aquatic life.		Deterioration of water quality.	Local extinction of species dependent on well oxygenated river stretches.	Killeen 2007, Liermann <i>et al.</i> 2012, Sá-Oliveira <i>et al.</i> 2015.
			Changing turbidity levels to which species are regionally adapted.	Regional declines and extinctions above and below dams	McAllister <i>et al.</i> 2001, Liermann <i>et al.</i> 2012, Sá-Oliveira <i>et al.</i> 2015.
Floodplain	Many fish and aquatic invertebrates, 50% of the fish species in the Xingu for example use the floodplain.		End of seasonal flood cycle.	Regional declines and extinctions below dams.	Isaac 2008
	Many fish and other aquatic vertebrates		Loss of food sources from seasonally flooded forests.	Regional declines in local fisheries both in the reservoir areas and below dams.	Goulding 1980
		Migratory bird species	Loss of ephemeral habitat, e.g. Lesser Yellowlegs <i>Tringa flavipes</i> .	Significant loss of staging habitats.	Sutherland <i>et al.</i> 2012
Fluvial Rocky outcrops	Many endemic fish (e.g. rapids-dwelling Loricariidae catfishes) and invertebrates.		Permanent submergence of breeding habitats, food sources and shelters; changes in water quality and velocity.	Local (stretch) to basin-wide declines or extinctions if species are unable to use other habitats.	Isaac 2008, Liermann <i>et al.</i> 2012
		<i>Nyctinomops</i> sp. bats, <i>Atticora melanoleuca</i> .	Permanent submergence of breeding habitats.	Basin-wide declines or extinctions if species fail to find or adapt to other habitats.	Haffer 1994
	Podostemaceae riverweeds.		Permanent submergence of rocky habitats.	Local (stretch) to basin-wide declines or extinctions, given high rates of micro-endemism.	Philbrick <i>et al.</i> 2010
Ephemeral sandy river beaches	Freshwater turtles e.g. <i>Podocnemis</i> sp.		Permanent submergence of breeding habitats.	Regional declines and extinctions below dams.	Alho 2011
		Bird species e.g. Black Skimmers <i>Rhynchops niger</i> , Large-billed Terns <i>Phaetusa simplex</i> .		Regional declines and extinctions below dams.	de Luca <i>et al.</i> 2006
Fluvial (vegetated) islands		Microendemic plant communities	Permanent submergence below dams	Regional declines and extinctions below dams.	Ferreira <i>et al.</i> 2012

		Range and habitat restricted birds and other vertebrates e.g. Blackish-gray Antshrike <i>Thamnophilis nigrocinereus</i> .	Permanent submergence of habitat below dams.		Bird <i>et al.</i> 2012
Várzea and Igapó forests	Many fish and aquatic invertebrate species.		End of seasonal flood cycle including permanent inundation or irregular / unpredictable floods.	Regional declines in the reservoir areas and below dams.	Goulding 1980, Killeen 2007
		Range and habitat restricted birds e.g. Varzea Piculet <i>Picumnus varzeae</i>	End of seasonal flood cycle including permanent inundation or irregular / unpredictable floods.	Regional declines and local extinctions in the reservoir areas and below dams.	Alho 2011
		Arboreal mammal species with high degree of flooded forest habitat specificity, including primates, echimyid rodents and marsupials			Goulding 1980, Killeen 2007
Terra firme forests		Large-bodied birds and mammals.	Over-hunting in surrounding landscapes surrounding	Regional, new access roads and influx of people - increased hunting pressure.	Alho 2011
		All <i>terra firme</i> forest species.	Loss of habitat through permanent inundation of some upland areas	Local, relatively little <i>terra firme</i> habitat lost,	Killeen 2007, Alho 2011, Benchimol and Peres 2015a,b .
			Fragmentation and loss of habitat through deforestation	Regional, influx of money and people result in accentuated deforestation rates.	Killeen 2007, Barreto <i>et al.</i> 2011, Finer and Jenkins 2012
All	All species		Habitat loss and degradation following regional climate changes stimulated by deforestation and accentuated by increased methane output.	Local, regional and global.	Fearnside 1995, Stickler <i>et al.</i> 2013

565

570 **Figure legends**

Figure 1. Geographic distribution and power output (in MW) of the 191 completed and under-construction dams (black circles) and 246 planned dams (red circles) across the Amazon Basin. Sizes of circles are proportional to hydropower output. Elevation above sea level is shown on the background (data extracted from Finer and Jenkins 2012 and Aneel 2016). Note that most dams

575

within lowland Amazonia are concentrated along only a few tributaries of the Amazon River, including highly controversial plans amounting to 165 and 107 dams within the Tapajós and Araguaia-Tocantins river basins, respectively (see inset maps).

580 **Figure 2.** Simplified conceptual map of interactions between dam construction, mining, human population growth, biodiversity and climate change. Arrow width is roughly proportional to effect size, red arrows indicate negative impacts (reductions and/or negative growth in the target field) and green arrows represent positive impacts (increase and/or positive growth in the target field).

585 **Figure 3.** (a) The ‘Big Bend’ region of Brazil’s Xingu River in March 2011 (P. M. Fearnside). The Belo Monte Dam, one of the world’s most controversial hydroelectric projects, will leave this 100-km stretch of river with only 20% of its natural flow. The “Big Bend,” which the Brazilian government insists is not directly impacted by the dam, has a unique fauna and a human population, including two indigenous territories, which depend on the river’s fish. Image (b) depicts an undescribed species
590 (*Hypancistrus sp. nov.*) in the same genus as the zebra pleco, which is a micro-endemic restricted to deeper portions of the ‘Big Bend’, despite efforts by ornamental fish collectors to locate other populations of this new species outside this area (L. Sousa). Fish passage (c) at Brazil’s Santo Antônio Dam on Brazil’s Madeira River in May 2012 (P.M. Fearnside). Unfortunately, the major commercial species of “giant” catfish have so far been unable to locate the entrance to these passages,
595 since they instinctively follow the main current. The socioeconomic impacts of this loss are felt in Bolivia and Peru, as well as Brazil. The Jamaxim River near Novo Progresso, Pará in August 2006 (A. C. Lees) (d) with fluvial rocky outcrops typical of Brazilian and Guianan Shield rivers – a microhabitat likely to be inundated on this stretch by the construction of the 881-MW Jamaxim dam. Underwater photograph (e) of a zebra pleco *Hypancistrus zebra* (left) with an *Ancistrus sp.* (right)
600 hiding in rocks on the Xingu’s ‘Big Bend’ (L. Sousa). The zebra pleco is a popular ornamental fish, described only 23 years ago by Isbrücker and Nijssen (1991), and is virtually restricted to the ‘Big Bend’. Given this restricted distribution and imminent threat, it was recently officially upgraded from “Vulnerable” to “Critically Endangered” by the IUCN Red List (ICMBio 2012). Great dusky swifts (*Cypseloides senex*) (f) roosting behind the waterfalls of the Cachoeiras do Curuá on the Serra do Cachimbo in southern Pará in August 2006 (A. C. Lees). Two small hydroelectric power plants have subsequently been constructed upstream of this site: PCH (Pequena Central Hidrelétrica) Salto do Curuá and PCH Salto do Buriti. Subsequent environmental impacts on these birds are unknown but Amazonian waterfalls are home to globally-important colonies of several swift species for which basin-wide Red List assessments are required.

610