

Dependence of hydropower energy generation on forests in the Amazon Basin at local and regional scales

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Edited by Christopher B. Field, Carnegie Institution of Washington, Stanford, CA, and approved April 2, 2013 (received for review September 6, 2012)

Tropical rainforest regions have large hydropower generation potential that figures prominently in many nations' energy growth strategies. Feasibility studies of hydropower plants typically ignore the effect of future deforestation or assume that deforestation will have a positive effect on river discharge and energy generation resulting from declines in evapotranspiration (ET) associated with forest conversion. Forest loss can also reduce river discharge, however, by inhibiting rainfall. We used land use, hydrological, and climate models to examine the local "direct" effects (through changes in ET within the watershed) and the potential regional "indirect" effects (through changes in rainfall) of deforestation on river discharge and energy generation potential for the Belo Monte energy complex, one of the world's largest hydropower plants that is currently under construction on the Xingu River in the eastern Amazon. In the absence of indirect effects of deforestation, simulated deforestation of 20% and 40% within the Xingu River basin increased discharge by 4–8% and 10–12%, with similar increases in energy generation. When indirect effects were considered, deforestation of the Amazon region inhibited rainfall within the Xingu Basin, counterbalancing declines in ET and decreasing discharge by 6–36%. Under business-as-usual projections of forest loss for 2050 (40%), simulated power generation declined to only 25% of maximum plant output and 60% of the industry's own projections. Like other energy sources, hydropower plants present large social and environmental costs. Their reliability as energy sources, however, must take into account their dependence on forests.

climate change | land-use planning | electricity | climate policy | forest policy

Tropical rainforests are globally significant because of their cultural and biological diversity (1), their productivity (2), and their enormous carbon pools (3). The abundant rainfall that has allowed these ecosystems to develop is also associated with large volumes of river water flow and high potential for the generation of electricity through hydropower dams. As a result of this confluence of rainforests and hydropower potential, many nations with large areas of tropical rainforest—including Brazil, Peru, Colombia, the Democratic Republic of the Congo, Vietnam, and Malaysia—plan to expand their hydropower energy capacity over the next 20 y (4, 5).

Hydropower is an attractive energy option for many reasons. It is cheaper than thermoelectric power and most other renewable forms of electricity (6), can provide energy at scale more easily and with fewer disruptions than wind or solar (6), and can potentially provide electrical energy with lower levels of greenhouse gas (GHG) emissions than thermoelectric energy (7), although its effect on methane production could counteract this benefit (8). As with any energy source, hydropower also brings important social and ecological costs. Dam construction and flooding that often accompanies reservoir establishment can negatively affect the lives of local residents including displacement and forced migration (9,

10) and the destruction of community and ancestral lands (11). Hydropower dams disrupt the continuity of river ecosystems and cause the flooding of adjacent riparian and terrestrial ecosystems (12), can result in disease outbreak (9), and can draw large numbers of laborers to remote locations that are left unemployed once the dam is completed (10).

The viability of hydropower projects as reliable sources of electricity has also been a focus of debate, especially in areas where rainfall and river water flow (discharge) are highly seasonal or erratic (3, 13). In this regard, an important aspect of hydropower viability that has received relatively little attention is its dependency on the forests in which dam complexes are embedded. To what extent will future energy production potential of hydropower investments be realized as forests that surround them are cleared?

River discharge is the difference between water input to the watershed (precipitation) and water export via evapotranspiration (ET). Hydropower potential is directly associated with discharge and therefore generally increases when forests are replaced with crops and pastures because forests tend to release more vapor to the atmosphere through ET, leaving less water for discharge (14–16). Forests can also influence hydropower generation indirectly through their effect on regional rainfall patterns. In the Amazon Basin (AB) (17) and in other moist tropical forest regions (18–20), evidence is accumulating—including from observed patterns of rainfall and forest cover (21)—that rainfall systems are maintained, in part, by the forest itself through contribution of water vapor to the atmosphere through ET and through its associated influences on land–atmosphere energy exchange (22–24).

An initial analysis of the interplay between these dual influences of forests on discharge found that projected rates and spatial patterns of future deforestation could significantly diminish water flow in 6 of the 10 major Amazon tributaries (17). The biggest effect of simulated future deforestation on hydrology was found for the Xingu River basin (XB), where discharge is estimated to decline 11–17% below the fully forested scenario. This analysis did not examine the implications of these simulated changes in discharge for hydropower generation, nor did it tease apart the direct (ET within the watershed) versus indirect (precipitation) effects of forests on discharge. These potential indirect effects have not been included in previous studies of hydropower potential, despite growing evidence of the effects of deforestation on rainfall (21)

Author contributions: C.M.S., M.T.C., M.H.C., and D.C.N. designed research; C.M.S., M.T.C., M.H.C., L.C.P.D., H.O.R., and B.S.S.-F. performed research; C.M.S., M.T.C., M.H.C., D.C.N., and L.C.P.D. analyzed data; and C.M.S., M.T.C., M.H.C., D.C.N., and D.G.M. wrote the paper.

The authors declare no conflict of interest.

This article is a PNAS Direct Submission.

Freely available online through the PNAS open access option.

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This article contains supporting information online at www.pnas.org/lookup/suppl/doi:10.1073/pnas.1215331110/-DCSupplemental.

hydropower expansion plans of a large number of developing nations in these regions (4, 5). The potential of regional deforestation to inhibit rainfall sufficiently to constrain energy generation is greatest where rainfall seasonality is already pronounced and where deforestation is expected to be greatest (e.g., where new roads will stimulate forest clearing). For example, in the AB, energy generation potential of hydropower plants under consideration for the Tapajós River may be affected by the paving of the BR-163 highway that runs along it (37), while that of the Rio Madeira may be affected by paving of the BR-319 highway (37, 38). Peruvian hydropower could depend upon deforestation dynamics along the recently paved Interoceanic highway and the intermittently paved BR-364 highway.

Climate Change. Our study examined the influence of deforestation-driven climate change, but it did not examine the influence of climate change driven by the accumulation of heat-trapping gases in the atmosphere on future energy generation, nor did it examine trends in extreme droughts or floods. Most climate models predict higher temperatures and lower rainfall in the southeastern Amazon region, including the headwaters of the Xingu River (35, 39, 40). The net result of the interacting influences of deforestation and increasing CO₂ is likely to be a large increase in surface

temperature and a small decrease in precipitation and ET (35, 41), leading to drying and, in particular, a lengthening of the dry season. If extreme droughts such as those that affected the AB in 2005 and 2010 (42, 43) become more common in a warming world, the minimum assured energy generation of existing and planned hydropower plants could decline even if full regional forest cover is maintained. Other tropical regions are likely to be more severely affected than the AB, whose climate is less sensitive to forest removal due to the role of the Andes mountain range in encouraging precipitation (26).

Energy Pathways. Nations must decide how to meet growing needs for electrical energy while minimizing GHG emissions and other social and environmental costs. In the near- to medium-term, hydroelectric power is an important option for achieving the former. Hydropower's GHG emissions factor (4–18 g CO₂ equivalent per kWh) is 36–167 times lower than the emissions from thermoelectric power (5, 44). Compared with other renewables, on a lifecycle basis, hydropower releases fewer GHG emissions than electricity generation from biomass and solar and about the same as emissions from wind, nuclear, and geothermal plants. Hydropower's GHG emission efficiency declines when methane outgassing from reservoirs and associated structures (7, 8, 45, 46) is included in the calculation, although the size of this effect is disputed (47). As technological advances for solar and wind energy improve their competitiveness, a major obstacle to the transition to renewable energy is storing excess electricity for times when low river discharge, low wind, and low sunlight restrict electricity generation. Currently, however, Brazil's discovery and development of a massive deep-water petroleum reserve may provoke a reevaluation of this nation's energy policy (48).

Trade-offs and Policy Implications. Integrated approaches to energy, transportation infrastructure, and land use planning and policy are needed to optimize societal gains and minimize costs of hydropower plants and other major infrastructure investments in tropical rainforest regions. These approaches must address plausible scenarios of future climatic and economic conditions; highways, other infrastructure, and land uses should be planned to secure rainfall systems that may depend upon regional forest cover so as to avoid or postpone a cycle of drought and forest fire that could lead to a regional forest dieback (49). Scenarios of possible future changes in rainfall and ET that could occur through the influence of deforestation and the accumulation of GHGs in the atmosphere should be routinely included in hydropower viability assessments, prioritizing output from carefully validated climate, hydrology, and land use models, such as those used in this study. One of the best ways of reducing the risk of regional rainfall inhibition in the AB region and its negative effects on hydropower generation, agricultural systems, and forest fire may be to slow and eventually end deforestation and reestablish forest cover on the large areas of degraded cattle pasture along the eastern fringe of the AB forest (49). The rate of deforestation has declined by 76% in the last 6 y (50, 51), although rising commodity prices could help to reverse this trend. In this regard, nascent policy frameworks focused on lowering deforestation rates, including Brazil's National Climate Change Policy, and Reducing Emissions from Deforestation and Forest Degradation (REDD+) initiatives, represent important opportunities to create incentives to continue lowering deforestation while reestablishing forests on cleared land (50). Political support for such initiatives might increase if the powerful electricity sector regarded the maintenance of forest cover in the AB and elsewhere as a mechanism for securing future hydropower generation, fostering a synergistic link between energy and forest policies designed to lower GHG emissions.

The construction and maintenance of BMHC and other hydropower projects present substantial social and environmental costs, particularly for the poorest or weakest members of society. However, the BMHC project also shows that an increasingly stringent licensing process and an engaged civil society can broaden the discussion of risks and benefits (27) and lead to major

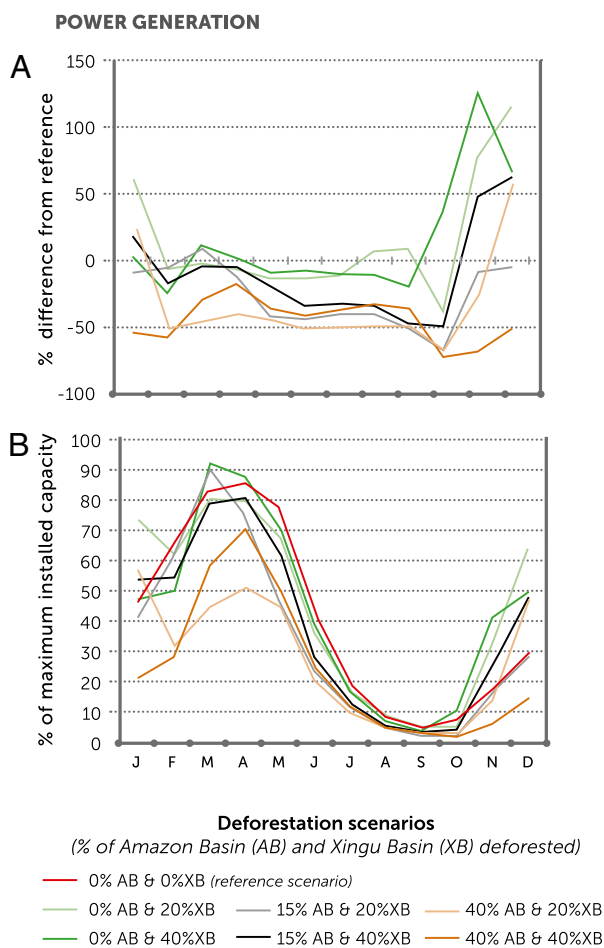


Fig. 4. Difference in monthly power generation potential at the Belo Monte power plant on the Xingu River under alternative scenarios of local [Xingu Basin (XB)] and regional [Amazon Basin (AB)] forest cover, with climate feedbacks. (A) The percentage difference from reference scenario (0% AB and 0% XB) in mean monthly energy generation potential under six alternative scenarios. (B) Mean monthly power generation potential as a percentage of maximum installed capacity (11,000 MW) under seven alternative scenarios.

observed mean annual discharge used by project engineers, and then reduced the simulated discharge by the amount of flow intended to remain in the river in each month (SI Text S1), as dictated by Brazilian legislation (59). Using this reduced flow, we estimated the energy generation potential under each scenario using the following equation:

$$P_m = \Delta h \times Q_m \times g \times EF \times C_{AE}$$

where P_m is mean monthly hydropower potential (in megawatts); Δh is difference in head, 87.5 m (32); Q_m is adjusted mean monthly discharge (in cubic meters per second); g is the force of gravity, 9.81 m•s⁻²; EF is the efficiency factor given for the turbines and generators (0.918) (32); and C_{AE} is an additional calibration factor (0.92) (SI Text S1). C_{AE} calibrates the power generation potential to the assured mean annual energy output cited in

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