

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

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29

30 **Abstract**

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

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

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

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

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

49

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

52

53 **Introduction**

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

74 Yet few studies have evaluated structural variation among the forests in the
75 southern border region of the Amazon forest biome and its covariation with climate and
76 landscape factors. Exceptions include one analysis of the effects of the interaction
77 between droughts and wildfires on tree mortality at one experimental site (Brando et al.
78 2014), and a landscape study which showed that habitat fragmentation, combined with
79 droughts, increased the susceptibility of the forests to fire (Alencar et al. 2015). We are
80 not aware of a single study that has evaluated the effects of habitat fragmentation and
81 different climate variables across the region's forests using direct, on-the-ground
82 measurement of vegetation structural variables such as tree diameter, height, and
83 biomass.

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

98 In addition to landscape-scale factors, regional climate is related to variation
99 in the forest structure (e.g. Banin et al. 2015). For example, where precipitation and
100 temperature are higher, forests generally have taller trees that accumulate more biomass
101 (Koch et al. 2004; Way and Oren 2010; Feldpausch et al. 2011; Pan et al. 2013; Chave
102 et al. 2014). However, in the very warmest forests the forest structural responses are
103 unclear. There is some evidence that here plants may photosynthesise less and expend
104 more energy on respiration, so potentially accumulating less biomass (Lloyd and
105 Farquhar 2008; Lewis et al. 2013). However, the temperature sensitivity of key
106 respiration processes appears to decline in warmer environments (Atkin et al. 2015,
107 Heskel et al. 2016), rather than increasing exponentially as simple Q_{10} formulations in
108 earlier global vegetation models suggested (Cox et al. 2000), suggesting that the overall
109 sensitivity of biomass stocks to high temperatures might be weaker than many models
110 indicated.

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

117 In the context of regional land-use and climatic changes in southern Amazonia,
118 and the projected high regional climate sensitivity to global warming (IPCC 2015), it is
119 therefore extremely important to understand how the forest structure is affected by abiotic
120 factors. It may for example help to improve the conservation measures to protect the
121 remaining forest fragments. In this study, we evaluated whether, and to what extent,

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

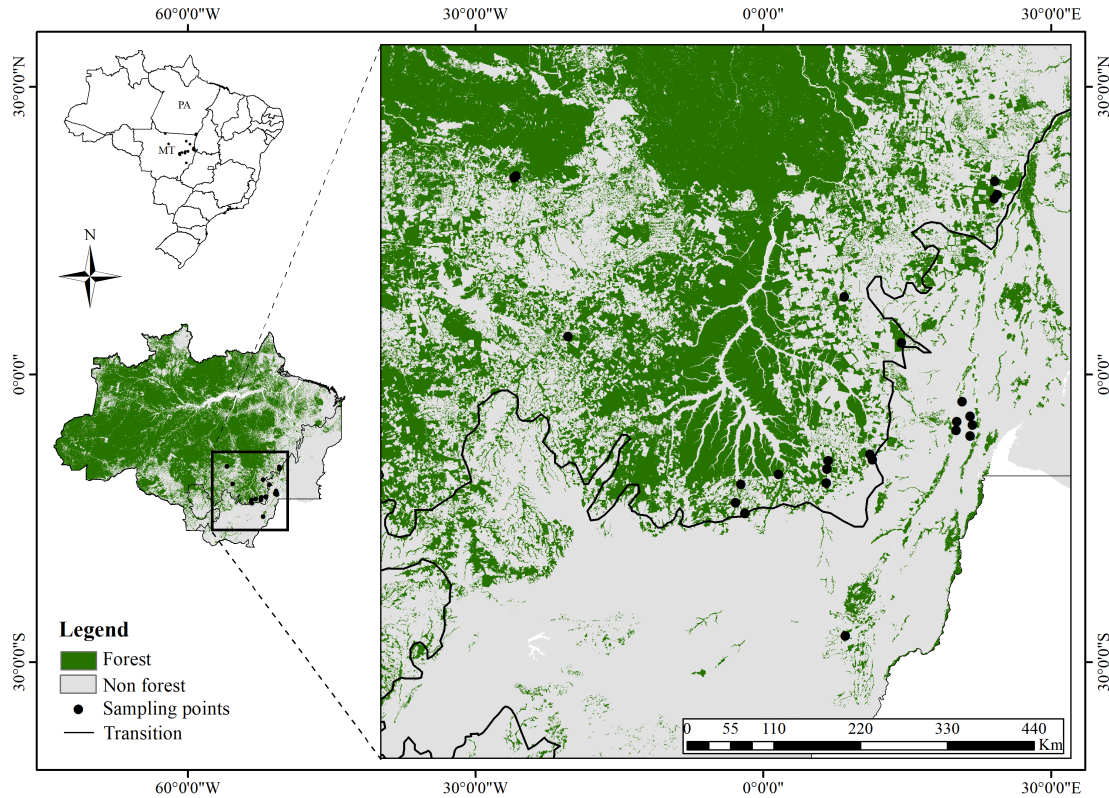
138

139 **Materials and methods**

140 *Study area*

141 We studied 24 forest plots distributed in the so-called ‘arc of deforestation’
142 (Nogueira et al. 2008) over an area of ca. 25,000 km² (Figure 1 and Table 1). The
143 regional climate is of the *Aw* (tropical with dry winters) and *Am* (tropical monsoon)
144 types in the Köppen classification system (Alvares et al. 2013), and originally supported
145 evergreen or semi-evergreen forest vegetation in all cases. Mean annual precipitation

146 and temperature range from 1511 to 2353 mm and from 24.1 to 27.3 °C, respectively
 147 (Table 1).



148

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

154

155 Table 1. Characteristics of plots sampled in different tropical forest ecosystems at the
 156 southern Amazon border. FA, fragment area; DE, distance to the forest edge; Prec, total
 157 mean annual precipitation; Temp, mean annual temperature; TB, total above-ground
 158 biomass per hectare; PP, private properties; and CU, conservation unit. In this study, we
 159 used codes ('Plot code') to represent the different types of vegetation: FEP, *floresta*

160 *estacional perenifolia* (seasonal evergreen forest), FTP, *floresta estacional perenifolia*
 161 *em terra preta de índio* (seasonal evergreen forest on anthropogenic black earth); FES,
 162 *floresta estacional semidecidual* (seasonal semi-deciduous forest); FOA, *floresta*
 163 *ombrófila aberta* (open rainforest); and FSI, *floresta sazonalmente inundável*
 164 (seasonally flooded forest). Equivalent forest plot codes are given to indicate
 165 equivalency to those codes used in the ForestPlots.net database (Lopez-Gonzalez et al.
 166 2011) where the data have been deposited.

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

167

168 *Forest fragments*

169 The largest and best preserved regional fragments of mature forests were
 170 selected for the study, using Google Earth imagery in order to capture regional variation
 171 in floristics and physiognomy, and with at least three plots for each forest type. All

172 forest fragments are surrounded by extensive cattle-ranching or soybean fields. The
173 fragments surveyed varied in size from 5 to 45,459 ha (Table 1).

174

175 *Forest structure*

176 In each fragment we established an inventory plot of 1 ha, which was
177 subdivided into 25 contiguous subplots of 20 m x 20 m. The forest plots were
178 established between 2008 and 2016 within the private properties and in conservation
179 units; locations varied between 1 and 5440 m from the nearest edge of the fragment. Six
180 plots were seasonally flooded (Table 1) and occasionally affected by fire; the others
181 have no recent record of fire and were either on anthropogenic black earth (*terra preta*
182 *de índio*), open rain forests, seasonal evergreen forests, or seasonal semi-deciduous
183 forests (Table 1). For this study, we used the latest available censuses between 2013 and
184 2016.

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

195 We measured the diameter of each tree following standard protocols of the
196 RAINFOR network (<http://www.rainfor.org/>). We measured the total height using a
197 Leica DISTO laser measurement device. Data were deposited in the ForestPlots.net
198 forest monitoring database (Lopez-Gonzalez et al. 2011).

199

200 *Habitat fragmentation*

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

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

214 We calculated the percentage of forest cover surrounding each plot using
215 buffers of radius size of 1000 m (314 ha), following recommendations of Rocha-Santos
216 et al. (2016). For this we used the land-based metrics in the Fragstats software, that
217 computes descriptors of forest patch and landscape attributes (McGarigal and Cushman
218 2002).

219

220 *Climate variables*

221 To evaluate the climate effect on the forest structure, we obtained data on 19
222 bioclimatic variables (Table S1) from the *WorldClim* 1.4 database, with a horizontal
223 resolution of ca. 1 km (Hijmans et al. 2005). We also used data from the Tropical
224 Rainfall Monitoring Mission (TRMM) (NASA 2012) to derive the mean of the annual
225 maximum climatological water deficit (MCWD) (Aragão et al. 2007) between January
226 1999 and December 2011, including the droughts of 2005, 2007 and 2010 (Figure S2).
227 To estimate this, we first calculated MCWD for each year, and then took the mean of all
228 years. MCWD was defined as the most negative value of climatological water deficit
229 (precipitation lower than evapotranspiration) among all the months in each year.

230

231 *Data analysis*

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

$$236 \quad \sum AB_i * H_i / \sum AB_i,$$

237 where AB_i is the basal area of an individual and H_i is its height (e.g. Saatchi et al. 2011).

238 To evaluate the $H:D$ relationship, independently of disturbance, such as the damage
239 caused by recently-opened clearings, we excluded from the analyses all trees with
240 broken stems or those with more than 50% of the crown broken off.

241 We also calculated the mean, median, and total biomass of trees per plot.
242 We estimated the biomass (B) based on the Pantropical model revised by Chave et al.
243 (2014), which is derived from the equation in Chave et al. (2005), that is,

$$244 \quad B = 0.0673 \times (\rho D^2 H)^{0.976},$$

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

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

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

263 We evaluated the influence of habitat fragmentation and climatic variables
264 on forest structure using simple correlation and Generalised Linear Models (GLM). We

265 also included in the models the forest type for each forest plot. Simple correlation
266 showed that, six seasonally flooded plots and two plots on anthropogenic black earth
267 were unduly influential, with extreme structure and covarying extreme climatic and
268 fragmentation conditions. To avoid these outliers driving the regional results we
269 excluded them from the GLM and correlation analyses described above.

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

278 We conducted the analyses using SAM 4.0 program (Rangel et al. 2010)
279 and R 2.15.1 (R Core Team 2012). The applied R packages were *vegan* (Oksanen et al.
280 2016), *spdep* (Bivand et al. 2013), *spacemakeR* (Dray 2013), *MuMIn* (Barton 2016) and
281 *packfor* (Dray et al. 2016). We adopted a 5% significance level for all analyses and used
282 999 randomisations for the permutation methods.

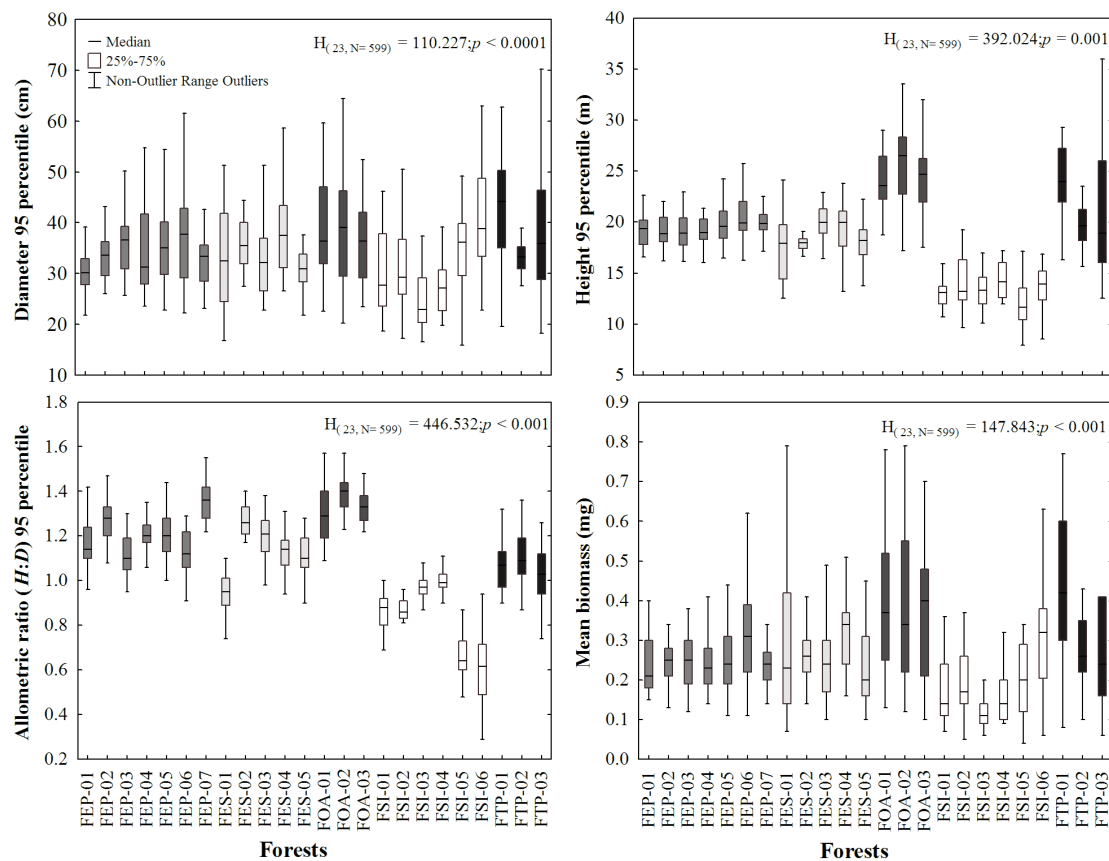
283

284 **Results**

285 *Forest structure*

286 In general, the three open rainforest plots (FOA-01-03), a forest plot on
287 anthropogenic black earth (FTP-01), were significantly taller than the six seasonally
288 flooded forest plots (FSI-01-06), three seasonal semi-deciduous forest (FES-01-02-05)

289 (Figure 2 and Table S6) and like the other 11 forest plots (FEP-01-07; FES-03-04 and
 290 FTP-02-03). The $H:D$ ratio varied in a similar fashion to tree height, with the lowest
 291 ratios (i.e., the lowest heights for a given diameter) being recorded in two of the
 292 seasonally flooded forest plots (FSI-05 and FSI-06). Tree diameter and biomass did not
 293 vary systematically among the plots, except for FSI-03, which had lower diameter and
 294 biomass than the most of others plots (Figure 2).



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

301 ■ = FEP (seasonal evergreen forest), □ = FES (seasonal semi-deciduous forest), □ =
 302 FSI (seasonally flooded forest).

303

304 *Relationship between forest structure, fragmentation and climate variables*

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

312

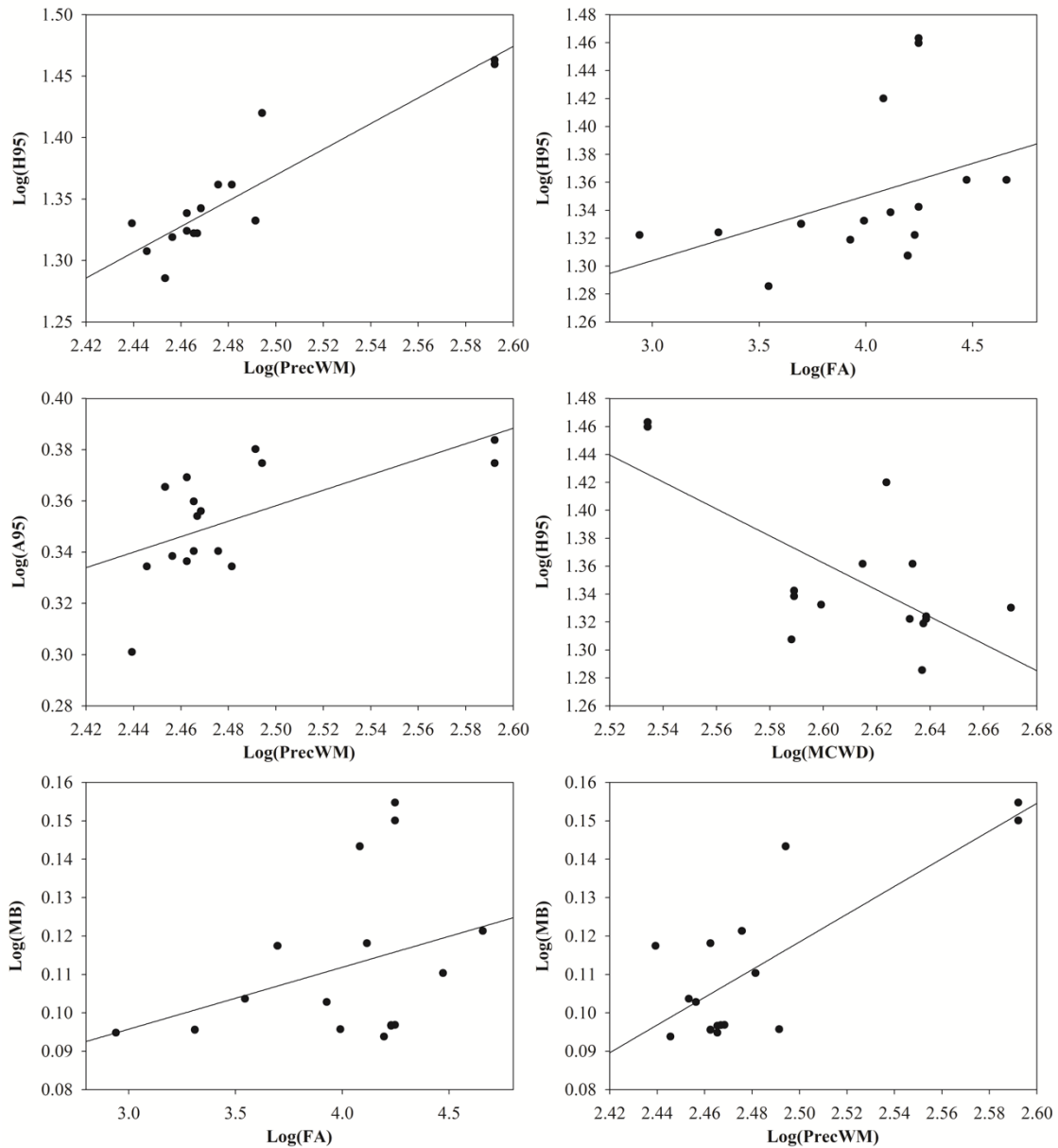
313 Table 2. The relationship between environmental variables and forest structure, using
 314 generalised linear models, of the southern Amazonia forests, Brazil. DE, distance to the
 315 edge; PrecWM, precipitation of wettest month; $H:D$, allometric $H:D$ ratio; FES,
 316 seasonal semi-deciduous forest-plots; FOA, open rainforest-plots. Significant effects (P
 317 ≤ 0.05) are shown in bold type.

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

Mean biomass

Intercept	-0.540	0.166	-3.249	0.007
FES	0.244	0.257	0.949	0.361
FOA	2.291	0.303	7.555	<0.001

318



319

320 Figure 3. Significant ($P \leq 0.05$) relationships between forest structure and climatic and
 321 fragmentation variables of the southern Amazon border forest plots. H95 = height 95
 322 percentile, A95 = allometric ratio ($H:D$) 95 percentile, MB = mean biomass (Mg), FA =

323 fragment area (ha), PrecWM = precipitation of wettest month (mm), MCWD =
324 maximum climatological water deficit (mm).

325

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

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

337

338 **Discussion**

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

346

347 *Structural variability of the forests of the southern Amazon border zone*

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

361

362 *Seasonally flooded forest plots*

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

370 its potential interactions with droughts (Brando et al. 2014), contribute to forest
371 structure here.

372

373 *Response of the forest structure to the fragmentation and climate variables*

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

391 The negative correlation between the cumulative water deficit and tree
392 height may be related to the mortality of the largest individuals during extreme drought
393 events (Phillips et al. 2010). Such droughts have been directly observed in the study

394 region in 2005, 2007, and 2010 (e.g. Brando et al. 2014), and these have indeed tended
395 to kill larger trees (Phillips et al. 2010; Feldpausch et al. 2016), as is often the case with
396 droughts in other tropical forests (Bennett et al. 2015). In Amazonia, recent strong
397 droughts appear also to be a major cause of the recent basin-wide increase in tree
398 mortality rates (Phillips et al. 2009; Brienen et al. 2015). In the near future, more
399 frequent extreme droughts, especially if combined with warming of the Amazon region
400 and thermal peaks in El Niño events such as in 2015-16 (Jiménez-Muñoz et al. 2016),
401 may therefore have profound implications for the forest structure of the southern
402 Amazon border, located as they are in a region that is already naturally close to their
403 distributional and hydraulic limits. In this scenario, large trees are more susceptible to
404 damage to the xylem, which can ultimately result in the death of the plant (e.g. McIntyre
405 et al. 2015) and eventually lead to forests of lower stature (McDowell et al. 2008;
406 Rowland et al. 2015). Trees being smaller in drier areas with greater water deficiency is
407 directly be related to conservative modifications in the hydraulic structure of the plants
408 under hydrological stress to avoid embolism (e.g. Lines et al. 2012, Claeys and Inzé
409 2013). Thus, as have recently argued in both tropical and temperate zone contexts (e.g.
410 Stegen et al. 2011; Banin et al. 2012; McIntyre et al. 2015) it is likely that trees in
411 forests subject either to more extreme climatic events, or to more disturbance (including
412 seasonally flooded habitats), or both, will in general tend to be shorter at a given
413 diameter in order to avoid risks of hydraulic and/or mechanical failure, whereas trees in
414 forests with high rainfall, such as our FOA-01 and FOA-02, will have greater heights
415 and hence greater biomass.

416 Besides the correlation with the climatic variables, both height and the
417 biomass of trees were positively correlated with fragment area. This result may be

418 related to the incidence of wind in smaller fragments which have a higher proportion of
419 forest edge (D'Angelo et al. 2004; Laurance 2004; Haddad et al. 2015). These
420 disturbances are known to be able to generate high mortality, especially of the tallest
421 trees (Laurance et al. 2000; Laurance 2004), and consequently in our dataset such edge-
422 generated disturbances may have affected the height and biomass of trees. Elsewhere,
423 local climatic changes as a result of fragmentation can reduce the density and diversity
424 of species (Mantyka-Pringle et al. 2012). Such effects can also increase the
425 susceptibility of fragmented forest structure and their biota to fire (Laurance and
426 Williamson 2001; Laurance 2004). In the southern Amazon region, these different
427 effects are all likely to be relevant, but clearly further analysis is needed, including long-
428 term monitoring evaluation of the climatic and dynamic processes in these forests.

429

430 **Conclusions**

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

441 guarantee the persistence of these habitats, especially for the smaller fragments and
442 those close to agricultural frontiers.

443

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495

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Supplementary material

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

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

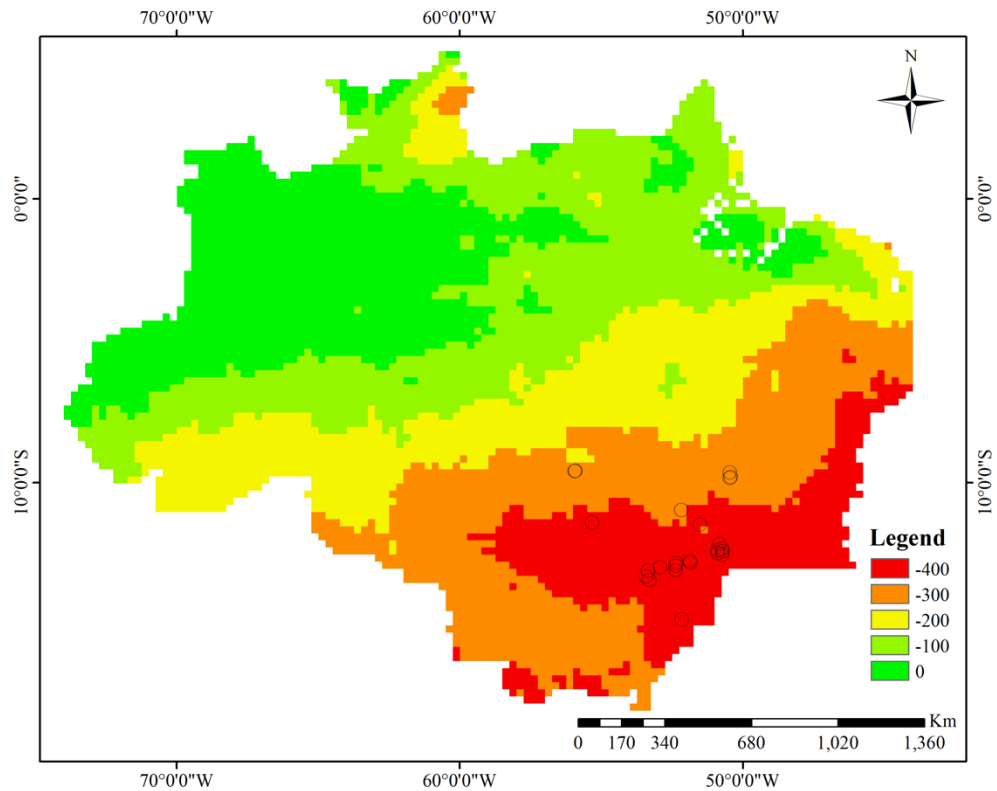


Figure S2. Mean of the maximum climatological water deficit (MCWD) (mm) in the Amazon basin between 1999 and 2011, in the context of the rest of Amazonia. Circles show the forest plots localization.

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

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

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

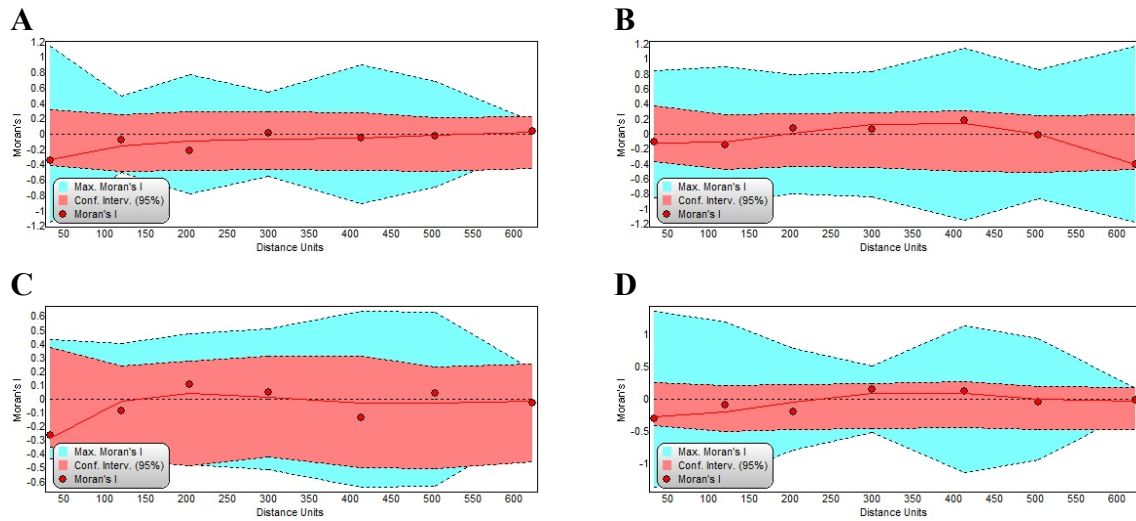


Figure S5. Spatial autocorrelation of the residuals of each model, based in Moran's I index for: A = height, B = diameter, C= allometric ratio ($H:D$), and D = biomass of the forests plots in the southern Amazon border.

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

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

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

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