

1 **Stand dynamics modulate water cycling and mortality risk in droughted tropical forest**

2 Antonio C. L. da Costa<sup>1</sup>, Lucy Rowland<sup>2\*</sup>, Rafael S. Oliveira<sup>3</sup>, Alex A. R. Oliveira<sup>4</sup>, Oliver J.  
3 Binks<sup>5</sup>, Yann Salmon<sup>6</sup>, Steel S. Vasconcelos<sup>7</sup>, João A. S. Junior<sup>1</sup>, Leandro V. Ferreira<sup>4</sup>,  
4 Rafael Poyatos<sup>8,9</sup>, Maurizio Mencuccini<sup>8,10</sup>, Patrick Meir<sup>5,11</sup>

5 \*Corresponding Author: [lrowland@exeter.ac.uk](mailto:lrowland@exeter.ac.uk) (01392 724488)

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7 <sup>1</sup>Instituto de Geosciências, Universidade Federal do Pará, Belém, Brasil

8 <sup>2</sup>Department of Geography, College of Life and Environmental Sciences, University of  
9 Exeter, Exeter, UK.

10 <sup>3</sup> Instituto de Biologia, UNICAMP, Campinas, Brasil

11 <sup>4</sup>Museu Paraense Emílio Goeldi, Belém, Brasil

12 <sup>5</sup> Research School of Biology, Australian National University, Canberra, Australia

13 <sup>6</sup>Department of Physics, University of Helsinki, Helsinki, Finland

14 <sup>7</sup> EMBRAPA Amazônia Oriental, Belém, Brasil

15 <sup>8</sup> CREAM, Campus UAB, Cerdanyola del Vallés 08193, Spain

16 <sup>9</sup>Laboratory of Plant Ecology, Faculty of Bioscience Engineering, Ghent University, Coupure  
17 Links 653, Ghent 9000, Belgium

18 <sup>10</sup> ICREA, Barcelona, Spain

19 <sup>11</sup> School of GeoSciences, University of Edinburgh, Edinburgh, UK

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25 Abstract:

26 Transpiration from the Amazon rainforest generates an essential water source at a global and  
27 local scale. However, changes in rainforest function with climate change can disrupt this  
28 process, causing significant reductions in precipitation across Amazonia, and potentially at a  
29 global scale. We report the only study of forest transpiration following a long-term (>10 year)  
30 experimental drought treatment in Amazonian forest. After 15 years of receiving half the  
31 normal rainfall, drought-related tree mortality caused total forest transpiration to decrease by  
32 30%. However, the surviving droughted trees maintained or increased transpiration because  
33 of reduced competition for water and increased light availability, which is consistent with  
34 increased growth rates. Consequently, the amount of water supplied as rainfall reaching the  
35 soil and directly recycled as transpiration increased to 100%. This value was 25% greater  
36 than for adjacent non-droughted forest. If these drought conditions were accompanied by a  
37 modest increase in temperature (e.g. 1.5°C), water demand would exceed supply, making the  
38 forest more prone to increased tree mortality.

39

40 Introduction

41 In South America, 25-35% of precipitation is estimated to be recycled via repeated  
42 precipitation-evaporation processes as air masses travel west over Amazonian rainforest  
43 (Eltahir and Bras, 1994; Zemp et al., 2014). Up to 70% of the water resources of the  
44 extensive Rio de La Plata basin are dependent on evapotranspiration from Amazonia (van der  
45 Ent et al., 2010). Changes in land cover properties in the Amazon basin can disrupt this  
46 recycling process, potentially causing significant reductions in precipitation both in  
47 Amazonia and regionally to the La Plata basin (Spracklen et al., 2012), with large economic  
48 consequences (Marengo et al., 2016). However, how tropical forest transpiration will respond

49 to future drought and temperature change remains uncertain. Despite the climatological  
50 importance of large gross fluxes of transpiration from the world's tropical rainforests  
51 (Lawrence and Vandecar, 2015; Spracklen et al., 2012), predictions of how water recycling  
52 from tropical rainforest may change with climate, in particular climate extremes, are poorly  
53 constrained by data for this biome (Kume et al., 2011; Restrepo-Coupe et al., 2013). The  
54 frequency and intensity of sub-regional extremes in precipitation and temperature are  
55 predicted to increase this century, leading to increased drought at seasonal, interannual and  
56 decadal timescales (Duffy et al., 2015; Fu et al., 2013). How water use by forests will change  
57 remains unclear. Tropical rainforests generally transpire 30-70% of incoming rainfall  
58 (Kumagai, 2016), but at their climatic margins, where annual rainfall is 1200-1500 mm/yr  
59 (Zelazowski et al., 2011), this value rises to above 90% placing a cap on regional moisture  
60 supply, deep soil recharge and river runoff (Kume et al., 2011; van der Ent et al., 2010).

61 Processes ranging in scale from plant tissue to ecosystem can control how the proportion of  
62 rainfall that is recycled changes in response to drought. For individual trees, long-term  
63 responses may include physiological changes in water use efficiency, turgor regulation and  
64 the sensitivity of xylem hydraulics to cavitation, structural acclimation in new root growth  
65 (Eller et al., 2016; Oliveira et al., 2005), or changes in leaf to sapwood or root area ratios  
66 (Wolfe et al., 2016). These responses can help regulate gross water demand by the canopy,  
67 but ultimately it will be the demographic regulation of stand density via competition for water  
68 that will determine whole-system water use and stability (Meir et al. 2015a).

69 Measurements of sapflux ( $J_s$ ) are a powerful method to understand the annual and seasonal  
70 shifts in forest water use, including the relationship of transpiration to environmental  
71 variables (Eller et al., 2015; Fisher et al., 2007; Poyatos et al., 2013) and the physiological  
72 plasticity associated with stomatal regulation in trees (Martinez-Vilalta et al., 2014). There  
73 are however relatively few reports of continuous sapflux ( $J_s$ ) measurements in tropical

74 rainforest (Fisher et al., 2007; Granier et al., 1996), none of which have been conducted  
75 following long-term drought (>5 years). Studies during long-term drought are essential to  
76 establish whether tropical trees can adjust their water use to drier soils over timescales  
77 approaching those of possible changes in climate. By imposing a reduction in soil water  
78 availability, large scale through-fall exclusion (TFE) provides a unique way to examine the  
79 processes underlying long-term responses to increased deficit in soil water potential, and to  
80 examine how water use and stand-scale water cycling are altered.

81 Here we quantify the effects of a prolonged experimental soil drought on water use as a  
82 proportion of available rainfall by an old-growth tropical rainforest in eastern Amazonia. We  
83 use the world's only long-running tropical forest TFE experiment, at the Caxiuanã National  
84 Forest Reserve, Pará State, Brazil (da Costa et al., 2010; Meir et al., 2015b; Rowland et al.,  
85 2015b), to compare how transpiration and through-fall recycling (the percentage of canopy  
86 through-fall transpired by the forest) are altered between a normal forest and a drought-  
87 treated forest, with the latter having experienced a 50% TFE treatment since 2002. We  
88 previously reported (Rowland et al., 2015a) the loss of about 40% biomass after 14 years  
89 since the TFE started. Because measurements of stand scale transpiration were also available  
90 for the years 2002-2003, i.e., at the start of the experiment, but before the large waves of  
91 mortality occurred, we are also able to determine how total water use and its partitioning  
92 changed in response to changes in stand density and structure.

93

## 94 Materials and Methods

### 95 Site

96 The site is a long-term through-fall exclusion (TFE) experiment located at the Caxiuanã  
97 National Forest Reserve in the eastern Amazon (1°43'S. 51°27'W). The site has a mean

98 rainfall of 2000-2500 mm yr<sup>-1</sup>, a pronounced dry season between June and November  
99 (rainfall <100 mm month<sup>-1</sup>) and is situated on *terra firme* forest, with yellow oxisol soils  
100 (Ruivo and Cuhha, 2003).

101 The TFE experiment consists of two 1 ha plots located on old-growth tropical forest. The  
102 treatment plot (TFE) has been covered with plastic panels and guttering 1-2 m in height since  
103 2002. This structure excludes 50% of the incoming canopy through-fall. A control plot, on  
104 which no rainfall exclusion has taken place, is located <50 m from the TFE. For further  
105 details on the experimental design and results see: da Costa et al., 2010, Meir et al. 2015 and  
106 Rowland et al., 2015. Following 14 years of continuous drought the plot has experienced a  
107 40% loss in biomass (equivalent to 100 Mg C ha<sup>-1</sup>), this loss generated a substantial reduction  
108 in basal and thus sapwood area, a reduction in leaf area index (LAI) and an increase in light  
109 interception in the lower canopy (see Rowland et al., 2015a).

110

111 Meteorological and soil moisture data

112 All meteorological variables were obtained from a weather station situated at the top of a 40  
113 m tower located in the control forest. During the period of 2014-2016 air temperature,  
114 relative humidity, solar radiation and rainfall were monitored half hourly using HC2S3  
115 (Campbell Scientific, Logan, USA), CM3 sensors (Kipp and Zonen, Delft, The Netherlands),  
116 and a tipping bucket rain gauge (TE525MM, Campbell Scientific, Logan, USA) respectively.  
117 Vapour pressure deficit (VPD) was calculated from temperature and relative humidity. Soil  
118 access pits are located in the control and TFE plots. In each soil access pit volumetric soil  
119 water content sensors (CS616, Campbell Scientific, Logan, USA) have been placed at depths  
120 of 0, 0.5, 1, 2.5 and 4 m, to monitor soil moisture every hour (*cf.* Fisher et al., 2007, for full  
121 methodology). Here we use the data collected during 2014-2016, the period during which

122 sapflux ( $J_s$ ) data were collected. Hourly relative extractable water (REW) aggregated across  
123 the first two meters was calculated using the soil moisture data and following the  
124 methodology in Meir et al. 2015. Daily values were calculated using a 30 day running mean  
125 so that the seasonal trend of REW was captured, rather than daily or hourly spikes in soil  
126 water concentrations.

127

#### 128 $J_s$ Data

129  $J_s$  was measured using the heat balance method (Cermak et al., 1973; Cermak et al., 2004;  
130 Kucera et al., 1977) and previously used at the site (Fisher et al., 2007). EMS51 sensors  
131 (Environmental monitoring systems; <http://www.emsbrno.cz>), were used on all trees. The  
132 installation process and functioning of these sensors are described in the supplementary  
133 information. Between November 2014 and December 2016 the EMS51 sensors were  
134 installed on 16 trees in the control plot and 13 trees in the TFE plot. The start date of  
135 sampling varied among trees (see Table S1). Trees for which sensors were installed in 2016  
136 (seven on the control and three on the TFE) were excluded from the upscaling analysis (see  
137 below) on the basis that they had an insufficient data time series. To ensure we could up-scale  
138 with confidence, sensors were strategically placed across trees with a range of diameters at  
139 breast height (DBH) values (15-56 cm) and on common species in the control and TFE plots  
140 known to be both sensitive and resistant to drought stress (see Table S1).

141 Values of  $J_s$  obtained from the EMS51 sensors were always offset from zero as a constant  
142 part of the heat loss from the heated electrodes is conducted into the xylem tissue. To remove  
143 this effect the data were baselined, as performed in other standard sap flux processing  
144 protocols (e.g. Poyatos et al., 2013). To baseline the data, the minimum value of the  $J_s$  for  
145 each night was subtracted from all values for the subsequent day, provided evaporative

146 demand was low (preventing night-time  $J_s$ , VPD < 0.15 kPa). If night-time VPD > 0.15 kPa,  
147 a minimum value was linearly interpolated from the baseline values from surrounding days  
148 using the *approx* function in R (R Core team 2014).

149

#### 150 Gapfilling $J_s$ Data

151 Gaps in the data varied from 0% to 63% (average of 8%) and were generally caused by  
152 power failure or broken sensors. Gaps in the hourly baselined  $J_s$  data since sensor installation  
153 were gap-filled using an autoregressive (AR1) style model, accounting for the autocorrelation  
154 in the data. Firstly, the *boxcox* function in R was used to determine the lambda value to  
155 power transform the  $J_s$  data of each tree (lambda range 0.46-0.84). Secondly, a linear  
156 regression was performed between the power-transformed  $J_s$ , the three independent variables  
157 VPD, radiation, REW and six vectors of the power-transformed  $J_s$  preceding the dependent  
158 variable by one to six hours. We correlated each  $J_s$  data point with the six hourly data points  
159 preceding it, as this was the number required to remove the autocorrelation effect across all  
160 trees (determined using ACF plots). Data from all but one of the trees were gap filled with a  
161 model which had an  $r^2 > 0.90$ ; the mean model fit was  $r^2 = 0.93 \pm 0.07$  (s.e.m.), demonstrating a  
162 very good fit between modelled and measured  $J_s$ .

163

#### 164 Statistical Analysis

165 All statistical analyses of  $J_s$  data were conducted within R 3.0.2 (R Core Team<sup>35</sup>) and all  
166 errors are shown as standard deviation. To compare diurnal responses between plots and  
167 seasons an average diurnal  $J_s$  pattern was calculated for the control and TFE plots, during  
168 peak wet and dry season. Peak wet and dry season were determined as the two months with  
169 the highest (October and November) and lowest (March and April) monthly average VPD.

170 Multiple linear regressions between mean daytime transpiration rate per tree, per plot  
171 (calculated as the average  $J_s$  from all trees per plot) and environmental conditions were fitted  
172 to estimate the most important environmental controls on daily  $J_s$ . Initially VPD or  
173 temperature with radiation, and REW were included in the model and sequentially non-  
174 significant variables were excluded in stepwise linear regressions determined by Akaike's  
175 information criterion. For the TFE the use of a single model across both wet and dry season  
176 was compared to the model fit of using separate wet and dry season models (considering wet  
177 season as Feb-Jul and dry season as Aug-Jan). Two models were most effective on the TFE  
178 (see Results) and the same seasonal modelling approach was followed with the control plot.  
179 The *relaimpo* package in R (Grömping, 2006) was used to calculate the proportion of the  
180 explained variance which was accounted for by each variable retained in each of the final  
181 models.

182 Seasonal relationships of VPD to  $J_s$  were created by fitting a sigmoidal function using the  
183 SSIlogis function in R through average hourly  $J_s$  data for the trees on the control and TFE,  
184 binned by VPD classes. Separate relationships were created for peak wet and dry season and  
185 the data were normalised using the maximum average  $J_s$ , across plots and seasons, to make  
186 the relationships comparable between plots and seasons.

187

188 Scaling  $J_s$  to calculate plot-scale transpiration and its temperature sensitivity

189 Scaling  $J_s$  from the measured trees for the measured periods to plot level at the yearly time  
190 scale involved the following steps in order to properly propagate the sources of uncertainty  
191 deriving from tree-to-tree variability in  $J_s$  as well as uncertainties in the scaling of  $J_s$  with tree  
192 DBH.



193 To obtain a scaling relationship between tree  $J_s$  and DBH, we regressed  $J_s$  data from April-  
194 May 2015 (i.e., peak of wet season and when tree DBH were measured) against DBH. This  
195 allowed us to additionally included data obtained by Fisher et al. (2007; also collected at peak  
196 wet season); all data were obtained using the same measurement method (Environmental  
197 monitoring systems; <http://www.emsbrno.cz>). There was a linear relationship between DBH  
198 and mean daytime  $J_s$ , with an  $r^2$  of 0.39 and  $p < 0.01$  (Fig. S1). This scaling relationship was  
199 assumed on the control and TFE plot based on similarity of  $J_s$  values across the two plots  
200 during the wet season (see Results section), and it was applied to the DBH of all trees on both  
201 plots measured in 2015 (see Rowland et al. 2015a, for further details). To account for the  
202 uncertainty in the parameters of this relationship, 1000 parameter estimates were randomly  
203 generated from the model using the covariance matrix for the intercept and slope. These  
204 parameters were used to create 1000 estimates of average daytime April and May  $J_s$  for all  
205 trees  $> 10$  cm DBH on both plots. The average daytime  $J_s$  values for each tree, for each of the  
206 1000 parameter combinations, were then summed to give 1000 plot-scale estimates of  
207 transpiration for April and May of the measurement years, accounting for the error on our  
208 DBH to  $J_s$  relationship. Following this, a second procedure was employed using similar  
209 principles to propagate uncertainty from 1,000 estimates of the measured April-May data to  
210 the whole year and across the two plots. We employed the best-fit multilinear model per plot,  
211 which described how mean daily  $J_s$  varies with climate variables (see above). Because of the  
212 strong autocorrelation between VPD, RH and air temperature, only the best regressor among  
213 these three was finally employed in the upscaling procedure (see supplementary information  
214 for further details). Besides the two estimates for the Control and TFE plots, a third estimate  
215 of plot-scale transpiration was generated by applying the estimated  $J_s$  from the multiple  
216 regression models of Control to the standing biomass of TFE. This estimate gives downscaled  
217 values of transpiration on Control with the effect of the loss in basal area on the TFE imposed

218 on Control, and the changes in transpiration rates with environmental variables remaining  
219 equal to those on Control.

220 To estimate the effects of increasing temperatures on plot scale transpiration, the 1000 model  
221 coefficients from above were re-run with temperature, relative humidity and VPD altered  
222 according to a 1.5, 2, 3, 4, and 5°C increases in mean air temperature. We emphasise that the  
223 purpose of these temperature rise scenarios is not for future prediction, but to estimate the  
224 effects of long-term drought on the sensitivity of the forest to other changes in climate. The  
225 scaling procedure was then repeated as above. The transpiration rates at each temperature  
226 level were then compared to the canopy through-fall received by each plot assuming a canopy  
227 storage term of 21.5% on the control plot, as measured at the site in 2008 (Oliveira et al.,  
228 2008; and within the ranges of canopy storage terms measured across other Amazonian  
229 forests (Czikowsky and Fitzjarrald, 2009)). On the TFE we scaled down this estimate of  
230 canopy storage to 18.1% (Oliveira et al., 2008), in proportion with the leaf area index  
231 measured in TFE relative to Control (See Rowland et al., 2015a), assuming that canopy  
232 interception decreases proportionally with leaf area. The analysis was also repeated using a  
233 canopy storage term of 12% (Czikowsky and Fitzjarrald, 2009) to account for uncertainty in  
234 throughfall resulting from differences in LAI across plots (see sensitivity to canopy  
235 interception term section). Also we would expect it to provide a lower limit to the sensitivity  
236 in TFE because of fewer interception surfaces in TFE (i.e., lower LAI and biomass; Rowland  
237 et al., 2015a). However due to an inability to accurately estimate LAI on a per tree basis,  
238 which may have changed over time due to the treatment effect and due to the likely increase  
239 in atmospheric coupling on the drought relative to the control plot due to increasing mortality  
240 over time, we were not able to accurately scale sapflux according to leaf area to estimate  
241 differences in leaf level conductance between the plots (e.g. Eller et al., 2015).

242

## 243 Results

244 During the study period (November 2014-December 2016) there were strong seasonal  
245 changes in relative extractable water (REW), precipitation and moderate seasonal changes in  
246 vapour pressure deficit (VPD) at our study site (Fig. 1). An El Niño event took place across  
247 Amazonia in 2015-16, but had limited distinctive influence on climate drivers at our site,  
248 which is demonstrated by the El Niño year not creating substantial climate anomalies relative  
249 to previous years (Fig. S2). Therefore considering 2015 to represent standard climatological  
250 conditions, we find average transpiration is  $1389 \pm 279$  (s.d.)  $\text{mm yr}^{-1}$  on the control forest  
251 plot. On the TFE forest plot a transpiration rate of  $964 \pm 245$  (s.d.)  $\text{mm yr}^{-1}$  in response to the  
252 50% experimental reduction in throughfall was observed; this represents a 30% decline in  
253 transpiration relative to the control. Transpiration therefore comprised 75% (s.d. range = 60-  
254 90%) of canopy through-fall on the control, compared to 101% (s.d. range = 75-127%) on the  
255 TFE (Fig. 2). These estimates of through-fall recycling at Caxiuanã are similar to the mean  
256 values previously quantified at the start of the TFE treatment for the years 2002-3 using  
257 updated estimates for canopy interception for the plots (59-71% and 78-103%, control and  
258 TFE, respectively, Fig. 2). These estimates are robust to assumptions made regarding the  
259 magnitude of canopy rainfall interception as a proportion of total rainfall and to differences in  
260 canopy storage caused by different values of leaf area index across plots (see Supplementary  
261 Table 2).

262 Relative to the control, we observed changes in the transpiration rates of trees on the TFE  
263 (Fig. 3). However, there was only a 5% difference between 2015 transpiration on the TFE  
264 and the transpiration expected if estimates from the control were downscaled to reflect the  
265 40% reduction in biomass and related basal area which occurred between 2002 and 2015  
266 (Fig. 2). This small reduction by low dry season transpiration was countered with higher wet  
267 season transpiration on the TFE (Fig.3). Increased seasonality in TFE transpiration meant that

268 daytime  $J_s$  was modelled more effectively using a separate multiple regression model for dry  
269 (Aug-Jan) and wet (Feb-Jul) season on the TFE ( $r^2$  dry = 0.60,  $r^2$  wet = 0.69,  $r^2$  whole year =  
270 0.61, all  $p$  values <0.01). Dry season variation in transpiration on TFE was explained mostly  
271 by REW (44%) and radiation (47%). During the wet season, radiation explained 60% of the  
272 variance, VPD 33% and REW 7%. On the control plot air temperature (32%) and radiation  
273 (67%) controlled dry season transpiration ( $r^2=0.81$ ) and radiation (65%) and VPD (35%)  
274 were the most important for controlling wet season fluxes ( $r^2=0.72$ ).

275 The reduced dry season transpiration flux on the TFE (Fig. 3) was caused by substantially  
276 lower peak daytime (11am-4pm) fluxes in the dry season (Fig 4b) compared to the wet  
277 season. In contrast, the control plot maintained higher  $J_s$  throughout the day in the dry season  
278 relative to the wet (Fig. 4a), suggesting low REW constrained  $J_s$  during periods of high  
279 atmospheric demand on the TFE. The REW constraint resulted in an altered relationship  
280 between  $J_s$  and VPD in the dry season on the TFE, contrasting with the wet season  
281 relationship, which was similar to that observed on the control (Fig. 5). However, this  
282 increased seasonality had a limited effect on plot-scale reductions in transpiration relative to  
283 the effect of the loss of biomass and related basal area and active sapwood area (Fig. 2 & 3).

284 Using the multivariate linear models which specified how  $J_s$  varied with environmental  
285 conditions on the control and TFE plots (see Methods), we explored how transpiration would  
286 vary on both plots if an increase in mean temperature of 1.5-5 °C and the resultant increases  
287 in VPD were imposed, assuming all else remained equal. The increase in absolute  
288 transpiration with a 5 °C increase in temperature was greater on the control than the TFE, but  
289 was proportionally similar (20%, Fig. 6a). However, the TFE would risk exceeding the  
290 imposed canopy through-fall supply even at the lowest temperature rise tested (1.5 °C, Fig.  
291 6a). In contrast, even with a 5 °C rise in temperature, the control forest only reaches a  
292 through-fall recycling rate of 91% for transpiration, still below that of the TFE within the

293 current climate. In addition, both control and TFE recycle >100% of the water they receive  
294 between July-December (dry season) under current climate (Fig. 6b), with this value  
295 increasing substantially with a 5 °C rise in temperature (Fig. 6c). Under the current climate,  
296 between July and October the TFE forest transpires more than 6 times the precipitation it  
297 receives and this rises to almost 8 times with a 5 °C rise in temperature, creating a  
298 substantially greater imbalance between transpiration and precipitation (Fig 6b-c).

## 299 Discussion

300 Until now the long-term responses of water use in a tropical forest exposed to soil drought  
301 stress have not been studied. With new sapflow data spanning a two-year period we are able  
302 to demonstrate that the 40% loss of forest biomass observed on the TFE (Rowland et al  
303 2015a) resulted in a 30% reduction in total forest transpiration. We are also able to  
304 demonstrate for the first time that the surviving trees are able to maintain or increase their  
305 transpiration rate on a per-tree basis, causing 100% of the available rainfall received by the  
306 droughted forest to be used for transpiration. Furthermore we demonstrate that if such  
307 drought conditions were combined with a mild temperature rise, further tree mortality would  
308 be inevitable, as forest water demand would substantially exceed supply over an annual and  
309 multi-annual timescale.

310 Our estimates of transpiration rates and through-fall recycling rates (Fig. 2, Table S2) are  
311 consistent with previous measurements and modelling at this old-growth rainforest site  
312 (Carswell et al., 2002; Fisher et al., 2007). They suggest a remarkably constant water flux  
313 partitioning over the 15 years of the experiment, despite a substantial shift in forest structure  
314 because of high mortality in the TFE-treated plot. The increase in the recycling rate to 100%  
315 on the TFE suggests that a high sensitivity by the trees to atmospheric demand for water is  
316 maintained even following long-term drought. Our data suggest that drought-induced

317 mortality of the tallest trees changed stand water use patterns, facilitating greater growth  
318 competition in the lower canopy, thereby maintaining very high levels of through-fall  
319 recycling on the TFE. This is consistent with the observation (Rowland et al. 2015a) that  
320 small- and medium-sized trees increased their growth rates after mortality of the taller trees,  
321 by responding plastically to increased light availability in the lower canopy. This hypothesis  
322 is also consistent with current hydraulic theory, which suggests that trees will continue to  
323 compete for, and use up, a limited water supply, provided the advantages accrued from the  
324 related carbon gain exceeds the cost of hydraulic damage (Sperry and Love, 2015; Wolf,  
325 2016). Plastic reductions in water use as REW declines from wet to dry season on the TFE  
326 are likely to only partially alleviate the water stress (Fig. 3 & 4), which would be substantial  
327 during climate extremes, and would impose increased tree mortality risk. The intense  
328 regrowth by small-to-medium diameter trees (Rowland et al., 2015a) is therefore likely to be  
329 the primary driver maintaining through-fall recycling at the high levels seen in 2002-03.

330 Following the mortality of the largest trees, competitive release of small-to-medium diameter  
331 trees considerably elevated wet season stem growth on the TFE (Rowland et al., 2015a). As  
332 transpiration accompanies photosynthesis and responds to increased radiation availability, it  
333 is possible that the TFE trees have acclimated, with elevated water use in the wet season to  
334 maximise growth, and restricted growth in the dry season (Figs. 2-3), thus explaining the  
335 increased seasonality in transpiration observed on the TFE (Fig. 1). Our sample size prevents  
336 us from examining whether sap flux from small-to-medium diameter trees increased relative  
337 to large trees. Comparison of sap flux values and canopy through-fall in 2002/03 with those  
338 in 2015 provides indirect confirmation of similar levels of competition for water following  
339 mortality-related release on TFE. Yearly stand-scale sap flow values on the TFE were  
340 estimated as 953 and 805 mm in 2002/03 vs 945 mm in 2015 (Table S2). Therefore, despite a  
341 40% biomass reduction, water use remained similar over time on a per unit ground area, but

342 increased on a tree-level basis on the TFE, due to having fewer trees per unit ground area.  
343 However, we note that our LAI measurements estimate only about a 12-20% reduction in leaf  
344 area on the TFE relative to Control (see Rowland et al 2015a), significantly lower than our  
345 estimate of a 30% reduction in transpiration. Measurements of LAI in complex multi-layered  
346 canopies are notoriously challenging (Breda, 2003) and these difficulties may explain the  
347 discrepancy between the two estimates.

348 A shift from radiation and air temperature controlling dry season transpiration on the control  
349 plot, to REW and radiation controlling it on the TFE suggests that trees on the TFE adjusted  
350 to limit water use during the dry season when REW was low. The strong controlling  
351 influence of REW on dry season transpiration on the TFE, but not the control plot suggests  
352 low REW restricts dry season transpiration and is most likely linked to significant hydraulic  
353 stress as water demand approaches or exceeds supply on seasonal time-scales (Fig. 6).  
354 Relative to Control, the TFE forest maintains higher through-fall recycling rates also in the  
355 wet season (January to June) when precipitation levels are substantially elevated (Fig 6b-c),  
356 resulting in a reduced capacity to recover from dry season water stress. Given predicted  
357 changes in VPD, and thus leaf water potential, combined with lower soil water potentials,  
358 under some future climate scenarios, there is potential that trees could rapidly be pushed  
359 beyond their species-specific hydraulic safety margins (the difference between normally-  
360 occurring minimum xylem pressures, and those causing damage to xylem tissues and  
361 restricting water transport), potentially causing xylem embolism (Sperry and Love, 2015;  
362 Sperry et al., 2016) and/or leaf loss, with the ultimate risk of increased drought-induced  
363 mortality. Furthermore, as total annual tropical forest water use approaches total soil water  
364 supply, the likelihood of hydraulic damage occurring in the xylem becomes greater. This is  
365 particularly the case for large canopy-top trees, which are exposed to greater variability and  
366 extremes in VPD, high air temperatures, and larger xylem tensions (Bennett et al., 2015;

367 McDowell and Allen, 2015), which together have been hypothesised to lead to a series of  
368 processes causing drought-induced mortality (Anderegg et al., 2016; McDowell and Allen,  
369 2015; Mecuccini et al., 2015; Rowland et al., 2015a; Sperry et al., 2016; Wolfe et al., 2016).

370 In future climate scenarios, areas of tropical forest experiencing drought stress are also likely  
371 to experience increases in temperature well beyond the moderate levels of 1.5-2 °C  
372 (Christensen et al., 2013; Duffy et al., 2015; Fu et al., 2013; Sanderson et al., 2016). Using a  
373 novel modelling approach, we demonstrate here that a forest exposed to long term drought is  
374 far more likely to have transpiration demand exceed supply than a non-droughted forest (Fig.  
375 6). This is driven mostly by transpiration rates exceeding precipitation supply in the dry  
376 season by up to eight times in a droughted forest simultaneously experiencing temperature-  
377 driven rises in VPD, as would be expected during natural drought. This puts a very large  
378 strain on soil water supply, which the non-droughted forest can easily buffer, due to the  
379 higher overall wet season recharge of soil water from higher precipitation. Without this re-  
380 charge we demonstrate that even a very moderate rise in temperature necessitates tree  
381 mortality in order to balance transpiration demand and soil water supply. Although a 50%  
382 decline in canopy through-fall on a 10 year time-scale is unlikely within current climate  
383 projections, reductions of up to 50% are predicted across parts Amazonia, in a range of recent  
384 climate scenario analyses (Christensen et al., 2013, Duffy et al., 2015). This result thus has  
385 strong implications for future climate change and carbon cycle feedback predictions, as it  
386 suggests that tropical trees will maintain substantial transpiration fluxes even in the face of  
387 drought and rising VPD, and that the forest appears to maintain a similar water balance  
388 through the process of tree mortality.

389 The overall picture emerging from these results is that compensation processes acting at  
390 tissue, tree and stand level have maintained the high levels of through-fall recycling on the  
391 TFE-treated forest over more than a decade. While high mortality tended to reduce levels of



392 competition for water, the mortality-related growth release for small-to-medium sized trees  
393 tended to increase it. Additional processes, such as acclimation in leaf:sapwood and leaf:root  
394 ratios could also have affected competition for water. Estimated through-fall recycling rates  
395 are already at approximately 100% on the TFE after 15 years of reduced soil moisture  
396 availability, suggesting that further demands for water can only be facilitated by additional  
397 tree mortality. As recycling rates are already >100% in the dry season, even in un-droughted  
398 forest, it suggests that rainforest trees must rely on soil (and likely internal) water storage to  
399 carry them through to the next wet season, potentially limiting their capacity to maintain  
400 carbon uptake, whilst simultaneously also elevating their mortality risk. If the effects of our  
401 50% rainfall reduction, or indeed a similar reduction in basal area imposed by widespread  
402 logging, were to occur at a large scale, even the minimum increase in atmospheric  
403 temperature which is now deemed unavoidable in the coming century would imply severely  
404 reduced deep soil water recharge and runoff, and increased tree mortality risk. The potential  
405 implications for regional economies, water supply and climate-carbon cycle feedbacks are  
406 substantial.

407

408

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418

## 419 Figure Captions

420 Figure 1: Meteorological data for the Caxiuanã site during the sapflux measurement period.

421 In panel (a), precipitation ( $\text{mm day}^{-1}$ ) is shown as grey bars alongside average daily relative  
422 extractable water (REW) integrated across three meters soil depth for the control plot  
423 continuous black line) and TFE plot (dashed grey line). Panel (b) shows average daily air  
424 temperature ( $^{\circ}\text{C}$ , grey line) and average daily VPD (kPa, black line).

425

426 Figure 2: How transpiration per year (red arrows), canopy through-fall per year (blue arrows)  
427 and annual through-fall recycling rate (% circular black arrows) change on the control (a, c)  
428 and TFE (indicated by panel structure b, d) plots from 2002-3 (a, b) to 2015 (c, d). The  
429 diagram depicts the change in above ground biomass and the shift in forest structure which  
430 occurred during the full experimental period because of tree mortality on the TFE.

431

432 Figure 3: Daily transpiration ( $\text{mm day}^{-1}$ ) from December 2014 - July 2016 for the control plot  
433 (black line), the TFE (dashed black line), and the estimated transpiration flux from the control  
434 plot if its values were downscaled to reflect only the effect of basal area loss on the TFE plot  
435 (dashed grey line). Grey shaded area shows the standard error on the estimates calculated  
436 using a bootstrapping technique (see Methods).

437

438 Figure 4: Average diurnal  $J_s$  patterns normalised using seasonal maxima per tree during peak  
439 wet (March and April, solid black line) and peak dry season (October and November, solid  
440 grey line) for trees on control (a.), and TFE (b.). The black dashed line shows the peak wet  
441 minus the peak dry season response for each panel and the grey shaded area shows the  
442 standard error.

443

444 Figure 5: Optimised sigmoidal relationships between  $J_s$  and VPD for trees on the control (C,  
445 a. & c.) and TFE (b. & d.) plot in peak dry and peak wet season.  $J_s$  is binned by VPD and  
446 normalised by max hourly  $J_s$  per year to make relationships comparable across plots and  
447 season.

448

449 Figure 6: The effect of increasing temperature on annual transpiration fluxes for control (C)  
450 and TFE (a.), under current temperature climate (T, year 2015 used) and under the climate of  
451 this year + 1.5, 2, 3, 4, and 5°C, accounting for temperature-driven changes in relative  
452 humidity and vapour pressure deficit. Dashed lines (a.) indicate the rainfall reaching the  
453 forest floor on control (black) and TFE (grey). Rainfall reaching the forest floor is estimated  
454 from rainfall minus a canopy interception estimate of 21.5% (see Methods). Panel b. and c.  
455 show the % of seasonal through-fall recycled as transpiration during the four quarters of the  
456 year, under the current climate (b.) and with a 5 °C increase in temperature (c.). Solid lines in  
457 b. and c. indicate 100%, where transpiration exceeds the rainfall reaching the soil. Error bars  
458 show the standard deviation across the 100 estimates made of each scenario (see Methods).

459

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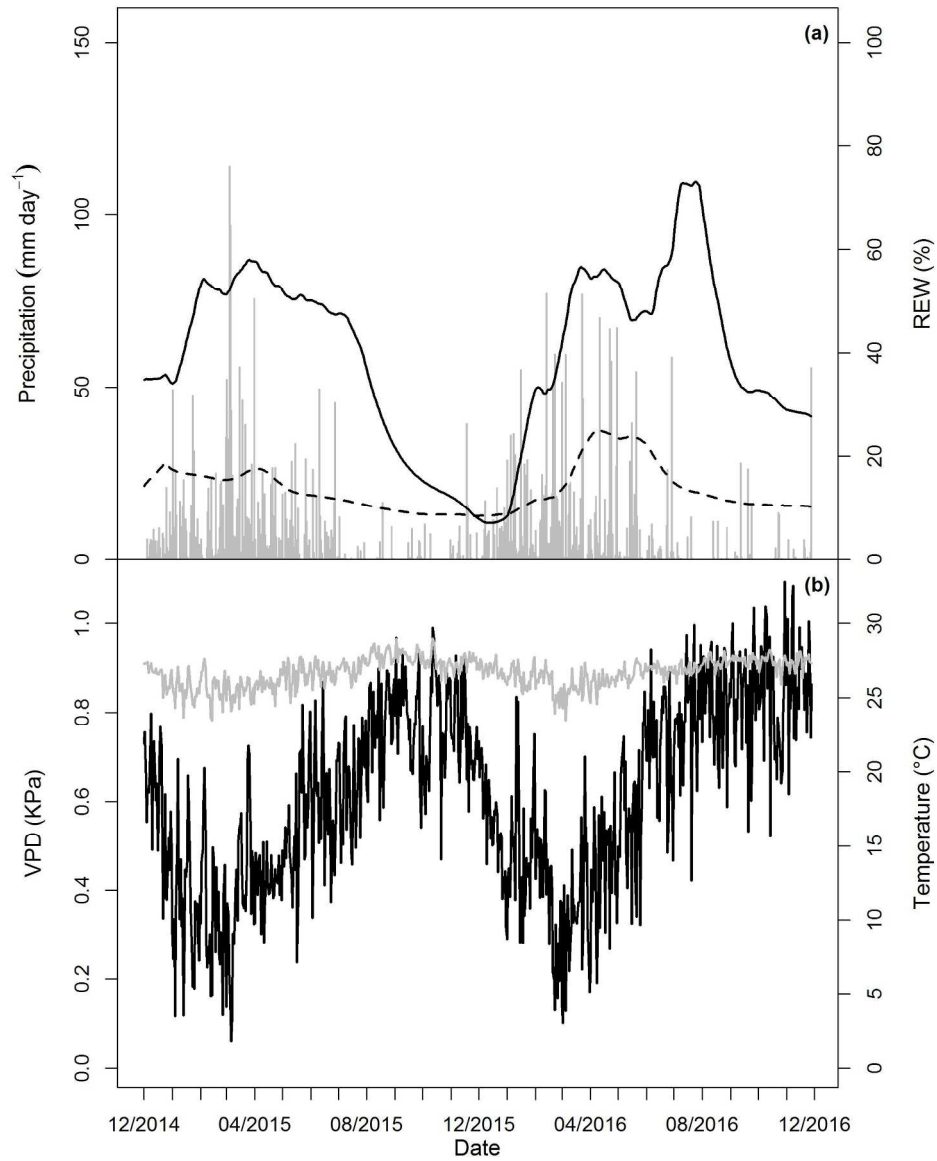


Figure 1: Meteorological data for the Caxiuanã site during the sapflux measurement period. In panel (a), precipitation (mm day<sup>-1</sup>) is shown as grey bars alongside average daily relative extractable water (REW) integrated across three meters soil depth for the control plot (continuous black line) and TFE plot (dashed grey line). Panel (b) shows average daily air temperature (°C, grey line) and average daily VPD (kPa, black line).

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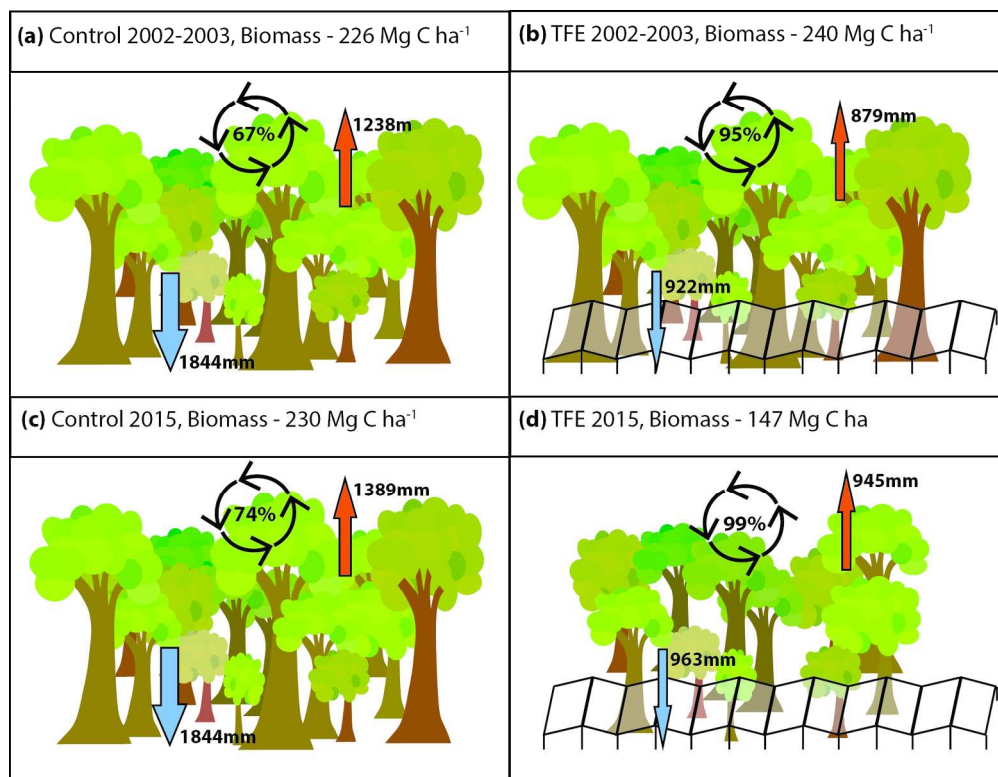


Figure 2: How transpiration per year (red arrows), canopy through-fall per year (blue arrows) and annual through-fall recycling rate (% circular black arrows) change on the control (a, c) and TFE (indicated by panel structure b, d) plots from 2002-3 (a, b) to 2015 (c, d). The diagram depicts the change in above ground biomass and the shift in forest structure which occurred during the full experimental period because of tree mortality on the TFE.

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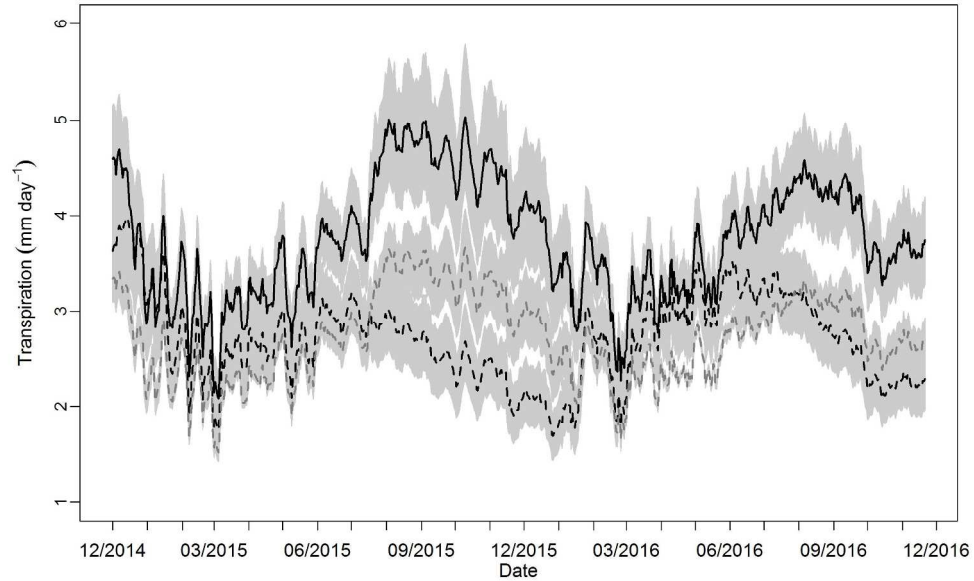


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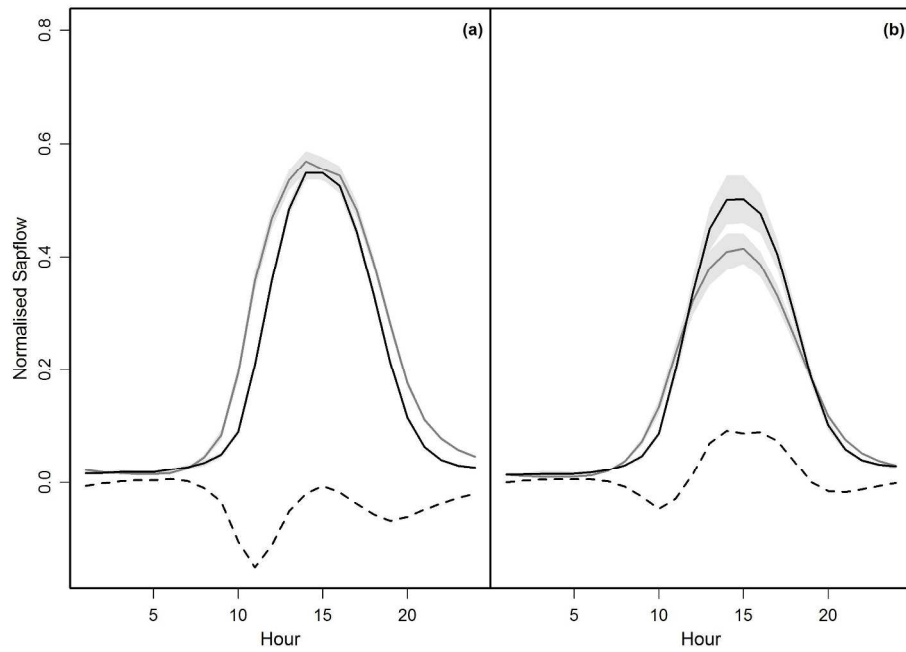


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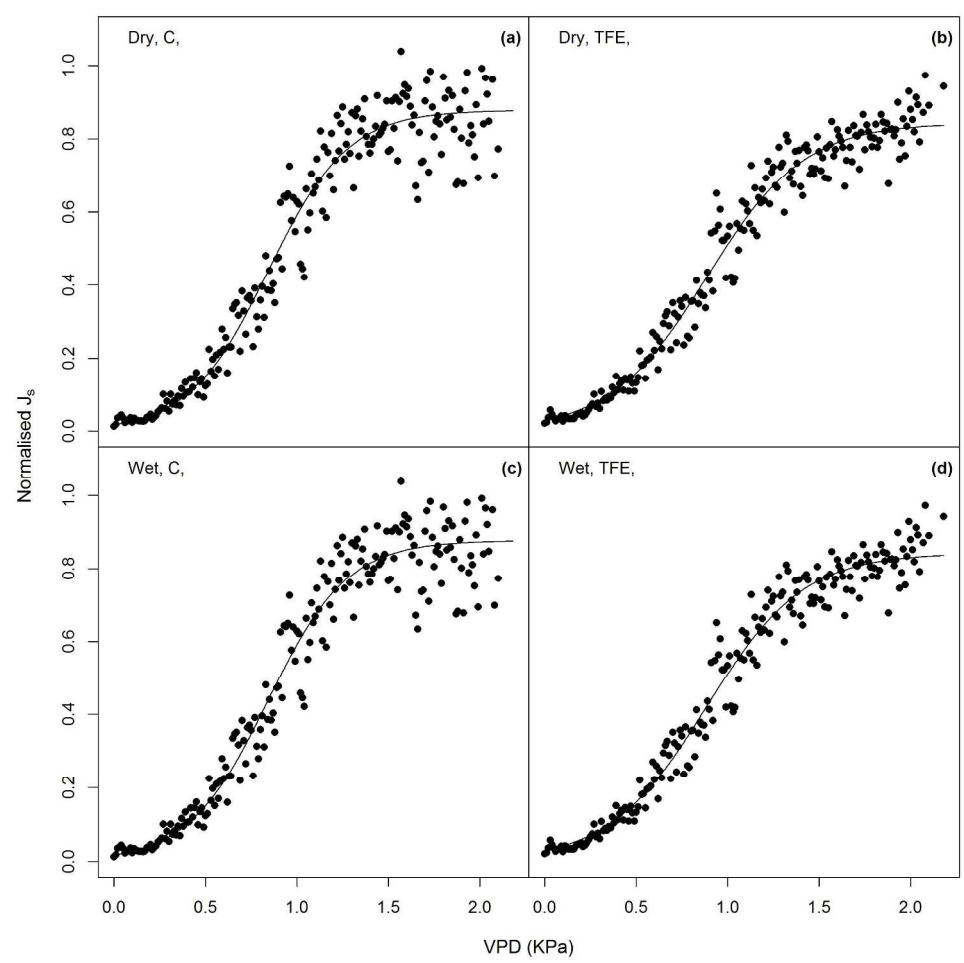


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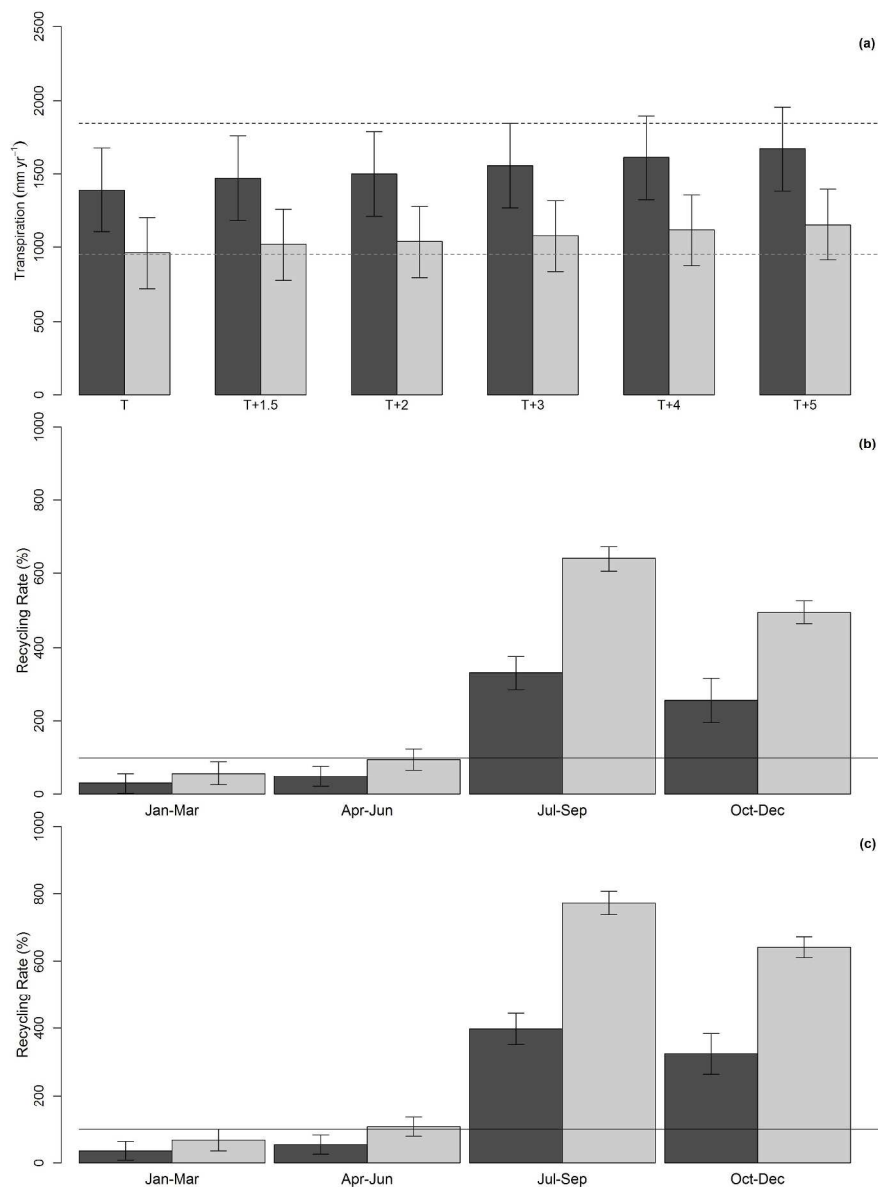


Figure 6: The effect of increasing temperature on annual transpiration fluxes for control (C) and TFE (a.), under current temperature climate (T, year 2015 used) and under the climate of this year + 1.5, 2, 3, 4, and 5 °C, accounting for temperature-driven changes in relative humidity and vapour pressure deficit. Dashed lines (a.) indicate the rainfall reaching the forest floor on control (black) and TFE (grey). Rainfall reaching the forest floor is estimated from rainfall minus a canopy interception estimate of 21.5% (see Methods). Panel b. and c. show the % of seasonal through-fall recycled as transpiration during the four quarters of the year, under the current climate (b.) and with a 5 °C increase in temperature (c.). Solid lines in b. and c. indicate 100%, where transpiration exceeds the rainfall reaching the soil. Error bars show the standard deviation across the 100 estimates made of each scenario (see Methods).

304x381mm (300 x 300 DPI)