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1 **Environmental Impact Assessments of the Three Gorges Project**
2 **in China: Issues and Interventions**

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20 **Abstract:** The paper takes China's authoritative Environmental Impact Statement for
21 the Yangzi Three Gorges Project (TGP) in 1992 as a benchmark against which to
22 evaluate emerging major environmental outcomes since the initial impoundment of the
23 Three Gorges reservoir in 2003. The paper particularly examines five crucial
24 environmental aspects and associated causal factors. The five domains include human
25 resettlement and the carrying capacity of local environments (especially land), water
26 quality, reservoir sedimentation and downstream riverbed erosion, soil erosion, and
27 seismic activity and geological hazards. Lessons from the environmental impact
28 assessments of the TGP are: (1) Hydro project planning needs to take place at a
29 broader scale, and a strategic environmental assessment at a broader scale is necessary
30 in advance of individual environmental impact assessments; (2) National policy and
31 planning adjustments need to react quickly to the impact changes of large projects; (3)
32 Long-term environmental monitoring systems and joint operations with other large
33 projects in the upstream areas of a river basin should be established, and the
34 cross-impacts of climate change on projects and possible impacts of projects on
35 regional or local climate considered.

36 **Key Words:** Environmental Impact Assessment; Three Gorges Project; Human
37 Displacement and Environmental Carrying Capacity; Water Quality; Reservoir
38 Sedimentation and Downstream Riverbed Erosion; Seismic Activity

39 **1 Introduction**

40 Development and climate change mitigation and adaptation projects increasingly
41 involve large-scale infrastructure projects (e.g., hydropower, irrigation and water
42 transfer projects). This is particularly the case in China (National Development and
43 Reform Commission, 2007a, 2007b, 2010) and other developing countries (Pottinger,
44 2008; Millikan, 2010; Pittock, 2010). Such projects are growing in their potential to
45 displace massive numbers of people and will continue to yield a range of
46 environmental consequences in the affected countries or regions in the near future
47 (United Nations Environmental Program, 2007; Cernea, 2008). Large infrastructure
48 projects are only approved subject to impact assessments, which estimate possible
49 negative environmental and social impacts on affected communities and populations
50 (especially resettlement of people to be displaced), and propose strategies for
51 minimizing the adverse impacts. Despite this, issues of complexity and uncertainty,
52 conflicts of interest, and problems with accountability can mean that impact
53 assessments fall short of their potential to estimate, and mitigate, the most crucial
54 impacts on affected areas and people.

55 The Three Gorges Project (TGP) on the Yangzi River is the world's largest
56 hydroelectric power project. The TGP began in 1993 and was completed in 2009. This
57 project however has been one of the most controversial projects in China due to its
58 sheer scale and the consequent environmental and social issues. Baseline
59 environmental, demographic, and social impact assessments of the TGP were
60 completed by the Environment Impact Assessment Department of the Chinese

61 Academy of Science (EIADCAS) and the Research Institute for Protection of Yangzi
62 Water Resources (RIPYWR) in 1992 and reported in the publication titled
63 *Environmental Impact Statement for the Yangzi Three Gorges Project* (EIS Report
64 hereafter) (EIADCAS and RIPYWR, 1995). The EIS Report has been employed by the
65 Chinese government at all levels as an authoritative guideline for TGP policy and plans.
66 Since the Three Gorges reservoir began filling with water to 135m in 2003, some new
67 environmental consequences have emerged and captured the attention of researchers
68 and environmental activists around the world (e.g., Wu et al., 2003; Stone, 2008, 2011;
69 Gleick, 2009; Tullos, 2009; Fu et al., 2010). Contentious environmental issues
70 surrounding the TGP have centered on water quality (Yang et al., 2007; Bi et al., 2010),
71 fishery (Duan et al., 2009; Gao et al., 2010), sedimentation and downstream riverbed
72 erosion (Yang et al., 2006; Lu et al., 2011), reservoir-induced seismicity and geological
73 instability (Wang et al., 2004; Guo et al., 2007), and the human displacement and
74 carrying capacity of the environment in the reservoir area (Tan 2008; Xu et al., 2011a).
75 The Chinese Academy of Engineering (CAE) completed the *Staged Assessment Report*
76 *of the Three Gorges Project* (CAE Report hereafter) commissioned by the State
77 Council Three Gorges Project Construction Committee Executive Office in 2010
78 (Staged Assessment Group of CAE, 2010). The CAE Report has systematically
79 assessed the impacts of the TGP with a particular focus on 10 environmental
80 dimensions with respect to the EIS Report. As the CAE Report has political
81 ramifications and there are limitations in the observed data used for the assessment, it
82 is not surprising to find bias in its results. Such bias relates particularly to ecological

83 and environmental impact issues such as water quality in the reservoir area and
84 riverbed erosion downstream in the Yangzi. Recently, the Chinese central government
85 has addressed critical problems associated with the TGP, including pollution, silt
86 accumulation, ecological deterioration, and geological hazards in the vicinity of the
87 Three Gorges Dam (Qiu, 2011). It is thus imperative to have increased understanding
88 of a set of crucial environmental outcomes associated with the TGP. The present paper
89 seeks to make a contribution in this area.

90 The paper takes the EIS Report as a benchmark against which to evaluate major
91 environmental outcomes since the initial impoundment of the Three Gorges reservoir
92 in 2003. It begins by briefly reviewing the environmental issues predicted in the EIS
93 Report. It then examines five domains of the environment on which the TGP has
94 impacted significantly and explores the outcomes. The five domains include human
95 resettlement and the carrying capacity of the environments (especially land), water
96 quality, reservoir sedimentation and downstream riverbed erosion, soil erosion, and
97 seismic activity and geological hazards. It concludes with a discussion of the lessons
98 that can be learned from the environmental impact assessment research and experience
99 of the TGP and the policy implications for project design, evaluation, and management
100 of large dams and other forms of large infrastructure projects in China and in other
101 parts of the world.

102 **2 General Environmental Impact of the TGP**

103 Fourteen environmental issues are considered in this section comparing their
104 actual state since 2003 and the likely consequences as estimated by the EIS Report

105 (Table 1). Strikingly, the actual results of six environmental domains were
106 underestimated in the EIS Report. These include eutrophication, reservoir bank
107 stability, four major domestic fish species, downstream riverbed erosion, the impact on
108 Lake Boyang, and the magnitude of human displacement and the related carrying
109 capacity of the environment in the Three Gorges Reservoir Area (TGRA, shaded in
110 grey in Fig. 1). The scale of both reservoir sedimentation and soil erosion in the
111 reservoir area was overestimated, while the remaining six domains are more-or-less
112 consistent with the estimated consequences in the EIS Report. There are also some
113 divergences between the findings of recent studies and the CAE Report, which
114 concluded that the environmental issues and their impacts primarily fall into the range
115 of the estimates of the EIS Report (Staged Assessment Group of CAE, 2010).

116 Due to the short time horizon after the ultimate impoundment of the Three Gorges
117 reservoir (filling to 175m normal pool mark) in 2009 and limited availability of
118 monitoring data, some ecological and environmental consequences might not yet have
119 surfaced. Nevertheless, a few new ecological and environmental problems have
120 emerged and urgently need countermeasures to solve. Such problems involve
121 eutrophication and algal blooms in the reservoir area, dramatic reduction of four major
122 domestic fish species, severe downstream riverbed erosion, and apparent declines of
123 water levels in Lake Dongting and Lake Boyang (the two largest fresh water lakes in
124 China). Moreover, the cross-effects between global climate change and the possible
125 impact of the TGP on regional or local climate make it difficult to distinguish the
126 impact of the TGP itself. However, it is clear that the hydroelectricity generated by the

127 TGP reduced carbon emissions from 2003 to 2010 by 406.7 million tons (Mt),
128 compared to an equivalent amount of coal fired power. This is the equivalent of 0.84
129 percentage points of the total greenhouse gas (GHG) emission reduction of China over
130 the same time (Wu et al., 2011). The extreme droughts in 2006 and 2011 triggered a
131 hot debate on the impact of the TGP on the lakes of Dongting and Boyang (Kent, 2011;
132 Mo, 2011; Liu et al., 2012; Zhang et al., 2012). Long-term monitoring and scientific
133 research on relevant ecological and environmental issues are of particular importance
134 and need to be strengthened. The environmental impact of the TGP should be assessed
135 using a greater temporal and spatial scale, and it should consider the impact of global
136 climate change on the biophysical environments of the TGRA and the Yangzi River
137 Basin.

138 **[Table 1 about here]**

139 **3 Crucial Environmental Outcomes of the TGP**

140 **3.1 Human Displacement and Environmental Carrying Capacity**

141 Human displacement and the carrying capacity of the environment (especially
142 land) in the TGRA has been a vital issue from the initial feasibility study of the TGP in
143 the mid-1980s throughout the building of the Dam and up until today. It was planned
144 that some 1.13 million people were to be displaced and resettled locally in the reservoir
145 area, and that there was a potential capacity to accommodate the majority of people to
146 be displaced within their own county (EIADCAS and RIPPYWR, 1995). In fact,
147 approximately 1.25 million people were displaced over a 16-year period to the end of
148 2008 (SCTGPCCEO, 2010). Of these, about 190,000 rural residents (or 15% of the

149 total) were displaced and resettled in 11 provinces via ‘government-organized distant
150 resettlement’ (GODR) schemes, including Shanghai, Zhejiang, Jiangsu, Fujian,
151 Guangdong, Hunan, Anhui, Jiangxi, Sichuan, Chongqing and Hubei. The increased
152 number of resettlers (120,000 persons) was mainly influenced by three factors as
153 follows.

154 First, the natural population growth rate in some counties of the TGRA was
155 greater than 1.2% per annum, which was assumed in the EIS Report as its estimation
156 of population to be affected. The directly affected populations (DAP, i.e., people whose
157 land and houses were submerged by the reservoir) estimated in the field surveys in
158 1985 and 1992 were 725,500 and 847,500, respectively. In the event, the actual number
159 of urban residents and rural people increased from 322,900 and 332,600 in 1985 to
160 496,200 and 350,000 in 1992, respectively. Using the baseline data for the DAP in
161 1985 and the assumed average growth rate (1.2%), the estimated DAP (788,680) in
162 1992 was 58,820 less than the actual DAP. One causal factor was that rural people
163 displaced from hillsides between the 135m and 175m water level marks had a higher
164 growth rate than the growth rate assumed by the EIS Report. By the end of 2009, the
165 actual number of rural people displaced from hillsides at the 135-156m and 156-175m
166 water level marks in the Chongqing reservoir section amounted to 183,113 and
167 185,113, respectively. These were far more than the original estimated numbers
168 (102,397 and 149,169) of resettlers in these areas (Chongqing Municipal Bureau of
169 Statistics, 2011). Clearly, the assumed average annual population growth rate (1.2%) in
170 the EIS Report did not reflect the demographic trends in the TGRA rightly. This was

171 especially the case for the major resettlement-related counties of Wanzhou, Yunyang
172 and Fengjie (located in the lower part of the Chongqing reservoir section) where local
173 residents were disproportionately affected by the TGP.

174 Second, the extensive sprawl of newly built cities and towns and the
175 improvements in urban housing standards increased the demand for farmland to be
176 expropriated for urban expansion, thereby reducing the availability of land to
177 accommodate rural residents to be displaced. The expanded area of new cities and
178 towns totaled 54.95 km² (47.53 km² in Chongqing and 7.42 km² in Hubei) and 14.35
179 km² (11.39 km² in Chongqing and 2.96 km² in Hubei), respectively, by 2010. In other
180 words, the built area in the cities was expanded by 18.6% and in townships by 25.9%,
181 compared to the resettlement planning in the EIS Report. Moreover, the housing area
182 of urban residents is 25m² per capita, 10m² larger than that before the population
183 displacement (Staged Assessment Group of CAE, 2010). Due to expropriation of
184 farmland from the peri-urban areas, 28,938 farmers lost their land and were resettled in
185 the urban areas.

186 Third, 6,453 residents previously residing on some islands, which formed from
187 the inundation of low lying lands to the reservoir, were resettled. This group of the
188 displaced was not considered in the EIS Report. About 124 islands have formed since
189 the lands were submerged to the 175m water level of the reservoir, according to the
190 Island Development Planning of the Three Gorges Project in 2006. Most of the
191 islanders residing on 103 islands were displaced and resettled locally, in combination
192 with ecological rehabilitation schemes implemented on the islands (Guo et al., 2010).

193 The human carrying capacity of the environment in the TGRA is a key factor in
194 devising resettlement policies and schemes. The human carrying capacity in the EIS
195 Report was estimated based on a set of assumptions about the agricultural production
196 grounded on a self-reliant food (especially grain) provision system in the region, the
197 maximum population that local land resources can support, the capacity of secondary
198 and tertiary industries to absorb rural migrants, and the number of farmers that would
199 be willing to transfer their agricultural status to urban resident status. The EIS Report
200 stated that the reservoir area had an adequate capacity to accommodate all resettlers
201 and that most of rural people could be resettled within their original townships.
202 Specifically, the EIS Report optimistically estimated that the carrying capacity of the
203 land in the rural areas could support 1 million rural resettlers, while 0.37 million
204 people could be resettled in the secondary and tertiary industry sectors. A huge amount
205 of cropland (684.9 km²) was inundated by the reservoir from 1995 to 2007.
206 Resettlement of the displaced rural and urban residents and urban relocation have taken,
207 724.9 km² of paddy field land, even though there was a small increase (40.0 km²) in
208 newly developed dry land farming areas (Staged Assessment Group of CAE, 2010). In
209 spite of per capita landholding of farmers slightly increasing from 1992 (0.099 ha) to
210 2007 (0.102 ha), both the soil fertility and the productivity of the newly cultivated
211 cropland (mainly converted from dry land on steep slopes) are inferior to those of
212 paddy fields lost. This has resulted in a further reduction of the land carrying capacity
213 in the region. This overestimation has caused the displacement of about 190,000 rural
214 residents to be resettled in 11 provinces via GODR schemes during the 2000-2008

215 period. The lack of the human carrying capacity of the local environments and high
216 environmental vulnerability in the region after the devastating floods occurring in the
217 Yangzi River Basin in 1998 caused the Beijing government since 2000 to shift its
218 resettlement policy from “near resettlement” only to encouraging distant resettlement.
219 Based on an ecological footprint model, the CAE projected that the suitable population
220 in the TGRA should be 17.7 million in 1994, 15.96 million in 2003, and 15.84 million
221 in 2006. Compared to the actual populations in the TGRA, there would have been a
222 surplus carrying capacity for 350,000 persons in 1994, but a shortage of carrying
223 capacity of 1.32 million in 2003 and 1.64 million in 2006 (Staged Assessment Group of
224 CAE, 2010). Clearly, the human carrying capacity of local environments was overly
225 estimated in the EIS Report. This overestimation was mainly influenced by four factors
226 as follows.

227 First, the area designated for resettling the displaced people involved 361 towns,
228 encompassing an area of 12,300 km². In practice, however, only 245 towns with 5,700
229 km² below the elevation of 600m above the sea were considered in the resettlement
230 planning. Second, the prohibition of cultivating farmland on steep slopes with a
231 gradient of 25 degrees or greater (a national environmental policy commenced in 1998)
232 led to a reduction of 129.7 km² of unfarmed grassland, which could be developed as
233 sloping land, directly reducing the carrying capacity of the land. Consequently, 77,800
234 rural residents could not be resettled in the agricultural sector in terms of the threshold
235 (0.17ha) of land needed to resettle a farmer. The ongoing implementation of this
236 national ‘Grain to Green’ program has reduced the provision of arable land and

237 associated carrying capacity. A great deal of sloping cropland (1,020 km²) was
238 converted to forest or grassland from 1993 to 2008. Another 2,900 km² of farmland on
239 steep slopes is also planned to be returned to forest or grassland by 2020
240 (TGPEEMSIMC, 2009). Third, rapid urbanization in the reservoir area has taken a
241 large amount of cropland for urban construction. Urban land area increased by 398 km²
242 from 1992 to 2007, of which 83% was converted from cropland. Urbanization was one
243 of the key drivers of cropland reduction in the reservoir area, contributing to 44% of
244 total reduced cropland (TGPEEMSIMC, 2009; Zhang et al., 2011). Lastly, only
245 113,500 people (accounting for 30.8% of the planned total) were resettled in the local
246 secondary and tertiary industry sectors as the development of township-owned
247 enterprises did not achieve the expected prosperity (Staged Assessment Group of CAE,
248 2010).

249 The discrepancy between the estimated number of people to be displaced and the
250 actual population displaced was considered acceptable (10%) in the Chinese context.
251 The tolerance level of discrepancy, set up by the Water Resources and Hydropower
252 Reservoir Inundation Treatment Design and Planning in China (SD130-84), is $\pm 10\%$
253 (Staged Assessment Group of CAE, 2010). With such a gigantic resettlement as the
254 TGP it is difficult to predict the exact population to be resettled and the exact carrying
255 capacity of the environment in the reservoir area. The concept of “human carrying
256 capacity” and associated methods used for predictions of the carrying capacity in the
257 EIS Report are problematic in practice. This concept and estimating methodologies
258 could not capture significant effects of a range of other factors that can influence both

259 demand for and supply of food to feed the growing population in the TGRA. Key
260 factors include demographic change, economic growth, urbanization, industrialization,
261 structural change, environmental change and constraints of local resources, change in
262 consumption, and change in food markets (locally, nationally, and internationally).

263 To respond to the unanticipated growth of resettler populations and the
264 inadequacy of the environmental carrying capacity, the Chinese central government
265 made a couple of adjustments to the TGP resettlement policy in 1999. The first,
266 commencing in 2000, involved a shift from a policy of settling rural residents to uphill
267 sites within the TGRA to motivating more rural people to move to more distant
268 resettlement destinations. The second adjustment, commencing in 2001, related to the
269 policy on relocation of industrial enterprises in the reservoir area, shifting from simply
270 re-establishing them at a location to restructuring and merging small and non-profitable
271 enterprises. The two adjustments to the resettlement policy marked a turning point in
272 the process of the TGP resettlement, and played an important role to mitigate the
273 adverse impacts of a huge resettlement program on the local ecological environment
274 (Xu et al., 2011a). However, the resettlement implementing plan was not adjusted until
275 2007, when 14,000 more resettlers were added. By 2007 over 200,000 rural residents,
276 some of whom were resettlers produced by the TGP, still lived in the vulnerable
277 environments near the 175m shoreline of the reservoir, and needed to be relocated
278 again (Liang, 2007). In response, the central government introduced the *Follow-up*
279 *Comprehensive Planning of the Three Gorges Project* in 2011. More than RMB 85
280 billion yuan (USD 1 = RMB 6.14 yuan as of May 11, 2013) were to be invested to

281 promote social and economic development, to create jobs in the reservoir area, and to
282 subsidize the resettlers to get basic asset and medical insurances (Chinese News Net,
283 2011). Another strategy was to pilot an ecological migration program in the Chongqing
284 reservoir section, particularly the counties of Wushan, Fengjie, Wuxi and Yunyang.
285 This migration program aimed to move people out of the ecologically vulnerable areas
286 in order to rehabilitate the degraded environments and lift people out of poverty. It was
287 planned that about 100,000 people would be resettled via ecological resettlement
288 schemes in the four years up to 2013 (21st Century Economic Report, 2009).

289 **3.2 Water Quality**

290 Water quality is a crucial factor influencing water supply and safety for all
291 residents and sustainable development in the reservoir area. Increased pollutant
292 concentration and slowing velocity of water flows in some bays of the reservoir have
293 resulted in eutrophication since the initial impoundment of the reservoir in 2003.
294 Although the scale and severity were underestimated, this environmental consequence
295 was correctly predicted by the EIS Report. Eutrophication has become a prominent
296 environmental event since an algae bloom flourished in the Xiangxi River (a primary
297 tributary of the Yangzi River) in June 2003. Observed data on water quality across six
298 sections of the Yangzi show that water quality in the main course of the Yangzi has
299 remained stable and in good condition since 2003 (Fig. 2) (Yang et al, 2009; Ministry
300 of Environmental Protection, 2012). Nevertheless, there is a great risk of worsening
301 water quality, dropping from level II to level III, and even to level IV in some years.

302 **[Fig. 2 about here]**

303 The water quality in over 38 small tributaries (each with a watershed area larger
304 than 100 km²) has declined dramatically since 2003. The proportions of the river
305 segments with water quality at levels II and III dropped from 56% and 33% in 2003 to
306 14% and 29% by 2008, respectively. The proportion of the river segments with water
307 quality at level IV increased dramatically from 11% to 43% over the same time. In
308 some areas, water quality even dropped to level V after 2008. The proportion (90%) of
309 the river segments between levels of I-III from March to October in 2010 increased by
310 110% compared to the corresponding proportion in 2008, and the river segments with
311 water quality at level V or worse has continued to decline (Fig. 3) (Ministry of
312 Environmental Protection, 2012). As a result, the proportion of river sections
313 experiencing eutrophication increased from 16% in 2007 to 34% in 2010. Moreover,
314 the frequency of algal bloom events in the reservoir area is tending to increase,
315 changing from 3 events in 2003 to 26 events in 2010 (Fig. 3), and the scope of water
316 body affected by eutrophication is widening (Yang et al, 2009). Although there have
317 been fluctuations in the frequency of algal blooms in some years, many authoritative
318 research institutes including the Ministry of Environmental Protection (MEP), the
319 Chinese Academy of Engineering (CAE) and the Chinese Academy of Science (CAS),
320 have come to a consensus that the eutrophication in the reservoir area is a significant
321 issue and thus needs close attention (Yang et al., 2009; Staged Assessment Group of
322 CAE, 2010; MEPPRC, 2012). The underestimated eutrophication in the reservoir area
323 could be a major weakness of the EIS Report.

324 **[Fig.3 about here]**

325 The incidence of algal blooms in the reservoir area relates to slowing tributary
326 flows caused by the dam impoundment, which has transformed the hydrological
327 characteristics of the water body from a river to lake-like bays in the reservoir and the
328 backwater areas of the tributaries (Yang et al., 2009; Fu et al., 2010). Pollutants from
329 the upstream Yangzi have also had a significant impact on the water quality in the
330 TGRA. The EIS Report downplayed this effect (Staged Assessment Group of CAE,
331 2010). Chongqing municipality (with 10 million population) residing beyond the
332 TGRA) and Sichuan province (with 81 million population), located in the upper
333 streams of the Yangzi, generated 1,204 Mt of industrial sewage (133Mt and 1,071 Mt
334 respectively) and 1,282 Mt of residential sewage (214Mt and 1,068 Mt respectively) in
335 2010. These figures are 2.8 times and 1.1 times greater than the corresponding total
336 amounts of sewage produced in the TGRA, respectively (Chongqing Municipal Bureau
337 of Statistics, 2011; Sichuan Provincial Bureau of Statistics, 2011). Both Chongqing and
338 Sichuan have used the Yangzi as a means of exporting their wastes. Moreover,
339 pollutants in the reservoir have not been reduced due to extensive industrial expansion,
340 rapid urbanization and increasing living standards. Rather, total emissions of sewages,
341 COD (chemical oxygen demand) and $\text{NH}_3\text{-N}$ increased (ammonia nitrogen) by 22.1%,
342 14.9% and 7.9% from 2000 to 2005, respectively (Yang et al., 2009). The worsening
343 water quality is further exacerbated by land-use change driven by local economic
344 development and human resettlement (Yang et al., 2009; Ye et al., 2009; Xu et al.,
345 2011a).

346 The underestimated eutrophication in the reservoir area was also caused partly by

347 a lack of understanding of the mechanisms and risks of algal blooms appearing in
348 reservoirs. Historically, no vital algal blooms broke out in the TGRA or in any other
349 large lakes (e.g., Lake Taihu) throughout China in the 1980s. The risk of algal blooms
350 in China did not attract sufficient concern until the water crisis induced by algal
351 blooms in Wuxi city of the Lake Taihu Basin in 2007 (refer to Fig. 1). Globally, there
352 was no eutrophication observed among the existing large dams after the reservoirs
353 began to fill water, such as the Aswan High Dam in Egypt (White, 1988) and Itaipu
354 Dam in Brazil (Huang et al., 2006). The Chinese government has budgeted RMB 22.8
355 billion yuan from the *Water Pollution Prevention Plan for the Three Gorges Reservoir*
356 *and the Upper Reaches of the Yangzi River (Revised)*, to improve the water quality and
357 reverse eutrophication. As a result of implementing this Plan, there was a reduction of
358 0.22 Mt of COD and 26,000 tons of NH₃-N per annum from domestic sewages
359 and industrial discharges in 2010, accounting for 16.1% and 22.6% of the emissions of
360 total COD and NH₃-N in the region in 2005, respectively (Ministry of Environmental
361 Protection, 2008).

362 **3.3 Reservoir Sedimentation and Downstream Riverbed Erosion**

363 Reservoir sedimentation determines the water holding capacity of the Dam and its
364 lifespan. The inflows of water and sediments in the reservoir are primarily
365 concentrated in the flood season (May to September). The sedimentation regime is also
366 related to the operating mode of the reservoir, by which clean water during the dry
367 season (October to April) is stored and muddy water during the flooding season is shed.
368 The process of scouring and silting was anticipated to reach a balance after 100 years

369 of service of the Dam by 2109; and after that about 86% of the flood storage and 92%
370 of the controllable storage could still remain effective (EIADCAS and RIPPYWR,
371 1995). In 2003-2007, sediment averaged 142 Mt per year, which was equivalent to 40%
372 of the estimated 355 Mt per year in the EIS Report (Sedimentation Panel of the TGP,
373 2008; Yang et al., 2009). The latest monitored data for the 2008-2010 period, at the
374 175m pool level, shows that the sedimentation exhibits a gentle upward trend (on
375 average 176 Mt per year), and that the peak of sedimentation appeared in the
376 backwater section of the reservoir (Lu et al., 2011). Sedimentation in the reservoir is
377 still much less than the estimate of the early environmental impact assessments.

378 This huge discrepancy is closely associated with a reduced inflowing amount of
379 sediments from the upper reaches of the Yangzi River. This reduction (by 59% of the
380 sediment volume in the 1960s) is mainly attributed to a number of national
381 environmental projects that have been carried out in the upper Yangzi and in the
382 reservoir area since the late 1990s. These include the Soil and Water Conservation
383 (SWC) program in the upper reaches of the Yangzi River (started in 1988), Grain to
384 Green Project (GGP), Natural Forest Protection (NFP), and Forest Protection in the
385 Upper Yangzi River (FPUYR) (Yang et al., 2009). In addition, a series of large
386 hydropower projects (e.g., Bikou, Baozhusi) have been constructed in the upper Yangzi
387 and these have intercepted the vast majority of sediments from the primary tributaries
388 of the Jialing River flowing to the Yangzi (refer to Fig. 1). China's ambitious
389 hydropower cascade development in the upper Yangzi River in the next decade has
390 gained momentum accelerated by China's climate change mitigation and adaptation

391 plans. In *China's Policy and Actions to Adapt to Climate Change* and in the *National*
392 *Plans for Renewable Energy in the Medium- and Long-Term Future of China*, the
393 Chinese government firmly states that developing hydropower (and other forms of
394 renewable energy) is a crucial strategy for adapting to climate change (NDRC 2007a,
395 2007b). The hotspot areas of hydropower development include the catchments of rivers
396 of Wu, Jinsha, Yalong, Dadu, Jialing and Min (refer to Fig. 1) (Huang and Chen, 2006;
397 YWRC, 2009; Cai, 2011). Nine large-scale hydropower projects will be implemented
398 in the next two decades. The ongoing Xiluodu and Xiangjiaba mega hydropower
399 projects (planned to be completed in 2015) in the Jinsha River are two of them (refer to
400 Fig. 1). On completion they will become the second and third largest hydropower
401 stations in China, with electricity generating capacities of on average 57.12 billion
402 KWh and 30.75 billion KWh per annum, respectively. These two large dams will
403 further curtail the sedimentation in the upper reaches of the Yangzi flowing to the
404 Three Gorges reservoir.

405 Downstream riverbed erosion impacts not only on the embankment stability of the
406 Yangzi but also on the interaction between the Yangzi and China's mega lakes,
407 including Boyang and Dongting in the middle reaches of the Yangzi (refer to Fig. 1).
408 The balance between erosion and sedimentation across the mid-reaches of the Yangzi
409 (stretching 955km from Yichang city to Hukou city) has been upset, shifting from an
410 approximate balance to net erosion since 2003 (Fig. 1). This is evidenced by average
411 total erosion of 108.8 million m³ from October 2002 to October 2010, or at an intensity
412 of 13,927 m³/km² per annum. Such erosion peaks across the segment of the Yangzi

413 from Yichang city to Zhicheng city, accounting for nearly two thirds (64%) of the
414 overall erosion in the Yangzi (Lu et al., 2011). Both the volume and severity of
415 river-course erosion since 2003 have been greater (by 115.9%) than the observed
416 average (6.3 million m³ per annum) in 1975-2002, and also greater (by 54.5%) than the
417 estimate of the EIS Report (average 8.8 million m³ per annum in the first ten years of
418 operation of the TGP commencing in 2009). Again, the impact on downstream riverbed
419 erosion in the EIS Report was underestimated significantly.

420 Tremendous riverbed erosion is primarily a mixed result of three forces. First,
421 intercepting sediment and discharging clear water since the initial impoundment of the
422 reservoir has enhanced the scouring ability of water on the mid- and down-stream river
423 banks. Second, reduced sediment from the upper Yangzi has significantly curbed
424 sediments downstream of the Dam. Third, extensively mining river sand by human
425 beings alongside the Yangzi has exacerbated the process of river-course erosion (Yang
426 et al., 2007; Sedimentation Panel of the TGP, 2008).

427 Severe riverbed erosion has caused unexpected downstream bank collapse (Yang
428 et al., 2009). According to the statistics of the Bureau of Hydrology, Yangzi Water
429 Resources Commission, on average, 19 bank collapses (stretching 10 km long)
430 occurred in the Jingjiang section of the middle Yangzi each year in 2001-2003. By
431 contrast, a total of 124 bank collapses occurred in 2003-2007, stretching 31.7 km long
432 on average per year (21st Century Economic Report, 2011). Moreover, bank collapse
433 not only occurs in the midstream of the Dam but also has expanded to the downstream
434 Yangzi. For example, 76 bank collapses (with a total length of 418 km) happened along

435 the lower section of the Yangzi and within Anhui province from 2003 to 2009 (Liu,
436 2010).

437 Decreasing sedimentation and serious downstream riverbed erosion has
438 dramatically influenced the lake-river interrelationship between the Yangzi and lakes
439 of Dongting and Boyang (Gong and Yang, 2009; Yang et al., 2009), the nutrient
440 circulation (Hu et al., 2009), and the degradation of the aquatic ecosystems in the
441 TGRA, the middle stretches of the Yangzi (Wu et al., 2004; Stone, 2008; Fu et al.,
442 2010) and the estuary of the Yangzi River. The latter three effects are not unusual as
443 such environmental outcomes have been already observed in other large dams of the
444 world, e.g., Glen Canyon Dam (Melis et al., 2011) and another 137 dams in America
445 (Graf, 2006), increasing nutrients and estuary degradation in the Nile (White, 1988)
446 and Guadiana estuary (Morales et al., 2006). The impact of the Three Gorges Dam on
447 Lake Boyang was not addressed in the EIS Report, as it considered the impact of
448 discharge of reservoir water from January to May only. Zhang et al. (2012) stated that
449 the new flow regime of the Yangzi downstream of the Dam has intensified the
450 fluctuation of water levels between wet and dry seasons in Lake Boyang. The water
451 level of the lake remains particularly low during the dry period from late summer to
452 autumn. Liu et al. (2012) argued that extreme droughts in Lake Boyang from 2000 to
453 2010 were mainly caused by significant declines of water supply from the upper
454 streams of the Boyang Lake Basin, and that the hydrological change in the Yangzi
455 River, mediated by the dam, aggravated the deficiency of water inflows to the
456 lakeBoyang. Yet the extent of corresponding impact of the two factors needs to be

457 further studied based on a longer term of monitoring data.

458 Sedimentation in the Three Gorges reservoir can be expected to be less than the
459 estimated extent of the EIS Report in the next decades. Nevertheless, the downstream
460 riverbed erosion and its effects on riverbank stability, lake-river interactions, and the
461 evolution of the aquatic and estuary ecosystems will have greater uncertainties. Hence
462 particular attention should be paid to monitoring and scientific studies addressing the
463 impact of decreasing sedimentation and severe downstream riverbed erosion. Prototype
464 observation of sediments and environmentally friendly dam operation are some good
465 practices in point (Fu et al., 2010; Lu et al., 2011).

466 The central government policy on the issue of sedimentation has changed
467 significantly. The government has acknowledged the adverse impact of the Dam on the
468 mid- and down-streams of the Yangzi, officially and for first time in the Executive
469 Meeting of the State Council on May 18, 2011, and subsequently approved the
470 *Follow-up Comprehensive Plan of the Three Gorges Project (2010-2020)*. The country
471 is implementing a complementary project to stabilize the river regime, to reinforce
472 embankments, and to improve waterways and water facilities. China's ecological
473 rehabilitation programs will be sustained to improve the environment and protect
474 biodiversity. Monitoring and scientific studies on the joint operational management of
475 the major reservoirs in the upper Yangzi will be a priority (Chinese News Net, 2011). A
476 key scientific research project titled *Lake-River Relationship Evolution and Its
477 Environmental and Ecological Effects and Regulation in the Middle Reaches of the
478 Yangzi River*, funded by the Ministry of Science and Technology under the National

479 Key Basic Research Development Program (namely ‘973 Program’), was undertaken
480 by CAS in 2012 to investigate the mechanism of the lake-river interaction, evolving
481 characteristics and environmental effects. The implementation of the Plan and the
482 scientific research Project can be expected to identify solutions for jointly regulating
483 the operating modes of the major reservoirs in the upper Yangzi to mitigate, or greatly
484 reduce, the inflows of sediments to the Three Gorges reservoir.

485 **3.4 Seismic Activity and Geological Hazards**

486 Large dams, e.g., Kariba Dam in Zimbabwe (Talwani, 1997), Glen Canyon Dam
487 in the US (Ivan, 2000) and Aswan High Dam in Egypt (Deif et al., 2009), can induce
488 seismic risks when they are filled with water as the pressure on faults underneath the
489 earth heightens. The Three Gorges Dam is located in a region where the seismic
490 condition is weak although no major fault exists in the reservoir area. The EIS Report
491 has pointed out that there would be no geological condition that can generate strong
492 reservoir-induced seismicity but there would be a possibility of induced seismicity in
493 some areas. For example, there would be a possibility of induced seismicity within the
494 zone of the Xiannüshan-Jiuwanxi fault (18km upstream of the Dam site), at a
495 magnitude ranging from 5.0 to 5.8 on the Richter scale. The biggest seismicity
496 recorded in the Three Gorges region was at magnitude about 5.0 on the Richter scale,
497 which would not have a direct effect on the Dam’s major structure, designed to resist
498 seismicity at magnitude 7 on the Richter scale (EIADCAS and RIPPYWR, 1995).

499 The frequency of reservoir-induced seismic activity in the TGRA has increased
500 since 2003 (Table 2). The frequency of seismic activity has a significant positive

501 correlation with the water level of the reservoir. About 1,964 earthquakes occurred in
502 2009, increasing by 32.2 times on the 2002 level. Annual average frequency over the
503 2003-2009 period increased by 45.2 fold, compared to the incidences from 1959 to
504 May 31, 2003. Moreover, annual average frequencies across a spectrum of earthquake
505 magnitudes in 2003-2009 were all higher than those before 2003. However, the
506 intensity of the majority of seismic events (96.1%) since 2003 has been smaller than
507 2.0 Richter scale. About 36 seismic events were above 3.0 Richter scale magnitude
508 (with the largest recorded earthquake at magnitude 4.9) since 2003 and were felt by
509 local residents. The reservoir-induced seismicity of the Dam presents a high frequency
510 and low intensity pattern, which is almost consistent with the anticipation of the EIS
511 Report.

512 **[Table 2 about here]**

513 However the risk of secondary geological disasters such as landslides and
514 mud-stone flows in the peripheral areas nearby both banks of the Three Gorges with
515 steep slopes becomes heightened. There were 1,302 landslides under close field
516 investigations in 1991-1999. This figure climbed to 3,053 landslides by 2009, as
517 monitored by the geological hazard monitoring and warning system in the reservoir
518 area (Guo et al., 2007; Ministry of Environmental Protection, 2012). For example, in
519 July 14, 2003, a major landslide occurred near the town Qianjiangping where the
520 Qinggan River joins the Yangzi (Wang et al., 2004). Another landslide occurring in
521 Qianjiangping in the same day destroyed 346 houses and four factories, resulting in a
522 direct economic loss of USD 7 million. These geological disasters in the reservoir area

523 caused severe damage to navigation and great economic loss, and aggravated soil
524 erosion and resettlers' anxiety. The increasing secondary geological disasters are
525 mainly influenced by a couple of factors. One is that increasing seismic activity after
526 the initial impoundment of the Dam has enhanced the frequency of secondary
527 geological disasters. The other is partly caused by inappropriate infrastructure
528 construction, especially road works (Guo et al., 2007). By the end of 2008,
529 approximately 7.6 billion yuan was invested to rebuild roads in the TGRA. This
530 investment was 4.2 times the total GDP (1.8 billion yuan) in the TGRA in 2008
531 (SCTGPCCEO, 2010). Of this, 3.8 billion yuan was allocated to reconstruct urban
532 roads due to urban relocation, 3.4 billion yuan for rebuilding highways due to
533 relocation of industrial enterprises, and 0.4 billion yuan for the construction of rural
534 roads due to rural displacement. Hence, landslides and mud-stone flows induced by
535 road and highway constructions were indirectly related to the TGP.

536 The challenge of preventing geological hazards (especially landslides and
537 mud-rock flows) since 2009 is tremendous. The central government has recognized its
538 significance at the very beginning of the TGP and adopted a number of strategic plans
539 and scientific research. Back in 1958 a network of seismic monitoring stations was
540 established in the reservoir region. Six large-scale field investigations into geological
541 hazards in the reservoir area were carried out from 1986 to 2002 and reliable scientific
542 data about geological hazards and mechanisms collected (Guo et al., 2007).
543 Subsequently, the geological hazard monitoring and alerting system was established in
544 the reservoir area in 2003, at an investment of 110 million yuan (MLR, 2001). The

545 *Comprehensive Plan for Preventing and Controlling Geological Hazards in the TGRA*
546 was enforced by the Ministry of Land and Resources of China in 2001. Four billion
547 yuan was invested to control and monitor 3,053 landslides from 2001 to 2009
548 (Ministry of Environmental Protection, 2012). As a result, 465 landslides were
549 controlled; 45,822 persons who originally resided on those landslide bodies had been
550 relocated by the end of 2009 (Xinhua News Agency, 2010a). The implementations of
551 this plan has played, and will continue to play, an important role in predicting and
552 monitoring seismic activity and secondary geological hazards, thereby reducing
553 potential loss and damages in the future.

554 **3.5 Soil Erosion**

555 Soil erosion is another contentious issue, as its extent and intensity has a direct
556 effect on the sedimentation of the reservoir, the lifespan of the Dam, the capacity to
557 control flooding, and ecological status in the upper and middle reaches of the Yangzi
558 River Basin. The EIS Report estimated that soil erosion would be exacerbated by
559 massive resettlement (EIADCAS and RIPPYWR, 1995). Observed data of the
560 Chongqing's Environmental Monitoring Station of Soil and Water Conservation (2006)
561 and findings of a recent study of Xu et al. (2011b) point out that both the extent and
562 severity of soil erosion in the Chongqing reservoir section (1999-2004) and even in the
563 entire reservoir region (2000-2008) present a "declining trend". One of chief engineers
564 at the Bureau of Water and Soil Conservation, Yangzi Water Resources Commission
565 stated that the total amount of soil erosion, and the eroded area, in the TGRA decreased
566 significantly, by 27% and 28% respectively, from the 1980s to 2007, based on remote

567 sensing data and analysis of soil erosion (Renmin Yangzi Newspaper, 2010). Clearly,
568 the actual impact of the TGP on soil erosion is less than the estimation of the EIS
569 Report.

570 The overestimation of the likely impact of the TGP on soil erosion was primarily
571 related to three factors that were not anticipated in the EIS Report. The first is
572 associated with the implementation of several major ecological projects in the last two
573 decades (Yang et al., 2009). As a result of implementing these projects, the forest
574 coverage rate in the TGRA increased from 21.9% in 1997 to 34.5% in 2008, greater
575 than the national averages of 13.9% in 1997 and 20.4% in 2008 (Yang et al., 2009).
576 Approximately 1,020 km² of cropland distributed on steep slopes (25° or above) were
577 returned to forest or grassland through implementing the GGP in the reservoir region
578 over the 2000-08 period (Ministry of Environmental Protection, 2012). The ongoing
579 ecological projects have played a key role in offsetting soil erosion in the reservoir
580 region. The second factor relates to the practice of transforming sloping cropland to
581 terraced land, which was used as an important countermeasure to secure land for
582 resettling rural residents locally. About 2,186 km² of sloping cropland were converted
583 to terraced land in 1993-2000, and 276 km² added in 2006-2008. Together, nearly two
584 thirds (64%) of the overall sloping cropland distributed on the slopes of 7°-25° in the
585 TGRA were transformed to terraced land (Staged Assessment Group of CAE, 2010;
586 Ministry of Environmental Protection, 2012). This transformation has not only
587 increased food production but also played an important role in reducing soil erosion in
588 the region. The third factor is the utilization of some new agricultural techniques in the

589 resettlement communities. These include planting hedgerows, cultivating along
590 contours, and agro-forestry techniques (Chen et al., 2003; Liao et al., 2008).
591 Specifically, planting hedgerows on steep sloping land could curb surface runoff by
592 84-95% and soil erosion by 90-97%, while soil fertility can be improved by 5-22%
593 (Staged Assessment Group of CAE, 2010). These techniques helped prevent the
594 deterioration of soil erosion in the resettlement communities, as rightly expected in the
595 EIS Report.

596 **4 Conclusion**

597 Environmental impact assessments (EIA) of large infrastructure projects, such as
598 the Three Gorges Project (TGP) on the Yangzi River of China, have been highly
599 instrumental in making policies and operational plans for human displacement and
600 environmental protection in the project affected communities. To a large extent the
601 dimensions and overall trends of potential environmental impacts of the TGP are
602 rightly estimated in China's authoritative report titled *Environmental Impact Statement*
603 *for the Yangzi Three Gorges Project* (EIS Report) in 1992. This Report has played a
604 significant role in guiding the implementation processes of human resettlement,
605 construction of the Three Gorges Dam, and a host of environmental and
606 socio-economic development projects in the Three Gorges Reservoir Area. Yet there is
607 great complexity and uncertainty regarding the scale and scope of possible
608 environmental impacts of a large development project. This study provides an overall
609 evaluation of the major environmental consequences of the TGP by comparing recent
610 studies with the estimations of the EIS Report. The evaluation results are summarized

611 in Table 3. These evaluations were grounded on empirical studies and existing
612 observing data on vital environmental consequences over a short time span since the
613 initial impoundment of the Three Gorges reservoir in 2003. The time horizon (less than
614 10 years) is rather short for some environmental consequences to manifest or evolve. A
615 long-term monitoring and scientific study into the environmental outcomes of the TGP
616 is needed to gain a full understanding of the TGP impact on affected communities and
617 populations.

618 **[Table 3 about here]**

619 China, as elsewhere, has improved EIA for large infrastructure or other
620 development projects. EIA has been one of the most contentious issues in the debates
621 on the feasibility and consequences of large infrastructure projects. To eliminate or
622 reduce adverse environmental impacts in the regions affected by the project, the nation
623 (China in this study) needs to make adjustments to relevant policies and invest
624 tremendously to environmental programs. It is possible to not only cope with these
625 changes but also to minimize irreversible environmental consequences. Two
626 adjustments to the TGP resettlement policy and carrying out environmental programs
627 to prevent geological hazards and water quality from being further worsened are
628 examples in point. In order to do this, however, there will need to be major
629 improvements in many areas. Four aspects need to be particularly addressed and taken
630 into account in EIA for ongoing and future dam and other infrastructure projects. First,
631 a strategic environmental assessment at a broader scale is necessary in advance of
632 individual EIA. Strategic environmental assessment systematically assesses upstream

633 and downstream impacts, as well as cumulative impacts of other associated future
634 infrastructure projects. Second, long-term environmental monitoring systems in the
635 affected regions are necessary to collect first-hand data for calibrating the models and
636 to assess environmental impacts of large dams and other mega infrastructure projects.
637 It is also imperative to establish prototype observation and joint operations with other
638 large projects in the upstream areas of a river basin, to assist forecasts and assessment
639 of potential environmental risks and impacts. Third, national policy and planning
640 adjustments need to react quickly to the impact changes of large projects to mitigate
641 the unanticipated adverse impacts in the EIA at a large extent. Lastly future
642 environmental impact assessments need not only focus on project impacts on the
643 environment and communities, but also incorporate the cross-impacts of climate
644 change on projects, and assess possible impacts of projects on regional or local
645 climate.

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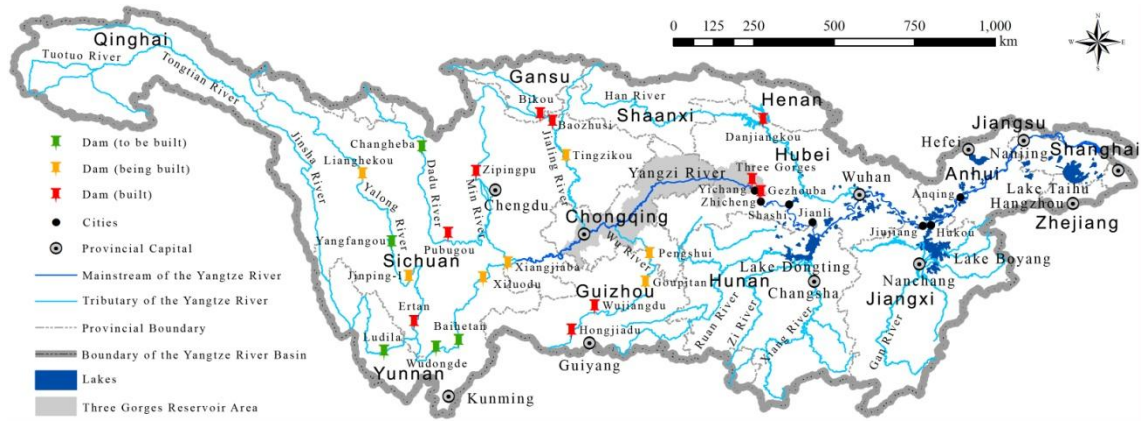
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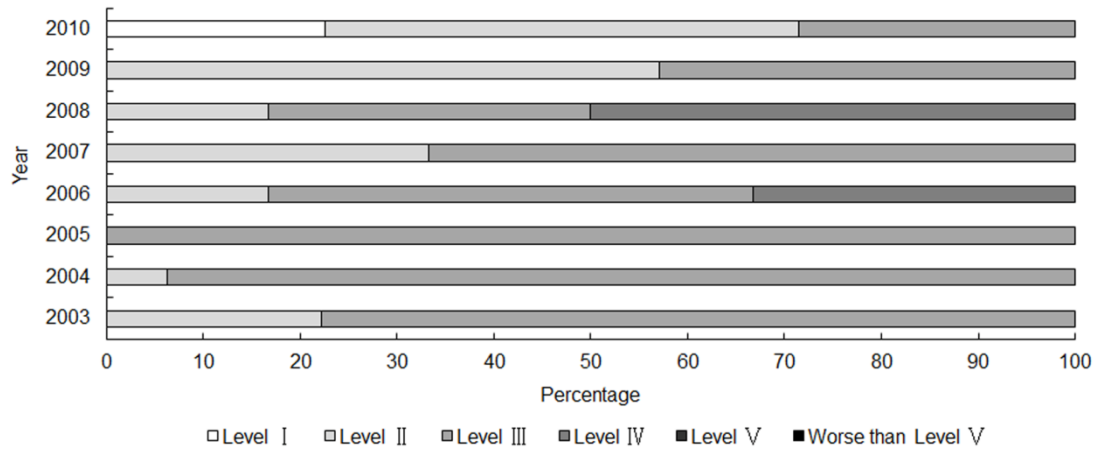
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Fig. 1 The Yangtze River Basin and large dams on the Yangtze River

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Source: YWRC, 1999; Yang et al., 2007; Cai, 2011.



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 879 **Fig. 2 Change in water quality across the monitored sections of the mainstream of the**
 880 **Yangzi River, 2003-2009**

881 Source: Ministry of Environmental Protection of the People’s Republic of China, *Eco-environmental*
 882 *Monitoring Bulletin of the Three Gorges Project, Yangzi River, China (2004-2010) (in Chinese)*.

883 Note: The x axis denotes the percentage of the monitored sections of the mainstream of the Yangzi River at
 884 specific water quality level Yangzi. According to the environmental quality standards for ground water in
 885 China (GB3838-2002), the main indexes for chemical indicators for different quality levels of water
 886 include:

887 Level I: $\text{NH}_3\text{-N} \leq 0.15 \text{ mg/L}$; $\text{TP} \leq 0.02 \text{ mg/L}$; $\text{COD} \leq 15 \text{ mg/L}$.

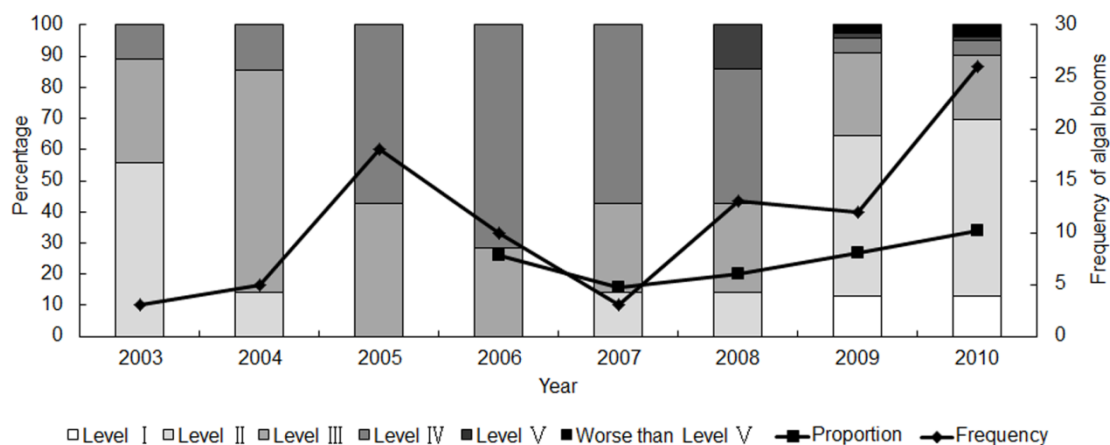
888 Level II: $0.15 \text{ mg/L} < \text{NH}_3\text{-N} \leq 0.5 \text{ mg/L}$; $0.02 \text{ mg/L} < \text{TP} \leq 0.1 \text{ mg/L}$; $\text{COD} \leq 15 \text{ mg/L}$.

889 Level III: $0.5 \text{ mg/L} < \text{NH}_3\text{-N} \leq 1.0 \text{ mg/L}$; $0.1 \text{ mg/L} < \text{TP} \leq 0.2 \text{ mg/L}$; $15 \text{ mg/L} < \text{COD} \leq 20 \text{ mg/L}$.

890 Level IV: $1.0 \text{ mg/L} < \text{NH}_3\text{-N} \leq 1.5 \text{ mg/L}$; $0.2 \text{ mg/L} < \text{TP} \leq 0.3 \text{ mg/L}$; $20 \text{ mg/L} < \text{COD} \leq 30 \text{ mg/L}$.

891 Level V: $1.5 \text{ mg/L} < \text{NH}_3\text{-N} \leq 2.0 \text{ mg/L}$; $0.3 \text{ mg/L} < \text{TP} \leq 0.4 \text{ mg/L}$; $30 \text{ mg/L} < \text{COD} \leq 40 \text{ mg/L}$.

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Fig. 3 Change in water quality and frequency of algal blooms across the monitored

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sections of the major tributaries of the Yangzi River in the TGRA, 2003-2009

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Source: Ministry of Environmental Protection of the People's Republic of China, *Eco-environmental*

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Monitoring Bulletin of the Three Gorges Project, Yangzi River, China (2004-2011) (in Chinese).

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Note: The left-hand y axis denotes the percentage of the monitored sections of the major tributaries at

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specific water quality level, and the percentage of the monitored sections where eutrophication occurred

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against the total monitored sections. The right-hand y axis denotes the frequency of algal blooms appearing

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in the major tributaries of the Yangzi. The observed water quality and monitored sections in 2009 and 2010

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only included months from March to October. The observed frequency of algal blooms in 2010 only

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included the major tributaries in the Hubei reservoir section.

Table 1 An overview of major environmental issues associated with the TGP

Environmental Issues		Evidence	References
Displacement and environmental carrying capacity	Displacement	<ul style="list-style-type: none"> 120,000 more resettlers were displaced than the estimated number in the EIS Report. Some 190,000 rural people were resettled beyond the Three Gorges Reservoir Area (TGRA). 	EIADCAS and RIPPYWR, 1995; Tan, 2008; SCTGPCCEO, 2010; Xu et al., 2011a
	Environmental carrying capacity	<ul style="list-style-type: none"> There was a shortage of human carrying capacity of land in the TGRA, by 1.32 million and 1.64 million persons in 2003 and 2006, respectively. 	Staged Assessment Group of CAE, 2010
Sedimentation		<ul style="list-style-type: none"> The volume of sediments averaged 142 million tons (Mt) per year, being equivalent to 40% of the estimated 355 Mt per year in the EIS Report. 	EIADCAS and RIPPYWR, 1995; Sedimentation Panel of the TGP, 2008; Yang et al., 2009
Soil erosion in the reservoir area		<ul style="list-style-type: none"> Both the extent and severity of soil erosion in the TGRA are smaller than the estimates of the EIS Report. 	EIADCAS and RIPPYWR, 1995; CEMSSWC, 2006; Xu et al., 2011b
Water quality	Eutrophication	<ul style="list-style-type: none"> Eutrophication and algal bloom in many bays of the reservoir has become a prominent issue since 2003. 	EIADCAS and RIPPYWR, 1995; Yang et al, 2009; Fu et al., 2010; MEPPRC, 2012
Downstream riverbed erosion		<ul style="list-style-type: none"> The annual erosion rate from October 2002 to October 2010 averaged at 108.8 million m³, which was much greater than the average 6.25 million m³ per annum in 1975-2002. 	EIADCAS and RIPPYWR, 1995; Sedimentation Panel of the TGP, 2008; Lu et al., 2011
Four major domestic fish species		<ul style="list-style-type: none"> The stock of four major domestic fish species dropped dramatically between 2005 and 2010, reducing by 78.2% on the 1981 level, compared to the estimated reduction of 50-60% in the EIS Report. 	EIADCAS and RIPPYWR, 1995; Duan et al., 2009; Gao et al., 2010
Reservoir bank stability		<ul style="list-style-type: none"> On average, 31 bank collapses occurred per year in the reservoir in 2003-2007, compared to 19 bank collapses in the Jingjiang section of the middle Yangzi in 2001-2003. 	EIADCAS and RIPPYWR, 1995; Yang et al., 2009; 21st Century Economic Report, 2011
Reservoir induced seismicity		<ul style="list-style-type: none"> Reservoir-induced seismicity shows a high frequency and low intensity pattern, lying within the range as indicated by the EIS Report. 	EIADCAS and RIPPYWR, 1995; MEPPRC, 2011a
Local climate	Air temperature	<ul style="list-style-type: none"> Annual mean temperature in the TGRA increased by 0.2-1.0°C over the 2003-2009 period, compared to the average level in 	EIADCAS and RIPPYWR, 1995; MEPPRC, 2011a

		1996-2002.	
	Precipitation	<ul style="list-style-type: none"> Annual mean precipitation in the TGRA increased by 2-9% over the 2003-2009 period, compared to the average level in 1996-2002. 	EIADCAS and RIPPYWR, 1995; MEPPRC, 2011a
	Fog	<ul style="list-style-type: none"> The number of foggy days per annum in the TGRA in 2003-2009 decreased slightly, compared to incidences in 1980-2002. The spatial range shrank due to global warming and urbanization. 	EIADCAS and RIPPYWR, 1995; MEPPRC, 2011a; Staged Assessment Group of CAE, 2010
	Downstream flooding risk	<ul style="list-style-type: none"> The TGP has substantially improved flooding control capacity in the middle and lower reaches of the Yangzi River. The Three Gorges Dam withstood catastrophic floods in July, 2010 and 2012. 	EIADCAS and RIPPYWR, 1995; Yang et al, 2009; Staged Assessment Group of CAE, 2010; Xinhua Net, 2010b, 2012
Impacts on the lakes in the middle reaches of the Yangzi River	Lake Dongting	<ul style="list-style-type: none"> The effect of the TGP on water and sediment exchanges between the Yangzi and the lake is close to the estimate from the EIS Report. 	EIADCAS and RIPPYWR, 1995; Yang et al, 2009
	Lake Boyang	<ul style="list-style-type: none"> The impact of the TGP on Lake Boyang was little addressed in the EIS Report. The new flow regime of the Yangzi downstream of the Dam intensifies the fluctuation of water levels between wet and dry seasons in the lake. The water level of the lake remains particularly low during the dry period from late summer to autumn. 	EIADCAS and RIPPYWR, 1995; Yang et al, 2009; Wang et al., 2011; Guo et al., 2012; Zhang et al., 2012

Table 2 Frequency and magnitude of earthquakes in the TGRA, 1996-2009

Year	Frequency	Magnitude (M_L)				
		$0.0 \leq M_L < 0.9$	$1.0 \leq M_L < 1.9$	$2.0 \leq M_L < 2.9$	$3.0 \leq M_L < 3.9$	$4.0 \leq M_L < 4.9$
1996	173		125	41	7	
1997	93		63	24	5	1
1998	94		80	14		
1999	38		17	19	2	
2000	40			37	2	1
2001	56			52	3	1
2002	61			57	4	
2003	541	287	220	33	1	
2004	1062	625	378c	56	3	
2005	905	431	405	67	2	
2006	1019	510	448	57	4	
2007	1402	551	751	96	4	
2008	2121	1112	889	105	14	1
2009	1964	1144	721	92	7	
Annual average from 2003 to 2009	1287.7	665.7	572.3	72.3	5	0.14
Annual average from 1959 to 31 May 2003	28.5	13.4	13.8	1.1	0.1	0.05

907 **Source:** Ministry of Environmental Protection of the People's Republic of China 1997-2010;
908 Stage Assessment Group of CAE, 2010.

909 **Table 3 Evaluation results of major environmental consequences of the TGP against**
 910 **estimations of the EIS Report**

Environmental Issues		Evaluation
Displacement and environmental carrying capacity	Displacement	Slightly greater
	Environmental carrying capacity	Significantly smaller
Sedimentation		Significantly smaller
Soil erosion in the reservoir area		Significantly smaller
Water quality	Eutrophication	Significantly worse
Downstream riverbed erosion		Significantly greater
Four major domestic fish species		Significantly reduced
Reservoir bank stability		Slightly worse
Reservoir induced seismicity		Essentially consistent with the EIS Report
Local climate	Air temperature	Essentially consistent with the EIS Report
	Precipitation	Essentially consistent with the EIS Report
	Fog	Essentially consistent with the EIS Report
Downstream flooding risk		Essentially consistent with the EIS Report
Impacts on the lakes in the middle reaches of the Yangzi River	Lake Dongting	Essentially consistent with the EIS Report
	Lake Boyang	Significantly greater

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