Applied statistical models to support decisions in forestry ... bio-economy

Dissertation

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Contents

List of Figures

List of Tables

Chapter 1

Introduction

"Forest management, whether for timber production, biodiversity, or any other goals, requires decisions that are based on both our knowledge of the world and human values."
— Davis, Johnson, Howard and Bettinger, *Forest Management*

Decision making is the last step in the process of planning, starting with actually discovering the existence of a decision problem. Complexity of the planning process, thereby determined through the type of decision, may vary from very simple daily decisions to extensive and long-lasting decision processes (Kangas et al., 2015, p. 3-4). Relatively easy and quick decisions differ fundamentally from complexer decisions in terms of their problem structures, consequences, preferences of the decision-maker and solution evaluation (Keeney, 1982, p. 807-808). While everyday choices in professional framework usually base on associative selections and personal preferences, crucial decisions or decisions with long-lasting impacts are often taken analytically with explicit inference (Stanovich & West, 2000, p. 659, 672; Kangas et al., 2015, p. 3). Those two different typos, often called *systems*, in behavioral sciences (e.g. Stanovich & West, 2000, p. 658), underly significantly different theorems. Following classical theory of decision examination, decisions can be described either *descriptively* or *normatively* (Bitz, 2005, p. 6). Examining decisions from descriptive perspective means evaluating individual and social actions. Descriptive theory analyses actual decisions with aim of examining how decision-makers act in reality and how decision making actually works. It analyses the principles of decision making descriptively without further investigation of purposes. Descriptive decision studies will answer the question *how* but not *why* decision-makers decide (Simon, 1979, p. 499-501). Findings from descriptive studies hence do not allow drawing any conclusions about plausibility or reasonability. Lessons from empiric-descriptive analysis, however, do not necessarily lack reasonability. Descriptive decision theory just not inquiries rationals behind decisions (Simon, 1979, p. 500). Target of the normative decision theory is examination of particular reasons behind actual decisions. Hence, in contrast to the descriptive theory, normative studies are rather evidence-based than descriptive. They aim on theoretical explanation of the causal network which leads to decisions. Normative decision models are, usually computer-aided, mathematical, statistical or numerical computations trying to explain decision processes accounting for their intrinsic criteria. Whenever decision-makers are interested in the reasons of fairly complex decision problems, normatively examination will usually be obligatory. Normative decision examination forms the foundation of *operations research* (Shim et al., 2002, p. 112; Simon, 1979, p. 498), an interdisciplinary discipline with elements from statistics, mathematics, economics and computer sciences which developed simultaneously with the first digital computers (Churchman et al., 1957). Operations research, also called management or decision sciences, is the science of building and using

computer-aided models for decision support (Wacker, 1998, p. 373-374), nowadays mandatory tools for intermediate- and long-term decisions in professional framework. Operations research hence builds the theoretical background of all modern computer-aided programs for decision support, also called *decision support systems* (DSS). DSS are computer system of crucial variables and rules that structure the programmable part of a decision problem. Since the initial definition of DSS in Gorry & Morton (1971, p. 26), it is stated that decision processes must be simplified into programmable elements. All further processes, in particular processes that are unstructured or far too complex, cannot be considered in DSS. Prior to implementing statistical computer-aided models, decision-relevant aspects must be gathered, reviewed and simplified. Only after successful identification of programmable and meaningful decision-relevant aspects, the gathered information can be used to built a statistical computer-aided model. A complete, accurate normative decision analysis is hence a prerequisite for the development of DSS. Most all modern decision support models lastly base upon classical decision theory as they basically translate normatively inquiry into applicable models for scientists, practitioners or any person being responsible for decisions. DSS aim on objective, theory-based solutions of real decision problems. Next to the actual variables and rules which are translated into program code, typical DSS therefore have a user front-end and a data-warehouse (CITE). The user front-end facilitates application for the user, the data-warehouse enables storage of necessary input data and the solution.

Decisions in forest management will never affect things solely. Once made, management decisions will have impact on lots of economic, ecologic and social issues. Forests should be manged such that they produce income for the forest owner (CITE MÖHing. 1997) on the one, while contemporaneously follow conservation and recreational issues, on the other hand (Kangas et al., 2015, p. 11). Simultaneous fulfillment of all 3 functions is the guideline principle of the multifunctional forestry in Germany. It is firmly anchored in the Federal Forest Law (Möller, 2007, p. 457). The concept of *sustainability* plays a central role in forestry. In one of its most recent and general definitions sustainability states development of forests such that current and future generations can benefit from all 3 forest functions (United Nations General Assembly, 2005, p. 14; see also Kangas et al., 2015, p. 14). In consequence, practice forest management decisions must exclude declining of several different aspects like *biodiversity*, *productivity* and *regeneration capacity vitality* (Ministerial Conference on the Protection of Forests in Europe, cited from Kangas et al., 2015, p. 15). Forest management thus requires careful planning considering multiple criteria. Due to this complexity, decisions in practical forestry are rarely made by single persons. Forest operations planning usually bases on a complex collaboration of inventory and action planning being comprised of long-term strategies, intermediate-term management plans and short-term operational decisions. Intermediate-term forest planing typically relies on forest mensuration which is a long-established, continuously improved planning procedure trying implementing strategic orientations into spatial and temporal explicit operations (Böckmann, 2004, p. 156-158). The degree of complexity of this planning is high and steadily rising. Increasing demand for wood as raw materials Mantau (2012, p. 8) as well an rising requirements on conservation and recreational issues presents new challenges for the forestry and wood sector in Germany. This high degree of complexity explains the need for detailed, rational decision support (Hansen, 2012, p. 1-2). DSS can be used to structure the highly complex decision problems into smaller, programmable sub-problems. For this, DSS offer great

opportunities for several decision problems in forestry.

Recently, numerous examples of useful DSS can be found in forest practice and forest sciences.

Inference based decision support tools like the *Tree Growth Open Source Software* (Tree-GrOSS) (Hansen & Nagel, 2014) are e.g. already integral part in the forest mensuration of Lower Saxony (Böckmann, 2004, p. 158). Computer-aided forest simulation software in general has great opportunity for improvement effectiveness and accuracy of forest planning (Davis et al., 2001, p. 210). They are advantageous against classical tables since they can consider much more relevant aspects for growth and yield such as tree individual concurrence, species mixtures, complex within-stand structures as well as specific thinning and usage rules (Hansen, 2012, p. 3 Muys et al., 2010, p. 93). Optimization procedures were initially developed for calculating an efficient allocation of finite resources (Davis et al., 2001, p. 271). Modern Growth and yield simulation software offer new

... Behandlungsoptimierung wird möglich They are hence interesting for most every thinkable decision in forestry framework. Forest growth simulation based optimization models initially appeared in the 1980s. Early models were rather if-then calculation than

1.1 The role of bio-economy in foresty

Bio-economy is defined as which is not novel in forestry Bio-economy is on explanation of increasing demand for wood... Changes in government energy policy and the development of new technology led to development of new markets, in particular for small dimensioned wood (Geldermann et al., 2016; McCormick & Kautto, 2013). it means novel industries meaning today outlook

Die Entwicklung neuer Geschäftsfelder ... Abwägung. Neue Möglichkeiten/Chances ... immer auch neue Einschränkungen/Herausforderungen die Frage ist, ob die Vorteile überwiegen, also braucht man DSS

1.2 Aim(s?) of the thesis

Optimization methods in particular have great opportunity

Despite all mentioned advantages, inference based decision support tools play only minor role in Germany. While forest growth and yield simulation softwares are applied in forest mensuration , formally optimization procedures are recently not part of practical forest planning.

Seht kurzes Kapitel (5-10 Zeilen) mit der Forschungsfrage Forschungsfrage: Mittel, die gestiegenen Anforderungen an den Wald zu bewaeltigen. Wie koennen die Potenziale des Waldes ausgeschoepft werden, ohne die Nachhaltigkeit zu gefaehrden?

1.3 Structure of the thesis

1.3.1 Analyzing status and development of raw wood availability in the European beech dominated central of Germany

Chapter 2 is an example for a boring cluster analysis.

1.3.2 Biomass functions and nutrient contents of European beech, oak, sycamore maple and ash and their meaning for the biomass supply chain

Chapter 3 is boring again.

1.3.3 Modelling the economically viable wood in the crown of European beech trees

Chapter 4 is more interesting.

1.3.4 Flexible Global Optimization with Simulated-Annealing

Optimization is useful to program sustainability (Kangas et al., 2015, p. 15) OM eignen sich gut für die Entscheidungsunterstützung, weil sie mehrere Kriterien berücksichtigen können. ... Unsere Anwendung optimier die ökon. Funkt. und berücksichtig Nachhaltigkeit als ...

Although the advantages of Decision Support Systems (DSS) are widely known and often discussed in forest-science literature, optimization procedures are recently seldom used in Germany. The forest management nowadays widely bases on expert knowledge and decades of experience. The strategic forest treatment is usually ruled by very detailed and long established forest programs. As the demands for wood as well as for further ecosystem benefits is steadily rising, forest planning becomes increasingly more complex. Looking at formal optimization techniques for decision support of forest activities, as they are already performed in foreign countries, therefore seems to be worthwhile. We present an optimization software as DSS for forest thinning activities on operational level which is specifically adopted to German characteristics.

According to the typically categorization of forest optimization models, we present a *type-1* optimization software. Our software basically consists of 3 elements. The forest growth simulation module, the optimization module and the data warehouse. The tree growth is simulated with the TreeGrOSS which is an long established single-tree based growth and treatment simulation software of the Northwest German Research Institute (NW-FVA). The actual optimization bases on sequential TreeGROSS simulations with iteratively changing thinning intensity settings. The response of every iteration is calculated via dimension and tree species specific rating of the simulated harvested wood volume. To ensure sustainability of the simulations, we defined 2 restrictions. The total standing volume of all stands as well as the standing volume of each stand at the end of the simulation are not allowed to be lower than a predefined standing volume limit under standard treatment circumstances. The optimization model additionally enables definition of annual minimum harvesting volumes. As we could not find any suitable optimization algorithm, we developed a novel model basing on the ?Simulated Annealing? method. Our software is specifically parameterizable to the very complex data structure of the TreeGrOSS software. Our optimization software is already freely available as a package for the statistical software R via the Comprehensive R Archive Network. The forest stand data must be stored in a PostgreSQL database. Nagel and Hansen (NW-FVA) developed a software able to translate forest inventory data into TreeGrOSS stands. We present the core-element **Chapter 5** is probably most interesting chapter for many readers.
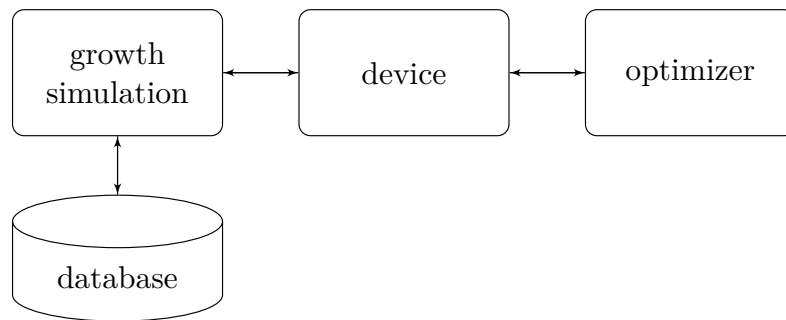
Figure 1.1: Example flowchart.

Kapitel 2

Mittelfristigem Anstieg folgt stetiger Rückgang - Zustand und Entwicklung der Rohholzverfügbarkeit in der buchenreichen Mitte Deutschlands

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– Ingrid Beitzen-Heineke, Hieronymus Bischoff und Wolf-Georg Fehrensen führten die Befragung der holzverarbeitenden Industrie durch, um die Rohstoffnachfrage in der Projektregion einzuschätzen.

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– Christoph Fischer unterstützte die BWI Berechnungen.

2.1 Einleitung

Die Möglichkeit einer langfristigen, kontinuierlichen Holzrohstoffversorgung der Bioökonomie-Clusterregion Halle-Leuna wurde im Verbundprojekt *Plan C* (Perspektiven einer zukunftssicheren Logistik angewandt auf die natürliche Rohstoffversorgung in der Clusterregion, Förderkennziffer: 031A294 A bis H) im *Spitzencluster BioEconomy* des Bundesministeriums für Bildung und Forschung analysiert. Im Rahmen dieses Projektes wurde die buchenreiche Mitte Deutschlands als wichtigste Quelle für die nationale Buchenrohholzversorgung in Bezug auf ihre Rohstoffpotenziale untersucht und Konzepte für eine planbare Buchenholzbereitstellung erarbeitet. Beteiligte Projektpartner waren die Knauf Deutsche Gipswerke AG, die Georg Fehrensen GmbH, die Holzindustrie Templin GmbH, die DB Schenker Nieten GmbH, die Bruno Reimann GmbH & Co. KG, die Eickelmann Transport + Logistik GmbH, die Niedersächsischen Landesforsten, die Landesforsten Thüringen, der Landesbetrieb Hessen-Forst, die Otto-von-Guericke-Universität Magdeburg und die Nordwestdeutsche Forstliche Versuchsanstalt.

Derzeit sind ca. 15 % der Gesamtwaldfläche Deutschlands mit Rotbuchenbeständen (*Fagus sylvatica* [L.]) bestockt (BMEL, 2014; TI, 2014). Da sich die Landesforstbetriebe zu einer langfristigen, naturnahen Waldbewirtschaftung verpflichtet haben (ML, 2014) und dies auch den waldpolitischen Zielen der Bundesregierung entspricht (BMEL, 2011), wird der Anteil von Misch- und Laubwald, insbesondere von Buchenwäldern, in Zukunft weiter zunehmen. Die ökonomische Bedeutung der Buche für Waldbesitzer und die deutsche Holzindustrie wird demnach stetig ansteigen.

2.2 Methodik

Das Untersuchungsgebiet umfasste Teile der Bundesländer Niedersachsen, Nordrhein-Westfalen, Hessen, Sachsen-Anhalt und Thüringen. Es erstreckte sich vom Niedersächsischen Bergland bis zum Taunus und dem Zentralen Hessischen Spessart, wobei der fichtendominierte Oberharz nicht berücksichtigt wurde. In westöstlicher Ausdehnung verlief die Projektregion von Ostwestfalen bis zur Leipziger-Sandlöss-Ebene.

Datenbasis für die Ermittlung des Holzaufkommens war die 3. Bundeswaldinventur (BWI 3). Hierbei handelt es sich um eine deutschlandweite Großrauminventur mit festen Stichprobepunkten (Traktecken), welche zuletzt zum Stichjahr 2012 durchgeführt wurde. Die Bundeswaldinventur hat neben ihrer Aktualität den Vorteil, dass der Stichprobenumfang in Bezug auf die Fragestellung in der gesamten Projektregion hinreichend groß ist (5039 Waldecken im Projektgebiet) und dass alle Waldbesitzarten berücksichtigt sind (ML, 2014). In Anlehnung an Schmitz et al. (2008) wurden Hochrechnungsalgorithmen für die Datenauswertungssoftware *R* (R Core Team, 2016) entwickelt und eine spezifische Auswertung des Waldzustandes und der Waldentwicklung der Projektregion auf Basis der BWI durchgeführt. Folgende Zielmerkmale wurden für das Untersuchungsgebiet berechnet: Waldfläche, Baumartenfläche, Vorräte sowie Holzzuwachs und Holznutzung und Flächenübergänge in der zehnjährigen Periode zwischen BWI 2 (Stichjahr 2002) und BWI 3.

Um das Buchenrohholzaufkommen mit dem Verbrauch der Holzindustrie in Relation zu bringen, wurden der Rohholzbedarf der 42 größten Buchenholzabnehmer aus der Region sowie des internationalen Exports eingeschätzt. Datengrundlage bildete eine Befragung der holzverarbei-

Wald
1.434.001 ha (100,0 %)
1.420.843 ha begehbar (99,1 %)

Nichtholzboden	**Holzboden**
45.256 ha (3,2 %)	1.388.745 ha (96,8 %)
42.664 ha begehbar (3,0 %)	1.378.178 ha begehbar (96,1 %)

Blöße	**Bestockter Holzboden**
10.164 ha (0,7 %)	1.378.580 ha (96,1 %)
10.065 ha begehbar (0,7 %)	1.368.113 ha begehbar (95,4 %)
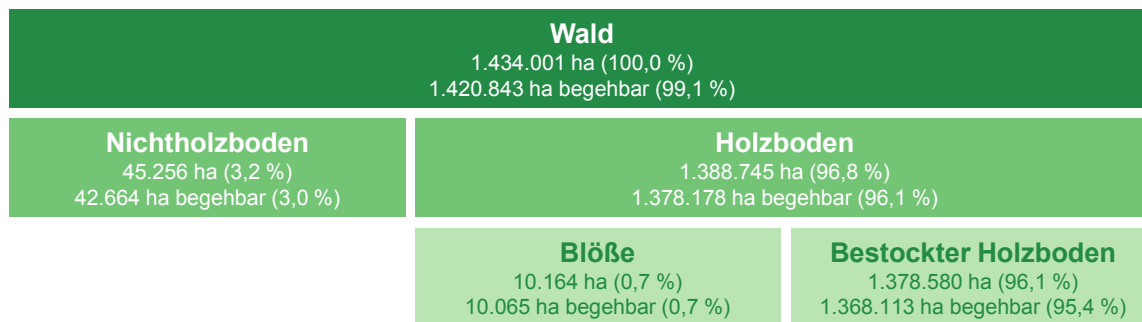
Abbildung 2.1: Waldkategorien in der Projektregion nach BWI-Definition (ML, 2014). Dauerhaft unbestockte Waldflächen, wie Waldwege, Wildwiesen oder im Wald gelegene Moore, werden als Nichtholzboden bezeichnet. Blößen sind vorübergehend unbestockte Waldflächen.

tenden Betriebe.

Zur Einschätzung der Waldentwicklung und des Rohholzaufkommens wurden in der Waldwachstumssimulationssoftware *WaldPlaner* der NW-FVA (Hansen & Nagel, 2014) aus den BWI-Daten Modellbestände generiert und bis zum Jahr 2042 fortgeschrieben. Die Parametereinstellungen zur Bestandesbehandlung orientierten sich an vorangegangenen Clusterstudien (Hansen et al., 2008; Wördehoff et al., 2011). In den Schutzgebieten wurde, je nach Schutzstatus, auf Nutzungen verzichtet bzw. es wurden abweichende Behandlungsparameter gewählt, um die spezifischen Nutzungseinschränkungen der Flächen abzubilden. Gleichzeitig wurde unterstellt, dass die gewählten waldbaulichen Regeln und die Nutzungseinschränkungen über die gesamte Simulationsperiode unverändert gelten. Die simulierte Bestandesentwicklung wurde anhand der tatsächlichen Waldentwicklung seit der Vorgängerinventur (BWI 2) validiert.

2.3 Ergebnisse

2.3.1 Waldfläche

Mit einer Waldfläche von gut 1,4 Mio. ha liegt ca. 13 % des deutschen Waldes (TI, 2014) in der untersuchten Projektregion (Abbildung 2.1). Der Bewaldungsanteil in der Projektregion beträgt 31 %. Dies entspricht in etwa dem Bundesdurchschnitt von 32 % (TI, 2014). Der Waldanteil ist jedoch regional unterschiedlich. Er liegt zwischen 17 % im Westen Sachsen-Anhalts und 35 % in Südniedersachsen und Nordhessen.

Die Wälder der in weiten Teilen durch mesotrophe und eutrophe Lehmböden geprägten Mittelgebirgslandschaft (Gauer, 2012) zeichnen sich durch einen hohen Anteil von Laub- und Mischbeständen aus. Mit 36 % liegt der Laubwaldanteil deutlich über dem Nadelwaldanteil, welcher nur 14 % beträgt. Die Hälfte der Waldecken ist demnach mit Mischwäldern bestockt. Lediglich 18 % der Waldfläche in der Region hat nur eine Baumart in der Hauptschicht. Ebenso zeichnen sich die Wälder der Region durch eine starke vertikale Differenzierung aus. Zwei Drittel der Wälder haben mindestens zwei Bestandesschichten.
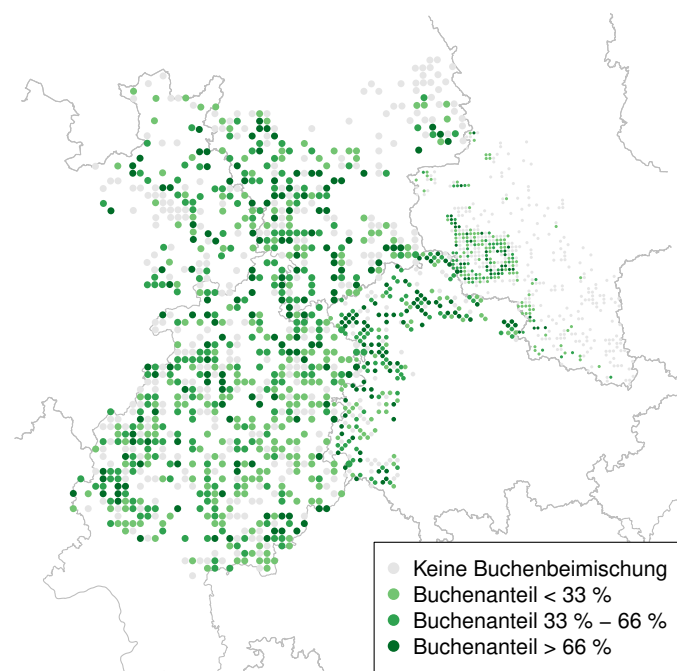
Abbildung 2.2: Buchenanteil an den BWI-Waldtrakten in der Projektregion. Die unterschiedlichen Punktgrößen ergeben sich aus den unterschiedlichen Traktabständen. Der Baumartenanteil bezieht sich auf den Hauptbestand, also die Bestandesschicht, auf der der wirtschaftliche Schwerpunkt liegt.

Im Rahmen der BWI wurden 86 Baumarten unterschieden. Um einen vertretbaren Schätzfehler und somit eine fundierte Aussage zu gewährleisten, wurden diese zu 8 Baumartengruppen (im Folgenden als Baumart bezeichnet) zusammengefasst. Wie aus Abbildung 2.2 hervorgeht, ist die Rotbuche am Inventurzeitpunkt die am weitesten verbreitete Baumart in der Projektregion. Mit Ausnahme des Nordostens ist die Projektregion durch eine ganzflächige, homogene Buchenwaldverteilung ohne systematische Muster und ohne regionale Schwerpunkte charakterisiert. Mehr als jeder zweite Waldtrakt weist eine Buchenbeimischung von über 33 % auf. Der Buchenanteil an der gesamten bestockten Holzbodenfläche beträgt 33 %, was einer Fläche von etwa 445.000 ha entspricht. Des Weiteren sind die Baumarten Fichte (*Picea spec.* inkl. *Abies spec.*, 22 %), Eiche (*Quercus robur* [L.], *Quercus petraea* [Matt.] und *Quercus rubra* [L.], 12 %) und Kiefer (*Pinus spec.*, 7 %) in größeren Anteilen in der Projektregion vertreten. Andere Laubbaumarten mit hoher Produktionszeit (ALh), zu denen u. a. Ahorn (*Acer spec.*) und Esche (*Fraxinus excelsior* [L.]) zählen, sowie andere Laubbaumarten mit niedriger Produktionszeit (ALn), zu denen u. a. Birke (*Betula spec.*) und Pappel (*Populus spec.*) gerechnet werden, sind jeweils mit etwa 10 % Flächenanteil vertreten. Lärche (*Larix spec.*) und Douglasie (*Pseudotsuga menziesii* [Franco]) spielen demgegenüber eine untergeordnete Rolle. Die Baumartenzusammensetzung findet sich in dieser Form in allen Eigentumsarten.

Das Mischungsverhältnis der Baumarten hat sich seit 2002 zugunsten der Laubbaumarten verändert. Im Vergleich zur BWI 2 ist die Laubwaldfläche bis 2012 um 52.000 ha angestiegen. Dem Anstieg der Laubwaldfläche steht ein deutlicher Rückgang der Nadelwaldfläche von etwa 40.000 ha gegenüber. Verantwortlich hierfür ist der Flächenverlust der Fichte in Höhe von etwa 35.000 ha und der Kiefer in Höhe von etwa 10.000 ha. Flächenzunahmen (ca. 5.000 ha) sind beim Nadelholz nur bei der Douglasie zu verzeichnen.

2.3.2 Alter des Waldes

Im Altersaufbau (Abbildung 2.3) spiegelt sich die Nutzungsgeschichte und natürliche Entwicklung der Wälder in der Projektregion wider. Insbesondere großflächige Erst- und Wiederaufforstungen nach dem zweiten Weltkrieg sowie nach dem Orkan 1972 prägen die Altersklassenstruktur im Nadelwald, da für die Wiederbepflanzung der Freiflächen zu der Zeit überwiegend Nadelbaumarten verwendet wurden (HMUKLV, 2014; ML, 2014). Aufgrund dessen ist mehr als die Hälfte des Nadelwaldes jünger als 60 Jahre. In den Altersklassen 20 bis 60 Jahre dominieren die Nadelbaumarten, während in der Altersklasse 1 bis 20 Jahre sowie dem Jungwuchs unter Schirm die Laubbaumarten deutlich überwiegen. Die Laubbaumanreicherung in den Jungbeständen spiegelt das Umdenken im waldbaulichen Handeln Anfang der 1990er-Jahre nach den Erfahrungen des *Waldsterbens* wider. Sie wurde relativ schnell flächenwirksam, weil die Orkane im ersten Jahrzehnt der 2000er-Jahre vor allem im Süden der Projektregion zu größeren Flächenverlusten im Nadelholz führten, die häufig mit Laubbaumarten wieder aufgeforstet wurden (HMUKLV, 2014). Unter Berücksichtigung der Voranbauten unter Schirm weisen die Laubbaumarten Buche und Eiche einen sehr ausgeglichenen Altersklassenaufbau auf. Diese Verjüngungsfläche unter Schirm muss für eine vollständige Darstellung der Ausgangssituation unbedingt mit berücksichtigt werden. Da in diesen Fällen zwei Bestandesschichten auf gleicher Fläche stocken, werden die Jungwuchsbestände unter Schirm als überschießende Flächen bezeichnet, welche nicht zum Hauptbestand zählen und somit nicht in die Berechnung der bestockten Waldfläche eingehen.
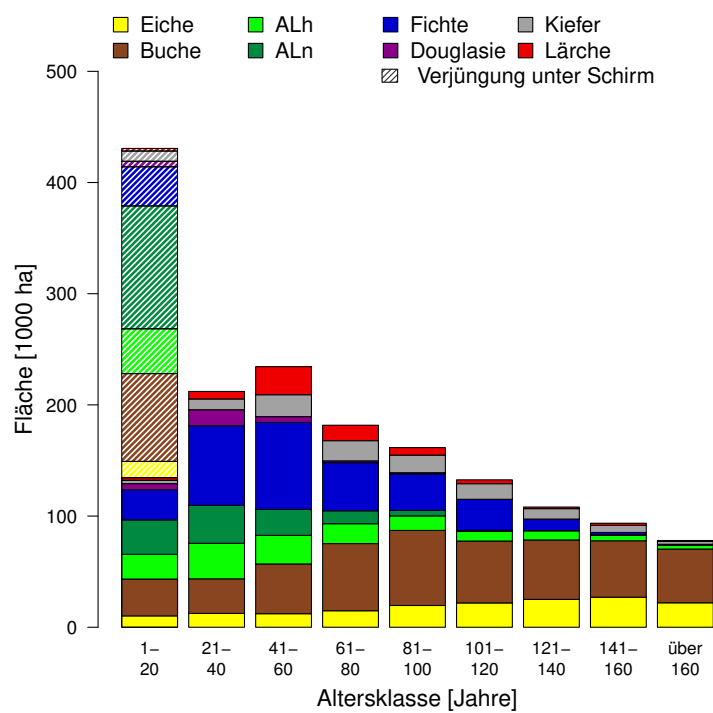
Abbildung 2.3: Bestockte Holzbodenfläche nach Altersklasse und Baumartengruppe in der Projektregion. Bei der Jungwuchsfläche unter Schirm wurde kein Baumalter erhoben. Sie wird per Definition der ersten Altersklasse zugeordnet.

Andernfalls würde die tatsächliche Waldfläche um die Fläche des Jungwuchses überschätzt werden.

2.3.3 Waldeigentum

Mit einem Flächenanteil von jeweils 35 % an der Waldfläche dominieren Privat- (inkl. privatrechtlicher Organisationen) und Landeswald vor dem Körperschaftswald (24 %), also Wald im Eigentum von Städten oder Gemeinden sowie Körperschaften, Anstalten oder Stiftungen öffentlichen Rechts. Bundes- und Treuhandwald spielen eine untergeordnete Rolle. Wald im Landesbesitz, der von Anstalten oder Körperschaften öffentlichen Rechts bewirtschaftet wird, ist als Landeswald definiert. Die Betriebsgröße ist ein wichtiges Strukturmerkmal zur näheren Beschreibung des Privatwaldes, da sie Hinweise auf Organisationsgrad und Leistungsfähigkeit eines Forstbetriebes gibt. Etwa ein Drittel der Privatwaldfläche, also ca. 11 % der Gesamtwaldfläche, ist kleinen Privatforstbetrieben mit einer Betriebsgröße unter 20 ha Betriebsfläche zuzuordnen. Demgegenüber entfallen 60 % des Privatwaldes auf größere Forstbetriebe über 100 ha. Im Vergleich zum Bundesschnitt (TI, 2014) sind die Privatforstbetriebe der Projektregion damit tendenziell größer. In der räumlichen Verteilung der 3 Haupteigentumsarten sowie der Größenklassen im Privatwald bestehen keine regionalen Unterschiede. Jede Eigentumsart und jede Größenklasse im Privatwald ist näherungsweise homogen in der gesamten Projektregion vertreten.

2.3.4 Nachhaltiges, kontinuierliches Holzpotenzial

Nach Speidel (1972) ist die nachhaltige Forstwirtschaft als "Fähigkeit eines Forstbetriebes, kontinuierlich und optimal Holznutzungen, Infrastrukturleistungen und sonstige Güter zum Nutzen der gegenwärtigen und zukünftigen Generationen hervorzubringen"definiert. Während sich die Eingriffe in den jüngeren Altersklassen auf die Pflege der Bestände beschränken, die Zuwächse nur teilweise abgeschöpft und die Holzvorräte dementsprechend aufgebaut werden, führen die Hauptnutzungen in den älteren Altersklassen zu einem mehr oder weniger schnellen Vorratsabbau, um die höherwertigen Stammholzsortimente zu nutzen und die Verjüngung einzuleiten bzw. um über der neuen Waldgeneration den Altholzschirm schrittweise zu räumen. Dieses Nutzungsverhalten spiegelt sich in den zwischen BWI 2 und BWI 3 beobachteten Relationen von Holznutzung zu Holzzuwachs bei der Buche wider (Abbildung 2.4). Während der Holzzuwachs die Nutzung bis zu einem Bestandesalter von 120 Jahren übersteigt, überwiegt die Nutzung ab 140 Jahren deutlich.

Durch das multifunktionale Nachhaltigkeitsverständnis der deutschen Forstbetriebe, wie es auch in den Waldgesetzen verankert ist, werden auf derselben Fläche grundsätzlich Nutz-, Schutz- und Erholungsfunktionen gleichzeitig, aber mit lokal unterschiedlicher Gewichtung verfolgt (Möller, 2007). Dieser integrative Ansatz erfordert, die Wechselwirkungen zwischen Nutzungs- und Naturschutzaspekten flächendeckend abzuwägen und in Einklang zu bringen. In der Projektregion unterliegen annähernd 75 % der Waldfläche mehr oder weniger restriktiven Schutzgebietsauflagen (Abbildung 2.5). Davon sind ca. 10.000 ha der strengsten Schutzkategorie Nationalpark zuzuordnen, wobei die BWI nicht zwischen Kernzonen ohne Nutzung und Entwicklungszonen mit Nutzung unterscheidet. Die Nutzung ist demnach nicht auf der gesamten Fläche ausgeschlossen,
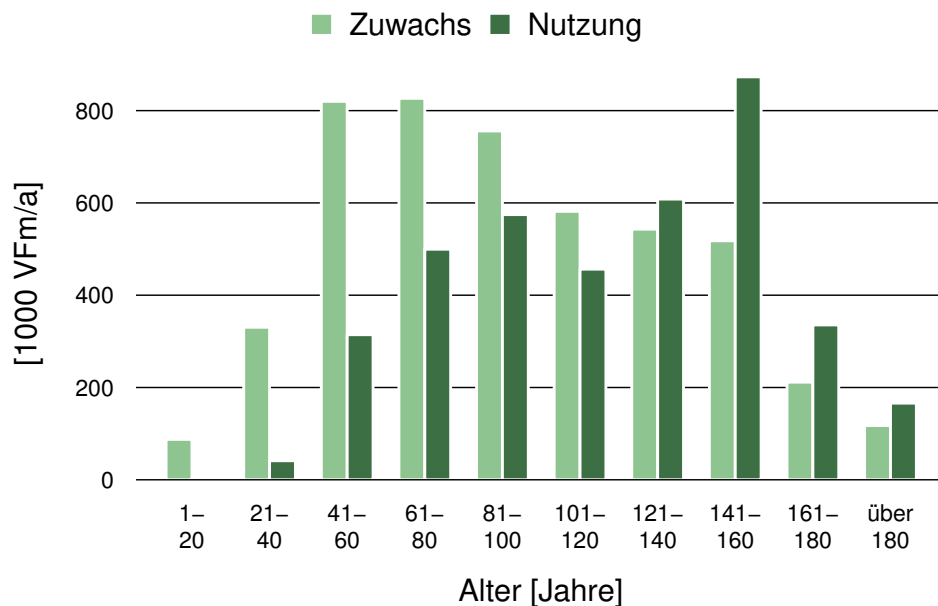
Abbildung 2.4: Durchschnittlicher jährlicher Vorratszuwachs und durchschnittliche jährliche Holznutzung der Buche nach Altersklasse in der gesamten Projektregion für den Zeitraum 2002 bis 2012. Die Holznutzung beinhaltet sowohl gewerbliche als auch private Nutzungen.

jedoch zumindest sehr stark eingeschränkt. Ein Drittel der Waldfläche unterliegt hohen Schutzgebietsauflagen. In diese Kategorie fallen Biosphärenreservate, Naturschutzgebiete und Natura 2000-Flächen. Auf diesen Flächen kann je nach Schutzgebietsart mit einer verminderten Holznutzung gerechnet werden. Ein Nutzungsausschluss ist jedoch in der Regel nicht zu erwarten. Hinzu kommen 560.000 ha auf denen Erholung, Erhaltung des Landschaftsbildes oder Wasserschutz im Vordergrund stehen. Auf diesen Flächen ist nicht von Nutzungseinschränkungen aufgrund des Schutzstatus auszugehen, es muss jedoch teilweise mit erschwerten Erntebedingungen gerechnet werden.

Unter Berücksichtigung der Schutzgebietskulisse sowie der Altersausstattung des Waldes in der Projektregion betrug der jährliche Holzzuwachs der Buche nach BWI-Berechnungen in der Periode 2002 bis 2012 durchschnittlich 3,9 Mio. Vfm Jahr^{-1}. Demgegenüber stand die durchschnittliche jährliche Nutzung, welche ebenfalls über die BWI-Daten berechnet werden konnte, von 3,8 Mio. Vfm Jahr^{-1}. Trotz des rechnerischen Abzugs des nicht-nutzbaren Holzzuwachses vom Gesamtzuwachs lag der Zuwachs in der Bilanz der 10-jährigen Periode von 2002 bis 2012 noch leicht über der Nutzung. Der Gesamtzuwachs inkl. aller Altersklassen und Schutzgebietskategorien betrug 4,8 Mio. Vfm Jahr^{-1}. Das durchschnittlich genutzte Holzvolumen von 3,8 Mio. Vfm Jahr^{-1} entspricht, nach Abzug von Rinde und Ernterückständen, einem Rohholzvolumen von 3,5 Mio. Efm Jahr^{-1}. Dieses lässt sich mit BWI Daten nicht nach Sortimenten für bestimmte Holzverwendungen aufschlüsseln. Aus diesem Grunde fand im Rahmen des Projektes eine Befragung und Einschätzung des Einschnitts der wichtigsten buchenholzverarbeitenden Betriebe statt, die ihr Rohholz aus der Projektregion beziehen. Darüber hinaus wurden die Ex-

Nationalpark
1 %

Wald ohne
Schutzgebietsauflagen
27 %

Wald mit besonderen
Schutzgebietsauflagen
33 %

Wald mit Schutzgebietsauflagen
39 %

Waldfläche: 1.434.001 ha
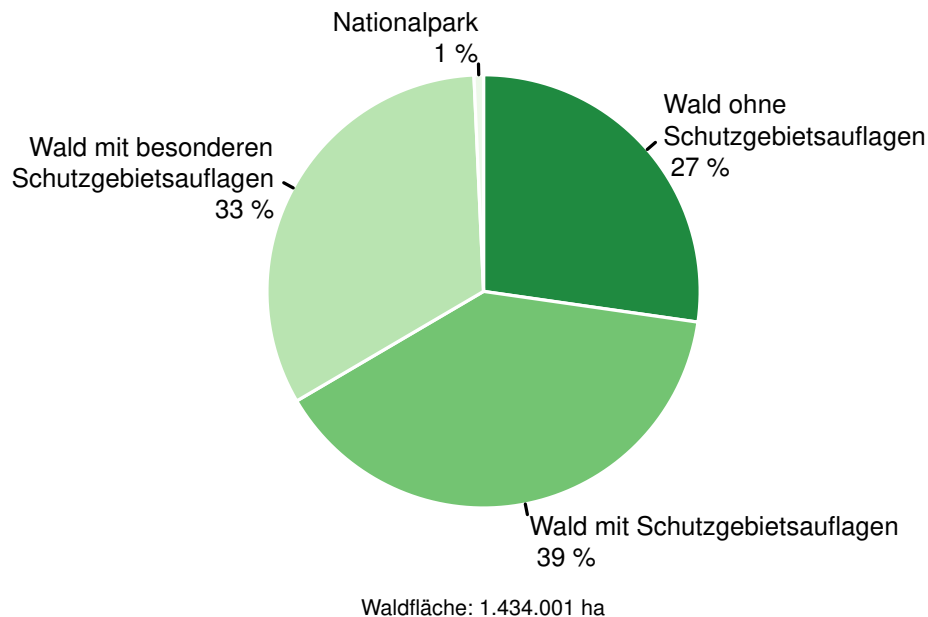
Abbildung 2.5: Schutzgebietsauflagen der Waldflächen in der Projektregion.

portmengen eingeschätzt. Die Analyse zeigte, dass durch die buchenholzverarbeitenden Betriebe
sowie den nationalen und internationalen Holzexport jährlich ca. 1 Mio. Efm Jahr^{-1} Stammholz
(inkl. Palettenholz) und 1 Mio. Efm Jahr^{-1} Industrieholz aus der Projektregion aufgenommen
wurden. Dies entsprach etwa 60 % der tatsächlichen jährlich eingeschlagenen Rohholzmenge.
Es ist davon auszugehen, dass die restlichen 1,5 Mio. Efm Jahr^{-1} nahezu komplett energetisch
verwendet wurden. Diese Einschätzung deckt sich in etwa mit den Ergebnissen einer Umfrage
von knapp 10.000 Haushalten in ganz Deutschland durch die Universität Hamburg (Mantau,
2012), wonach deutschlandweit im Jahr 2010 knapp ein Drittel des Waldlaubholzaufkommens
im Durchschnitt direkt energetisch genutzt wurde.

2.3.5 Entwicklung des Rohholzvorrates und des Rohholzpotenzials

Im Folgenden wird nicht nur das Rohholzpotenzial, sondern auch die prognostizierte Wald-
entwicklung in Vorratsfestemetern angegeben. Dies hat gegenüber einer reinen flächigen Be-
trachtung den Vorteil, dass Bäume aller Bestandesschichten berücksichtigt sind und sich keine
rechnerischen Schwierigkeiten durch überschießende Flächen ergeben. Ferner bewirkt jeder Vor-
ratsaufbau und -abbau auch eine Veränderung der Bestandesdichte und somit des Gesamtvorra-
tes. Bei einer flächigen Betrachtung wären Veränderungen der Bestandesdichte nicht ersichtlich.
Der Gesamtholzvorrat der Projektregion ist demnach eine abstrakte Kennzahl, aus welcher sich
wesentliche Rückschlüsse auf Produktivität, nachhaltige Nutzungsmöglichkeiten und die wirt-
schaftliche Leistungsfähigkeit der Forstbetriebe in der Projektregion ableiten lassen. Die Vor-
ratsberechnungen 2002 und 2012 basieren auf BWI Daten, die Vorratsprognosen ab 2022 auf
Waldentwicklungssimulationen.

Zwischen 2002 bis 2012 nahm der Buchenvorrat in allen Ländern der Projektregion um ins-
gesamt ca. 13 Mio. Vfm zu. Der Vorratsaufbau war im Landeswald stärker ausgeprägt als im

Privat- und Körperschaftswald. Im Vergleich der Baumarten Fichte und Kiefer ergab sich ein inhomogenes Bild. In Niedersachsen und Thüringen gab es, bedingt durch den jüngeren Altersaufbau, einen Vorratsaufbau, in Hessen und Nordrhein-Westfalen einen etwa gleichstarken Vorratsabbau. Obwohl es nennenswerte Flächenverluste bei diesen Baumarten gab (siehe Kapitel Waldfläche), blieb der Vorrat der Fichte und Kiefer zwischen 2002 und 2012 aufgrund des hohen Flächenanteils der zuwachsstarken Altersklassen unverändert.

Die Simulationsergebnisse (Abbildung 2.7) lassen einen kontinuierlichen Anstieg des Gesamtvorrates bei der Buche erwarten. Er ist im Jahr 2042 unter der Annahme unveränderter waldbaulicher Vorgaben voraussichtlich etwa 25 % höher als 2002. Während die Vorräte der Eiche und der ALn stagnieren, steigt der Vorrat bei den ALh stetig an. Der Gesamtvorrat von Fichte und Kiefer nimmt bis einschließlich 2022 leicht ab. Ab 2022 wächst ein Großteil dieser Nadelholzbestände in die Hiebsreife und der Vorrat nimmt ab diesem Zeitpunkt bis zum Ende der Simulation stetig ab. Bis zum Jahr 2042 wird der Holzvorrat der Fichten- und Kiefernbestände voraussichtlich um jeweils ein Drittel zurückgehen. Trotz einer Verdreifachung ihres Vorrates spielt die von einem niedrigen Ausgangsvorrat kommende Douglasie auch 2042 weiterhin nur eine untergeordnete Rolle in der Projektregion. Dieser Vorratszuwachs ist fast ausschließlich durch den hohen Zuwachs der bereits etablierten, zum Start der Simulation überwiegend jungen Bestände begründet. Die Lärche spielt ebenfalls nur eine untergeordnete Rolle in der Region. Ihr Vorrat stagniert auf einem relativ niedrigen Niveau. Der Gesamtholzvorrat wird in den kommenden Jahren voraussichtlich zunächst stagnieren und ab 2032 leicht sinken.

Der laufende jährliche Holzzuwachs je ha der Fichte liegt im bundesdeutschen Durchschnitt über alle Altersklassen etwa 50 % über dem laufenden jährlichen Zuwachs der Buche (TI, 2014). Die Waldumwandlung von Fichten- in Buchen- und in Mischbestände wird demnach nicht nur zu einer Verringerung der durchschnittlichen Bevorratung in der Projektregion führen, sondern langfristig auch das Zuwachsniveau und somit das Rohholzpotenzial insgesamt senken. Das voraussichtliche Nutzungspotenzial der Buche stagniert zunächst bis 2031 auf einem Niveau von ca. 4 Mio. Vfm und steigt danach auf 4,8 Mio. Vfm an. Der Vorratsabbau in den vorratsreichen Nadelholzaltbeständen wird im Simulationszeitraum zu einer Erhöhung des Fichten Rohholzaufkommens führen. Hierbei wird vor allem hiebsreifes Stammholz aus den Endnutzungen anfallen.

Das gesamte Nutzungspotenzial in der Projektregion steigt deshalb in der Simulationsperiode stetig um etwa 3 % je Jahrzehnt an. Hierbei werden neben unveränderten waldbaulichen Konzepten auch das Ausbleiben von Großschadereignissen oder Ausweitungen der Schutzgebietskulisse unterstellt.

2.4 Konsequenzen für die Nutzung von Buchenholz

In der vorgestellten Projektregion hat die Laubholzwirtschaft eine große Bedeutung. Das Buchenrohholzpotenzial ist nicht nur hoch, sondern aufgrund des hohen Buchenwaldanteils (Abbildung 2.2) und dessen relativ ausgeglichenen Altersklassenaufbaus (Abbildung 2.3) gut sortiert. Ohne lange Transportwege sind alle holzwirtschaftlich relevanten Rohholzdimensionen verfügbar.

Da die Wertschöpfung beim Stammholz am höchsten ist, zielt die Buchenwirtschaft auf eine möglichst hohe Stammholzausbeute ab (Nagel & Spellmann, 2008). Dieses Stammholzpotenzial steht in den vorratsreichen Altholzbeständen der Projektregion zur Verfügung und ein nachhaltiger Nachschub ist durch die ausreichenden Flächen der mittleren Altersklassen zwischen 81
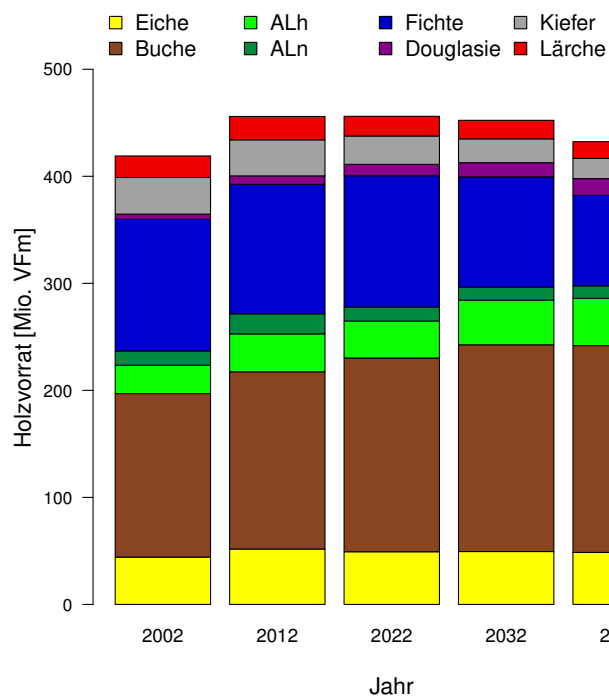
Abbildung 2.6: Entwicklung des Gesamtvorrates nach Baumartengruppe in der Projektregion. Die Gesamtvorräte der Jahre 2002 und 2012 wurden aus den BWI Daten berechnet. Die Vorräte ab 2022 wurden mit der Waldwachstumssimulationssoftware *WaldPlaner* prognostiziert.
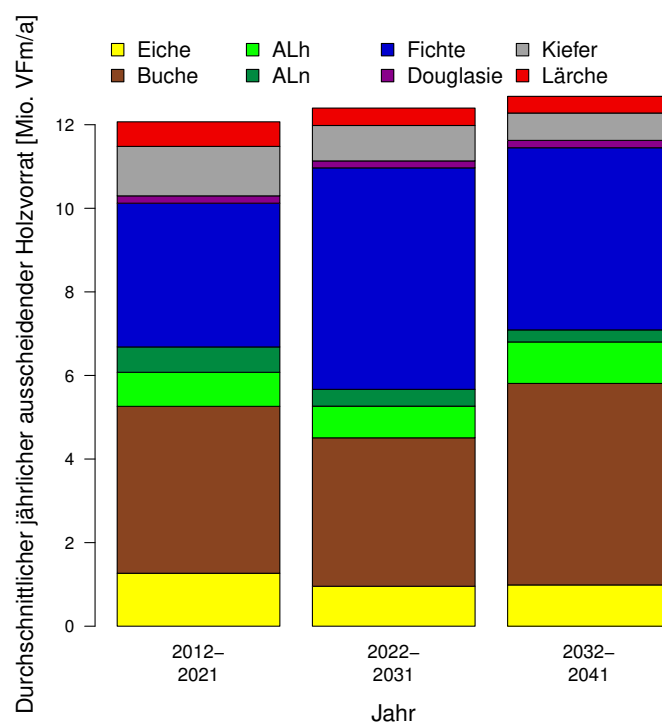
Abbildung 2.7: Simulierte Entwicklung des Rohholzeinschlags nach Baumartengruppe in der Projektregion. Die Vorräte wurden mit der Waldwachstumssimulationssoftware *WaldPlaner* prognostiziert.

und 100 Jahren auch in Zukunft sichergestellt. Des Weiteren ist das Potenzial der schwächeren Holzsortimente, insbesondere bei der Buche, nicht zu unterschätzen. Industrieholz als Koppelprodukt der Stammholzernte und als Vornutzungsmaterial aus den jüngeren Beständen unter 80 Jahren gewährleistet die Rohstoffversorgung der Zellstoff- und Holzwerkstoffindustrie sowie der Heizkraftwerke und des Hausbrandes mit schwächer dimensionierten Sortimenten. Die homogene räumliche Verteilung der Eigentumsarten mit relativ großen Privatwaldbetrieben lässt auf eine effektive Laubrohholzbereitstellung mit geringen regionalen Unterschieden schließen. Nicht zuletzt aus diesem Grund sind auch viele der deutschen Laubholzsägewerke in dieser laubbaumreichen Region konzentriert (Ochs et al., 2007).

Das um alters- und schutzstatusbedingte Nutzungseinschränkungen bereinigte, nachhaltig nutzbare Buchenrohholzpotenzial der Projektregion wurde zwischen 2002 und 2012 fast komplett genutzt, wobei knapp drei Viertel der anfallenden Menge von der Säge- und Holzwerkstoffindustrie aufgenommen wurde. Die Unternehmen der Holzindustrie nutzen den zur Verfügung stehenden Holzzuwachs im Laubholz demnach zurzeit sehr effektiv. Größere zusätzliche Nutzungspotenziale lassen sich bei der Buche kurzfristig allenfalls durch eine Intensivierung der Holznutzung in den Beständen über 140 Jahren erschließen. In diesen Altholzbeständen ist oft kein weiterer Anstieg der Wertschöpfung zu erwarten. Jedoch muss gerade in diesen Altholzbeständen berücksichtigt werden, dass die Verjüngung der nächsten Waldgeneration sichergestellt ist und dass naturschutzfachliche Aspekte beachtet werden. Weitere Nutzungspotenziale für die Holzwerkstoff- und ggf. die Chemieindustrie liegen im Energieholzbereich. Wenn die Wertschöpfungskette einen konkurrenzfähigen Holzpreis oberhalb des lokal sehr unterschiedlichen Energieholzpreises erlaubt, könnten Teile des bisher direkt energetisch genutzten Holzvolumens einer höherwertigeren Verwendung zugeführt werden und je nach Nutzungsform durch Kaskadennutzung teilweise am Ende der Produktlebensdauer energetisch verwendet werden (Rüther et al., 2007). Die angespannte Konkurrenzsituation beim Buchenindustrieholz, welche sich durch die hohe Nachfrage nach Holz als Energieträger (Mantau, 2012) und der Etablierung neuer Geschäftsfelder, wie der Bioökonomie (McCormick & Kautto, 2013), begründet, spiegelt sich in der Verdopplung des jährlich durchschnittlichen Buchenindustrieholzpreises in Deutschland seit 2005 wider (DESTATIS, 2016). Aufgrund dieses stetigen Anstiegs setzen die Industrieholzverbraucher in der Projektregion immer stärker auf internationalen Holzimport und Altholzankauf. Der milde Winter, die Verfügbarkeit von Landschaftspflegeholz und die niedrigen Öl- und Gaspreise führen aktuell zu einer Verringerung der Nachfrage nach Industrieholz als Energieträger. Zurzeit ist neben einer Entspannung auch ein Überhang an heimischem Buchenindustrieholz zu beobachten. Dieses spiegelt sich jedoch noch nicht im Jahresdurchschnitt der Holzpreisstatistiken wider.

Viele der erntereifen Kiefern- und Fichtenreinbestände werden im Simulationszeitraum voraussichtlich zu Laubbaum- oder Mischbeständen überführt. Dieser Trend lässt sich seit 2002 aus den BWI Daten ablesen (Fischer & Husmann, 2016) und wird voraussichtlich in der Simulationsperiode noch andauern (ML, 2004; BMEL, 2011). Die prognostizierte Verschiebung des Vorrates hin zu mehr Laubbaumarten (Abbildung 2.7) spiegelt also die Konsequenzen aus der aktuellen Waldpolitik wider. Da der Volumenzuwachs in Laubbaumbeständen meist deutlich geringer als in Nadelbaumbeständen ist, tragen die neubegründeten Laub- und Mischwälder im Durchschnitt weniger zum Vorratsaufbau bei als die reinen Nadelwälder, aus denen sie hervorgegangen sind. In der Projektregion verläuft der Vorratsaufbau der Buche deshalb langsamer als

der Vorratsabbau der Fichte und Kiefer, was zur Stagnation und letztlich zur leichten Abnahme des gesamten Holzvorrates in der Projektregion führen wird.

Da sich die Struktur des Holzmarkts in der Vergangenheit stetig verändert hat (Ochs et al., 2007) und durch die Etablierung neuer Geschäftsfelder auch aktuell im Wandel ist (McCormick & Kautto, 2013), gestalten sich Prognosen über die Zukunft des Holzmarktes sehr schwierig. Aus diesem Grunde wurden keine Annahmen zur Entwicklung der Holznachfragemenge getroffen. Aus den Auswertungen wurde lediglich klar, dass das Holzpotenzial zwischen 2002 und 2012 weitestgehend ausgeschöpft wurde. Durch die mittelfristige Erhöhung des Nadelholzangebots wird sich das Gesamtrohholzpotenzial zunächst erhöhen. Bedingt durch den fortschreitenden Umbau der Nadelholzbestände in Misch- oder Laubholzbeständen folgt diesem voraussichtlichen mittelfristigen Anstieg jedoch ein stetiger Rückgang des Rohholzangebotes. In der Projektregion Bei zukünftigen Investitionen oder Fördermaßnahmen muss deshalb unbedingt beachtet werden, dass die sich abzeichnende Erhöhung des gesamten Rohholzangebots nur eine zeitlich begrenzte Phase ist. Die Implementation zusätzlicher Schutzgebiete würde das Rohholzpotenzial zusätzlich reduzieren.

Danksagung

Chapter 3

Biomass functions and nutrient contents of European beech, oak, sycamore maple and ash and their meaning for the biomass supply chain

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– Sabine Rumpf performed the nutrient efficiency analysis and coordinated the field work.

– Jürgen Nagel supported writing of the manuscript and the review process.

Abstract

Woody biomass from forests has great potential to provide a continuous and largely carbon-neutral raw material supply for the bio-based industry. As the demand for forestry products is already very high and steadily increasing, the question arises how to match the limited available wood resources to the growing demand for raw materials. Thus, there is an initial need to properly estimate the available biomass from forests. The success of a bio-based industry depends on an accurate forecast of the raw material flow coming from the forests for the entire biomass supply chain up to the industrial processing stage. Using easily measured input data, e. g. the tree diameter at breast height, biomass functions allow for a reliable prediction of tree species- and tree fraction-specific single-tree biomasses. In combination with nutrient content data, the site specific ecologically sustainable level of forestry use can be assessed and the site-specific wood utilization potential can be fully exploited.

Biomass functions for the main tree species can be found in the literature. For other tree species, like sycamore or ash, however, there are only very specific studies available. As the wood potential of especially those species is recently often unused, goal of this study is to develop biomass functions and nutrient contents for European beech, oak, ash and sycamore for the fractions stem wood, bark, branches, and twigs.

For this purpose 139 trees were destructively sampled. Their single tree biomasses and nutrient contents were examined. This data was then used in a regression analysis to build generalized tree species- and tree fraction-specific biomass functions and nutrient contents for northern and central Germany. We showed that the sycamore and ash biomass functions differed significantly from those of European beech and oak. Using oak biomass functions for the biomass estimation of sycamore and ash, as it is practiced today, leads to a massive overestimation of the standing biomass in a test site up to 11 % (21 tons / ha respectively).

The share of species-rich broadleaf forest stands, and thereby the importance of tree specific biomass functions, is increasing. The introduced models can help to exploit the huge biomass potential of those deciduous stands.

Keywords

Highlights

- Effectivity of biomass supply chains depend on reliable biomass estimation.

- The wood potential of long-living tree species is recently often unused.

- Biomass models for sycamore maple and ash can help gathering this potential.

3.1 Introduction

Biomass from forests has real potential to provide a continuous and largely carbon-neutral supply of material to the bio-based industry sector and can therefore make a significant contribution

to a clean bio-based industry. Especially small dimensioned wood has huge potential for use in bio-refineries. Ekman et al. (2013) showed in Sweden that previously unused scrap wood can be used for the extraction of high quality chemical substances, such as bio-oils or antioxidants for use in the food or cosmetics industries. Supply of biomass from forestry can drive the economic growth of the entire bio-based chemical industry and make it competitive in the long-term, especially if wood fractions that have up to now been used as fuel wood are included. Innovative industries, such as the nanofiber or biochemistry industries, are increasing the demands on the forestry product-pool. The forest-based bio-economy is already an integral part of the global forestry sector (Hurmekoski & Hetemäki, 2013). The European bio-based industry is currently a growing sector, with Germany playing a leading role (Hennig et al., 2016).

The global forestry industry is currently undergoing a process of change. The use of wood as raw materials in Germany has increased considerably in the last decades Mantau (2012). Changes in government energy policy and the development of new technology led to development of new markets, in particular for small dimensioned wood (Geldermann et al., 2016; McCormick & Kautto, 2013). The demand for forestry products is steadily rising, increasing the competition for raw timber. The question then is how to match the available wood resource to the demand for raw materials.

Just as it is for classical forestry (Möhring, 1997), knowledge of the available potential biomass is the main prerequisite for a functioning bio-based industry (Hennig et al., 2016). Using wood means that the nutrients bound in the wood are removed from the forest ecosystem. The biomass potential of a forest can only be utilized to an extent that, in the long-term, won´t deplete the supply of plant available nutrients in the forest ecosystem. In order to be able to exploit the woody biomass potential for the bio-based industry, the limit of the utilisation extend from the forests stands must be known (Block et al., 2013; Pretzsch et al., 2014). Therefore, reliable estimates of the quantity of biomass to be harvested, as well as reliable estimates of the amount of nutrients contained in these biomasses are required.

Using easily measured input data, such as diameter at breast height (dbh) or tree height, biomass functions enable the prediction of single-tree biomasses. Tree species and tree-fraction specific estimations of the forest biomass supply can be made. Using these biomass functions coupled with nutrient content data, the nutrient export can be estimated. In this way an ecologically sustainable level of forestry use can be calculated and the site specific wood utilization potential can be fully exploited.

The success of the bio-based industry depends to a great extent on the ability to accurately forecast the flow of raw materials in the integrated biomass supply chain (Geldermann et al., 2016; How et al., 2016). Using biomass functions the relevant information for strategic operational decision-making can be generated for the entire biomass supply chain - from the forest stand to the industrial processing stage. Detailed biomass calculations can improve planning certainty along the entire value chain because the masses to be transported and those due at the factory gate can be forecasted very accurately. Biomass functions can therefore make an important contribution to increasing the planning capability, and thereby to cost reductions, in operative planning for forestry enterprises, wood logistics and wood industry firms.

Wood industry cluster studies on the availability of raw materials and on the market situation of the wood industry are the bases for the strategic orientation of the bio-economy industries (McCormick & Kautto, 2013). By using supply analyses and material flow simulations together

with biomass functions decision support models can be parameterised which enable, for example, the computing of a continuous biomass supply chain (e.g. Rüther et al. (2007); Wördehoff et al. (2011); Mantau (2012)).

Responsible biomass usage from forests has, next to its economic relevance, also very important social impacts. In 2006, under the terms of the Kyoto protocol, reporting of the carbon sequestration performance of forests became mandatory in Germany. The use of biomass functions is an integral part of this reporting process (Vallet et al., 2006; Tabacchi et al., 2011; Wördehoff et al., 2011).

In the literature there are numerous biomass functions (e.g. Grote et al. (2003); Cienciala et al. (2005); Pretzsch et al. (2014)) and nutrient content figures (e.g. (Augusto et al., 2000; Jacobsen et al., 2003; Weis & Göttlein, 2012; Pretzsch et al., 2014)) available for the tree species European beech (*Fagus sylvatica* [L.]), common oak (*Quercus robur* [L.]) and sessile oak (*Quercus petraea* [Matt.]). For sycamore maple (*Acer pseudoplatanus* [L.]) and ash (*Fraxinus excelsior* [L.]) however, there are only few functions available. All literature functions found either do not cover the entire relevant diameter spectrum (e.g. Albert et al. (2014); Alberti et al. (2005)) or do not allow fraction specific biomass estimation (Bunce, 1968).

The wood increment of long-term deciduous trees, which is the species group sycamore and ash belong to, was only used by 38 % between 2002 and 2012 (TI, 2014). This is certainly partially reasoned by the fact that reliable planning methods for long-term deciduous species are not available. The question then arises if the predictions of the woody biomass in these stands could be improved by using specific biomass functions and nutrient contents for sycamore and ash. Specific biomass functions for these species could help making the recently unused potential available for the bio-based industry.

The goal of this study is to develop biomass functions for European beech, oak, sycamore and ash by means of regression analysis, using data gathered in northern and central Germany. Functions are developed for the tree fractions stem wood (diameter > 7cm without bark), bark of stem wood, branches (1 - 7cm with bark), and twigs (< 1cm with bark). The differences in these biomass functions are examined at single-tree and stand level by means of a sensitivity analysis in an exemplary test stand. The nutrient content in the different tree fractions of the tree species studied are determined and used as the basis for quantifying the nutrient removal by harvesting. The amount of nutrients that are removed from the forest ecosystem is then determined by multiplying the nutrient content with the biomass.

3.2 Materials and Methods

With the goal of quantifying biomass and nutrient content 139 vital trees were studied (Table 3.1). The sample plots for beech and oak represented as many different growing areas and site conditions as possible. The high nutrient requirements of sycamore and ash meant that the sample plots for these species were exclusively on nutrient-rich, calcareous substrates. Per plot 2 - 4 trees were chosen (Figure 3.1). Both within each sample site, and across the plots as a whole, the aim was to collect trees from a wide and evenly distributed diameter range.
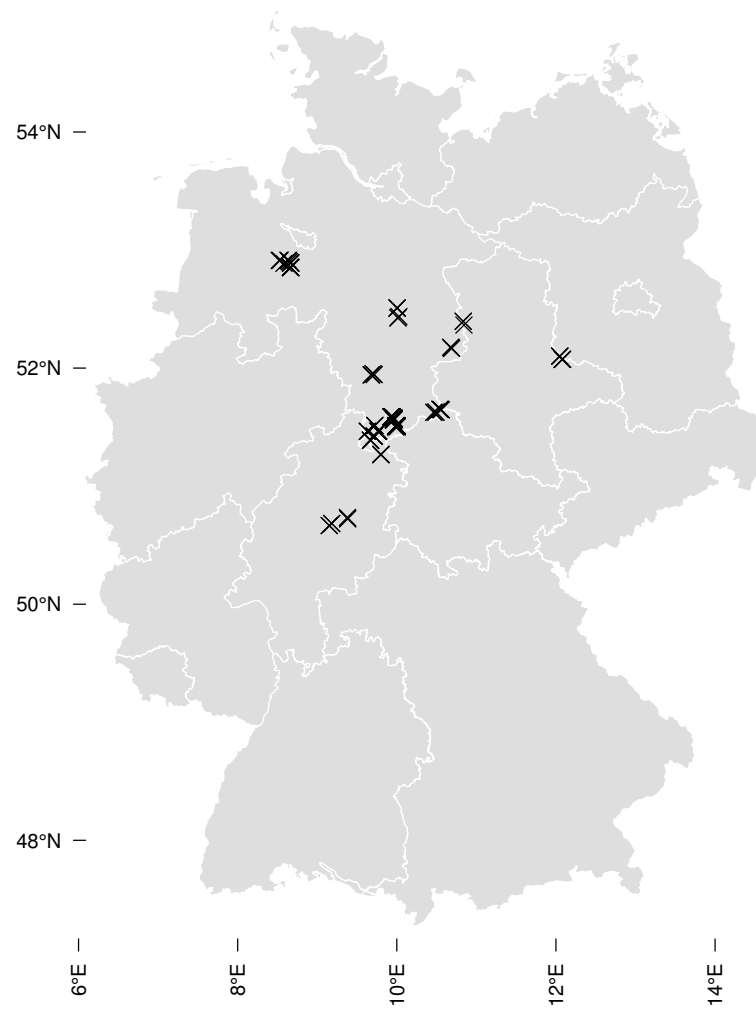
Figure 3.1: Locations of the 54 sampled plots. Source of the background map: FACG (2014).

Table 3.1: Descriptive statistics of the sampled trees.

		oak	European beech	ash	sycamore
	number of trees	40	37	37	25
dbh [cm]	minimum	8.00	8.00	9.10	12.00
	mean	35.40	32.50	31.90	28.20
	std. dev.	23.70	17.14	17.30	10.40
	maximum	95.40	66.40	75.60	56.10
height [m]	minimum	9.60	15.30	14.40	15.20
	mean	22.10	24.90	25.60	22.60
	std. dev.	6.90	6.65	6.70	4.25
	maximum	32.00	35.25	38.50	31.80
age [a]	minimum	25	21	34	33
	mean	86	84	74	51
	std. dev.	54	44	37	23
	maximum	190	180	153	118

3.2.1 Data sampling and sample processing

Dbh, height at crown base and tree height were measured for each tree. The fraction volumes of the trees were determined using randomized branch sampling (RBS). RBS is an efficient and bias free sampling method for estimating tree fractions (Saborowski & Gaffrey, 1999; Gregoire & Valentine, 2008). Since this method was firstly described Jessen (1955) it has been used in other studies, including those from Valentine et al. (1984), Gaffrey & Saborowski (1999) and Affleck & Gregoire (2015). This multi-stage sampling method assumes proportionality between the target quantity and an easily measurable proxy. Because an allometric relationship exists between branch volume and branch base diameter (West, 1999), the RBS method makes it possible to estimate the wood volume by measuring only a subset of branch lengths and branch diameters in the tree crowns. The stem form was assessed by section-wise diameter measurements at certain tree heights up to the crown base. In order to determine the specific bulk density and nutrient contents, up to 12 samples, covering all diameters of the tree, were collected per tree using the Importance Sampling (Gregoire & Valentine, 2008).

Half of the samples were measured and weighted in fresh state and, after several days drying at 103 °C, in absolute dry condition in order to determine the bulk density [kg biomass (dry) / m^3 wood volume (fresh)] (Rademacher et al., 2011). For all stem wood samples (diameter > 7cm) the bark was separated from the wood before drying. From this samples tree species and tree fraction specific bulk density coefficients were calculated. The fraction volumes, which were previously estimated using the RBS method, could then be converted into biomasses using these bulk density coefficients. The other half of the samples underwent a chemical analysis in order to determine their nutrient concentrations. In our sample preparation and analysis we followed the widely used method by König & Fortmann (2012b,a). In order to ensure comparability between all studied tree species, only European beech and oak samples from sample plots on nutrient-rich substrates were considered for the chemical analysis.

3.2.2 Biomass functions

In order to parameterize tree species and tree fraction dependent biomass functions the single-tree biomass information was analyzed by regression analysis. The biomass functions were estimated using nonlinear Generalized Least Squares Estimation. The exponential function used in Hochbichler et al. (2006) (Equation 3.1) was chosen as the model type (Rumpf et al., 2011). The validity of each model was tested via visual analysis of the weighted model residuals including a comparison with theoretical residuals (quantile-quantile-analysis). Furthermore the bias of each model was calculated as the mean of the model residuals.

$$\hat{Y}_i = \exp\left(\alpha + \beta\,ln(dbh_i) + \gamma\,ln(h_i)\right)\varepsilon_i \tag{3.1}$$

One general assumption in regression analysis is the independence of the model errors ε_i. Because this assumption is probably not met for the tree fractions within a tree species, a model distortion due to correlation between the covariates (collinearity) is possible. Not taking this collinearity into account can influence the results of a regression and thereby limit the model validity (Graham, 2003). In order to estimate the magnitude of the error resulting from collinearity, in addition to the single model variances $var(\hat{y}_i)$, combined model variances per tree species $\hat{\bar{y}}$ were calculated (Parresol, 2001). This combined model variance per tree species consists of the single model variances $var(\hat{y}_i)$ and the model co-variances $cov(\hat{y}_i, \hat{y}_j)$ between the fraction functions for a respective tree species (Equation 3.2). The correlation between two fractions was estimated using a linear correlation coefficient of the measured biomasses.

$$var\left(\hat{\bar{y}}\right) = \sum_{i=1}^{c} var\left(\hat{y}_i\right) + 2\sum_{i<j}\sum cov\left(\hat{y}_i, \hat{y}_j\right)$$

Where c = Number of biomass functions,

$$cov\left(\hat{y}_i, \hat{y}_j\right) = \hat{\rho}_{\hat{y}_i,\hat{y}_j}\sqrt{var\left(\hat{y}_i\right)\,var\left(\hat{y}_j\right)},$$

and $\hat{\rho}_{\hat{y}_i,\hat{y}_j}$ = estimated correlation between fractions y_i and y_j. $\tag{3.2}$

The multiplicative error term ε_i of the nonlinear biomass function (Equation 3.2) implies an increasing variance with increasing covariate dimension. We quantified the resulting heteroscedasticity by parameterizing a power function with the model residuals over the fitted values. This function was then used to weight the residuals of the actual fit. Thus, neither the variances of the distinct biomass functions $var(\hat{y}_i)$ nor the combined model variance $var(\hat{\bar{y}}_i)$ showed heteroscedasticity.

In order to make the single model variances $var(\hat{y}_i)$ comparable to each other, to the variances of other biomass functions in the literature and to the combined model variances per tree species $var(\hat{\bar{y}}_i)$, dimensionless coefficients of variation for each model i were calculated (Equation 3.3), where j is the index for the observed tree. These coefficients of variation were also calculated for the combined model error $v(\hat{\bar{y}}_i)$. $v(\hat{y}_i)$ and $v(\hat{\bar{y}}_i)$ thus represent the normalized deviation of the models. They are calculated as the quotient of the deviation and the estimated response. This normalization is advantageous since it scales every residuum by its expected dimension thereby making it easily interpretable and comparable. The absolute deviation would, due to the heteroscedasticity, increase with increasing dimension of the response y_{ij}.

Table 3.2: Tree layer specific parameters of the test site. Growth region: Middle German Trias High and Hill Land. Growth district: Göttingen Forest. Altitude: 340 m. hm: Height of stem of mean basal area. dm: Diameter of stem of mean basal area.

tree species	age	hm [m]	dm [cm]	stand volume [m³ ha⁻¹]
European beech	76	23.3	27.6	164.0
European beech	20	14.9	11.2	4.8
ash	71	28.7	35.2	73.3
sycamore	76	24.3	23.6	18.7

$$v\left(\hat{y}_i\right) = \frac{1}{N_i - 1} \sqrt{\sum_{j=1}^{N_i} \left(\frac{y_{ij} - \hat{y}_{ij}}{\hat{y}_{ij}}\right)^2} \qquad (3.3)$$

where i denotes the fraction and j the observed tree. N_i is the number of observations in fraction i. The entire regression analysis was performed using with the R package *nlme* (Venables & Ripley, 2002). Additionally, we calculated the likelihood-ratio based pseudo-r-squared for each model using *MuMIn* (Barton, 2016).

To enable a comparison between the biomass functions for the different tree species 95 % confidence intervals were computed for European beech and oak using bootstrapping (DiCiccio & Efron, 1996). To do this every regression model for these two species was repeated 1,000 times using sub-samples of the original data which were selected randomly by drawing with replacement. In order to prevent the sample size influencing the width of the confidence intervals, the number of samples in every repetition matched the actual number of samples. All analyses were performed using the R software R Core Team (2016).

3.2.3 Sensitivity analysis

To analyze the behavior of our models, the biomass functions were applied on a real forest site. This site was chosen for testing purposes only. The trees of the site were not included in the regression analyses. The research site is located ca. 15 km east of the city of Göttingen. It is a mixed stand with European beech, sycamore and ash, which is typical for this region. The site is on a sun exposed slope with a stony substrate consisting of the products of limestone weathering overlain by a thin layer of loess (Table 3.2). It has a good nutrient and a good water supply.

Based on this test site, 5 simulated test sites, differing in their species composition, were generated. For this, the proportions of the 3 tree species in the real stand were modified using the *WaldPlaner* forest simulator (Hansen & Nagel, 2014). With this software we randomly cloned original trees from the test site until the target mix ratio was achieved.

3.2.4 Nutrient contents

To consider site sustainability is to ask the question - how to best manage the scarce nutrient resources available? To do this, the nutrient response efficiencies of the distinct species and

fractions appear to be a reasonable (Henderson et al., 2012). The nutrient response efficiency (Vitousek, 1982) tells us how much carbon [kg] can be bound by a plant per 1 kg of applied nutrients. According to Vitousek (1982), we define the response efficiency as the inverse of the element concentration of the biomass. It is the ratio of carbon to the other mineral nutrients. The tree and fraction specific nutrient response efficiency of each nutrient is thus calculated by dividing the carbon concentration by the respective nutrient concentration in the tree fractions. It determines how much nutrient must be assimilated to grow a certain amount of biomass. Trees with high nutrient response efficiency need less nutrients to grow the same amount of biomass in the respective fraction than a plant with lower nutrient response efficiency. The total tree nutrient response efficiency was calculated by dividing the total tree concentration of carbon, the sum of all 4 fractions, by the total concentration of the respective nutrient. From the samples that were chemically tested, the average nutrient response efficiencies per tree species and were calculated. This was achieved by calculating the mean nutrient response efficiencies per tree species from the single-tree values.

3.3 Results

3.3.1 Biomass functions

The numbers of parameters in the biomass functions were determined by Akaike Information Criterion (AIC) Akaike (1981). By including tree height in the models for stem wood and bark the AIC scores were lowered markedly. This was observed for all species. In those cases, where tree height had a significant influence on the biomass, additional models were calculated with the dbh as the only independent variable. As a consequence of this, for each of the tree species there is an easily applicable dbh model available for each function. The coefficients of variation $v(\hat{\bar{y}}_i)$ and $v(\hat{y}_i)$ allowed a direct comparison of the single and the combined variances. In those cases in which the tree height coefficient was significant the model coefficients of variation were markedly reduced by its inclusion. The coefficients of variation fall into two groups (Table 3.3). The coefficients of variation for the functions of stem wood and bark of the stem wood are clearly smaller than those for branches and twigs. Even if the height is not included $v(\hat{y}_i)$ of the stem wood and bark models is substantially smaller than $v(\hat{y}_i)$ of the branches and twigs.

Altogether $v(\hat{y}_i)$ ranged from 0.02 to 0.28. With values between 0.03 and 0.04, the combined model coefficients of variation when collinearity is taken into account (Equation 3.2) were always small. The combined $v(\hat{\bar{y}}_i)$ were calculated from the respective best models (the models with height parameter for stem wood and bark). The combined model coefficients for the European beech, oak and ash models were very close to the coefficients for stem wood and stem wood bark. Although there were correlations between fractions, these were higher for models with low variance. Accordingly the combined model coefficients of variation for European beech, oak and ash were low. Only the sycamore model showed considerable difference between the combined model variation coefficients and the variation coefficients of stem wood and bark of the stem wood. This is explained by the relatively high correlation between the stem wood biomass with the branch and twig biomasses. Despite this, because the coefficients of variation for the sycamore stem wood and bark models are relatively low, the combined model coefficients of variation are approximately the same as those for European beech and oak. As the residuals

Table 3.3: Coefficients and standard deviation of the biomass functions (Equation 3.1) for the tree species European beech, oak, ash and sycamore including a combined model error (Equation 3.2) for each species. $v(\hat{y}_i)$: Coefficient of variation. r^2_{LR}: likelihood-ratio based pseudo-r-squared.

species	N	fraction	α	β	γ	AIC	$v(\hat{y}_i)$	r^2_{LR}
oak	41	combined model error					0.040	
		stem wood	-5.6509	1.9222	1.6316	435.9	0.039	0.998
			($\pm$0.354)	($\pm$0.102)	($\pm$0.211)			
		bark	-6.3130	1.7037	1.5738	310.3	0.039	0.997
			($\pm$0.348)	($\pm$0.102)	($\pm$0.209)			
		stem wood	-2.8992	2.5924		468.2	0.050	0.997
			($\pm$0.205)	($\pm$0.057)				
		bark	-3.6611	2.3505		340.7	0.049	0.995
			($\pm$0.201)	($\pm$0.056)				
		branch	-1.3987	1.5827		377.1	0.131	0.975
			($\pm$0.332)	($\pm$0.114)				
		twig	-3.1298	1.6758		307.9	0.201	0.891
			($\pm$0.657)	($\pm$0.201)				
beech	38	Combined model error					0.036	
		stem wood	-4.5238	2.1778	1.0373	414.5	0.037	0.996
			($\pm$0.393)	($\pm$0.088)	($\pm$0.196)			
		bark	-6.0328	1.9511	0.9515	221.1	0.035	0.995
			($\pm$0.362)	($\pm$0.080)	($\pm$0.183)			
		stem wood	-2.5687	2.5852		438.1	0.049	0.993
			($\pm$0.193)	($\pm$0.056)				
		bark	-4.2350	2.3230		242.2	0.043	0.992
			($\pm$0.175)	($\pm$0.051)				
		branch	-1.1673	1.5580		349.5	0.117	0.897
			($\pm$0.340)	($\pm$0.110)				
		twig	-3.4372	1.6993		282.5	0.283	0.802
			($\pm$0.839)	($\pm$0.271)				
ash	37	Combined model error					0.026	
		stem wood	-4.3728	1.9730	1.1765	374.2	0.023	0.999
			($\pm$0.157)	($\pm$0.050)	($\pm$0.092)			
		bark	-6.8483	1.9737	1.2909	256.8	0.032	0.997
			($\pm$0.341)	($\pm$0.092)	($\pm$0.180)			
		stem wood	-2.4182	2.5144		426.9	0.039	0.996
			($\pm$0.189)	($\pm$0.053)				
		bark	-4.3601	2.4730		289.4	0.045	0.994
			($\pm$0.237)	($\pm$0.064)				
		branch	-2.1015	1.8858		330.7	0.074	0.969
			($\pm$0.286)	($\pm$0.087)				
		twig	-3.3426	1.6436		242.0	0.174	0.857
			($\pm$0.657)	($\pm$0.204)				

species	N	fraction	α	β	γ	AIC	$v(\hat{y}_i)$	r^2_{LR}
sycamore	25	Combined model error					0.039	
		stem wood	-4.1220	2.0364	0.9797	225.1	0.029	0.997
			(±0.274)	(±0.082)	(±0.163)			
		bark	-5.8308	1.8880	0.9918	118.2	0.030	0.996
			(±0.274)	(±0.083)	(±0.165)			
		stem wood	-2.4235	2.4461		249.5	0.046	0.992
			(±0.215)	(±0.064)				
		bark	-4.1984	2.3299		141.9	0.047	0.991
			(±0.212)	(±0.064)				
		branch	-3.5005	2.1777		211.7	0.160	0.916
			(±0.593)	(±0.190)				
		twig	-5.6275	2.3005		147.9	0.252	0.893
			(±0.932)	(±0.298)				

of each model as well as all biases were not trending and each bias was near 0, it can be assumed that all models are valid. The highest relative bias found amounted only 1.8 % of the mean expectation.

A comparison of the biomass models should show whether separate biomass functions for sycamore and ash are necessary. For this purpose confidence intervals were generated for the European beech and oak functions (Figure 3.2). We chose the 2-parametric functions with dbh as only descriptive variable for the model comparison. For stem wood there was no overlap across the whole spectrum of dbh. The curves of the stem wood functions of the 4 tree species ran more or less equidistant from one-another, with the European beech stem wood function lying above those of all other species. The lower confidence limit for the European beech stem wood function lay very near to the expected value. The European beech confidence interval had therefore no overlap with the other biomass functions. Although the oak stem wood function ran between the sycamore and ash functions, there was also no overlap with the other stem wood functions because the confidence intervals were comparatively narrow.

For the bark models there were also no areas of overlap between the graphs. The bark biomass functions could be separated into 2 groups. The graph of the sycamore bark biomass function ran very near to that of European beech. Due to the relatively large data pool and the small data variance, the confidence intervals for the European beech models were very narrow so, despite the proximity on the graph, there was no overlap with the sycamore function. The bark biomass functions for ash and oak lay almost twice as high on the graph as those of European beech and sycamore. The confidence interval of the oak function was much wider than the European beech confidence interval. The distance between the oak and ash functions is, however, so large that there was no overlap between the two.

The confidence intervals of the branch functions were altogether much wider than those of the stem wood and bark functions. The confidence interval of the European beech branch model enclosed the oak function and vice-versa. The sycamore function for branch biomass overlapped with the European beech confidence interval in the dbh range between 35 - 50 cm and with the oak function confidence interval in the range 30 - 45 cm. The graphs of the sycamore and ash branch biomass functions were, however, much steeper. Consequently there is a clear difference
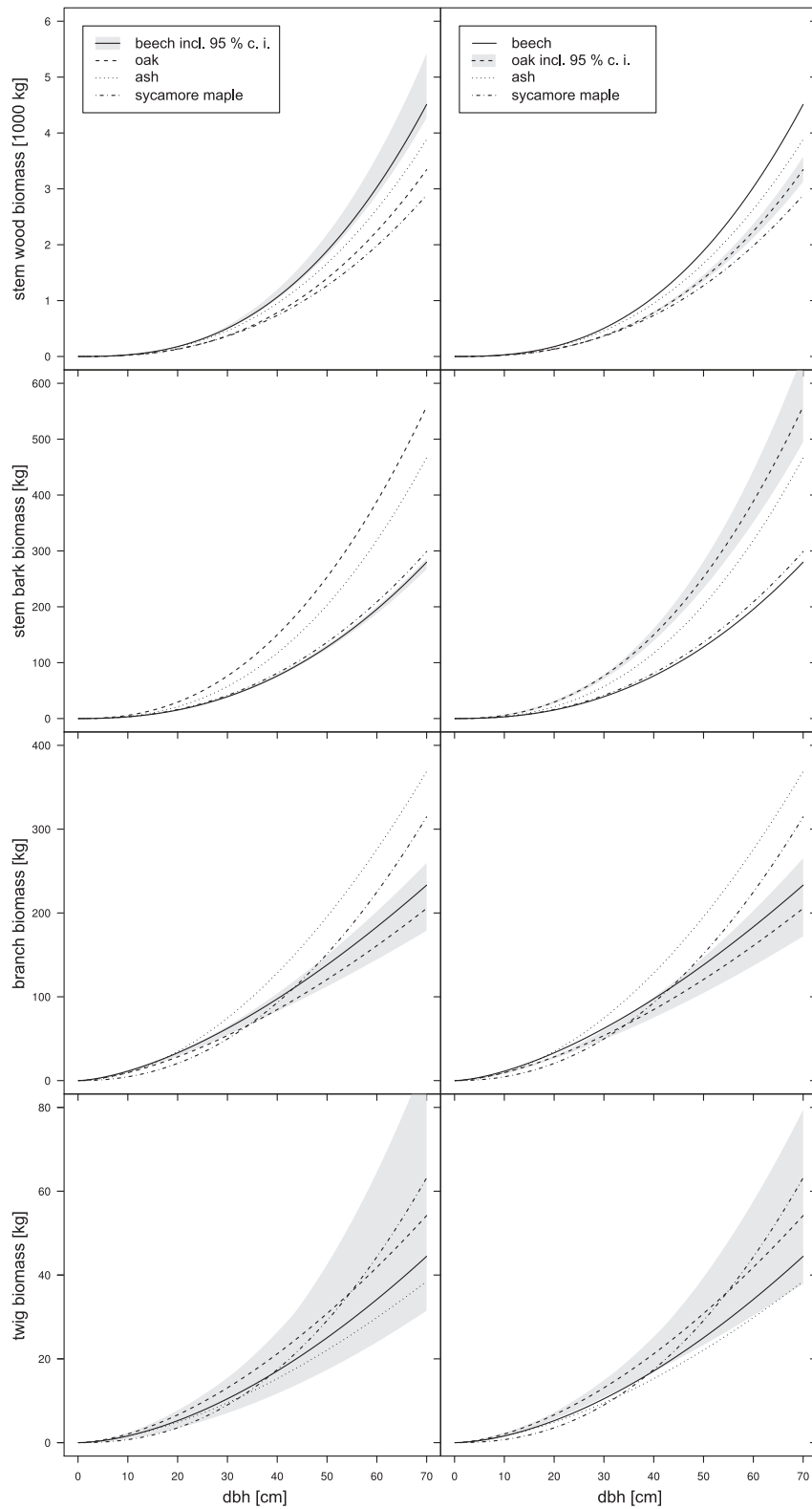
Figure 3.2: Regression of the biomass functions for European beech, oak, ash and sycamore over dbh. The left column includes a 95 % confidence interval for the European beech regression function. The right column shows the same regression functions including a 95 % confidence interval for the oak function.

between the sycamore and ash branch models to the European beech and oak models.

The graphs of the 4 twig biomass models were indistinguishable over most of the value range. The confidence intervals of these functions were very asymmetric and even wider than the branch function confidence intervals. The confidence interval of the European beech function was the widest and enclosed all the other functions across the whole diameter range. The confidence interval of the oak function was slightly narrower and enclosed the European beech and sycamore functions from a dbh of ca. 40 cm and higher. The function graph of the sycamore function ran within the confidence intervals of both European beech and oak over much of the dbh value range. It was, however, much steeper than all other models. The graph of the ash function lies close under that of the European beech function. Consequently, the twig functions are mostly indistinguishable by means of the confidence interval analysis although their curvature is partially different.

The proportion of stem wood in the tree biomass increased disproportionately high with increasing dbh. For the oak functions the stem wood percentage increased sharply at first, from 56 % by dbh 10 cm to 68 % by dbh 20 cm. By dbh 60 cm the stem wood share of the biomass was 79 % but did not increase much further after that. On average the stem wood share was 72 %. The proportion of the bark biomass was more or less constant at ca. 14 %. The share of branch as well as twig biomasses decreased with increasing dbh. The share reduced from 26 % to 5 % for branch and 4 % to 1 % for the twig biomass in the observed diameter range. The relationships between the tree fractions of the other tree species were comparable. The stem wood percentage for European beech increased from 78 % to 89 % in the diameter range 20 cm to 60 cm, that of sycamore from 77 % to 81 % and ash from 73 % to 81 %. For each tree species the stem wood share increases digressively and nears an asymptote. Above a dbh of ca. 60 cm the stem wood share in the tree species studied did not change much. The share of bark in the total biomass for European beech (6 %) sycamore (9 %), and ash (10 %) remained relatively constant. The share of biomasses in branches and twigs thus also decreased with increasing dbh for those 3 tree species.

3.3.2 Sensitivity analysis

In order to assess the magnitude of the effect that different biomass functions can have on results at the stand level, real and simulated test stands were used (Tables 3.2 and 3.4). The sum of the total aboveground biomasses for all trees in these stands was firstly calculated with the tree species specific biomass functions. Then, secondly, the sum of the total aboveground biomasses was again calculated using only the oak biomass functions for estimating biomasses of sycamore and ash trees. The full tree biomass at the stand level for the first test stand (proportion European beech: 75 %) was calculated to be ca. 200 t ha^{-1} when using tree specific biomass functions. Using oak biomass functions for sycamore and ash led to a 4 % overestimation of the stand biomass (ca. 7 t ha-1). The difference between the two calculation methods increased steadily with a decreasing proportion of European beech, reaching a maximum overestimation of 11 % (21 t ha^{-1}) for a stand with an equal tree species mixture. If the proportion of European beech was held constant, then the difference of the total aboveground biomass on stand level increased with a decreasing ash percentage in the stand. In every case the estimated total biomass at the stand level was lower when separate, species specific, biomass functions were
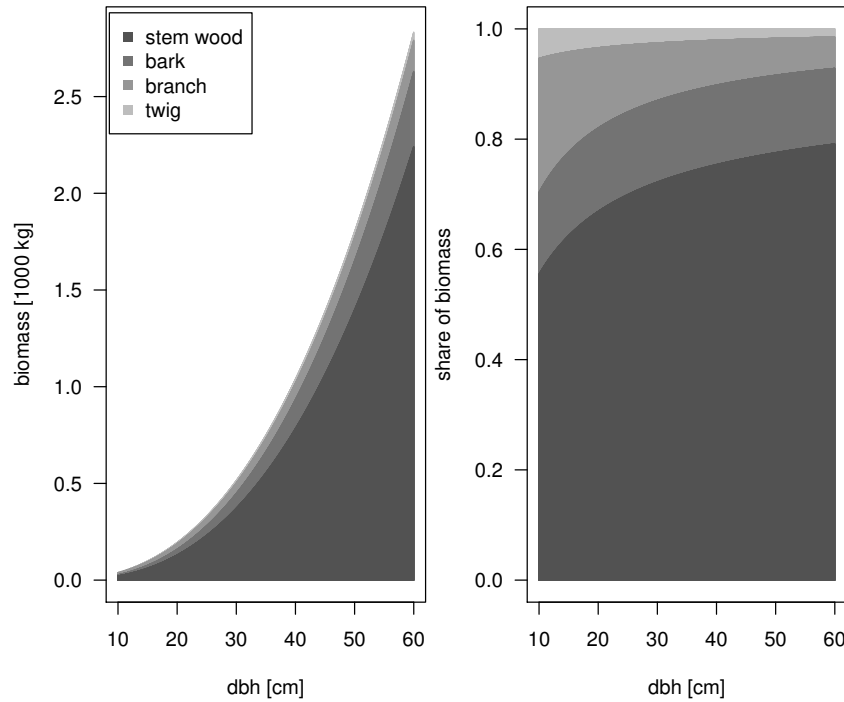
Figure 3.3: Biomass of the tree fractions in absolute scale (left) and relative to the total above-ground biomass (right) over dbh for oak.

used.

3.3.3 Nutrient contents

In our analysis, the nutrient contents differed particularly between the tree species. In order to examine significant differences, we performed a parametric one-way analysis of variance for each nutrient and fraction combination with 5 % significance level. The mean nutrients contents are listed in Table 3.5. All of the nutrient content data in the fraction and species groups were approximately normally distributed. For this, simple arithmetic group means are sufficient for data description and model building. This mean nutrients contents allows the tree and fraction specific calculation of the nutrients by multiplying its biomass with the respective element content from Table 3.5.

With ca. 500 g kg^{-1} (dry biomass) in stem wood, as well as in bark, carbon has the greatest share of any element content in the entire dry weight. The average carbon content lies between 475 g kg^{-1} and 509 g kg^{-1}, with slight differences between the tree species and fractions. In the stem wood sycamore differs significantly from beech while the carbon contents of other combinations do not differ significantly. In the bark fraction, ash and sycamore differ significantly from oak and beech. For sycamore and ash, the carbon content in the stem bark is a little lower than in the stem wood. The average nutrient contents, with the exception of a few calcium contents in the branches of sycamore and ash, were < 25 g kg-1. With few exceptions, the content of the various nutrients in wood can be ranked as follows: N > K > Ca > Mg > P

Table 3.4: Sum of total aboveground biomass on stand level for stands with differing share of species. The biomass is calculated with distinct tree species specific biomass functions and also with oak biomass functions for ash and sycamore.

share [%]			total aboveground biomass [t ha^{-1}]	
European beech	ash	sycamore	tree specific functions	oak functions for ash and sycamore
75	12	12	199.4	206.8
68	25	7*	201.6	208.6
68	16	16	199.0	210.1
68	7	25	194.5	206.9
50	25	25	197.3	213.1
33	33	33	188.1	208.8

*Original test site (Table 3.2)

= S. Ash has the largest potassium content (1.65 g kg^{-1}) of all 4 tree species. The potassium content in ash is throughout significantly higher than in all other examined species. In terms of the magnesium content, the trees can be separated into two groups. The mean content is significantly higher for sycamore and European beech than for oak and ash. Generally, the nutrient contents in bark are between 3 (N, P and K) and 25 (Ca) times higher than in wood. The concentrations of nitrogen, phosphor and sulfur in sycamore bark are always significantly higher than those of European beech and than those in the bark of oak and ash. The bark of ash has significantly lower nitrogen concentrations than the other species but higher potassium content.

The nutrient response efficiency per tree species was calculated for the European beech - broad leaf mixed test stand (Table 3.2). In Figures 3.4 and 3.5, the results for the respective tree species and tree fractions are shown. The nutrient response efficiencies for stem wood usage were calculated by dividing the carbon concentrations in the fractions stem wood and bark by the respective nutrient concentrations. Analogously, the nutrient response efficiencies for full tree usage were achieved by dividing the carbon concentrations of all 4 fractions by the particular nutrient concentrations. With reference to potassium, calcium and sulfur, European beech had the most efficient biomass production and, therefore, the most efficient carbon sequestration rate. Ash had the lowest nutrient efficiency for calcium and potassium, while phosphorus was used just as efficiently by ash as by European beech. With reference to magnesium, ash was the most efficient species and sycamore the least, while there was no real difference in efficiency between the 4 tree species with regard to nitrogen.

Because the branches and twigs are only used if the full tree is harvested, it seemed worth comparing the nutrient response efficiency of the stem wood biomass with that of the total aboveground biomass. The comparison revealed that the nutrient response efficiency of the total above ground biomass was always between 5 % and 10 % lower than that of the stem wood biomass. This trend can be observed for all examined tree species.

Table 3.5: Group mean and standard deviation of nutrient content [g kg^{-1}] for the tree species European beech, oak, ash and sycamore. N: Observed number of trees.

spec.	frac.	Ca	Mg	K	C	N	P	S
oak N=8	stem wood	0.729 (±0.592)	0.100 (±0.090)	1.131 (±0.362)	495.898 (±6.515)	1.895 (±0.736)	0.087 (±0.060)	0.126 (±0.038)
	bark	26.350 (±6.787)	0.768 (±0.401)	2.363 (±0.789)	484.346 (±45.123)	6.518 (±1.602)	0.276 (±0.090)	0.622 (±0.237)
	branch	6.347 (±2.882)	0.522 (±0.169)	1.954 (±0.223)	492.667 (±5.918)	5.165 (±1.362)	0.323 (±0.091)	0.333 (±0.115)
	twig	7.368 (±2.727)	0.813 (±0.379)	3.050 (±0.395)	504.286 (±7.683)	10.531 (±1.285)	0.769 (±0.089)	0.621 (±0.103)
beech N=18	stem wood	0.968 (±0.156)	0.302 (±0.132)	1.135 (±0.248)	493.686 (±6.100)	1.492 (±0.520)	0.100 (±0.056)	0.091 (±0.016)
	bark	22.738 (±7.651)	0.517 (±0.191)	2.351 (±0.413)	487.684 (±22.248)	6.855 (±1.370)	0.351 (±0.093)	0.331 (±0.053)
	branch	3.150 (±1.536)	0.371 (±0.140)	1.559 (±0.309)	493.113 (±7.705)	2.805 (±0.520)	0.243 (±0.124)	0.148 (±0.019)
	twig	6.883 (±2.839)	0.524 (±0.266)	2.989 (±0.569)	508.817 (±8.408)	8.427 (±1.039)	0.791 (±0.297)	0.479 (±0.054)
ash N=37	stem wood	0.823 (±0.148)	0.193 (±0.08)	1.654 (±0.313)	493.495 (±5.497)	1.448 (±0.342)	0.092 (±0.036)	0.113 (±0.044)
	bark	25.505 (±7.428)	0.657 (±0.165)	5.067 (±1.397)	477.649 (±10.354)	5.312 (±0.644)	0.291 (±0.065)	0.469 (±0.071)
	branch	4.815 (±2.138)	0.319 (±0.079)	2.524 (±0.521)	492.675 (±5.58)	2.988 (±0.647)	0.228 (±0.075)	0.245 (±0.061)
	twig	8.691 (±1.689)	0.83 (±0.202)	6.344 (±0.775)	491.191 (±5.982)	8.359 (±1.175)	0.769 (±0.202)	0.73 (±0.091)
syca-more N=25	stem wood	1.068 (±0.26)	0.322 (±0.129)	1.403 (±0.268)	497.572 (±3.725)	1.467 (±0.186)	0.111 (±0.021)	0.118 (±0.021)
	bark	25.184 (±7.479)	0.861 (±0.21)	3.784 (±1.027)	474.982 (±10.544)	7.737 (±1.502)	0.57 (±0.144)	0.772 (±0.134)
	branch	4.089 (±1.673)	0.491 (±0.122)	2.394 (±0.335)	493.285 (±4.084)	3.403 (±0.654)	0.318 (±0.068)	0.283 (±0.059)
	twig	9.668 (±3.011)	0.815 (±0.227)	3.889 (±0.79)	495.799 (±6.299)	9.948 (±2.602)	0.898 (±0.268)	0.709 (±0.137)

Figure 3.4: Nitrogen (N), calcium (Ca) and potassium (K) nutrient response efficiency for European beech, ash and sycamore when harvesting stem wood (including bark) only in comparison to a full tree usage.
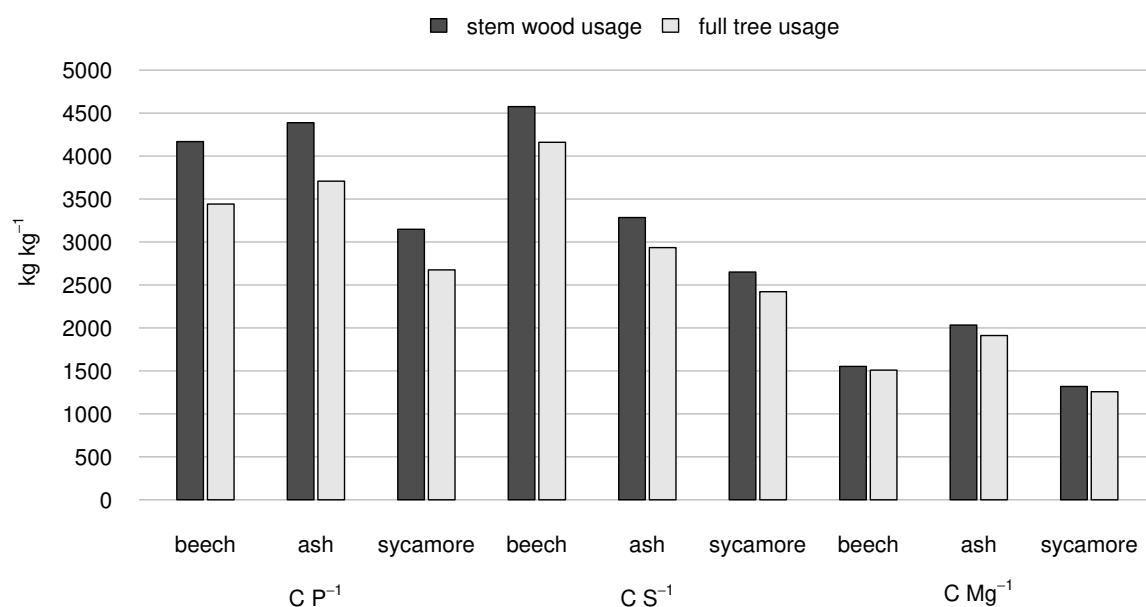
Figure 3.5: Phosphor (P), sulphur (S) and magnesium (Mg) nutrient response efficiency for European beech, ash and sycamore when harvesting stem wood (including bark) only in comparison to a full tree usage.

3.4 Discussion

3.4.1 Biomass functions

In comparison to other existing function types, such as those of Ledermann & Neumann (2006), Eckmüllner (2006) and Marklund (1988), the biomass model from Hochbichler et al. (2006) (Equation 3.1) proved, after extensive AIC and residual analyses, to be the most suitable. The model was fitted directly nonlinear without data transformation. There was thus no need for a subsequent bias correction (Baskerville, 1972; Smith, 1993). Due to the sufficiently large data pool the entire bandwidth of forestry relevant tree dimensions is covered by our biomass functions. A mixed effect regression model with distinct error structure for regional clusters did not improve our models. We therefore did not consider any mixed effect.

In large parts, the quality of the models depended on the tree fraction being examined (Table 3.3). The branch and twig models showed a higher variation in comparison with the stem wood and bark models. The accuracy of estimation of all stem wood and bark models could, though, be improved by including tree height in the models. If the appropriate data is available, then these more complex models are preferable. This was confirmed performing analysis of AIC, $v(\hat{y})$ and r_{LR}^2 (Table 3.3).

The nonlinear pseudo-r-squared can be interpreted as the proportion of explained variation. There are, nevertheless, unlike the linear r-squared, several possibilities of calculating it (Magee, 1990). The likelihood-ratio pseudo-r-squared r_{LR}^2 are thus often not directly comparable to the r-squared of other studies. It, however, becomes apparent that our r-squared are roughly in line with all r-squared found in literature (see e.g. Zianis et al. (2005) for a broad overview). In most other studies the r-squared of the stem and bark models amount at least to 0.9. The same appears for the branch and twig models. With values ranging from 0.6 to 0.8, the r-squared are much smaller.

Other studies (Ledermann & Neumann, 2006; Pretzsch et al., 2014) have shown that other variables could also improve model accuracy. Including tree height, tree height at crown base, crown width, tree age and a dummy code for forked tree lowered model standard error for the European beech biomass model by ca. 6 % and the oak model by ca. 13 %, when compared to the dbh-only model in a study of Ledermann & Neumann (2006). These results couldn´t be replicated in this study. Only tree age led, in a few cases, to a significant, though very small, model improvement. The age of individual trees is, however, seldom surveyed in the practice, so age was not further considered in creating the models. Hochbichler et al. (2006), who developed branch biomass functions for oak and European beech, observed a slight model improvement of the beech model when using the crown ratio as additional independent variable. We were not able to reproduce this result with our data. The crown ratio was not significant in any model. The same was found for the tree height to tree diameter ratio. As we collected our data in pure stands under standard regimes, the influence of the mixture and concurrence on the allometry, as it was e.g. observed by Pretzsch & Dieler (2012), could not be analysed.

Using a simple nonlinear regression for the tree fractions meant that any within-species correlation (collinearity) between fractions was not taken into account. This is of course a simplification. Since collinearity would have led to a huge difference between the distinct coefficients of variation and the combined coefficients of variation and we observed only minor differences (Table 3.3), it becomes clear that collinearity in the model had no considerably negative effect

on any model. The combined model coefficients of variation were primarily influenced by the stem wood and bark models, variation in the branch and twig models had very little influence. There was thus only high correlation between fractions with comparatively low variation. The highest impact of collinearity was found for the sycamore biomass functions. The dimension of the combined coefficient of variation, however, was still very small. It can therefore be assumed that collinearity did not limit the validity of any model. Further analyses with simultaneous regression methods, such as a Seemingly Unrelated Regression (Henningsen & Hamann, 2007) or Restricted Regression, could establish whether the model error could be further reduced by considering collinearity during the regression. At any rate, the results of the analyses undertaken here indicate a valid estimation of the model parameters. Simultaneous methods could probably reduce the model variance significantly. Other studies, for instance Sanquetta et al. (2015), came to the same conclusion. Using tree growth data they were able to show that the parameter estimations were close to the results when using both separate and simultaneous estimations, whereas the variance, and with it the model efficiency, could be improved by using simultaneous methods.

Due to the relatively small variance in the raw data, the confidence intervals for the stem wood and stem wood bark functions were, as expected, narrower than the confidence intervals for the branch and twig models in the model comparison (Figure 3.2). Owing to the very wide confidence interval calculated for the European beech twig function, it is only for the twig models that the biomass functions of other species overlapped with the European beech confidence interval. Because of the relatively large scattering of the twig (see also Table 3.3), the sycamore and ash twig functions could be substituted by the European beech function. The curve of the sycamore function, however, differed markedly from the other function curves. It should also be noted, that the twig biomass makes up only a small proportion of the total biomass.

The functions were compared using the 2-parameter models, with dbh as the single covariate, revealing clear differences in the biomass models. Using 3-parameter models, with tree height included as an additional variable, would reveal at least the same model differences. The addition of other significant variables would narrow the confidence bands even further, due to the reduced variance (Table 3.3). In conclusion, the comparison of the biomass functions obviously underlines the need for separate sycamore and ash functions. The biomass functions of these species differ clearly from the beech and oak functions. The estimation of single tree biomass for sycamore and ash using biomass functions for other tree species, which up to now has been the norm, certainly leads to biomass estimation errors.

The proportion of stem wood increases with increasing dbh (Figure 3.3). This increase in the stem wood proportion with increasing dbh could also be documented for European beech in the diameter range 6 - 16 cm by Grote et al. (2003). They observed an increase of the average stem wood proportion from 30 % to 80 %, which is very close to the results from this study (Figure 3.3) for that diameter range. The data used by Grote et al. (2003) were sampled in a mixed oak - pine stand, which indicates that the relationship of stem wood biomass is similar in these stands, at least in the diameter range 6 - 16 cm. Konopka et al. (2015) also recorded an increase in the stem volume of young European beech up to 4 cm dbh, while Cienciala et al. (2005) and Pretzsch et al. (2014) observed a stem wood share between 70 % and 90 %, with a mean of 82 %. This mean share is also similar to the data from this study (Figure 3.3), though neither of

these 2 studies found a significant diameter trend. Genet et al. (2011) observed a shifting of the stem wood share from 60 % to 75 % in trees between 13 and 81 years old, which is also consistent with the results of this study. The stem wood bark percentage from our study of 6 % is consistent with all values found in the literature (Altherr et al., 1978; Grote et al., 2003; Pretzsch et al., 2014). The fraction proportions of oak also showed a diameter trend. The stem wood proportion has a rising tendency, but lies clearly under the stem wood proportion of European beech. The stem wood percentage of 68 % to 80 % in the 20 cm to 60 cm diameter range corresponds well with the data from Pretzsch et al. (2014), who observed a mean percentage of 75 %. Grote et al. (2003) observed an increase of the stem wood percentage from 61 % to 71 % in the dbh range 10 cm to 30 cm, which is again very close to the results presented here. The bark proportion is also consistent with the literature values (Altherr et al., 1978; Pretzsch et al., 2014), whereby Altherr et al. (1978) found a site dependency. Comparison of the fractions relations of ash and sycamore with literature functions were, due to differing fractionations, not possible. Comparison of the total aboveground biomass reinforces the validity as well as the importance of our models. It could be seen that our functions were slightly different to all other models found in the literature (Albert et al., 2014; Alberti et al., 2005; Bunce, 1968). As an example, our ash as well as our sycamore functions lay in between the functions of Albert et al. (2014), who parameterized distinct functions with trees from a rich and a poor coppice stand. Although there are differences in the parameter estimations between the new parameterized functions in our study to former studies, the general proportions seem to be consistent with other biomass functions for all 4 tree species. This was expected as biomass functions are known to have regional differences (Cerny, 1990; Thurnher et al., 2013). Publishing specific biomass function for the northern and central part of Germany seems thus to be worthwhile for all 4 species.

3.4.2 Sensitivity analysis

Biomass of ash and sycamore must recently be estimated by biomass function of other species. To assess the magnitude of the effect these false estimations can have on biomass estimations in the praxis, test stands were generated (Tables 3.2 and 3.4). The oak biomass function was preferred to the European beech function for these analyses, because the curve of the oak function was a better fit with the sycamore and ash function curves (Figure 3.2). The results reinforce the need for separate biomass functions. As observed before, especially the sycamore functions were different to the oak biomass functions. In particular for sycamore the estimate was substantially improved with a separate species specific biomass function. In stands with a high proportion of sycamore, estimating biomass using oak functions led to massive overestimation of the biomass and the sequestered carbon (Table 3.4). The same effect would also be evident in the products of forestry use and the downstream transport chain. The actual biomass potential would be considerably lower than the predicted potential. With respect to the fact that accurate biomass predictions are mandatory for a reliable biomass potential estimation, this underestimation, as it was obligatory until now, seems not to be acceptable.

3.4.3 Nutrient contents

Varying nutrient contents, not only between tree species but also between tree fractions, has been demonstrated in many studies for European beech and oak before (e.g. Augusto et al.

(2000); Müller-Using & Rademacher (2004); Pretzsch et al. (2014)). In this study these differences in nutrient content were also shown for sycamore and ash (Table 3.5). In comparison to European beech and oak, ash and sycamore species have significantly higher calcium and potassium contents and significantly less carbon contents. Export of sycamore and ash biomass will thus be underestimated, if European beech or oak contents are used for their estimation. In other studies (e.g. Joosten & Schulte (2003)), it was shown that nutrient contents also significantly depended on the site quality. As sycamore and ash only grow on sites of relatively high quality, our sample for the chemical analysis comprised rich stands only. The stand quality thus had of course no significant explanatory content in our study. The nutrient contents are generally higher in the bark than in the wood and this applies to all 4 studied tree species. Because the proportion of bark within a tree decreases with increasing branch diameter, small diameter wood fractions (branches and twigs) have higher nutrient concentrations.

This is reflected in lower nutrient response efficiencies for these fractions Vitousek (1982); Rumpf et al. (2011); Meiwes et al. (2012). A greater amount of nutrients has been used in building biomass in these smaller fractions than are needed to build the same biomass in stem wood. Except for nitrogen, the calculated nutrient response efficiencies were substantially different for the observed tree species. This again reinforces the need for distinct biomass and nutrient content models. It must, however, be considered that our definition of the nutrient efficiency is slightly different to the original definition by Vitousek (1982). He stated that in long-living perennial plants the nutrient efficiency calculates as the inverse of the nutrient concentration in the wood increment, the litterfall and the root turnover. As none of those variables was measured in our study and because the litterfall as well as the root turnover remain in the stand, their efficiency is not relevant for the calculation of the biomass potential. We thus only focused on the nutrient content of the aboveground biomass. The use of small dimensioned wood leads to a disproportionately high nutrient loss and has a greater negative effect on the nutrient supply of the site than stem wood harvest alone (Block & Meiwes, 2012; Meiwes et al., 2012; Pretzsch et al., 2014). On the other hand, in times of modern processing methods, in precisely those recently often unused wood fractions there is a huge potential for the bio-based industry.

3.5 Conclusions

When coupled with individual site information, the results of this study help determining the optimal biomass potential of mixed stands with European beech, oak, sycamore and ash. In forest stands with homogeneous tree species and age distributions the biomass and nutrient quantities could certainly be estimated with sufficient accuracy using stand parameters such as mean basal tree area (Pretzsch et al., 2014). As is made clear by the example in Table 3.4, this is not possible in mixed broad-leaf stands. The use of the oak biomass function for all tree species would lead to overestimating both biomass and nutrient quantities. Because the share of multiple layer, species-rich stands in forests is increasing (TI, 2014), and will probably continue to increase (BMEL, 2014), the need for species specific biomass functions becomes ever more urgent. For estimating the optimal site specific harvest quantities, biomass functions, and knowledge of tree fraction nutrient content, for the tree species sycamore and ash are a useful addition to already existing functions, and could help to enable the full biomass potential of the forest to be exploited in the future. They improve the planning security of forestry

activities and of all further processes in the biomass supply chain and help to analyse the trade-off between usage intensity and site sustainability. All further analyses that require reliable biomass estimations, for example supply analysis for operative and strategic planning or carbon inventories, will also profit from the biomass functions introduced here. The introduced models can help gathering the huge biomass potential from long-term broad-leaf stands that was unused till now (TI, 2014).

Acknowledgements

Chapter 4

Modelling the economically viable wood in the crown of European beech trees

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Abstract

Long-term forest development programs in Germany aim on an increase of close-to-nature broadleaf forest stands. This means that the economic importance of European beech is expected to increase. The economic potential of a tree basically consists of the stem as well as the economically viable wood volume in the crown. Due to the high morphological variability of European beech crowns, taper models are often not satisfactory for predicting the economically viable wood volume arising from crowns. Prediction models with a higher precision are recently still lacking. Aim of this study is thus the development of prediction model for the economically viable crown wood volume of European beech trees.

We determined the distribution of the wood volume in the crown over the branch diameters using the multistage *randomized branch sampling* method (RBS). The tree-specific wood volume distribution on the branch diameters were used to cluster all sampled trees into 3 groups. Additionally, we developed a method able to distinguish between economically viable and unviable crown branches. Basing on the RBS measurements as well as revenues and processing costs, we modeled the economically viable wood volume from the crown for each tree. To calculate the wood volume under bark, we parameterized a bark thickness function from disk samples of the trees.

We showed that the European beech crowns could be clustered into 3 groups differing in their wood volume distribution. The economically viable wood volume in the crown significantly depended on this grouping parameter as well as diameter at breast height (DBH). By contrast, the total amount of wood in the crown only depended on DBH. The differing viable wood volumes in the crowns were thus explained by different wood distributions and not by differing total crown wood volume. To make the results applicable in practice forestry, the modeling results were used to develop a regression formula able to predict the economically viable wood volume in the crown depending on the DBH and the crown type. As the crown type can also be predicted via measurable tree covariates, the regression model of the viable wood volume in the crown can be used as a support tool for the management of European beech stands. Sensitivity analysis quantifies how harvest revenues and costs translate into different viable tree volume.

Keywords

Economically optimal wood cut, Crown morphology, European beech, viable crown wood, wood allocation, forest management

Highlights

– Morphological measurements of 163 European beech tree crowns via *RBS* method.

– Distinguishing the economically viable from the whole crown wood.

– Categorization of European beech crowns into morphological types.

– Development of a viable crown timber prediction model for forest management.

46

4.1 Introduction

Although European beech (*Fagus sylvatica* [L.]) forests have been identified as the dominant forest communities in the potential natural vegetation of Germany (FANC, 2010), with 1,680,072 ha, they currently only account for 15 % of Germany's forest stand cover (TI, 2014). Long-term ecological forest development programs result in a general increase in deciduous tree species with a focus on European beech (MFACP, 2004). The economic importance of European beech will thus further increase.

Traditionally the objective of European beech management is to maximize valuable stem wood (Nagel & Spellmann, 2008). Especially under the perspective of modern utilization methods like bio-economics (Hildebrandt et al., 2014) and the increasing demand for fuel wood (Mantau, 2012), the economic importance of smaller branches of European beech is expected to increase. Thus a large proportion of the economic potential lies in smaller branches. Under certain conditions, further economic potential can be found in the tree stump and foliage (Miettinen et al., 2014). For a suitable management of European beech stands, it is necessary to assess the economically viable wood cut fully (Möhring, 1997). Therefore, as well as predicting the wood from the sympodial stem, it is also necessary to predict the economically viable wood cut in the sympodial crown. In the complex crowns of broadleaf trees, the economically viable wood can be substantially smaller than the whole wood volume. For this purpose, a model able to distinguish the economically viable wood volume from the whole wood volume in the crown is needed. For the stem volume prediction, there are many different and sophisticated tariff and other functions available. Cubic taper models exist, providing an adequate prediction of the economic potential of coniferous trees and the stems of deciduous trees (Kuzelka & Marusak, 2012). However, those taper functions do not account for the complex sympodial form above the crown base of broadleaf tree species where the wood volume is not allocated around a throughout stem axis. They are therefore imprecise in predicting the wood volume arising above the crown base. They are usually calibrated for a minimum small-end diameter threshold of 7 cm. This small-end diameter can lack economic interpretation.

The aim of this study is to develop a parametric, practically usable prediction model of the economically viable wood volume in the crown of European beech trees. For this purpose, 163 beech trees were felled. Using the multistage *Randomized Branch Sampling* (RBS) method (Gaffrey & Saborowski, 1999), a sound sample of branches was measured from each tree. The measurements were taken to examine the tree individual distribution of the wood volume in the crown on the crown branches. To develop tree individual morphological covariates, the sampled trees were clustered into groups with differing wood volume distribution. A multinomial regression model enables the prediction of this covariate via measurable tree attributes. We additionally developed a model, which predicts the viable wood volume from the measured wood volume distribution. This viable wood volume does not depend on freely selected but on economically justified small-end diameters. We developed a method to classify economically viable and unviable branches in European beech crowns via a break-even analysis. Then only the wood volumes of viable branches were estimated via RBS. The modeled economically viable wood volume thus depends on the size of the tree and the volume distribution in the crown. To calculate the wood volume under bark, we parameterized a new bark thickness function from disk samples of the trees. To make the results applicable in forest practice, we performed a regression

Table 4.1: Summary statistics of the sampled trees. The sample size was 163.

	DBH [cm]	height [m]	age [a]
min	8.0	13.1	21
mean	35.4	25.3	85
median	34.8	26.0	80
max	78.3	38.5	180

analysis with the modeled economically viable wood volume and further tree covariates. To ensure the applicability, we only used practically measurable tree attributes. The regression model represents a new approach for modeling the economic potential of European beech crowns and therefore a novel decision support tool for forest management operations.

4.2 Materials and Methods

The dataset for this study comprised measurements from a destructive sample of 163 European beech trees sampled using the multistage RBS method (Gaffrey & Saborowski, 1999; Jessen, 1955). These data were compiled from 2 existing databases at the Northwest German Forest Research Station and the Baden-Württemberg Forest Research Centre.

4.2.1 Selection of trees

The data were collected during 2009 and 2014. Altogether 163 trees were destructively sampled. In order to cover as many growth zones as possible, the sample plots were distributed throughout Germany (Figure 4.1). To ensure representation of the entire relevant diameter range, we chose up to 3 forest sites with different stand ages within these growth zones. All selected sites were high forests under standard management regimes. Depending on the area size of the plot, 2 - 4 sample trees were selected. In addition to the morphological measurements via RBS, DBH and tree height were measured (Table 4.1).

4.2.2 Selection of disks

To subtract bark from the wood volume, stem and branch disks for bark thickness measurement were taken from 37 trees of the NW-FVA study (Table 4.2). Up to 6 disks were randomly selected using the importance sampling method (Gregoire & Valentine, 2008). The proxy function, which is necessary for calculation of the sampling probability, was derived by the volume distribution of the branch diameters over the approximated tree height (which were both measured for volume estimation via RBS anyway). The selection probability of the disks was thus proportional to their disk diameter. Diameter and the bark thickness of the disks were measured at 4 directions of the selected disks directly after extraction.
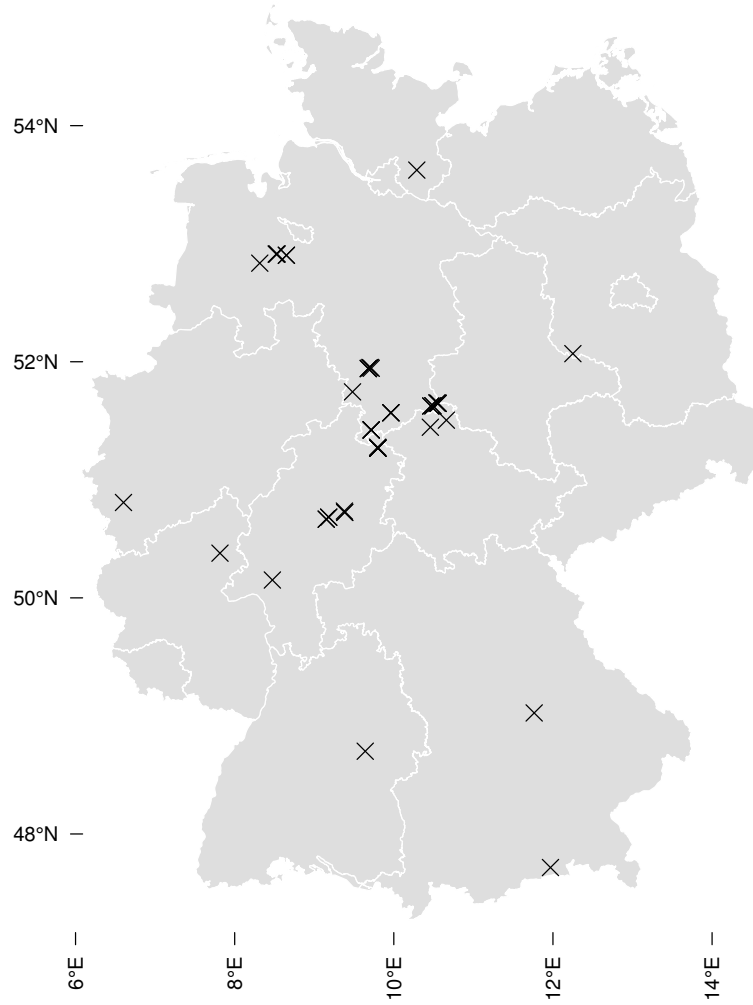
Figure 4.1: Sample site locations. Source of the background map: FACG (2014).

Table 4.2: Summary statistics of disks for bark thickness measurements.

	single bark thickness [mm]				disk diameter over bark [cm]			
N	min	mean	median	max	min	mean	median	max
149	0.6	3.0	2.4	9.0	1.0	18.0	12.0	64.2

4.2.3 Selection of branches

The estimation of the wood volume in the crown was based on the RBS method of multistage probability sampling. RBS is an unbiased method of probability sampling used for estimating specific tree parameters by measurable auxiliary variables (Jessen, 1955; Gaffrey & Saborowski, 1999). In our application, RBS enables estimation of the wood volume in the crown or in specific parts of the crown by measuring only a sample of branch segments instead of measuring all branch segments in the crown. Only relatively few measurements of branch diameters and branch segment lengths have to be taken for an accurate estimate of the whole wood volume in the crown or the wood volume of specific crown parts.

RBS is based on the knowledge of the conditional probability q_{lj} of choosing the j-th out of n *branches* at a *node l* in the crown instead of choosing another branch of this node. The probability q_{lj} can be calculated by an auxiliary variable instead of the (complicated measurable) target variable itself (Gregoire et al., 1995; Gregoire & Valentine, 2008; Valentine et al., 1984). Instead of measuring the volume of all branches at a node, in our case, we only had to measure the base diameters d_{lj} of the branches to calculate q_{lj} and the volume of one branch. As West (1999) examined an allometric coefficient of 2.67 between branch volume and branch base diameter, the branch base diameter to the power of 2.67 is expected to provide efficient estimates. In our study, the conditional probability has been selected to be

$$q_{lj}(d) = d_{lj}^{2.67} / \sum_{j=1}^{n_l} d_{lj}^{2.67} \tag{4.1}$$

Thus once all branch base diameters d_{li} at a node were recorded, one of the branches can be randomly chosen with probability q_{lj}. Only the *segment* volume of this chosen branch has to be measured, where a *segment* is defined as the part of the branch between 2 nodes (Gregoire & Valentine, 2008). We chose the formula for a conical frustum (Equation 4.2) to calculate the segment volume v_{lj} via the branch base diameter d_{lj}, the base diameter at the following node d_{lj+1} and the segment length h_{lj}. The volume of the following node d_{lj+1} was also measured and added to the segment volume v_{lj}.

$$v_{lj} = \frac{h_{lj}\pi}{12}\left(d_{lj}^2 + d_{lj}d_{lj+1} + d_{lj+1}^2\right) \tag{4.2}$$

The crown base, which is the height where the throughout stem ends and the sympodial crown starts, represented the first node of the RBS procedure. To have a measurable criterion, we defined the crown base to be the tree height where a branch base diameter was $> 1/5$ of the stem diameter at that height. A whole RBS path thus consisted of a succession of randomly selected branch segments from the crown base up to one shoot bud. Along the path all branch base diameters and all segment volumes were measured. In order to get an idea of the variation, 3 random and distinct RBS paths were obtained for each of the 163 sampled trees.

4.2.4 Estimation of wood volume in the stem and in the crown

The calculation method for the point estimates of the volumes as well as for the estimated variance is described in the literature (e. g. Gregoire & Valentine, 2008). The stem form was assessed by section-wise diameter measurements at certain tree heights up to the crown base.

The sum of these section volumes, also calculated by the conical frustum formula (Equation 2), gave the whole stem volume from the ground up to the crown base.

4.2.5 Economically viable wood volume in the crown

Crown type differentiation

To calculate the volume distribution according to the branch diameters in individual tree crowns, the cumulative wood volume amount $\hat{V}_i(d)$ in the crown was calculated from the crown base up to each recorded branch base diameter (d) along each RBS path. This distribution was normalized by dividing the predicted cumulative crown volume below $\hat{V}_i(d)$ [m3] by the whole wood volume from the crown $\hat{V}_i(0)$ [m3] (Equation 4.3) and by dividing the base diameter of every branch d_{ij} by the maximum diameter found d_{max}. $F(d)$ thus denotes the wood volume amount over branch diameter in the crown.

$$F\left(d\right) = \frac{\widehat{V}_i\left(d\right)}{\widehat{V}} \tag{4.3}$$

The diameter where half of the wood volume amount was located above (below respectively) was interpreted as the median branch diameter of a tree crown. This median volume branch diameter $F(d_{0.5})$ was easily interpolated from the generated diameter distribution for every RBS path, where $d_{0.5}$ denotes the branch diameter for which $F(d_{0.5}) = 0.5 * F(d_{max})$. The same appears for the lower $F(d_{0.25})$ and upper quantile $F(d_{0.75})$. The curve trend of $F(d)$ over branch diameter thus indicates whether most of the wood volume is located in relatively small or in larger branches. Generally, there were 3 types of volume distribution in the data (Figure 4.2). The first type showed a high share of volume in relatively small branch dimensions (left). The median branch diameter of these trees was close to the lower quantile. In the balanced type (center), half of the wood volume was found above a branch diameter that was approximately half the size of the largest diameter of the respective tree. In the third type (right), major part of wood volume was allocated in the larger branch diameter range. The median diameter was close to the upper quantile.

As there were 3 paths per tree, the tree individual median diameter was calculated by the median of the 3 median branch diameters. The lower and upper quartiles were created in the same way. We thus generated 3 tree individual continuous variables. These enabled a clustering of the trees into 3 crown types which differ in their wood volume amount. As the crown types based on the volume distribution in the crowns, they should represent groups with different economically viable wood volumes. We chose the *k-means* cluster algorithm (R Core Team, 2016), which minimizes the within-cluster Euclidean distance among observations and group means by the sum-of-squares method (Wagstaff et al., 2001), to cluster the data into 3 morphological crown types.

The median tree diameter as well as the quantile tree diameters are not measurable in practice. To differentiate a beach crown into 1 of the 3 mentioned groups in forest management, it is thus necessary to predict the crown type by other tree attributes. A multinomial logistic regression method (Hutcheson & Moutinho, 2008) was parameterized to predict the crown type clusters from practically measurable morphological tree variables x_i (equation 4). In this case, the x_i are the DBH, the tree height, the tree height at crown base and the ratio of the base diameters
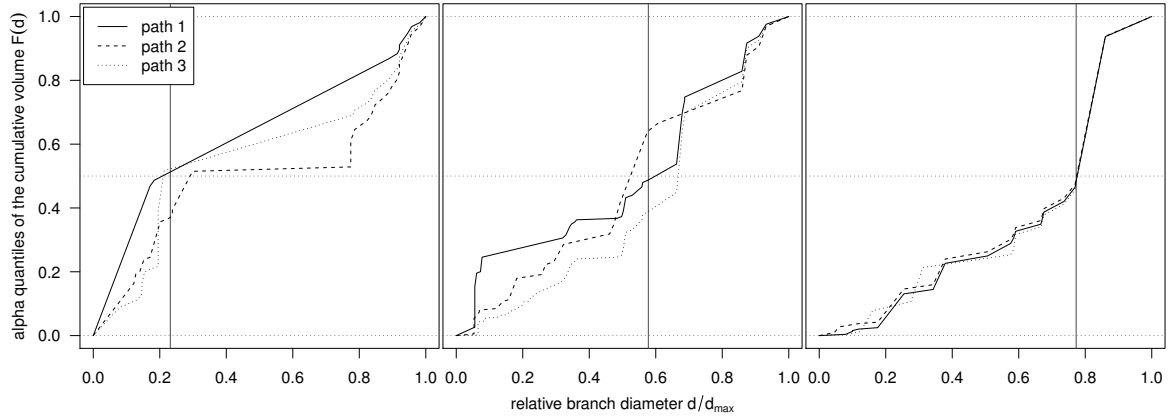
Figure 4.2: Cumulative crown wood volume over relative branch diameter for 3 exemplary trees. For each tree all 3 RBS paths are displayed. The diameters where half of the timber volume is located above, respective below (the median relative branch diameter) are marked by vertical lines.

at crown base. The ratios of the branch diameters at crown base were calculated by dividing the 2nd largest base diameter at the crown base by the respective largest branch diameter.

We fitted a log odd model with $J = 3$ categories to a probability function which predicts the probability that an individual tree is belonging to a crown type category j rather than to the reference category $j' = 1$ by $i = 4$ variables.

$$\log\left(\frac{P\left(Y = j\right)}{P\left(Y = j'\right)}\right) = \beta_{j0} + \beta_{j1}x_1 + \beta_{j2}x_2 + \cdots + \beta_{ji}x_i \tag{4.4}$$

The probability of an individual to belong to group j in relation to the reference is therefore calculated as

$$P\left(Y = j\right) = \frac{\exp\left(\beta_0 + \beta_{j1}x_1 + \beta_{j2}x_2 + \cdots + \beta_{jk}x_k\right)}{1 + \exp\left(\beta_0 + \beta_{j1}x_1 + \beta_{j2}x_2 + \cdots + \beta_{jk}x_k\right)} = \frac{exp(\boldsymbol{x}_i'\boldsymbol{\beta}_j)}{1 + exp(\boldsymbol{x}_i'\boldsymbol{\beta}_j)}$$

and the probability of an individual to belong to group j considering all groups calculates as

$$P\left(Y = j\right) = \frac{exp(\boldsymbol{x}_i'\boldsymbol{\beta}_j)}{1 + \sum_{s=1, s\neq j'}^{J} exp(\boldsymbol{x}_i'\boldsymbol{\beta}_s)}$$

where crown type 1 represented the reference category j'. The model was fitted with the R package *NNET* (Venables & Ripley, 2002). The significance of a variable was examined by linear discriminant analysis. For model quality testing we predicted the crown type with our model and compared the result with the actual crown classification by the k-means analysis. This classification was performed by a leave-one-out cross-validation (R package *MASS*; Venables & Ripley, 2002) and an in-sample reclassification.

Modelling the economically viable wood volume in the crown

As biasedness of the point and the variance estimate do not depend on the number of stages, RBS also allows the volume estimation of specific parts in the crown (Cancino & Saborowski, 2005). We used this property to estimate the tree individual viable wood volume in the crown only. For this, we programmed a model that distinguished the economically viable from economically unviable branches in the RBS sample (Algorithm 1). After running the algorithm, only the economically viable branches were then used to estimate the wood volume via the RBS method. The predicted wood volume after application of the separation algorithm thus reflected the economically viable wood volume in the crown.

To distinguish viable from unviable branches, each RBS node and subsequent selected branch segment were aggregated into one *branch structure*. In the event that many nodes occurred in close succession (no branch segments in between), they were regarded as one large node and aggregated with the following node and branch segment to form a large branch structure.

Each of the branch structures were then, starting at the crown base, successively rated in terms of revenue and cost. The revenue was calculated by multiplying wood volume [m^3] (under bark) by timber price [€m^{-3}]. The cost associated with any one branch structure was assumed to be constant per processing step and was interpreted as marginal cost (Möhring, 1997) of processing this branch structure. Whenever a branch structure had a positive marginal return, it was additionally proofed if the former branch structure was viable. If this was the case, the branch structure was labeled to be economically viable. A branch segment is thus only considered as economically viable if its piece-volume is large enough to have a positive marginal return. If a former branch structure was unviable, the processing costs doubled, because the continuation of processing thereafter would require an additional cut. Each RBS path of every crown thus had a specific break-even point (Starr & Tapiero, 1975) after which further processing would result in lower marginal returns. The small-end diameter of this last viable branch structure was recorded. The model was programmed in the statistical programming language R (R Core Team, 2016).

After neglecting the unviable branch structures, the tree individual viable wood volume from the crown as well as the variance were estimated by means of RBS. The final small-end diameter

of an individual tree was defined as the mean of the end diameter of all 3 paths.

1 initialization of processing *costs* and *revenue* by the user
2 aggregation of the RBS *knots* and *branch segments* into *structures*
3
4 **for** *i in (1 : N_{paths})* **do**
5   **for** *j in (1 : $N_{structures}$)* **do**
6   **if** *volume of $structure_{ij}$ ∗ revenue > processing costs* **then**
7   **if** *economical viability of $structure_{ij-1}$==TRUE* **then**
8   *economical viability of $structure_{ij}$ ← TRUE*
9   *small − end $diameter_j$ ← end diameter of $structure_{ij}$*
10   **else**
11   **if** *volume of $structure_{ij}$ ∗ revenue > processing costs ∗ 2* **then**
12   *economical viability of $structure_{ij}$ ← TRUE*
13   *small − end $diameter_j$ ← end diameter of $structure_{ij}$*
14   **else**
15   *economical viability of $structure_{ij}$ ← FALSE*
16   **end**
17   **end**
18   **else**
19   *economical viability of $structure_{ij}$ ← FALSE*
20   **end**
21   **end**
22 **end**
23
24 *crown timber volume* ← RBS estimation of the viable structures
25 *variance* ← RBS estimation of the viable structures
26 *small-end diameter* ← mean(*small-end $diameter_1$, ..., small-end $diameter_{N_{paths}}$*)
27
28 **return** (*crown timber volume, variance, small-end diameter*)

Algorithm 1: Pseudocode of the of the economically viable wood volume distinguishing model where N_{paths} is the number of paths per tree (in this study always 3) and $N_{structures}$ is the number of branch structures per path.

The model (Algorithm 1) thus needed timber price [€ m^{-3}] (under bark) and marginal costs [€ processing step^{-1}] as input parameters. It was parameterized with commonly used values to ensure realistic results. The revenue was set to 50 € m^{-3} (under bark) to reflect the common price for industrial wood in Germany in 2016 (Degenhard, 2016). The fixed cost parameter was based on the European beech wages table from the forest entrepreneurs association (Haarhaus, 2012), which assumes an 125 % entrepreneur fee and 19 % value added tax. Based on the assumptions that each node occurring represented one processing step and that the costs of each were constant, the costs amounted to 0.35 € processing step^{-1}. The model outputs were the economically viable wood from the crown (under bark) [m^3] and small-end diameter [mm].

$$y = \beta \prod_{i=1}^{k} x_i^{\alpha_i}$$

$$\leftrightarrow \log(y) = \log(\beta) + \sum_{i=1}^{k} \alpha_i \log(x_i)$$

(4.5)

The modeled viable wood volumes were used to parameterize an allometric growth model (Equation 4.5) with k covariates. This parametric regression model allows forecasting of the economically viable crown wood volume by measurable covariates and is therefore easily applicable in forest management. For this purpose, sets of results, differing in their parameterization of input variables, were generated with the viable wood volume prediction model (Algorithm 1). The revenue as well as the cost input parameters were firstly set to the common parameter combination ($50 \, € \, m^{-3}$, $0.35 \, € \, step^{-1}$) and then separately changed by 20 %. Altogether, there were 9 result sets generated where each set of results involved 163 datasets. Because there were void datasets, whenever the algorithm assigned no viable wood volume in the crown, the data reduced to 1347 datasets. The regression analysis was composed of the covariates DBH, tree height, tree height at crown base, crown width, diameter ration at crown base and tree age as well as crown type, revenue scenario and cost scenario, which both functioned as dummy variable. The dependent variable was the modeled economically viable wood volume in the crown. The significance analysis and the model parameterization were performed by a *generalized linear model* (R Package *stats*; R Core Team, 2016). Proof of the significant impact of the covariates on α was not possible due to insufficient crown type 3 observations in larger DBH dimensions. The significance analysis was thus performed on β. Linearity and homoscedasticity were achieved by a Gamma distributed log-link function (Wood, 2006).

4.2.6 Allometric relationships

In the metabolic scaling theory, the relationship between two plant organs (y and x, see also Equation 4.5) can be described by a power law (Huxley, 1932; Niklas, 1994). This power law interprets the intraspecific relationship between plant organs for a given species. The variability of the relationship describes the strength of the allometry (Pretzsch, 2010; West et al., 1997). Allometric model are thus useful to investigate the relationship between variables of economic interest and further tree attributes.

To consider the assumption of allometric regressions (Stumpf & Porter, 2012), we transformed the data by taking the natural logarithm. The relationships were regressed with the *standardized major axis* method (R package *SMATR*; Warton et al., 2012). The retransformation bias was estimated and corrected from the residual standard error of the log linear model (Sprugel, 1983).

4.3 Results

4.3.1 Prediction of bark thickness

To subtract the bark from the wood volume, models for the double bark thickness over branch diameter are necessary. The predicted double bark thickness enabled the bark subtraction from both sides of the RBS diameter measurements. The commonly used double bark thickness model
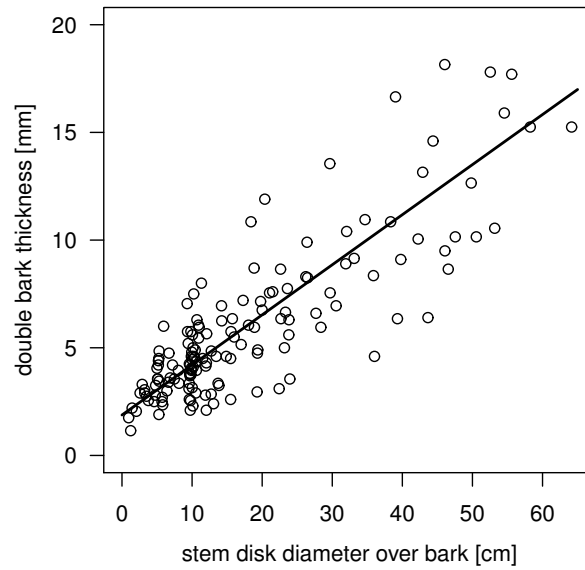
Figure 4.3: Double bark thickness over disk diameter (over bark) and the fitted linear bark thickness model.

of Altherr et al. (1978) was parameterized with stem and branch disks of diameters above 7 cm. As the wood volume model in this study should be able to predict smaller branches as well, parameterization of an own bark thickness model became necessary. In addition, comparison of the observed bark thickness to the predicted bark thickness with the equation by Altherr et al. (1978) revealed that application of the Altherr model would have led to an overestimation of the bark thickness. The estimated double bark thickness with the function by Altherr et al. (1978) was 1.4 mm higher than with the new parameterized function for branches with a diameter of 10 cm. For branches with diameter of 30 cm, the difference amounted to 3.1 mm.

The double bark thickness regression equation was calculated via a *Generalized Additive Mixed Model* (Wood, 2006) using the untransformed normally distributed identity link function. A linear curve trend was found in the bark thickness model (Fig 4.3). There were multiple measurements in one tree (see section 4.2.2). To exclude regional as well as tree specific influences, the tree id was considered a random effect. As we found heteroscedasticity, we weighted our data by a power function, which was parameterized by the model residuals over the fitted values.

The model (Table 4.3) represented a valid method for subtracting bark from both sides of every morphological RBS diameter measurement. The volume calculation after bark subtraction via RBS thus predicts the volume under bark. This was also done for the section-wise stem diameter measurements to predict the stem wood volume under bark.

Table 4.3: Summary statistics of the linear double bark thickness [mm] regression model. Independent variable is the diameter over bark [cm] (fresh).

variable	coefficient	standard error	t-value	p-value
intercept	1.87804	0.25	7.42	<2*10-16
diameter	0.23253	0.01	16.06	<2*10-16
observations	149			
AIC	565.0			
model range [cm]	0 - 65			

Table 4.4: Summary statistics of all used variables, c. v. = coefficient of variation.

variable		unit	min	median	mean	max	c. v.
diameter at breast height	DBH	[cm]	8.0	34.8	35.4	78.3	-
tree height	H	[m]	13.1	26.0	25.3	38.5	-
whole tree wood volume	V_t	[m^3]	0.05	1.46	2.25	11.70	0.07
crown wood volume	$\hat{V}_i(0)$	[m^3]	0.01	0.64	1.21	9.20	0.22
tree wood volume (u. b.)	V_{tub}	[m^3]	0.04	1.36	2.11	10.98	0.07
crown wood volume (u. b.)	V_{cub}	[m^3]	0.01	0.59	1.12	8.62	0.22
median branch diameter	$F(d_{0.5})$	[m^3]	23	138	152	406	-
height at crown base	CB	[m]	1.6	10.9	10.8	21.1	-
diameter ratio at crown base	DR	-	0.2	0.4	0.4	0.9	-

4.3.2 Economically viable wood volume in the crown

Crown type differentiation

All calculated and measured crown morphology variables and tree metadata, including mean coefficient of variation for the data estimated by the RBS method, are summarized in Table 4.4. The crown type classification analyses were based on the median branch diameter and the branch diameter quartiles. The other tree variables were then used to parameterize a prediction model for the crown type classes.

The trees were clustered into 3 groups, where 50 trees were assigned to the first (bulk of volume in smaller branches), 69 to the second (balanced volume allocation) and 44 to the third (bulk of volume in larger branches) crown type. As median and quantile tree diameters cannot be measured practically but the model shall be applicable in forest management, the influence of measurable variables on the crown types was assessed. The influence of tree attributes on the crown type was tested by linear discriminant analysis (Venables & Ripley, 2002), analysis of variance and deviance (Chambers & Hastie, 1992) as well as analysis of Akaike Information Criterion (Akaike, 1981). Only significant variables and interactions were chosen as regression parameters (Table 5). The analysis of variance revealed the significance of the diameter ratio at crown base DR. Deviance of the residuals (310.3 without DR) as well as AIC (330.0 without DR) were also substantially improved by this variable. Due to their high linear correlation with the significant variables, tree age and crown width were insignificant. The model is applied by plugging the coefficients of Table 4.5 into Equation 4.4.

Table 4.5: Summary statistics of the multi-nominal logistic crown type prediction model with independent variables DBH [cm], tree height (H) [m], height at crown base (CB) [m] and branch diameter ratio at crown base (DR) including the results of the leave-one-out cross-validation (c.-v.) and the within-model reclassification (w.-m.).

	crown type 2		crown type 3	
variable	coefficient	standard error	coefficient	standard error
intercept	10.3679421	0.005	20.39087	0.011
DBH	-0.4522104	0.105	-0.8534910	0.164
H	-0.2423880	0.096	-0.3248841	0.130
CB	-0.1208192	0.083	-0.2971321	0.108
DR	-20.1534122	0.006	-31.3965027	0.005
DBH*H	0.0156519	0.003	0.0244615	0.004
DBH*DR	0.7159227	0.179	0.5762532	0.368
H*DR	0.6833604	0.143	1.0091659	0.242
DBH*H*DR	-0.0266986	0.005	-0.0218313	0.007
number of observations			163	
AIC			312.0	
residual deviance			276.9	
proportion of correct classified crown types (c.-v.)			0.50	
proportion of correct classified crown types (w.-m.)			0.56	

Table 4.6: Proportion of economically viable crown wood in beech crowns according to the whole crown wood (each under bark). n. d. = no data.

	DBH-interval [cm]							
crown type	[0-10)	[10-20)	[20-30)	[30-40)	[40-50)	[50-60)	[60-70)	[70-80)
1	n .d.	0.19	0.35	0.57	0.71	0.74	0.84	0.80
2	0.00	0.25	0.42	0.65	0.72	0.71	0.84	0.80
3	0.08	0.27	0.57	0.77	0.88	0.86	0.89	n. d.

Modelling the economically viable wood volume in the crown

Table 4.6 shows that crown type 3 crowns yielded more economically viable wood volume than the other two types for trees with similar DBH. The percentage volume of economically viable wood modeled in relation to the whole wood volume from the crown was considerably different among the crown types. Especially crowns of type 3 differed from the other 2 types. The small-end diameter of the trees did not differ between the diameter-crown type-groups from Table 6. In all DBH-crown type-groups, except for the groups below 20 cm, the group mean of the small-end diameter was randomly scattering around 10 cm. Trees in the groups below 20 cm DBH usually don't show crown branches with a base diameter of 10 cm. Their group mean small-end diameter was not calculated.

The model output data revealed that the return per m^3 substantially differs between the crown types (Figure 4.4). Trees with crowns of the type 3 showed in mean highest returns per m^3 while crowns of the type 1 were by trend lowest marginal returns over the entire observed diameter range.
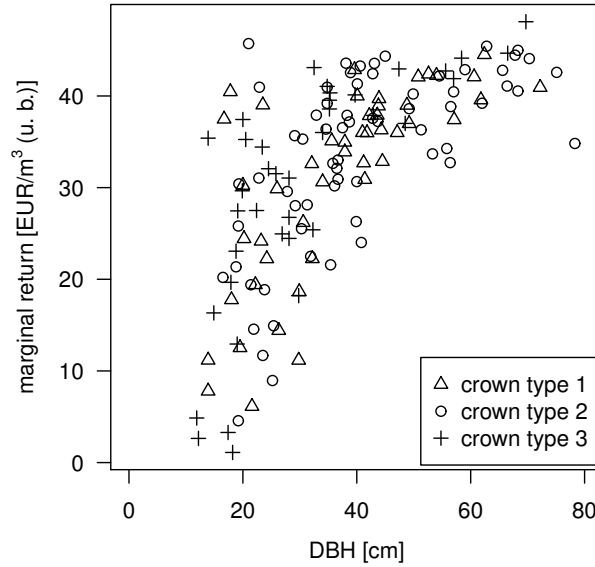
Figure 4.4: Marginal return divided by volume (under bark) versus DBH differentiated by crown types.

For sensitivity analysis of the model, the arithmetic mean of the economically viable wood volume from the crown (under bark) was calculated with all 163 trees (Figure 4.5, left). The reference was the common scenario (revenue: 50 € m^{-3}, costs: 0.35 € processing step^{-1}). Changes in costs as well as changes in revenues of 20 % led to a change of the mean predicted crown wood volume up to 5 %. Decreasing of revenues and costs affected the economically viable crown wood volume slightly more than respective increasing. The small-end diameter (at which cutting was stopped) was influenced by changing costs and revenues as well (Figure 4.5, right). With values ranging from 5 to 16 cm, the median small-end diameter of the common scenario was ca. 10 cm. 20 % increasing costs increased the small-end diameter to a median of 11 cm with values ranging from 6 to 16 cm. 20 % decreasing costs led to small-end diameters ranging from 5 to 15 cm with median 9 cm. By 20 % increasing revenues decreased the median of the small-end diameters to 9 cm. Respective increasing of the costs led to a median small-end diameter of 11 cm. While differing costs as well as differing revenues led to a substantial change of the median small-end diameters, the distributions of the small-end diameters around the median were always approximately unchanged. The distribution of each scenario was symmetric with 1.5 quantiles ranging ca. 6 cm around the median. It additionally became obvious that simultaneous changing of costs and revenues did not change the median small-end diameter as well as the distribution around the median (Figure 4.5, right). The economically viable wood volume as well as the median small-end diameter thus only changed when one of the input variable changes while the respective other stays constant or changes in the opposite direction.

The economically viable crown wood volume of European beech [m^3] (under bark) V_v, modeled with the introduced algorithm, was fitted to the exponential growth function (see Equation 4.5). The regression depended only on the covariate DBH d [cm] and the crown type, which functions as dummy variable ct_i. Following Equation 4.5, the growth function can be written as
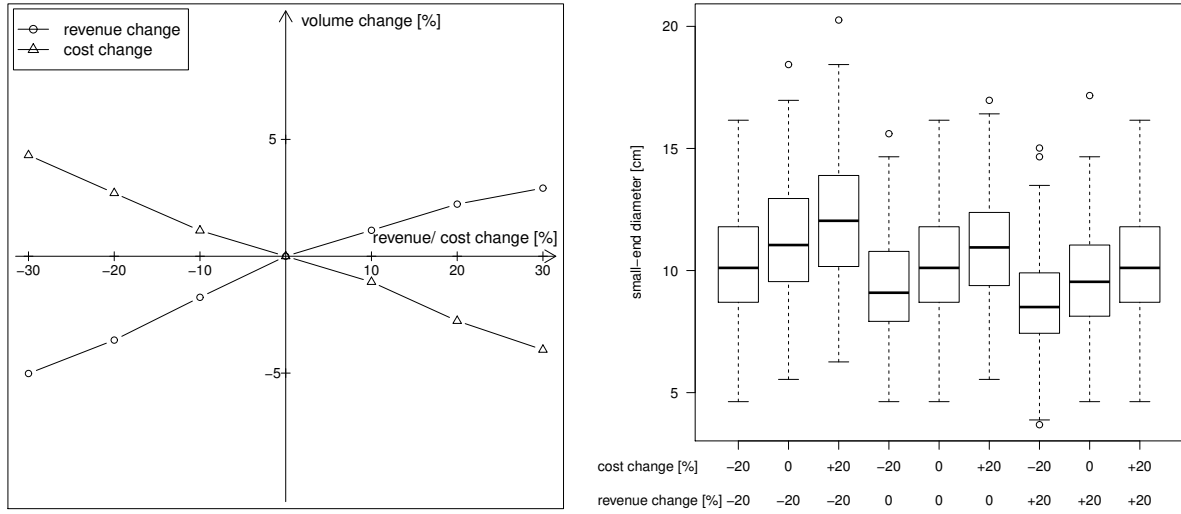
Figure 4.5: Relative change in the predicted economically viable crown timber volume over relative changes in costs and revenues (left) and the distribution of the small-end diameters at cost and revenue changes of 20 % (right).

$$V_v = exp\left(log\left(\beta\right) + d_{ct1}\gamma_{ct1} + d_{ct3}\gamma_{ct3}\right) \text{DBH}^\alpha \qquad (4.6)$$

The parameters values are shown in Table 4.7. d_{ct1} and d_{ct2} are dummy-variables. They are 1, if the volume of the respective crown type is to be predicted. If the volume of crown type 2 is to be predicted, both dummy variables must be set to 0. All further continuous covariates did not lead to a significant model improvement. Cost as well as revenue changes of 20 % were partially significant. However, the dimension of these variables in comparison to the crown type dummy variables were low and the improvement of the AIC (-1027.3) was thus only very slight. Altogether, the slight model improvement does not justify consideration of the abstract and non-measurable cost and revenue change dummy variables. They were not chosen as model parameters. The same was found for cost and revenue changes up to 30 %.

The difference between economically viable wood volume of crown type 1 and 2 was comparatively low (Table 4.7), whereas the difference between crown type 2 and 3 was approximately 20 %.

4.3.3 Allometric relationships

The whole tree and crown wood volume both revealed an allometric relationship to DBH (Figure 4.6a and b). Both relationships showed heteroscedasticity in the untransformed, and homoscedasticity on the double log transformed scale. The coefficients of determination of the relationships were very high, whereby the coefficient of determination of the crown wood volume-DBH relationship was slightly lower. There were no differences between the clustered crown types. The whole crown volume did not depend on the crown type (Table 4.7).

Figure 4.6: Allometric relationships of the whole aboveground wood volume (a), the crown wood volume (b) and the median branch diameter (d) over DBH as well as crown wood volume over total aboveground timber volume (c) incl. the back transformed regression function. The small windows show the logarithmic transformed data and the log linear regression function.
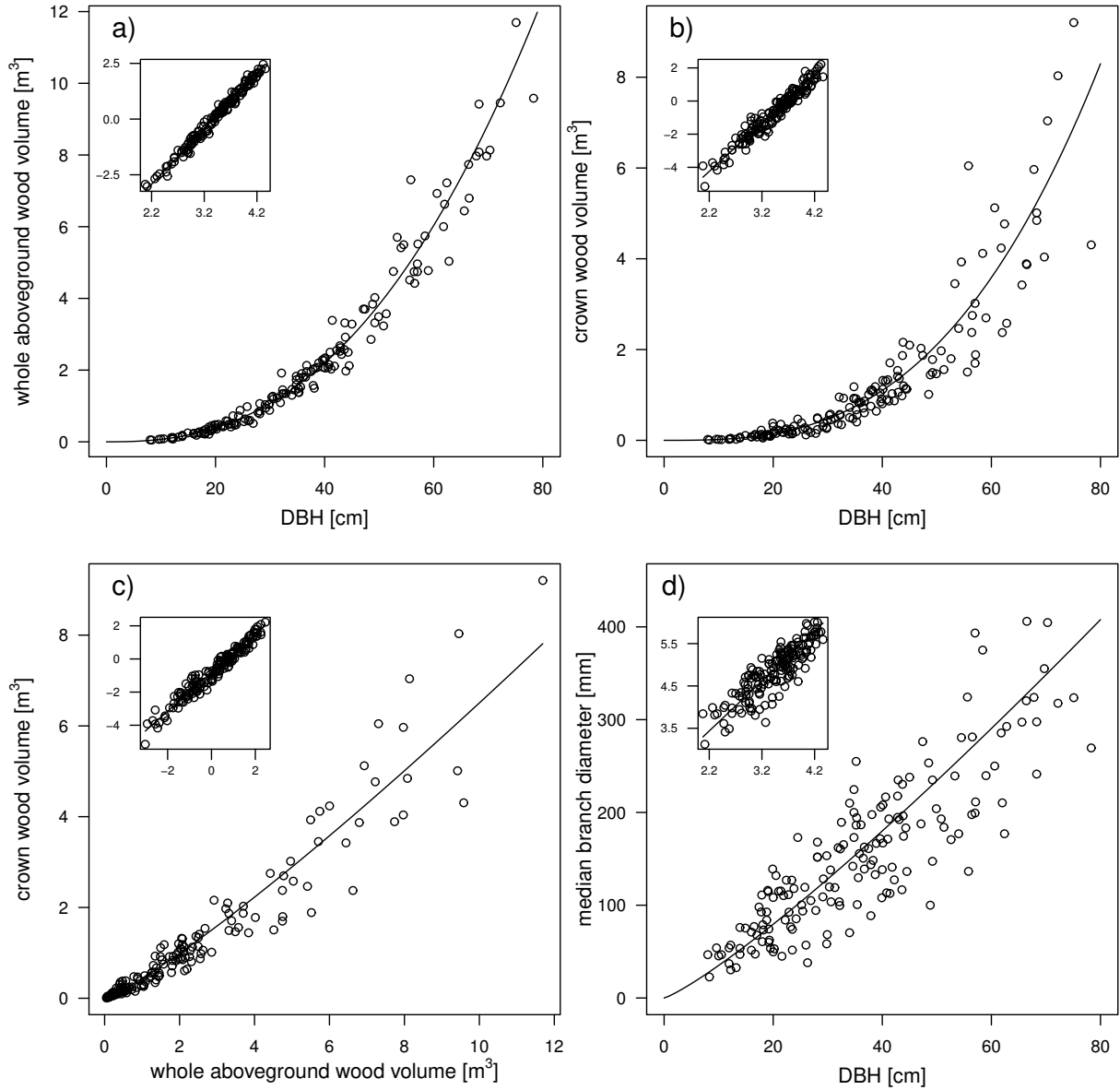
Table 4.7: Summary of the economically viable crown wood volume regression model. The data was fitted to a natural exponential function by the generalized nonlinear regression method with the independent variables DBH and the crown type.

variable	coefficient	standard error	t-value
$\log(\beta)$	-13.30117	0.114	-116.57
γ_1	-0.06699	0.031	-2.19
γ_3	0.19360	0.034	5.73
α	3.48463	0.031	112.7
number of observations		1347	
deviance explained		0.89	
model range [cm]		0-78	
AIC		-1022.9	

Table 4.8: Summary of the log linear regression models, fitted by the SMA method. α and $\log(\beta)$ are the model coefficients; l.ci.lim is the lower, u.ci.lim the upper limit of the 95 % confidence interval; r^2 is the linear coefficient of determination.

allometry	α	l.ci.lim	u.ci.lim	$\log(\beta)$	r^2
$V_f \propto DBH^\alpha$	2.492	2.444	2.541	-8.408	0.98
$V_c \propto DBH^\alpha$	2.915	2.812	3.022	-10.661	0.95
$V_c \propto V_f^\alpha$	1.170	1.131	1.209	-0.821	0.95
$H \propto DBH^\alpha$	0.490	0.448	0.536	1.519	0.67
$MB \propto DBH^\alpha$	1.179	1.091	1.275	0.842	0.74

Crown wood volume was found to increase disproportionally high with whole aboveground wood volume (c). Further, relationships like tree height-DBH and median branch diameter-DBH (d) showed a lower coefficient of determination and thus a higher variance than the former relationships (Figure 4.6a, b and c).

4.4 Discussion

4.4.1 Estimation of bark thickness

The most commonly used linear bark thickness function by Altherr et al. (1978) is only valid for branches with diameter > 7 cm. Since our viable wood volume should be able to predict smaller branches as well, the function by Altherr et al. was not applicable for our purposes. Furthermore, biomass thickness is known to have regional differences (Bonyad et al., 2012). As Alterr et al. collected their data in the southwest of Germany only, application of their model could lead to wrong predictions. Actually the function by Altherr et al. would have let to an overestimation of our measured bark thicknesses. Application of our new parametrized bark thickness model in further studies appears to be useful whenever regionalized functions are not available or when bark thicknesses of smaller branches (diameter < 7 cm) have to be predicted.

4.4.2 Economically viable wood volume in the crown

The mains advantage of the RBS method are its unbiasedness, its efficiency and its flexibility. Based on the morphologic measurements, it is possible to estimate the volume of various parts of the crown. In our approach, we focused on the economically viable branch structures. Although the measurements for this study were relatively time and cost expensive they represent an efficient trade-off between accuracy and measuring costs.

Crown type differentiation

The different types of volume distributions according to the branch diameters in the crowns $F(d)$ (Figure 4.2) indicate that different harvesting volumes in the tree crowns can be caused by the wood allocation. It is, from a practical perspective, immediately apparent that crowns with more wood volume in relatively large branch dimensions lead to higher yields than crowns with a lot of wood volume in relatively small branch dimensions. Branches with larger dimensions lead to lower procession costs per cubic meter (Neumann-Spallart, 1952). While the variability in the cumulative volume is high, the general curve tends to be uniform over all trees (Figure 4.2).

To create a variable which is able to describe this economically relevant branch dimension numerically, the median and quantile diameter were calculated from the volume distribution of the branch diameter $F(d)$. Since a major part of the wood volume in type 1 crowns is allocated to relatively small branches and twigs, this crown type is the economically unfavorable in comparison to the other types. Classification of crown type appears to be a great advantage in forest planning as it enables a more accurate evaluation of the expectable wood amount from the crown of a tree.

The median and the quartiles of branch diameters are suitable for crown type classification but, unfortunately, they are not practically measurable. For this purpose, after the classification via median and quantile branch diameters, further relationships between tree parameters and the crown types were examined. The prediction model (Table 4.5) enables a crown type classification as part of the forest inventory. When applying the crown type prediction model, there is no need to measure the branch diameter ratio at crown base. A visual suggestion of the ratio in discrete steps of 0.1 from 0.2 to 0.9 is adequate. Plugging in the actual measured diameter ratio and the discrete diameter ratio that was rounded to 1 digit leads to the same crown type classification.

Modelling the economically viable wood volume in the crown

The model (Algorithm 1) provides an approach for separating the economically viable wood volume from the whole wood volume in the crown. The advantage of the model lies in the type of data that is used in its parameterization. Instead of taper functions, the model bases on the actual morphological form of the crown. The economically viable wood volume model does not consider external factors like log quality or processing restrictions (e.g. fixed log lengths or minimum/ maximum log diameters). Therefore, the predicted wood volume represents the maximum economically viable wood volume of a European beech tree crown. More, or less processed wood volume would lead to a lower marginal return.

For model simplification, we assumed the marginal processing costs of per piece to be equal.

They were interpreted as fixed costs per processed branch structure. In practice, however, processing costs also depend on variable factors like branch diameter and branch length. As reliable time studies for this specific working progress are lacking, average costs were derived from the wages tables of the forest entrepreneur association. The model basically combines the RBS estimation method with a break-even analysis. Further costs, which not directly affect the procession of the crown were thus not relevant for the break-even analysis (Starr & Tapiero, 1975; Varian, 2010). Costs for felling and logging, for instance, were thus not implemented.

The absolute marginal return increases with DBH. Since the marginal return depends on costs and revenues, the variance in marginal return over DBH is influenced by tree wood volume distribution (which is directly linked to the revenue) and branching intensity (which is directly linked to the costs). It is thus evident, that type 3 crowns result in lower costs at constant volume, or significantly more volume at constant costs and, finally, in a higher marginal return, respectively (Figure 4.4, Table 4.7).

Figure 4.5 (right) reveals one of the main advantages of our model. It can be seen that there is no general threshold diameter where processing ends but tree specific small-end diameters. Over all scenarios of the sensitivity analysis, these small-end diameters range from ca. 5 to ca. 17 cm. It becomes obvious that the median small-end diameter changes with differing costs or revenues but the distribution around the median does not. This means that changes in revenue or costs affect each small-end diameter in approximately the same amount. Extreme small-end diameters thus react similar to changes as small-end diameters near the median. The fact that simultaneously changing costs and revenues do neither change the median nor the distribution of the small-end diameters (Figure 4.5, right) was expectable. The economically viable wood volume model in principle compares the revenues of one wood structure with its processing costs. As simultaneous changes of both variables do not change the result of the comparison (Algorithm 1), the output of the model is unchanged. With view to a future application of our model, this is advantageous. The model output will be valid in future as long as costs and revenues develop in similar amount.

The small-end diameters do not differ between the crown types. This is not surprising since the break-even point (Algorithm 1) is determined by piece-volume of the last branch structure (the last viable branch structure). This piece volume is similar in all 3 crown types. The economically viable wood volume is nevertheless different between the crown types since the volume distribution up to this last economically viable branch structure (Figure 4.2) is substantially different. The viable wood volume is thus less dependent on the small-end diameter than on the wood volume distribution up to this diameter.

The regression analyses translated the output of the economically viable crown wood model into an applicable regression model (Table 4.7). Only DBH and crown type were significant. This is not surprising as the information of morphological variables are encompassed in the crown type dummy variable. The significant crown type dummy represents the difference in crown type 1 or 3 to crown type 2. Due to insufficient number of observations the interaction between crown types dummy and β cannot be clarified ultimately. Since residual analyses did not reveal systematic errors, the model validity was not compromised.

Changes in processing costs as well as changes in revenue changes in the timber price had by far less explanatory content than the crown morphology dummy variable. The economically viable wood from beech crowns changes, even for a small increase of harvesting costs, but the

change may be small. Consideration of the crown type was therefore much more important for models accuracy than consideration of the costs and revenue changes. The viable wood volume from complex crowns of European beech is thus driven by the morphological variable. The absence of the cost and revenue parameter was not surprising since it was shown that simultaneous development of costs and revenue do not affect the small-end diameter (Figure 4.5, right). It became clear that development of costs and revenues up to 20 % would not lead to remarkably different harvesting volumes. Only if either the processing costs or the timber price changes > 30 % whereat the other variable does not change, the introduced regression model would lead to wrong predictions of the economically viable wood volume.

4.4.3 Allometric relationships

Since all relationships showed a log linear trend and an homogeneous variance (Figure 4.6), all assumptions for allometric regressions were met (Stumpf and Porter, 2012). The strong relationship between the crown wood volume and the DBH as well as between the crown wood volume and the tree wood volume (Table 4.8) was expectable, as this was already observed in further studies (e.g. Niklas, 1994; Pretzsch & Dieler, 2012). However, it must be considered that all our sample plots were high forests under standard regimes, their intra- and interspecific competition were thus similar. The influence of the competition on the allometric relationships, as it was observed by Pretzsch & Dieler (2012), can neither be confirmed or declined with the data of this study.

The coefficients of determination of the log linear models between two variables (Table 4.8) were interpreted as the expression of their natural variability. Variables with high coefficients of determination have a very close relationship and show slight natural variation. The whole aboveground wood volume as well as the crown wood volume relationships over DBH were strongest. It is therefore evident that neither of those two variables was influenced notably by other variables than the DBH. Because of these strong relations between the whole aboveground wood volume as well as the wood volume from the crown to the DBH, different harvesting volumes from beech trees with similar DBH, as they can be observed in forest practice, cannot be caused by different absolute wood volumes of those trees. Differences in the harvesting volumes must be driven by other factors affecting the amount of harvestable wood from beech crowns.

Relationships like the median branch diameter over DBH showed substantially lower coefficients of variation. As the median branch diameter is an auxiliary variable for the morphological appearance of the crown, it is evident that the morphological form of the crown is comparatively volatile over DBH. The median branch diameter affects the economically viable wood volume significantly (Table 4.7). The relationship of the economically viable wood volume in the crown over DBH is thus not as strong as the relationship between the whole wood in the crown. It is, to conclude, not the absolute wood volume in the crown but the viability of this wood volume, which is driven by morphological patterns, that explains different harvesting wood volumes for European beech trees with similar DBH. Volume models, able to differentiate between the whole and the actually viable wood volume, are thus of high practical importance.

4.5 Conclusions and outlook

Analysis of the allometric relationships shows that the proportion of wood from the crown, in relation to wood from the stem, grows with increasing DBH (Figure 4.6). It is therefore essential to consider the predicted wood volume from the crown as a by-product of stem wood production in the operational planning. It was shown that prediction of the whole wood volume from the crown of European beech trees is relatively simple (Table 4.8, $r^2 = 0.95$) and that additional information is needed to differentiate the economically viable wood from the whole wood volume in the crown (Table 4.7, pseudo-$r^2 = 0.89$).

One of the main functions of the crown is to optimize the position of the leaves in relation to light radiation (Mitscherlich, 1970). Crown appearance depends on various influences, like atmospheric conditions (Gruber et al., 2004), competition (Umeki, 1995; Pretzsch & Dieler, 2012) and genetically-determined apical control (Wilson, 2000). This leads to a high morphological variability in crown appearance (Roloff, 1986; Schröter et al., 2012). While the whole wood volume in the crown can be predicted via DBH (Pretzsch & Dieler, 2012), the economically viable wood volume is highly dependent on the crown morphology. Because of this strong relationship between DBH and crown wood volume (Table 4.8, $r^2 = 0.95$), prediction of branch volume or biomass from the crown via existing function (see e.g. Zianis et al. (2005) for a broad overview of existing functions) is certainly valid and effective. Most of the recent literature functions, however, provide prediction of the wood volume or biomass up to certain small-end branch diameters (often 7 cm). The choice of those diameters appears to lack economically interpretation. We observed that every tree had a specific individual small-end diameter (Figure 4.5, right). Our approach thus appears to be advantageous over classical functions as it is not driven by a specific, not interpretable diameter but by the measured and economically rated actual branch structure of the crown. It thus enables, in contrast to classical approaches, a sophisticated prediction of the effectively expectable wood volume from the crown. It was further shown that the tree specific, economically justified small-end diameters do not further change with differing processing costs or revenues. Every tree has a specific small-end diameter where reasonable processing ends. This specific small-end diameter is relatively robust against cost and revenue changes.

Our morphological approach for modelling the economically viable wood volume of deciduous tree crowns has to be classified as a scientific *deductive-nomological* model (Hempel & Oppenheim, 1948) that is able to describe the causal connection between crown morphology and economic considerations theoretically. However, as we parameterized our model with realistic and recent processing costs and timber prices, the predicted viable wood volume reflects realistic dimensions. It must be kept in mind that our model underlies simplifications. Firstly, all our sample stands were silviculturally managed high forests. Secondly, further influences on the actually harvested wood volume (e.g. fixed log lengths or diameters) are not respected by our model. The modeled viable wood volume must be interpreted as the effectively expectable wood volume assuming absence of further exogenous restrictions.

The presented model assesses the optimal crown utilization intensity from an economically point of view only. As shown in Miettinen et al. (2014), tree stump and foliage usage are worthwhile when climate impacts are respected in the net benefit. Future studies could examine whether stump or foliage usage can improve the presented model and if the model is able to

consider of further impacts like nutrient load damage, biodiversity benefits and climate impacts.

Acknowledgements

Chapter 5

Flexible Global Optimization with Simulated-Annealing

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– Alexander Lange is co-author of the R package and performed the SVAR example.

– Elmar Spiegel reviewed the package code, supported writing of the manuscript and the review process.

Abstract

Abstract.

Keywords

Keywords

5.1 Introduction

Introduction.

5.2 The package optimization

5.2.1 Method

$$\widehat{\overline{Y}}_{2st} = \sum_{h=1}^{L} w_h \frac{1}{n_h} \sum_{i=1}^{n_h} y_{hi} = \sum_{h=1}^{L} w_h \overline{y}_h \tag{5.1}$$

Example Equation 5.1 shows an unbiased estimator.

5.2.2 The function optim_sa

5.3 Examples

5.3.1 Himmelblau Function with continuous parameter space

5.3.2 Himmelblau Function with discrete parameter space

5.3.3 Another example?

5.3.4 Forest harvesting schedule optimization

5.4 Discussion and outlook

Acknowledgements

Chapter 6

General Discussion

programmable vs. non-p. (see intro) In forest often non-p.. High challenge to classify and to find new fields which can be (now with better pc and methods) programmed now.

Chapter 7

Summary

Summary.

Chapter 8

Zusammenfassung

Zusammenfassung.

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