# ANNUAL TREE GROWTH PREDICTIONS BASED ON PERIODIC MEASUREMENTS

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#### **ABSTRACT**

A method was developed to estimate parameters of a system of annual tree diameter growth, height growth, and survival equations, based on periodic measurements. Data from 100 plots randomly selected from the Southwide Seed Source Study of loblolly pine (*Pinus taeda* L.) were used to fit the equations. Another 100 plots, also randomly selected from the same study, were used to evaluate this method against the constant rate approach that assumes constant tree survival and growth rates during the growing period. Results showed that the variable rate method out-performed the constant rate method in predicting both tree-level and stand-level attributes, especially for long projection periods. The variable rate method was superior because it accounted for the ever-changing annual rates of tree survival and growth.

#### INTRODUCTION

Three main components of a distance-independent individual tree model include tree diameter and height growth equations and a tree survival function. Individual tree growth equations have been used in predicting annual or periodic increment in diameter (Belcher et al. 1982, Amateis et al. 1989, Zhang et al. 1997, Lessard et al. 2001, Mabvurira and Miina 2002) and height (Ritchie and Hann 1986, Courbaud et al. 1993, Lynch and Murphy 1995, Golser and Hasenauer 1997). The probability that a tree survives a period has been modeled using logistic functions (Hamilton 1974, Hamilton and Edwards 1976, Monserud 1976, Buchman 1979, 1983, Zhang et al. 1997, Monserud and Sterba 1999), although some exceptions exist (Amateis et al. 1989, Guan and Gertner 1991a, 1991b).

Since trees are not measured every year but often at some interval, it is not a straightforward procedure to predict annual tree growth and survival. Interpolation methods were developed by McDill and Amateis (1993) for modeling one variable (e.g. tree height) and later generalized by Cao et al. (in press) for many variables (e.g. tree diameter, height, and crown ratio). These interpolation methods were shown to perform better than the averaging method that assumes a constant growth for the entire period. Predicting annual tree survival from periodic measurements is particularly taxing. The survival probability is often assumed to remain constant during the growing period (Hamilton and Edwards 1976, Monserud 1976). Cao (2000) developed an iterative method to predict annual diameter growth and survival for individual trees. This method was shown to be superior to the averaging approach because it accounted for variable rates of survival and diameter growth.

The objective of this study is to extend Cao's (2000) method to estimate parameters of an individual tree model that consists of annual tree survival, diameter growth, and height growth equations, based on data measured at some interval.

#### **DATA**

Data were from the Southwide Seed Source Study, which involved 15 loblolly pine (*Pinus taeda* L.) seed sources planted at 13 locations across 10 southern states (Wells and Wakeley 1966). Seedlings were planted at a 1.8 m x 1.8 m spacing. Each plot of size 0.0164 ha consisted of 49 trees measured at ages  $t_1$  (10 years),  $t_2$  (15 or 16),  $t_3$  (20 or 22), and  $t_4$  (25 or 27).

A subset (100 plots) of the original data was randomly selected as the fit data set, to be used for fitting the models. Furthermore, only one growing period was randomly chosen from each plot. The fit data set therefore contained mostly 5-year growth periods (84 plots), with some intervals of 4 years (6 plots), 6 years (4 plots), and 7 years (6 plots).

Another 100 plots were randomly selected from the remaining original data to form the validation data set. All six possible growing periods  $(t_1-t_2, t_1-t_3, t_1-t_4, t_2-t_3, t_2-t_4, \text{ and } t_3-t_4)$  from these plots were used to evaluate the models. Table 1 shows summary statistics for stand- and tree-level attributes for the fit and validation data sets.

Table 1. Means (and standard deviations) of stand- and tree-level attributes, by data type and age

Age	Number of sample plots	Dominant height (m)	Number of trees/ha	Basal area (m²/ha)	Number of sample trees	Tree diameter (cm)	Tree total height (m)	
Fit Data Set								
10	33	8.6 (1.7)	2084 (490)	20.95 (7.25)	1127	10.8 (3.4)	7.7 (2.0)	
15	57	12.9 (1.6)	1869 (560)	31.46 (7.36)	1746	14.1 (3.9)	11.6 (2.1)	
16	10	16.0 (0.8)	1165 (202)	29.50 (2.81)	191	17.4 (4.2)	14.6 (2.0)	
20	59	17.1 (1.9)	1175 (383)	31.93 (8.28)	1135	18.1 (4.4)	15.6 (2.5)	
22	8	14.6 (1.1)	808 (221)	16.64 (6.01)	106	15.7 (4.1)	13.3 (2.0)	
25	21	20.1 (2.5)	1008 (450)	33.64 (12.17)	347	20.0 (4.8)	18.2 (3.1)	
27	12	18.0 (2.6)	747 (233)	25.67 (7.89)	147	20.1 (5.6)	16.2 (3.5)	
Validation Data Set								
10	100	9.3 (1.6)	2203 (428)	24.05 (6.48)	3611	11.3 (3.3)	8.3 (1.9)	
15	77	12.8 (1.8)	1978 (543)	32.05 (7.38)	2496	13.8 (3.8)	11.6 (2.3)	
16	23	15.9 (1.0)	1228 (158)	28.92 (3.37)	463	16.9 (3.7)	14.8 (1.9)	
20	93	17.0 (2.3)	1256 (350)	32.23 (7.53)	1915	17.6 (4.2)	15.5 (2.8)	
22	7	14.7 (2.5)	941 (168)	18.45 (6.54)	108	15.2 (4.3)	13.5 (2.7)	
25	65	19.1 (2.7)	1177 (382)	36.11 (10.02)	1254	19.2 (4.5)	17.4 (3.2)	
27	35	20.1 (2.8)	723 (183)	28.14 (8.05)	414	21.5 (5.6)	18.5 (3.6)	

### **METHODS**

The following individual tree model comprised of equations predicting annual survival and diameter and height growth was selected after preliminary analyses.

$$d_{i,t+1} - d_i = (\alpha_1 + \alpha_2 D_{q,t}) / \{1 + exp(\alpha_3 A_t + \alpha_4 H_t + \alpha_5 N_t + \alpha_6 B_t + \alpha_7 d_{i,t} + \alpha_8 h_{i,t})\} + \epsilon_{i,t}$$
(1.a)

$$h_{i, t+1} - h_{i, t} = (\beta_1 + \beta_2 H_t) / \{1 + \exp(\beta_3 + \beta_4 A_t + \beta_5 H_t + \beta_6 B_t + \beta_7 d_{i, t} + \beta_8 h_{i, t})\} + \epsilon_{i, t}$$

$$(1.b)$$

$$p_{i, t+1} = [1 + \exp(\gamma_1 + \gamma_2 H_t + \gamma_3 B_t + \gamma_4 d_{i, t} + \gamma_5 h_{i, t})]^{-1}$$
(1.c)

where

 $d_{i,t}$  and  $h_{i,t}$  = diameter in cm and total height in m, respectively, of tree i at age  $A_t$ ,

 $p_{i, t+1}$  = probability that tree i survived the period from age  $A_t$  to  $A_{t+1}$ ,

H<sub>t</sub> = dominant height (average height of the dominants and codominant heights) in m at age A<sub>t</sub>,

 $N_t$  = number of trees per ha at age  $A_t$ ,

 $B_t$  = stand basal area in m<sup>2</sup>/ha at age  $A_t$ ,

 $D_{q, t}$  = quadratic mean diameter in cm at age  $A_t$ , and

 $\varepsilon_{i, t}$  = error term.

Two methods for estimating parameters of the above tree model will be discussed as follows.

#### **Constant Rate Method**

In this method, the growth rates of diameter and height of each tree were assumed to be constant during the growth period from age  $A_t$  to  $A_{t+q}$ , where q is the length of the period. Similarly, the survival probability was also considered constant during this period. Equations (1.a-1.c) are rewritten as follows.

$$(d_{i,t+q} - d_i) / q = (\alpha_1 + \alpha_2 D_{q,t}) / \{1 + exp (\alpha_3 A_t + \alpha_4 H_t + \alpha_5 N_t + \alpha_6 B_t + \alpha_7 d_{i,t} + \alpha_8 h_{i,t})\} + \epsilon_{i,t}$$
 (2.a)

$$(h_{i,t+q} - h_{i,t}) / q = (\beta_1 + \beta_2 H_t) / \{1 + \exp(\beta_3 + \beta_4 A_t + \beta_5 H_t + \beta_6 B_t + \beta_7 d_{i,t} + \beta_8 h_{i,t})\} + \epsilon_{i,t}$$
(2.b)

$$p_{i} = [1 + \exp(\gamma_{1} + \gamma_{2}H_{t} + \gamma_{3}B_{t} + \gamma_{4}d_{i,t} + \gamma_{5}h_{i,t})]^{-q}$$
(2.c)

where  $p_i$  is the probability that tree i survived the period from age  $A_t$  to  $A_{t+q}$ ,

A method suggested by Borders (1989) was used to simultaneously estimate parameters of the diameter and height growth equations; this fitting procedure involved the use of option SUR (seemingly unrelated regression) of SAS procedure MODEL (SAS Institute Inc. 1993). Maximum likelihood estimation of parameters of the survival equation was obtained using weighted nonlinear regression (Walker and Duncan 1967).

### Variable Rate Method

This method allowed the survival and growth rates to vary from year to year as functions of constantly changing stand variables and tree variables. Annual changes in diameter, height, and survival probability were modeled in a recursive manner as follows.

#### Year (t+1)

$$\hat{d}_{i,t+1} = d_i + (\alpha_1 + \alpha_2 D_{q,t}) / \{1 + \exp(\alpha_3 A_t + \alpha_4 H_t + \alpha_5 N_t + \alpha_6 B_t + \alpha_7 d_{i,t} + \alpha_8 h_{i,t})\}$$
(3.a.1)

$$\hat{h}_{i,t+1} = h_{i,t} + (\beta_1 + \beta_2 H_t) / \{1 + \exp(\beta_3 + \beta_4 A_t + \beta_5 H_t + \beta_6 B_t + \beta_7 d_{i,t} + \beta_8 h_{i,t})\}$$
(3.b.1)

$$p_{i,t+1} = [1 + \exp(\gamma_1 + \gamma_2 H_t + \gamma_3 B_t + \gamma_4 d_{i,t} + \gamma_5 h_{i,t})]^{-1}$$
(3.c.1)

#### Year (t+2)

$$\hat{d}_{i,t+2} = \hat{d}_{i,t+1} + (\alpha_1 + \alpha_2 \, \hat{D}_{q,t+1}) \, / \, \{ 1 + exp \, (\alpha_3 A_{t+1} + \alpha_4 \, \hat{H}_{t+1} \, + \alpha_5 \, \hat{N}_{t+1} \, + \alpha_6 \, \hat{B}_{t+1} \, + \alpha_7 \, \hat{d}_{i,t+1} \, + \alpha_8 \, \hat{h}_{i,t+1} \, ) \} \qquad (3.a.2)$$

$$\hat{h}_{i,t+2} = \hat{h}_{i,t+1} + (\beta_1 + \beta_2 \hat{H}_{t+1}) / \{1 + \exp(\beta_3 + \beta_4 A_{t+1} + \beta_5 \hat{H}_{t+1} + \beta_6 \hat{B}_{t+1} + \beta_7 \hat{d}_{i,t+1} + \beta_8 \hat{h}_{i,t+1})\}$$
(3.b.2)

$$p_{i, t+2} = [1 + \exp(\gamma_1 + \gamma_2 \hat{H}_{t+1} + \gamma_3 \hat{B}_{t+1} + \gamma_4 \hat{d}_{i,t+1} + \gamma_5 \hat{h}_{i,t+1})]^{-1}$$
(3.c.2)

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## Year (t+q)

$$\begin{split} d_{i,\,t+q} &= \, \hat{d}_{i,t+q-1} \, + (\alpha_1 + \alpha_2 \, \hat{D}_{q,t+q-1} \,) \, / \, \{ 1 + exp \, (\alpha_3 A_{t+q-1} + \alpha_4 \, \hat{H}_{t+q-1} \, + \alpha_5 \, \hat{N}_{t+q-1} \, + \alpha_6 \, \hat{B}_{t+q-1} \\ &+ \alpha_7 \, \hat{d}_{i,t+q-1} \, + \alpha_8 \, \hat{h}_{i,t+q-1} \, ) \} + \epsilon_i \end{split} \tag{3.a.q}$$

$$\begin{split} h_{i,\,t+q} &= \,\, \hat{h}_{i,t+q-l} \, + (\beta_1 + \beta_2 \, \hat{H}_{t+q-l} \,) \, / \,\, \{1 + exp \, (\beta_3 + \beta_4 A_{t+q-l} + \beta_5 \, \hat{H}_{t+q-l} \, + \beta_6 \, \hat{B}_{t+q-l} \, + \beta_7 \, \hat{d}_{i,t+q-l} \\ &+ \beta_8 \, \hat{h}_{i,t+q-l} \,\,) \} \, + \epsilon_i \end{split} \tag{3.b.q}$$

$$p_{i, t+q} = \left[1 + \exp\left(\gamma_1 + \gamma_2 \hat{H}_{t+q-1} + \gamma_3 \hat{B}_{t+q-1} + \gamma_4 \hat{d}_{i, t+q-1} + \gamma_5 \hat{h}_{i, t+q-1}\right)\right]^{-1}$$
(3.c.q)

where the stand-level variables were predicted from the following equations:

$$\hat{H}_{t+s+1} = \exp \left\{ \lambda_1 + \left[ \ln \left( \hat{H}_{t+s} \right) - \lambda_1 \right] \left( A_{t+s} / A_{t+s+1} \right) \right\}$$
(4.a)

$$\ln(\hat{N}_{t+s+1}) = \ln(\hat{N}_{t+s}) \left[ \delta_1 + \delta_2 (A_{t+s}/A_{t+s+1}) \right] + \ln(\hat{H}_{t+s}) \left[ \delta_3 + \delta_4 (A_{t+s}/A_{t+s+1}) \right]$$
(4.b)

$$\ln(\hat{B}_{t+s+1}) = (A_{t+s}/A_{t+s+1}) \ln(\hat{B}_{t+s}) + \{\tau_1 + \tau_2 [\ln(\hat{H}_{t+s+1}) - \ln(\hat{H}_{t+s})]\} / A_{t+s}$$
(4.c)

and the probability that tree i survived the period from age  $A_t$  to  $A_{t+q}$  is given by

$$p_i = \coprod_{s=1}^{q} p_{i,t+s} \tag{5}$$

## **EVALUATION**

The two methods for estimating parameters of the individual tree model were evaluated based on statistics computed from the validation data set. All possible growth intervals were employed in the validation process, allowing the methods to be evaluated at three projection lengths: short (from 4 to 7 years), medium (10 to 12 years), and long (15 to 17 years). The two methods were evaluated based how well they predicted both tree-level attributes (tree diameter, height, and survival probability) and stand-level attributes (number of trees, basal area, and volume per ha). For each projection length, the following evaluation statistics were calculated.

Mean Difference:  $MD = \sum (y_i - \hat{y}_i) / n$ 

Mean Absolute Difference:  $MAD = \sum |y_i - \hat{y}_i| / n$ 

Fit Index:  $FI = 1 - \sum_{i=1}^{\infty} (y_i - \hat{y}_i)^2 / \sum_{i=1}^{\infty} (y_i - \overline{y}_i)^2$ 

Log Likelihood:  $-2 \ln(L) = -2 \left\{ \sum_{i} \ln(p_i) + \sum_{i} (1-p_i) \ln(1-p_i) \right\}$ 

where

 $y_i$  = observed value at age  $A_{t+q}$  of tree attribute (diameter, height, or survival probability of tree i) or stand attribute (number of trees, basal area, or volume per ha of plot i),

 $\hat{y}_i$  and  $\overline{y}$  = predicted value and average, respectively, of  $y_i$ , and

n = number of observations.

## RESULTS AND DISCUSSION

Table 2 shows the parameter estimates for the stand-level model (equations 4.a - 4.c). The parameter estimates for the individual tree model from the constant rate and variable rate methods are presented in Table 3.

Table 2. Estimates and standard errors of parameters in stand-level equations

Attribute	Parameter	Estimate	Std. Error	
Dominant haight	λ1	3.9124	0.1885	
Dominant height	$\lambda_2$	0.6504	0.0968	
	δ1	2.0841	0.1597	
	$\delta_2$	-1.1580	0.1722	
Stand survival	δ3	-2.9659	0.4489	
	δ4	3.1407	0.4817	
Basal area	τ1	3.0693	0.1033	
Dasai alea	τ2	7.8213	1.0135	

Evaluation statistics from the two methods computed from the validation data set are listed in Table 4. The variable rate method provided better predictions of tree-level attributes (diameter, height, and survival probability) than did the constant rate method, in terms of lower absolute values of mean difference (MD), lower mean absolute difference (MAD), higher fit index (FI), and lower value of -2 ln (L). As expected, the accuracy and precision of the predictions from both methods suffered as projection length increased. The constant rate method especially did not perform well for long projection periods (15 to 17 years). It tended to underestimate tree diameter and height, as evidenced by close values of MD and MAD for this projection length (2.21 and 2.82, respectively, for tree diameter, and 1.40 and 2.17 for tree height). The mean difference values from the variable rate method increased as projection length increased from approximately 5 years to 15 years

Table 3. Estimates and standard errors of parameters in tree-level equations

Attribute	Parameter	Contant R	ate Method	Variable Rate Method		
Attribute		Estimate	Std. Error	Estimate	Std. Error	
	$\alpha_1$	2.8121	0.2702	3.3215	0.3259	
	$\alpha_2$	-0.0894	0.0114	-0.1014	0.0122	
	$\alpha_3$	0.0577	0.0122	0.0688	0.0100	
	$\alpha_4$	0.2436	0.0279	0.1787	0.0252	
Diameter growth	$\alpha_5$	0.0003	0.0001	0.0002	0.0001	
	$\alpha_6$	0.0278	0.0061	0.0262	0.0054	
	$\alpha_7$	-0.1307	0.0160	-0.1039	0.0140	
	$\alpha_8$	-0.1967	0.0273	-0.1600	0.0261	
	$\beta_1$	1.1655	0.0703	1.2073	0.0881	
	$\beta_2$	-0.0250	0.0053	-0.0254	0.0063	
	$\beta_3$	-1.7399	0.3256	-2.2665	0.4341	
	$eta_4$	0.1683	0.0238	0.1771	0.0256	
Height growth	$\beta_5$	-0.1033	0.0463	-0.1346	0.0533	
	$\beta_6$	0.0261	0.0057	0.0202	0.0065	
	$\beta_7$	-0.2695	0.0343	-0.2822	0.0398	
	$\beta_8$	0.2538	0.0494	0.3231	0.0649	
	$\gamma_1$	-4.1367	0.2015	-4.7460	0.2483	
	$\gamma_2$	0.4686	0.0373	0.4940	0.0388	
Tree survival	γ <sub>3</sub>	0.0679	0.0067	0.0637	0.0073	
	$\gamma_4$	-0.1148	0.0225	-0.0714	0.0250	
	γ <sub>5</sub>	-0.4704	0.0506	-0.5028	0.0578	

(-0.01 to 0.67 cm for diameter, -0.03 to 0.23 m for height, and -0.003 to 0.027 for survival probability). It is remarkable that bias resulting from the variable rate method remained reasonably low even for projection periods ranging from 15 to 17 years.

The two methods were also evaluated for their capability to predict stand-level attributes such as number of trees, basal area, and volume per ha (Table 4). Again, the variable rate method consistently produced lower absolute value of MD, lower MAD, and higher FI than did the constant rate approach. Furthermore, results revealed that the ability of this individual tree model to predict stand attributes deteriorated as projection interval increased, even though the variable rate approach always maintained its superiority over the constant rate method. For projection periods ranging from 15 to 17 years, the fit indices (analogous to R<sup>2</sup>) from both methods were negative, indicating that using the means to project stand growth fared better than using the predictions from the equations.

The variable rate method as presented in this paper is similar to the iterative method introduced by Cao (2000), except that the stand variables in the variable rate method were predicted from a whole stand model, rather than computed each year by summing up trees in the plots. Consequently, the diameter and height growth equations could be fitted first because they need no information from the survival equation. Parameters from these tree growth equations were then required for fitting the survival equation. This small modification thus eliminated the need for an iterative procedure.

Because stand-level variables and tree-level variables change every year, a method such as the variable rate method that allows diameter and height growth and tree survival probability to vary annually should perform well. This new method is superior to the constant rate approach and can be easily programmed using a statistical package such as SAS. Even though a loblolly pine data set was used in this study, the variable rate approach should be applicable to other species as well.

Table 4. Statistics obtained from evaluation of two methods for estimating parameters of the tree-level model

Attribute	Evaluation Statistic <sup>1/</sup>	Short Projection Length (4 to 7 years)		Medium Projection Length (10 to 12 years)		Long Projection Length (15 to 17 years)	
		Constant Rate	Variable Rate	Constant Rate	Variable Rate	Constant Rate	Variable Rate
	MD	0.37	-0.01	0.98	0.11	2.21	0.67
Tree diameter	MAD	0.97	0.92	1.70	1.50	2.82	2.22
	FI	0.9024	0.9087	0.7667	0.8119	0.4725	0.6518
	MD	0.35	-0.03	0.79	0.06	1.40	0.23
Tree height	MAD	0.99	0.93	1.57	1.38	2.17	1.75
	FI	0.8678	0.8753	0.6139	0.6725	0.3236	0.4964
	MD	0.048	-0.003	0.071	-0.028	0.156	0.027
Tree survival	MAD	0.284	0.270	0.368	0.368	0.367	0.367
	-2 ln(L)	7649	7491	7874	7590	5231	4248
Stand density	MD	87	-1	141	-55	343	60
(number of	MAD	235	228	287	267	398	291
trees/ha)	FI	0.7017	0.7252	0.1043	0.2264	-0.7771	0.1145
Stand basal area (m²/ha)	MD	2.67	0.27	5.58	-0.40	12.6	2.63
	MAD	5.41	4.96	8.43	7.02	14.08	9.34
	FI	0.3374	0.4301	0.3117	0.1202	-1.9115	-0.3814
Stand volume (m³/ha)	MD	16.47	1.50	38.31	-0.58	86.91	18.86
	MAD	32.21	29.70	54.81	46.25	97.71	64.60
	FI	0.6020	0.6556	0.0183	0.3420	-1.3672	-0.1879

<sup>&</sup>lt;sup>1/2</sup> For each evaluation statistic and each projection length, a bold italic number denotes the better of the two methods. MD = mean difference between observed and predicted values; MAD = mean absolute difference; FI - fit index (analogous to R<sup>2</sup>); and L = likelihood function.

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