

Contents

1	Forest Dynamics, Growth, and Yield: A Review, Analysis of the Present State, and Perspective	1
1.1	System Characteristics of Trees and Forest Stands	1
1.1.1	Differences in the Temporal and Spatial Scale Between Trees and Humans	2
1.1.2	Forest Stands are Open Systems	6
1.1.3	Forests are Strongly Structurally Determined Systems	8
1.1.4	Trees, Forest Stands, and Forest Ecosystems are Shaped by History	11
1.1.5	Forests are Equipped with and Regulated by Closed Feedback Loops	12
1.1.6	Forest Ecosystems are Organised Hierarchically	14
1.1.7	Forest Stands are Systems with Multiple Output Variables	20
1.2	From Forest Stand to Gene Level: The Ongoing Spatial and Temporal Refinement in Analysis and Modelling of Tree and Forest Stand Dynamics	21
1.2.1	Experiments, Inventories, and Measurement of Structures and Rates	22
1.2.2	From Proxy Variables to “Primary” Factors for Explanations and Estimations of Stand and Tree Growth	24
1.2.3	From Early Experience Tables to Ecophysiologicaly Based Computer Models	26
1.3	Bridging the Widening Gap Between Scientific Evidence and Practical Relevance	29
1.3.1	Scale Overlapping Experiments	29
1.3.2	Interdisciplinary Links Through Indicator Variables	31
1.3.3	Link Between Experiments, Inventories, and Monitoring by Classification Variables	32

1.3.4	Model Development	33
1.3.5	Link Between Models and Inventories: From Deductive to Inductive Approaches	35
	Summary	37
2	From Primary Production to Growth and Harvestable Yield and Vice Versa: Specific Definitions and the Link Between Two Branches of Forest Science	41
2.1	Link Between Forest Growth and Yield Science and Production Ecology	41
2.2	General Definitions and Quantities: Primary Production, Growth and Yield	42
2.2.1	Gross and Net Primary Production	44
2.2.2	Gross and Net Growth	46
2.2.3	Gross and Net Yield	47
2.3	Specific Terminology and Quantities in Forest Growth and Yield Science	48
2.3.1	Growth and Yield of Individual Trees	50
2.3.2	Growth and Yield at the Stand Level	56
2.4	Stem and Merchantable Volume Growth as a Percentage of Gross Primary Production	64
2.4.1	From Standing Volume or Stem or Merchantable Wood Volume to Total Biomass	66
2.4.2	Ephemeral Turnover Factor t_{org} for Estimation of NPP	72
2.4.3	Deriving Harvested Volume Under Bark from Standing Volume over Bark	76
2.4.4	Conversion of Merchantable Wood Volume to GPP	78
2.5	Dead Inner Xylem	81
2.6	Growth and Yield and Nutrient Content	84
2.6.1	From Total Biomass to the Carbon Pool	85
2.6.2	Nutrient Minerals	85
2.7	Efficiency of Energy, Nitrogen, and Water Use	89
2.7.1	Energy Use Efficiency (EUE)	90
2.7.2	Nitrogen Use Efficiency (NUE)	93
2.7.3	Water Use Efficiency (WUE)	94
	Summary	95
3	Brief History and Profile of Long-Term Growth and Yield Research	101
3.1	From Rules of Thumb to Sound Knowledge	101
3.2	Foundation and Development of Experimental Forestry	104
3.3	From the Association of German Forest Research Stations to the International Union of Forest Research Organizations (IUFRO)	105
3.4	Growth and Yield Science Section of the German Union of Forest Research Organisations	105

- 3.5 Continuity in Management of Long-Term Experiment Plots
in Bavaria as a Model of Success 107
- 3.6 Scientific and Practical Experiments 110
- 3.7 Establishment and Survey of Long-Term Experimental Plots 112
 - 3.7.1 Establishment of Experimental Plots and Trial Plots 112
 - 3.7.2 Measuring Standing and Lying Trees 115
- Summary 118

- 4 Planning Forest Growth and Yield Experiments 121**
 - 4.1 Key Terminology in the Design of Long-Term Experiments 121
 - 4.2 The Experimental Question and its Four Component Questions . . 123
 - 4.2.1 Which Question Should Be Answered? 123
 - 4.2.2 With What Level of Accuracy Should the Question
be Answered? 124
 - 4.2.3 What Level of Spatial–Temporal Resolution is Wanted
in the Explanation? 124
 - 4.2.4 Why and for What Purpose Should the Question
be Answered? 124
 - 4.3 Biological Variability and Replicates 125
 - 4.3.1 Total Population and Sample 125
 - 4.4 Size of Experimental Plot and Trial Plot Number 126
 - 4.5 Block Formation and Randomisation: Elimination
of Systematic Error 128
 - 4.6 Classical Experimental Designs 129
 - 4.6.1 One-Factor Designs 130
 - 4.6.2 Two-Factor or Multifactor Analysis 133
 - 4.6.3 Split-Plot and Split-Block Designs 137
 - 4.6.4 Trial Series and Disjunct Experimental Plots 139
 - 4.7 Special Experimental Designs and Forest Growth Surveys 141
 - 4.7.1 From Stand to Individual Tree Experiments 141
 - 4.7.2 Experiments and Surveys of Growth Disturbances 144
 - 4.7.3 Artificial Time Series or Growth Series 145
 - Summary 148

- 5 Description and Quantification of Silvicultural Prescriptions 151**
 - 5.1 Kind of Thinning 154
 - 5.1.1 Thinning According to Social Tree Classes
by Kraft (1884) 154
 - 5.1.2 Thinning According to Combined Tree and Stem Quality
Classes from the Association of German Forest Research
Stations (1902) 156
 - 5.1.3 Thinning After the Selection of Superior or Final
Crop Trees 160
 - 5.1.4 Thinning Based on Diameter Class or Target Diameter . . . 164
 - 5.2 Severity of Thinning 166
 - 5.2.1 Thinning Based on a Target Stand Density Curve 167

5.2.2	Approaches for Regulating Thinning Severity and Stand Density	167
5.2.3	Selection of Density Classes	170
5.2.4	Management of Stand Density in Fertilisation and Provenance Trials	171
5.2.5	Individual Tree Based Thinning Prescriptions	172
5.3	Intensity of Thinning	175
5.4	Algorithmic Formulation of Silvicultural Prescriptions for Forest Practice and Growth and Yield Models	177
	Summary	178
6	Standard Analysis of Long-Term Experimental Plots	181
6.1	From Measurement to Response Variables	183
6.2	Importance of Regression Sampling for Standard Analysis	184
6.2.1	Principle of Regression Sampling	184
6.2.2	Linear Transformation	184
6.3	Determination of Stand-Height Curves	186
6.3.1	Function Equations for Diameter–Height Relationships	187
6.3.2	Selection of the Most Suitable Model Function	188
6.4	Diameter–Height–Age Relationships	189
6.4.1	Method of Smoothing Coefficients	191
6.4.2	Growth Function Methods for Strata Mean Trees	193
6.4.3	Age–Diameter–Height Regression Methods	195
6.5	Form Factors and Volume Calculations for Individual Trees	196
6.5.1	Form Factors	197
6.5.2	Volume Calculations for Individual Trees	199
6.6	Stand Mean and Cumulative Values at the Time of Inventory and for the Periods Between Inventories	199
6.6.1	Reference Area	199
6.6.2	Tree Number	199
6.6.3	Mean Diameter and Mean Diameter of the Top Height Tree Collective	200
6.6.4	Mean and Top Height	201
6.6.5	Slenderness h_q/d_q and h_{100}/d_{100}	203
6.6.6	Stand Basal Area and Volume	203
6.6.7	Growth and Yield Characteristics	204
6.7	Results of Standard Analysis	205
6.7.1	Presentation in Tables	205
6.7.2	Stand Development Diagrams	211
	Summary	220
7	Description and Analysis of Stand Structures	223
7.1	Structures and Processes in Forest Stands	225
7.1.1	Interaction Between Structures and Processes	225
7.1.2	Effect of Initial Structure on Stand Development	227

- 7.2 Descriptions of Stand Structure 229
 - 7.2.1 Tree Distribution Maps and Crown Maps 230
 - 7.2.2 Three-Dimensional Visualisation of Forest Growth 234
 - 7.2.3 Spatial Occupancy Patterns 239
- 7.3 Horizontal Tree Distribution Patterns 242
 - 7.3.1 Poisson Distribution as a Reference for Analysing Stand Structures 243
 - 7.3.2 Position-Dependent Distribution Indices 246
 - 7.3.3 Distribution Indices Based on Sample Quadrats 252
 - 7.3.4 K-Function 256
 - 7.3.5 L-Function 260
 - 7.3.6 Pair Correlation Functions for Detailed Analysis of Tree Distribution Patterns 261
- 7.4 Stand Density 266
 - 7.4.1 Stocking Density 266
 - 7.4.2 Percentage Canopy Cover (PCC) 267
 - 7.4.3 Mean Basal Area, mBA, by Assmann (1970) 269
 - 7.4.4 Quantifying Stand Density from the Allometry Between Mean Size and Plants per Unit Area 270
 - 7.4.5 Crown Competition Factor CCF 273
 - 7.4.6 Density of Spatial Occupancy and Vertical Profiles 274
- 7.5 Differentiation 276
 - 7.5.1 Coefficient of Variation of Tree Diameters and Heights 276
 - 7.5.2 Diameter Differentiation by Fuldner (1995) 276
 - 7.5.3 Species Richness, Species Diversity, and Structural Diversity 279
- 7.6 Species Intermingling 284
 - 7.6.1 Species Intermingling Index by Fuldner (1996) 284
 - 7.6.2 Index of Segregation from Pielou (1977) 285
- Summary 287
- 8 Growing Space and Competitive Situation of Individual Trees 291**
 - 8.1 The Stand as a Mosaic of Individual Trees 292
 - 8.2 Position-Dependent Competition Indices 292
 - 8.2.1 Example of Competitor Identification and Competition Calculation 293
 - 8.2.2 Methods of Competitor Identification 295
 - 8.2.3 Quantifying the Level of Competition 299
 - 8.2.4 Evaluation of Methods 302
 - 8.3 Position-Independent Competition Measures 305
 - 8.3.1 Crown Competition Factor 305
 - 8.3.2 Horizontal Cross-Section Methods 306
 - 8.3.3 Percentile of the Basal Area Frequency Distribution 307
 - 8.3.4 Comparing Position-Independent with Position-Dependent Competition Indices 308

8.4	Methods Based on Growing Area	311
8.4.1	Circle Segment Method	311
8.4.2	Rastering the Stand Area	312
8.4.3	Growing Area Polygons	313
8.5	Detailed Analysis of a Tree's Spatial Growth Constellation	315
8.5.1	Spatial Rastering and Dot Counting	315
8.5.2	Calculation of Spatial Distances	318
8.5.3	Crown Growth Responses to Lateral Restriction	320
8.6	Hemispherical Images for Quantifying the Competitive Situation of Individual Trees	321
8.6.1	Fish-Eye Images as a Basis for Spatial Analyses	321
8.6.2	Methodological Principles of Fish-Eye Projection in Forest Stands	323
8.6.3	Quantifying the Competitive Situation of Individual Trees in a Norway Spruce–European Beech Mixed Stand	325
8.7	Edge Correction Methods	326
8.7.1	Edge Effects and Edge Correction Methods	326
8.7.2	Reflection and Shift	327
8.7.3	Linear Expansion	328
8.7.4	Structure Generation	332
8.7.5	Evaluation of Edge Correction Methods	333
	Summary	334
9	Effects of Species Mixture on Tree and Stand Growth	337
9.1	Introduction: Increasing Productivity with Species Mixtures?	337
9.1.1	Fundamental Niche and Niche Differentiation	338
9.1.2	Maximizing Fitness isn't Equivalent to Maximizing Productivity	340
9.1.3	The Balance Between Production Promoting and Inhibiting Effects is Important	341
9.2	Framework for Analysing Mixing Effects	343
9.2.1	Ecological Niche	343
9.2.2	Site–Growth Relationships	344
9.2.3	Risk Distribution	344
9.2.4	Comparison of Mixed Stands with Neighbouring Pure Stands: Methodological Considerations	348
9.3	Quantifying Effects of Species Mixture at Stand Level	351
9.3.1	Cross-Species Diagrams for Visualising Mixture Effects	351
9.3.2	Nomenclature, Relations and Variables for Analysing Mixture Effects	352
9.3.3	Mixture Proportion	354
9.3.4	Examining Effects of Species Mixture on Biomass Productivity in Norway Spruce–European Beech Stands: An Example	356
9.3.5	Examining Mean Tree Size in Norway Spruce–European Beech Stands: An Example	360

9.4	Quantifying Mixture Effects at the Individual Tree Level	363
9.4.1	Efficiency Parameters for Individual Tree Growth	363
9.4.2	Application of Efficiency Parameters for Detecting Mixture Effects	365
9.5	Productivity in Mixed Forest Stands	371
9.5.1	The Mixed Stands Issue: A Central European Review and Perspective	371
9.5.2	Benchmarks for Productivity of Mixed Stands Compared to Pure Stands	372
9.5.3	Spatial and Temporal Niche Differentiation as a Recipe for Coexistence and Cause of Surplus Productivity	375
9.5.4	Crown Shyness	376
9.5.5	Growth Resilience with Structural and Species Diversity	377
	Summary	378
10	Growth Relationships and their Biometric Formulation	381
10.1	Dependence of Growth on Environmental Conditions and Resource Availability	381
10.1.1	Unimodal Dose–Effect–Curve	381
10.1.2	Dose–Effect–Rule by Mitscherlich (1948)	383
10.1.3	Combining the Effects of Several Growth Factors	386
10.2	Allometry at the Individual Plant Level	387
10.2.1	Allometry and Its Biometric Formulation	387
10.2.2	Examples of Allometry at the Individual Plant Level	389
10.2.3	Detection of Periodic Changes in Allometry	391
10.3	Growth and Yield Functions of Individual Plants	393
10.3.1	Physiological Reasoning and Biometrical Formulation of Growth Functions	393
10.3.2	Overview Over Approved Growth and Yield Functions	394
10.3.3	Relationship Between Growth and Yield	397
10.4	Allometry at the Stand Level: The Self-Thinning Rules from Reineke (1933) and Yoda et al. (1963)	399
10.4.1	Reineke’s (1933) Self-thinning Line and Stand Density Index	400
10.4.2	–3/2–Power Rule by Yoda et al. (1963)	402
10.4.3	Link Between Individual Tree and Stand Allometry	405
10.4.4	Allometric Scaling as General Rule	406
10.5	Stand Density and Growth	407
10.5.1	Assmann’s Concept of Maximum, Optimum and Critical Stand Density	409
10.5.2	Biometric Formulation of the Unimodal Optimum Curve of Volume Growth in Relation to Stand Density and Mean Tree Size	411

10.6	Dealing with Biological Variability	415
10.6.1	Quantifying Variability	416
10.6.2	Reproduction of Variability	418
	Summary	420
11	Forest Growth Models	423
11.1	Scales of Observation, Statistical and Mechanistic Approaches to Stand Dynamics	425
11.1.1	Scales of Forest Growth and Yield Research and Models	425
11.1.2	From the Classical Black-Box to White-Box Approaches	426
11.1.3	Top-Down Approach vs Bottom-Up Approach	428
11.2	Model Objectives, Degree of System Abstraction, Database	429
11.2.1	Growth Models as Nested Hypotheses About Systems Behaviour	430
11.2.2	Growth Models as a Decision Tool for Forest Management	430
11.3	Growth Models Based on Stand Level Mean and Cumulative Values	432
11.3.1	Principles of Yield Table Construction	432
11.3.2	From Experience Tables to Stand Simulators	437
11.4	Growth Models Based on Tree Number Frequencies	445
11.4.1	Representing Stand Development by Systems of Differential Equations	445
11.4.2	Growth Models Based on Progressing Distributions	446
11.4.3	Stand Evolution Models – Stand Growth as a Stochastic Process	449
11.5	Individual Tree Growth and Yield Models	450
11.5.1	Overview of the Underlying Principles of Individual- Tree Models	451
11.5.2	Growth Functions as the Core Element of Individual- Tree Models	453
11.5.3	Overview of Model Types	455
11.6	Gap and Hybrid Models	456
11.6.1	Development Cycle in Gaps	457
11.6.2	JABOWA – Prototype Model from Botkin et al. (1972) ...	458
11.7	Matter Balance Models	462
11.7.1	Increasing Structural and Functional Accordance of Models with Reality	462
11.7.2	Modelling of the Basic Processes in Matter Balance Models	465
11.7.3	Overview of Matter Balance Model Approaches	476
11.8	Landscape Models	478
11.8.1	Application of Landscape Model LandClim	481

- 11.9 Visualisation of Forest Stands and Wooded Landscapes 482
 - 11.9.1 Visualisation Tools TREEVIEW and L-VIS 484
- 11.10 Perspective 488
- Summary 490
- 12 Evaluation and Standard Description of Growth Models 493**
 - 12.1 Approaches for Evaluation of Growth Models and Simulators 494
 - 12.1.1 Suitability for a Given Purpose 494
 - 12.1.2 Validation of the Biometric Model 496
 - 12.1.3 Suitability of the Software 499
 - 12.1.4 Customising Models and Simulators for End-Users 500
 - 12.2 Examples of Model Validation 503
 - 12.2.1 Validation on the Basis of Long-Term Sample Plots
and Inventory Data 503
 - 12.2.2 Comparison with Growth Relationships 508
 - 12.2.3 Comparison with Knowledge from Experience 510
 - 12.3 Standards for Describing Models and Simulators 510
 - Summary 512
- 13 Application of Forest Simulation Models for Decision Support
in Practice 515**
 - 13.1 Model Objective and Prediction Algorithm 516
 - 13.1.1 Model Objective 516
 - 13.1.2 Prediction Algorithm 516
 - 13.1.3 Database 519
 - 13.2 Site–Growth Model 519
 - 13.2.1 The Principles of Controlling Individual Tree Growth
by Means of Site Factors 520
 - 13.2.2 Modelling the Potential Age–Height Curve
in Dependence on Site Conditions 520
 - 13.3 Generation of Initial Values for Simulation Runs 525
 - 13.3.1 Stand Structure Generator STRUGEN 526
 - 13.4 Spatially Explicit Modelling of the Growth Arrangement
of the Individual Trees 528
 - 13.4.1 Index KKL as the Indicator of the Crown Competition 528
 - 13.4.2 Index NDIST as the Indicator
for Competition Asymmetry 528
 - 13.4.3 Index KMA for the Species Mixture
in the Neighbourhood of Individual Trees 529
 - 13.5 Application for Scenario Analysis at the Stand Level:
A Pure Norway Spruce Stand vs a Norway Spruce – European
Beech Mixed Stand 530
 - 13.5.1 Growth and Yield at the Stand Level 530
 - 13.5.2 Growth and Yield on Tree Level 532
 - 13.5.3 Modelling Structural Diversity 532
 - 13.5.4 Multi-Criteria Considerations 534

13.6	Growth Models for Dynamic Enterprise Planning	535
13.6.1	Simulation at the Enterprise Level for Long-Term Strategic Planning	536
13.6.2	Application of Models for Decision Support	537
13.6.3	Application of the Munich Forestry Enterprise Forest Management Plan	540
13.7	Estimation of Growth and Yield Responses to Climate Change	543
13.7.1	Dependence of Response Patterns on Site and Tree Species	544
13.7.2	Sensitivity Analysis at the Regional Level	545
13.7.3	Development of Silvicultural Measures for Mitigation and Adaptation to Climate Change	548
	Summary	549
14	Diagnosis of Growth Disturbances	553
14.1	Growth Models as Reference	556
14.1.1	Comparison with Yield Table	556
14.1.2	Dynamic Growth Models as Reference	557
14.1.3	Synthetic Reference Curves	559
14.2	Undisturbed Trees or Stands as a Reference	560
14.2.1	Increment Trend Method	560
14.2.2	Pair-Wise Comparison	565
14.2.3	Reference Plot Comparison	566
14.2.4	Reference Plot Comparison by Indexing	570
14.2.5	Regression–Analytical Estimation of Increment Decrease	572
14.3	Growth Behaviour in Other Calendar Periods as Reference	576
14.3.1	Individual Growth in Previous Period as Reference	576
14.3.2	Long-Term, Age-Specific Tree Growth as Reference (Constant Age Method)	579
14.3.3	Growth Comparison of Previous and Subsequent Generation at the Same Site	580
14.3.4	Diagnosis of Growth Trends from Succeeding Inventories	582
14.4	Dendro-Chronological Time Series Analysis	585
14.4.1	Elimination of the Smooth Component	586
14.4.2	Indexing	587
14.4.3	Response Function	588
14.4.4	Quantification of Increment Losses	589
	Summary	590
15	Pathways to System Understanding and Management	593
15.1	Overview of Knowledge Pathways in Forest Growth and Yield Research	594
15.1.1	Observation, Measurement, and Collection of Data	595
15.1.2	Description	597

- 15.1.3 Formulation of Hypotheses for Elements of Individual System Elements 597
- 15.1.4 Test of Hypotheses 599
- 15.1.5 Models as a Chain of Hypotheses 602
- 15.1.6 Test of Model Hypothesis by Simulation 603
- 15.1.7 Application of the Model in Research, Practice, and Education 604
- 15.1.8 Relationships, Rules, Laws, and Theories 604
- 15.2 Transfer of Knowledge from Science to Practice 611
 - 15.2.1 Concept of Forest Ecosystem Management 611
 - 15.2.2 Long-Term Experiments and Models for Decision Support 613
- Summary 615
- References** 619
- Index** 655