



Valuation of growing stock using multisource GIS data, a stem quality database and bucking simulation.

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1 Title page

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5 (ii)

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19 **Abstract**

20 Customer-oriented production as a sawmill strategy requires up-to-date information on
21 the available raw material resources. Bucking is a process where the tree stem is divided
22 into products based on the roundwood user's needs regarding products and their quality
23 and dimensions. Optimization methods are employed in bucking to recover the highest
24 value of the stem for a given product price matrix and requested length-diameter
25 distribution. A method is presented here for assessing the value of harvestable timber
26 stands based on their product yield. Airborne laser scanning, multispectral imagery and
27 field plots were used to produce timber statistics for a grid covering the target area. The
28 statistics for the plots were generated from this grid. The value of the estimated tree list
29 was assessed using a bucking-to-value simulator together with a stem quality database.
30 Different product yield simulations in terms of volumes, timber assortment recoveries,
31 wood paying capabilities (WPC) and value estimations based on the presented method
32 and extensive field measurements were compared. As a conclusion, this method can
33 estimate WPC for pulpwood and sawlogs with root mean squared errors of 32.7 and
34 38.5 per cent, respectively, relative to extensive field measurements.

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39 **Keywords**

40 Timber stand valuation; bucking; diameter distribution; product yield pricing; timber
41 assortment recovery.

42 Introduction

43 Many Nordic sawmills employ a customer-oriented strategy in their production, which
44 means that customer orders determine the length, small-end diameter and quality
45 distributions of logs delivered to a sawmill (Helstad 2006). Thus assessments of
46 harvesting output must be based not only on single volumetric figures, but also on
47 comparisons between the demand and actual output length-diameter distributions of
48 logs (Kivinen et al. 2005).

49 Timber buyers have to make pricing choices when purchasing roundwood at a given
50 stumpage price, those who can buy stands that best fit their industrial process will
51 benefit, since in competitive markets side products have to be sold at or below cost
52 price.

53 Approximately 86% of Finland's commercial roundwood is removed in stumpage sale
54 fellings (Finnish Statistical Yearbook of Forestry 2014). The stumpage price (i.e. price
55 per m³ of standing trees), determined separately for each sale, is somewhere between
56 the buyer's maximum willingness to pay and the seller's minimum willingness to accept
57 (Omwami 1986). Kolis et al. (2014), examining the effects that sale and site-specific
58 characteristics have on the stumpage prices paid to non-industrial private forest owners
59 in Finland, concluded that (1) buyers take differences in harvesting costs into account
60 when making purchase offers, and (2) buyers are more interested in stands with a high
61 percentage of sawlogs.

62 Bucking is a process in which the tree stem is divided into products based on the
63 roundwood user's needs regarding products and their quality and dimensions.
64 Optimization methods are used to recover the highest value for each stem with a given
65 product price matrix (i.e. the unit price per length and diameter for each log dimension)

66 (see Table 2) and the requested length-diameter distribution (Näsberg 1985; Malinen
67 and Palander 2004).

68 When using cut-to-length methods, bucking decisions have to be made in the forest on
69 the basis of the prices of and demand for timber assortments (Malinen et al. 2001).
70 Different means of estimating timber assortments obtainable by cut-to-length methods
71 have been proposed for use in boreal forests. For example, Kangas and Maltamo (2002)
72 used height and taper curve models together with diameter distribution models and
73 calibration, whilst Malinen et al. (2001) used the non-parametric k Most Similar
74 Neighbour (k-MSN) method based on existing stem databases that included timber
75 assortment recoveries and bucking simulations for individual stems. Cut-to-length
76 harvesters collect a large amount of data which can be used for stem databases. The
77 decision support system needed in the Nordic cut-to-length method requires detailed
78 pre-harvest information, which is used to allot specific timber assortments required for
79 raw materials and to plan harvesting operations to satisfy production needs. Its most
80 important attributes are the availability of a stem diameter distribution for each tree
81 species present in a stand and of quality information. This type of detailed pre-harvest
82 information is not commonly used in practice, however (Vauhkonen et al. 2014),
83 because of its costly input data requirements.

84 There has been widespread discussion in the Finnish forest industry about the
85 possibility of modifying timber pricing in a quality-based direction (see Malinen et al.
86 2014). This could significantly affect the timber market and the accuracy of the
87 inventory information required from the forests (Kankare et al. 2014). Moreover, timber
88 prices could be more precise and contain user-specific values for each forest product.

89 In the Nordic countries, stand-level forest inventories following a wall-to-wall approach
90 (full-cover inventories) based on the use of airborne laser scanners (ALS) have been

91 operational since 2002 (Næsset et al. 2004), although the application of ALS remote
92 sensing methods to the estimation of forest stand characteristics had been studied prior
93 to that time. For example, Hyyppä et al. (1997) used the individual tree detection (ITD)
94 approach to estimate stem volume accurately, reporting a coefficient of variation of
95 26.5%. More recently, the extraction of forest variables has been divided into two
96 categories: the area-based approach (ABA) and ITD (Kaartinen et al. 2012). They differ
97 with respect to the unit to be estimated: in the ITD approach the forest variables are
98 estimated at the tree level, whereas in the ABA mean forest variables are estimated at
99 the plot (or grid cell or segment) level (Peuhkurinen 2011). The ITD approach requires
100 denser ALS data than the ABA and it is effective for detecting trees in the dominant tree
101 layer, whereas small, suppressed trees may remain undetected (Valbuena et al. 2014;
102 Wang et al. 2016). Both approaches can be used to estimate complete tree lists (Hou et
103 al. 2016).

104 Peuhkurinen et al. (2007) demonstrated that it is possible to obtain accurate sawlog
105 volume estimates with an ALS-based ITD method, while Korhonen et al. (2008)
106 showed that direct regression models based on laser-scanned canopy height metrics are
107 capable of producing satisfactory estimates of sawlog volumes in coniferous forests on
108 a local scale. Peuhkurinen (2011) studied the use of ALS-based forest inventory
109 methods for retrieving the information needed for wood procurement planning, and also
110 investigated the possibility of using ALS-based methods to estimate stand-level
111 diameter distributions. Moreover, Peuhkurinen (2011) examined the possibilities for
112 using harvester-collected data as validation data and as an auxiliary data source in an
113 ALS-based forest inventory, and developed and tested ALS-based methods for
114 estimating theoretical and actual sawlog recoveries. Barth et al. (2015) compared the
115 results of bucking simulations based on ALS data to actual production data from

116 harvesters, and demonstrated ALS-based inventory data can improve the prediction of
117 product recovery.

118 In addition, ALS has been used to estimate tree quality properties. Maltamo et al.
119 (2009), for example, pointed out that variables describing tree quality were highly
120 accurate when ALS-based variables were used together with non-parametric k-MSN
121 modelling. However, this kind of approach requires detailed reference data, which are
122 seldom available.

123 Although detailed data including tree lists can be collected by means of field
124 measurements, this approach has been found to be too laborious and expensive, and the
125 same also concerns field measurement methods based on sampling (Uusitalo 1995).
126 Despite the fact that non-parametric methods utilizing stem-wise dimension data
127 collected by cut-to-length harvesters (Malinen et al. 2001; Malinen 2003) and further
128 external quality databases (Malinen et al. 2014) reduce costs, they still require some
129 input data to be collected in the field. Wood procurement planning and the purchasing
130 of timber will be conducted more and more in a digitalized environment in the future,
131 without possibilities for visiting all potential stands, and there is an emerging need to
132 develop methodologies which offer information on the properties and value of a stand
133 and the products obtainable from it. Such methodologies would help to reduce or
134 remove the need for stand visits.

135 The underlying hypothesis for this research was that useful estimates of wood paying
136 capability (WPC) could be obtained if remote sensing data were used together with
137 reference stem quality information, leading to more efficient buying performance. A
138 methodology is thus presented here for defining the value of harvestable timber stands
139 based on their product yield. Dimensions, quality and timber assortments for Scots pine
140 (*Pinus sylvestris* L.) were considered when estimating the value of a given stand. ALS

141 and colour-infrared airborne spectral data were used to determine the value indicators,
142 the goal being to present a sound methodology for timber stand valuation that could be
143 used as a decision support tool by either timber buyers or sellers.

144 [Materials and methods](#)

145 The area of interest is located close to the rural district of Kiihtelysvaara in the province
146 of Northern Karelia in Eastern Finland (62°31'N; 30°10'E; 130-153 m above sea level;
147 707 ha) (Fig. 1). The main tree species in this area is Scots pine (*Pinus sylvestris* L.),
148 representing almost three-fourths of the total wood volume. Norway spruce [*Picea abies*
149 (L.) H. Karst] is the second major species, followed by a minor proportion of
150 broadleaved species, mainly birches (*Betula* spp.).

151 Since the proportions of Norway spruce in Nordic forests are highly dependent on the
152 dimensions of the stems, Norway spruces are typically bucked by cut-to-length
153 harvesters by means of “automated cutting”, emphasizing only the length-diameter
154 distribution of the logs. Moreover, the main defect affecting the value of Norway
155 spruce, root rot [*Heterobasidion annosum* (Fr.) Bref.], is not visible externally. The
156 value of Scots pine, on the other hand, is highly dependent on the branchiness of the
157 stems and external effects (Uusitalo et al. 2004). The proportion of the third species,
158 birch, was very low in this area, and thus only Scots pine was chosen for investigation.

159 The field survey data consisted of a stratified sample of 79 square-shaped plots, the
160 location of which was determined subjectively in order to guarantee that the sample
161 covered the full range of variability in the forest. The measurements were made in May
162 and June 2010. The sample plots varied in size between 20 × 20, 25 × 25 and 30 × 30 m
163 (i.e. 0.04 ha, 0.0625 ha and 0.09 ha, respectively) according to their stand development
164 class. Height, diameter at breast height (DBH) and species (Scots pine, Norway spruce
165 or birch) were recorded for all the trees inside the plots with a DBH above 4 cm or

166 height above 4 m. The main properties of the field data are presented in Table 1. 63 of
167 the plots were situated within an area owned by UPM-Kymmene Oyj, while the
168 remaining 16 plots belonged to 8 separate private owners (Valbuena et al. 2016).

169 The spectral data were acquired on 31 May 2009 using a Vexcel camera at a flight
170 elevation of 7500 m above ground level (AGL). The ground sample distance (i.e. spatial
171 resolution) was 45 cm.

172 The ALS data were collected on 26 June 2009 using an Optech ALTM Gemini laser
173 scanning system from 600 m AGL with a field of view of 26° and a swath width of 320
174 m. The sensor was pointed in the nadir direction. Side overlap was 55%. The pulse
175 repetition frequency was 125 kHz, which resulted in an average point density of 11.9
176 pulses·m⁻². Multiple echoes were recorded for each pulse. The last ALS echoes were
177 classified as ground data and interpolated into a Digital Terrain Model with 1 m
178 resolution. The LAS files were pre-processed to alter the Z value to represent elevation
179 AGL (dZ files). Echoes with heights above ground lower than 1 m and higher than 40 m
180 were masked out, since the low echoes were considered to be mainly reflected from the
181 ground and the high ones to be too elevated to represent the vegetation of that area. ALS
182 metrics (Næsset 2002) were calculated at plot and grid cell level using the remaining
183 echoes. Metrics at the grid cell level were computed over a regular grid of 25 m × 25 m
184 cells covering the entire scanning area.

185 A list of Scots pine stems was estimated with the ABA at grid level for the whole area
186 by means of the ALS data and spectral data (Fig. 2), using the field data as a reference.
187 The method generated an estimate of the entire DBH and height frequency distribution
188 in discrete 2 cm-wide DBH classes, i.e. $y_{DBH} = \{N_{DBH=2}, N_{DBH=4}, \dots, N_{DBH=50}\}$, $y_{\bar{H}} =$
189 $\{\bar{H}_{DBH=2}, \bar{H}_{DBH=4}, \dots, \bar{H}_{DBH=50}\}$ (where $N_{DBH=i}$ was the proportion of stems in DBH class
190 i , and $\bar{H}_{DBH=i}$ the mean height of the stems for the DBH class i). The error-level

191 estimates of the predicted stand density, DBH and height were obtained using k-MSN
192 prediction and the leave-one-out method. K-MSN was also the statistical method used
193 in the tree list estimation, where the 2 most similar neighbours were used to estimate the
194 stand density, and the most similar neighbour for estimating the DBH and height
195 frequency distributions, to avoid averaging between trees. For the final tree list, the trees
196 in a given DBH class were divided evenly within that class to an accuracy of 1 mm.

197 A geometric intersection between the plots and the overlapping grid cells was computed
198 for validation purposes, and a tree list was generated by weighting the number of trees
199 estimated in the intersected grid cells by their area.

200 In a classical sampling survey a sample is planned within a population, and if there are
201 plots outside the target population two different populations are considered. In practical
202 timber procurement mapping, the large area covering all the plots has different
203 characteristics compared to the situation in the small subareas. When plot based
204 information are transferred from a large area to a subarea during the estimation process,
205 design bias can easily appear because the populations are different. The plots used here
206 were not exclusively from the area to be evaluated, and thus the effect of design bias at
207 the plot level was examined by using under- and over-predictions of one standard
208 deviation of the estimated DBH. For this purpose two more sets of tree lists were
209 generated: one containing under-prediction (i.e. the estimated DBH minus one standard
210 deviation) and the other over-prediction (the estimated DBH plus one standard
211 deviation) (Fig. 2).

212 The tapering of the stems was calculated using taper curve models expressed as a
213 function of tree species, DBH and tree height (Laasasenaho 1982). The heights of the
214 stumps were calculated using the models of Laasasenaho (1982) for stump height as a
215 function of tree species and DBH (Fig. 2).

216 Characteristics of external quality that affect bucking were estimated for each Scots pine
217 stem using the stem quality database and the MSN method (Malinen et al. 2014) (Fig.
218 2). The database includes stem quality data for over 13 000 trees measured for
219 dimensions and assessed for stem quality affecting bucking, based on visual estimation
220 of the occurrence of technical defects (sweeps, scars, branchiness, crooks, etc.) and
221 measuring their effective lengths. Technical defects in the target stems were estimated
222 by selecting the most similar stem from the quality database by reference to the stand
223 variables, tree DBH, and stem height (Malinen et al. 2014). The volume and value of
224 the group of stems to be evaluated were assessed using a bucking-to-value simulator
225 along with the stem quality database. The bucking simulations divided the tree stems
226 into typical products of the Finnish forest industry, namely grade A butt logs, small-
227 diameter logs, other sawlogs and pulpwood.

228 The search variables were the following: tree species, area, species proportion, effective
229 temperature sum (threshold temperature +5%), DBH, dominant height, map coordinates
230 (latitude and longitude) and basal area. All the variables describing the growing stock
231 were expressed per species (Malinen et al. 2014). As stated by Malinen et al. (2001), the
232 mean tree variables are the most important search variables, and the other variables are
233 of minor significance.

234 The minimum top-end diameter for Scots pine was 21 cm for grade A butt logs, 15 cm
235 for other sawlogs, 12 cm for small-diameter logs, and 7 cm for pulpwood, while the
236 minimum length was 3.7 m for other sawlogs and small-diameter logs and 2.8 m for
237 grade A butt logs and pulpwood. The theoretical sawlog volume, which is the stem
238 volume exceeding the minimum diameter, was calculated using the taper curve models
239 of Laasasenaho (1982), with a minimum diameter of 15 cm and a minimum length of
240 3.7 m (Table 3). The unit prices for the timber assortment volumes (TAV) were 58 €·m⁻³

241 ³ for grade A butt logs, 55 €·m⁻³ for other sawlogs, 25 €·m⁻³ for small-diameter logs and
 242 17 €·m⁻³ for pulpwood. All the volumes considered here are solid volumes over bark,
 243 and the total volumes are calculated from the stump to the top of the stem. The prices
 244 were typical stumpage prices paid in Finland in week 4 of 2017 (Roundwood prices for
 245 standing sales 2017).

246 The price lists used in the bucking simulations were based on WPC, which is considered
 247 the residual value that the forest product or industrial process can “pay” after all costs
 248 (excluding wood) have been deducted from the sales prices (Paavilainen 2002). An
 249 example of the tables used for calculating WPC (€·m⁻³) for Scots pine sawlogs is
 250 presented in Table 2.

251 Timber assortments were calculated for four scenarios (tree lists), each produced using
 252 one of the following data sets: (1) the measured field data, (2) the estimated data, and
 253 when testing for design bias the evaluated tree list with under-prediction (3) or over-
 254 prediction (4) of the estimated DBH by one standard deviation. The timber assortments
 255 produced from each of those scenarios are presented in Table 3. For validation
 256 purposes, this research is focused on the tree lists from the field plots and the estimated
 257 tree lists from the grid cells that overlapped geometrically with them (Fig. 2).

258 The precision of the method was calculated in terms of the relative root mean squared
 259 error (RMSE%):

$$260 \quad (1) \text{ RMSE\%} = 100 \times \frac{\sqrt{\frac{\sum_{j=1}^n (y_{ij} - \hat{y}_{ij})^2}{n}}}{\bar{y}_i}$$

261 where y_{ij} is the measured value of the variable i in stand j , \hat{y}_{ij} is the estimated value of
 262 the variable i in stand j , and \bar{y}_i is the average of the measured values of the variable i .

263 The accuracy of the method was measured in terms of the bias of the estimates as
264 follows:

$$265 \quad (2) \text{ BIAS} = \frac{\sum_{j=1}^n (y_{ij} - \hat{y}_{ij})}{n}$$

266 The RMSE%, bias and standard deviation between the measured and estimated values
267 were calculated for the timber assortments in order to compare volumes, WPC and
268 values for: the field data versus the estimated data (case A), the field data versus
269 combined data for the under-estimated, over-estimated and normal estimates (case B).

270 Results

271 Prediction error statistics for volumes, values and wood paying capabilities for the
272 various timber assortments are shown in Tables 4, 5, 6 and 7. Table 4 does not contain
273 the total values, as these were constant in all the cases: volume = $146.2 \text{ m}^3 \cdot \text{ha}^{-1}$; RMSE
274 = 52.0%; bias = $-8.4 \text{ m}^3 \cdot \text{ha}^{-1}$; standard deviation = $76.1 \text{ m}^3 \cdot \text{ha}^{-1}$. The maximum
275 theoretical sawlog (scenario 1) was only used for volume.

276 Tables 4, 5 and 7 show the difference between the maximum theoretical volume and
277 value, and the volume and value based on bucking simulation, arising from the effect of
278 the log length constraints. Use of the bucking objectives reduced the sawlog volume by
279 1.0%. The bucking estimates based on dimensions and external quality (scenario 3)
280 produced 30.0% less sawlog volume and 30.9% less sawlog value than those based only
281 on dimensions (scenario 2). Due to the lower small end diameter requirements of small-
282 diameter logs, the total volume of all sawlog assortments combined (i.e. the sum of the
283 volumes of grade A butt logs, sawlogs and small-diameter logs in scenario 4) was
284 25.4% higher than the sawlog volume based on external quality without grade A butt
285 logs and small-diameter logs (i.e. the sawlog volume in scenario 3). In the same way as
286 for volume, the total value of the combined sawlog assortments (scenario 4) was 22.5%

287 higher than the sawlog value based on external quality without grade A butt logs and
288 small-diameter logs (scenario 3).

289 The RMSE% of the bucking estimates for sawlog volume when quality estimation was
290 included (scenario 3) was 11.2 percentage points (pp) higher than when quality was not
291 considered (scenario 2), and 12.2 pp higher for sawlog value. In the case of the
292 estimates for both pulpwood volume and value, the RMSE% when considering quality
293 (scenario 3) was 6.0 pp higher than when the bucking estimates were based only on
294 dimensions (scenario 2) (Tables 4 and 5).

295 Tables 8 and 9 show the effect of design bias at the plot level on volumes, values and
296 WPC both excluding and including quality estimation. When quality estimation was
297 excluded, the bias for volumes and values was negative for sawlogs but positive for
298 pulpwood (Table 8); whereas when quality estimation was included it was negative for
299 both sawlogs and pulpwood (Table 9). When quality estimation was included, the
300 RMSE% of the bucking estimates for the differences between the field data and the data
301 combined from under-estimated, over-estimated and normally estimated results (case B)
302 was 2.5 pp lower than the RMSE% of the bucking estimates for the differences between
303 the field data and the estimated data (case A) for sawlog volume, and 3.4 pp lower for
304 sawlog value. When only dimensions were considered, the RMSE% was 5.9 pp higher
305 for case B than for case A where sawlog volume was concerned, and 7.6 pp higher for
306 sawlog value. Inclusion of the quality estimate for pulpwood did not change the
307 RMSE% for volume and value with respect to the bucking estimate obtained only with
308 dimensions, the RMSE% of case B being 11.8 pp higher than that of case A for the
309 bucking estimate including quality and 6.2 pp higher for the bucking estimate obtained
310 using only dimensions.

311 The residual errors in sawlog volume (Fig. 3A), sawlog value (Fig. 3B), pulpwood
312 volume (Fig. 3C) and pulpwood value (Fig. 3D) when excluding or including the
313 quality estimates are presented in Fig. 3. Figs. 3A and 3B show the residual errors
314 decreased as the sawlog volume and value increased. Figs. 3C and 3D show that
315 pulpwood follows a similar trend to that seen in sawlogs, but the relative errors were
316 larger for pulpwood, especially for pulpwood value.

317 Discussion

318 The method presented here is intended to support wood procurement practices. There is
319 an increasing need for information on diameter distributions among private forest
320 companies. Several research papers have targeted this need, studying the estimation of
321 diameter distributions, but the effect of quality and value on the diameter distribution
322 estimates has not been studied so extensively (see Kotamaa et al. 2010). Such a method
323 would have the potential to make roundwood markets more efficient by supplying each
324 roundwood user with more suitable timber for processing.

325 The focus of this research was on presenting a workable method and examining its
326 ability to measure value and WPC accurately. The plot data were measured with high
327 precision to allow full development and evaluation of the method, but as it does not
328 conform with the typical operational methods used today, no comparison with
329 traditional methods is included. A stem quality database can be used to replace
330 expensive measurements, and field work can be partially replaced by remote sensing
331 data.

332 ALS data detect well trees in the dominant tree layer, which constitute the majority of
333 the total volume (Peuhkurinen et al. 2011). In this sense the method supports decision-

334 making and provides information on which stands are of the greatest interest and should
335 be more carefully assessed.

336 The results of the bucking of maximum theoretical sawlog volumes excluding quality
337 estimation (scenario 1) and of sawlog and pulpwood volumes excluding quality
338 estimation (scenario 2) are alike (Table 4), and the RMSE% results for volumes and
339 values are quite similar, as seen in Tables 4 and 5. This is partially caused by the fact
340 that the value estimate is a weighted version of the volume estimate (calculated by
341 multiplying the volume by the unit prices for the TAV). The RMSE% becomes slightly
342 higher if quality estimation is considered. In the approach that considers four timber
343 assortments (scenario 4), the bucking objectives included grade A butt logs and small-
344 diameter sawlogs in addition to conventional sawlogs and pulpwood, and the more
345 complicated bucking objectives certainly introduce some error into the estimates. On the
346 other hand, raising the number of timber assortments increased the weighting on
347 external quality. The RMSE% values show that the variables used are quite efficient in
348 predicting dimensions but slightly less so in predicting log quality. On the other hand,
349 the estimates that take account of quality include additional usable information for the
350 decision-maker, even though their predictive ability is poorer. The estimates are more
351 robust for pulpwood than for sawlogs (the errors are smaller), but RMSE% increases
352 progressively as we introduce (1) bucking, (2) quality and (3) assortments. The
353 presented method allows the recognition of grade A butt logs, the value of which is
354 high, thus increasing the value and WPC of this timber assortment.

355 WPC incorporates external quality and the size distribution of logs, and its estimates
356 (Tables 6 and 7) are more precise than those for volume and value (Tables 4, 5 and 7)
357 overall and for sawlogs and similar for pulpwood. This is because sawlog volume and
358 value are affected only by the proportion of sawlogs by volume, while WPC is also

359 affected by the size of the logs: larger logs from longer and thicker trees are more
360 valuable than small logs from shorter and thinner ones. Moreover, this method uses
361 ALS data, which are more successful in assessing large trees than small or suppressed
362 trees, which are not easily detected by ALS techniques (see Peuhkurinen et al. 2007).
363 Also, WPC does not involve any volume estimation error. WPC is seldom used,
364 however, as such values are rarely available and require bucking simulation, which is
365 not commonly used in ALS survey.

366 The differences between case A and case B in Tables 8 and 9 are very small, which
367 means this is a precise and robust method. The method underestimates sawlogs and
368 overestimates pulpwood when quality is not an issue (Table 8) and underestimates both
369 when quality is considered (Table 9). It thus provides a conservative estimate for the
370 total value of the stand. The database of stem dimensions had been collected from a
371 large geographical area, of which the test site is a rather small part. Thus, a small-area
372 approach of this kind is evidently more sensitive to local differences.

373 The sawlog and pulpwood volumes and values that include quality involve a more
374 complex estimation process and inevitably lead to larger estimation errors than those
375 which exclude quality. It would have been useful to compare estimates including quality
376 with actual harvesting recovery data, but figures of the latter type are seldom available.
377 The problem in our comparisons is that the reference values are based on estimates for
378 measured trees, and the RMSE% and bias may be underestimated. The errors in stand-
379 wise estimates are thought to be smaller than those in plot-wise estimates due to noise
380 caused by the high variability between stem-wise external quality estimates. RMSE% is
381 a variable that is affected if some errors are really high.

382 Hou et al. (2016) estimated the ABA-derived diameter distribution in the same forest
383 area as was used for this research but without applying any species identification

384 procedure in k-MSN and obtained the following RMSE% results for total, sawlog and
385 pulpwood volumes, respectively: ~35%, ~40% and ~65% for Scots pine, ~90%, ~85%
386 and ~190% for Norway spruce, and ~180%, ~230% and ~215% for deciduous species.
387 When predicting DBH distributions in this way they set $k = 3$ and used 1 cm-wide DBH
388 classes. In our case k was set to 1 to avoid averaging between trees, and 2 cm-wide
389 DBH classes were used to ensure continuous DBH distributions with a relatively small
390 number of trees per plot. More accurate estimates of DBH distributions could be
391 achieved by examining more field plots. In this study, standard operational ALS data
392 processing methodology was used and the approach presented by Hou et al. (2016)
393 could slightly improve results. The forest concerned is predominantly pine and is a good
394 area for studying the effect of using diameter distributions and product yield
395 simulations, since the role of tree species is minimized even though it is still present to
396 some extent.

397 It is difficult to identify tree species directly from ALS measurements (McRoberts et al.
398 2010; Vauhkonen et al. 2012), although multispectral and hyperspectral optical imagery
399 may be used in an automated or semi-automated procedure to estimate species
400 composition (Clark et al. 2005). Multispectral imagery usually has three or four broad
401 bands in the red, green, blue and infrared parts of the spectrum, while hyperspectral
402 imagery has dozens or even hundreds of narrow, contiguous spectral bands.
403 Simultaneous collection of data from different sources such as ALS and multispectral
404 imagery or ALS and hyperspectral imagery has gained in popularity in recent times (see
405 Valbuena et al. 2013; Cook et al. 2013), which will allow the acquisition of these to
406 become cost-efficient. Laser data provide accurate height information and support
407 information on crown shape and size, while optical images give more details regarding
408 spatial geometry and colour that can be used to classify tree species (Hyypä et al.

409 2008). This study would have benefited from hyperspectral data being available instead
410 of multispectral data (Table 1). The purpose here, however, was simply to present the
411 methods and to improve species detection later on.

412 Haara and Korhonen (2004), when estimating stem volume with a field inventory at the
413 compartment level, reported the following RMSE% results for Scots pine: 29.3 for total
414 volume; 52.0 for sawlogs; and 30.8 for pulpwood, and later Korhonen et al. (2008), who
415 used ALS data to estimate theoretical sawlog volumes for 14 coniferous stands where
416 the tree species and the diameter distribution were known, obtained an RMSE% of 9.1
417 for Scots pine and spruce at the stand level. Malinen et al. (2014) used empirical data
418 from sample plots to assess the performance of a decision support tool for estimating of
419 timber assortment recovery volumes and arrived at RMSE% values of 6.67 for grade A
420 butt logs, 7.14 for other sawlogs, 2.48 for small-diameter logs and 7.09 for pulpwood.
421 Siipilehto et al. (2016), who estimated stem volumes using a grid-level ABA based on
422 ALS data and they compared these with tree taper data measured and recorded by the
423 harvester's measurement systems during the final cut, reported RMSE% values of 41.1
424 for total Scots pine volumes, 40.1 for sawlogs and 52.8 for pulpwood.

425 In conclusion, it may be said that tree species estimation is the main challenge. While it
426 is easy to estimate total volumes using ALS, estimating volumes per species becomes
427 much harder, and the relative errors increase further when timber assortments are
428 estimated. To resolve this issue, ALS data should be combined with multispectral or
429 hyperspectral images. Tree species recognition should be improved by directing
430 attention to areas where species diversity is higher. The present method can be applied
431 in practice in single-species forest stands, where the tree species is known, as is
432 commonly the case in the Nordic countries. WPC values for pulpwood can be estimated
433 with RMSE of 32.7% by this method, and for sawlogs with RMSE of 38.5-52.1%.

434 Although field estimation is more reliable than remote sensing methods, the cost-
435 efficiency of approaches supported by the latter can render them sufficient for practical
436 planning operations.

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Table 1. Means, standard deviations, minima and maxima of plot attributes.

Variable	Minimum	Mean	Maximum	SD
DBH (cm)	8.1	15.0	28.4	4.0
Height (m)	8.7	14.4	24.1	3.3
Density (stems·ha ⁻¹)	467	1259	2875	566
Volume (m ³ ·ha ⁻¹)	79.5	197.6	502.2	73.6
Basal area (m ² ·ha ⁻¹)	13.8	24.6	40.1	6.2
Pine basal area (m ² ·ha ⁻¹)	0.0	18.3	33.5	8.8
Spruce basal area (m ² ·ha ⁻¹)	0.0	8.2	40.0	12.2
Birch basal area (m ² ·ha ⁻¹)	0.0	3.3	22.7	5.4

Note: DBH, diameter at breast height; SD, standard deviation.

Draft

Table 2. Example of a product price matrix used in calculating wood paying capability ($\text{€}\cdot\text{m}^{-3}$) for Scots pine sawlogs.

Log length (m)	Log top-end diameter class (cm)								
	15	16	22	24	26	28	30	32	34+
3.7	57	62	66	70	73	76	78	79	80
4	62	67	72	76	79	83	85	86	87
4.3	67	72	77	82	85	89	91	92	93
4.6	69	73	79	84	87	91	93	94	95
4.9	70	74	80	85	89	92	94	96	96
5.2	71	76	81	86	90	93	95	97	98
5.5	71	76	81	86	90	93	95	97	98
5.8	71	76	81	86	90	93	95	97	98
6.1+	71	76	81	86	90	93	95	97	98

Draft

Table 3. Methodological differences between the calculation scenarios.

	Bucking method	Timber assortments	Quality included
Scenario 1	Maximum sawlog and pulpwood volumes	Sawlogs Pulpwood	No
Scenario 2	Log sizes with 30 cm interval	Sawlogs Pulpwood	No
Scenario 3	Log sizes with 30 cm interval	Sawlogs Pulpwood	Yes
Scenario 4	Log sizes with 30 cm interval	Grade A butt logs Sawlogs Small-diameter logs Pulpwood	Yes

Draft

Table 4. Volume prediction error statistics for the timber assortments at plot level.

		Scenario 1	Scenario 2	Scenario 3	Scenario 4
Sawlogs	Volume ($\text{m}^3 \cdot \text{ha}^{-1}$)	87.3	86.4	60.5	46.7
	RMSE (%)	81.3	81.7	92.9	89.9
	Bias ($\text{m}^3 \cdot \text{ha}^{-1}$)	-13.2	-13.0	-5.9	-8.2
	SD ($\text{m}^3 \cdot \text{ha}^{-1}$)	70.2	69.8	56.2	41.4
Pulpwood	Volume ($\text{m}^3 \cdot \text{ha}^{-1}$)	50.9	51.8	74.3	52.3
	RMSE (%)	32.2	31.7	37.7	49.4
	Bias ($\text{m}^3 \cdot \text{ha}^{-1}$)	2.0	1.8	-4.9	-4.6
	SD ($\text{m}^3 \cdot \text{ha}^{-1}$)	16.4	16.4	27.8	25.6

Draft

Table 5. Value prediction error statistics for the timber assortments at plot level.

		Scenario 2	Scenario 3	Scenario 4
Total	Value (€·ha ⁻¹)	7522.5	5853.5	6811.1
	RMSE (%)	80.8	85.0	80.8
	Bias (€·ha ⁻¹)	-1092.6	-634.0	-564.7
	SD (€·ha ⁻¹)	6021.1	4967.2	5509.5
Sawlogs	Value (€·ha ⁻¹)	6641.5	4590.3	3572.6
	RMSE (%)	90.7	102.9	96.1
	Bias (€·ha ⁻¹)	-1123.0	-550.3	-689.8
	SD (€·ha ⁻¹)	5956.4	4719.3	3385.7
Pulpwood	Value (€·ha ⁻¹)	881.1	1263.2	889.7
	RMSE (%)	31.7	37.7	49.4
	Bias (€·ha ⁻¹)	30.4	-83.7	-78.0
	SD (€·ha ⁻¹)	279.0	471.8	435.2

Draft

Table 6. Wood paying capability (WPC) prediction error statistics for the timber assortments at plot level.

		Scenario 2	Scenario 3	Scenario 4
Total	WPC (€·m ⁻³)	47.9	36.1	42.3
	RMSE (%)	48.2	47.9	44.4
	Bias (€·m ⁻³)	-6.5	-3.2	-2.8
	SD (€·m ⁻³)	12.1	9.0	10.2
Sawlogs	WPC (€·m ⁻³)	74.7	73.5	75.2
	RMSE (%)	38.5	44.2	52.1
	Bias (€·m ⁻³)	-6.2	-6.8	-5.3
	SD (€·m ⁻³)	3.2	3.5	3.2
Pulpwood	WPC (€·m ⁻³)	17.0	17.0	17.0
	RMSE (%)	32.7	32.7	32.7
	Bias (€·m ⁻³)	-1.1	-1.1	-1.1
	SD (€·m ⁻³)	0.0	0.0	0.0

Draft

Table 7. Volume, value and wood paying capability (WPC) prediction error statistics for the detailed timber assortments in scenario 4 at plot level.

		Grade A butt logs	Sawlogs	Small-diameter logs	Pulpwood
Volume	Volume ($\text{m}^3 \cdot \text{ha}^{-1}$)	9.5	46.7	24.9	52.3
	RMSE (%)	209.5	89.9	42.8	49.4
	Bias ($\text{m}^3 \cdot \text{ha}^{-1}$)	2.2	-8.2	0.3	-4.6
	SD ($\text{m}^3 \cdot \text{ha}^{-1}$)	19.8	41.4	10.7	25.6
Value	Value ($\text{€} \cdot \text{ha}^{-1}$)	1004.5	3572.6	1344.3	889.7
	RMSE (%)	231.2	96.1	42.3	49.4
	Bias ($\text{€} \cdot \text{ha}^{-1}$)	183.3	-689.8	19.7	-78.0
	SD ($\text{€} \cdot \text{ha}^{-1}$)	2329.6	3385.7	572.0	435.2
WPC	WPC ($\text{€} \cdot \text{m}^{-3}$)	103.1	75.2	53.8	17.0
	RMSE (%)	137.5	52.1	41.7	32.7
	Bias ($\text{€} \cdot \text{m}^{-3}$)	15.3	-5.3	-4.8	-1.1
	SD ($\text{€} \cdot \text{m}^{-3}$)	7.3	3.2	3.1	0.0

Draft

Table 8. Plot-level precision and accuracy statistics excluding quality estimation.

		Volume A (m ³ ·ha ⁻¹)	Volume B (m ³ ·ha ⁻¹)	Value A (€·ha ⁻¹)	Value B (€·ha ⁻¹)	WPC A (€·m ⁻³)	WPC B (€·m ⁻³)
Total	RMSE (%)	52.0	53.7	80.8	87.0	48.2	46.6
	Bias	-8.4	-18.0	-1092.6	-2360.4	-6.5	-5.3
	SD	76.1	76.9	6021.1	6146.6	12.1	11.3
Sawlogs	RMSE (%)	81.7	87.6	90.7	98.3	38.5	45.5
	Bias	-13.0	-28.0	-1123.0	-2486.8	-6.2	-1.5
	SD	69.8	70.7	5956.4	6077.6	3.2	3.5
Pulpwood	RMSE (%)	31.7	37.9	31.7	37.9	32.7	32.7
	Bias	1.8	7.4	30.4	126.4	-1.1	-1.1
	SD	16.4	18.3	279.0	311.2	0.0	0.0

Note: A, differences between the field data and estimated data; B, differences between the field data and combined under-estimated, over-estimated and normal data; WPC, wood paying capability.

Draft

Table 9. Plot-level precision and accuracy statistics including quality estimation.

		Volume A (m ³ ·ha ⁻¹)	Volume B (m ³ ·ha ⁻¹)	Value A (€·ha ⁻¹)	Value B (€·ha ⁻¹)	WPC A (€·m ⁻³)	WPC B (€·m ⁻³)
Total	RMSE (%)	52.0	53.7	85.0	82.8	47.9	46.1
	Bias	-8.4	-18.0	-634.0	-830.5	-3.2	-0.6
	SD	76.1	76.9	4967.2	4808.5	9.0	8.4
Sawlogs	RMSE (%)	92.9	90.4	102.9	99.5	44.2	54.6
	Bias	-5.9	-5.3	-550.3	-571.7	-6.8	4.8
	SD	56.2	54.7	4719.3	4561.3	3.5	2.8
Pulpwood	RMSE (%)	37.7	49.5	37.7	49.5	32.7	32.7
	Bias	-4.9	-15.2	-83.7	-258.7	-1.1	-1.1
	SD	27.8	33.7	471.8	572.4	0.0	0.0

Note: A, differences between the field data and estimated data; B, differences between the field data and combined under-estimated, over-estimated and normal data; WPC, wood paying capability.

Draft

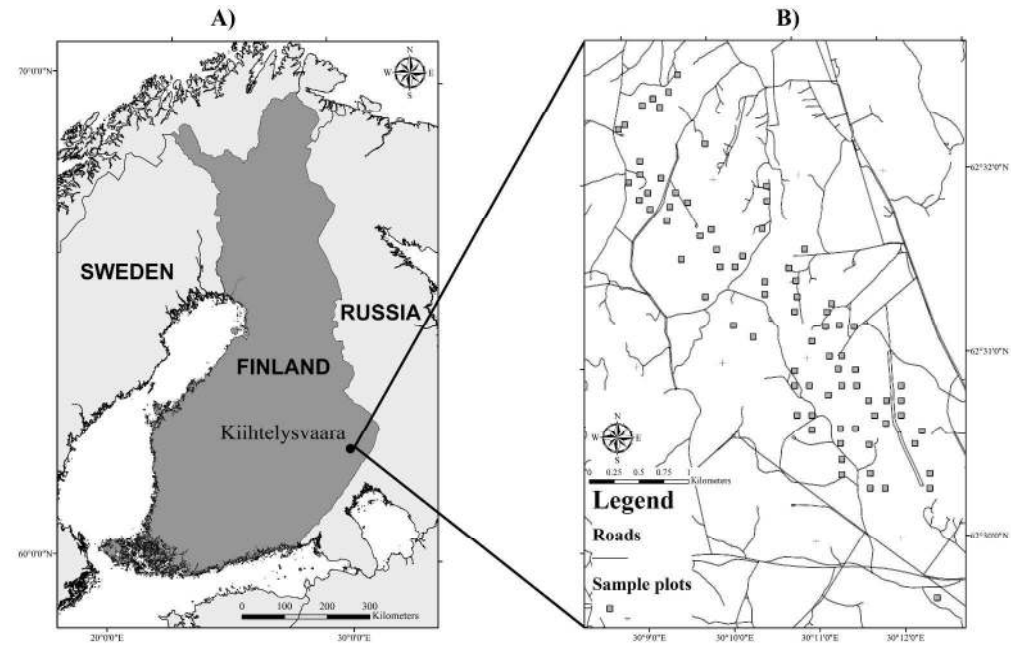


Fig. 1. A) Location of Kiihtelysvaara (●) within Finland (dark grey). B) Map of the Kiihtelysvaara forest area containing the sample plots.

294x188mm (300 x 300 DPI)

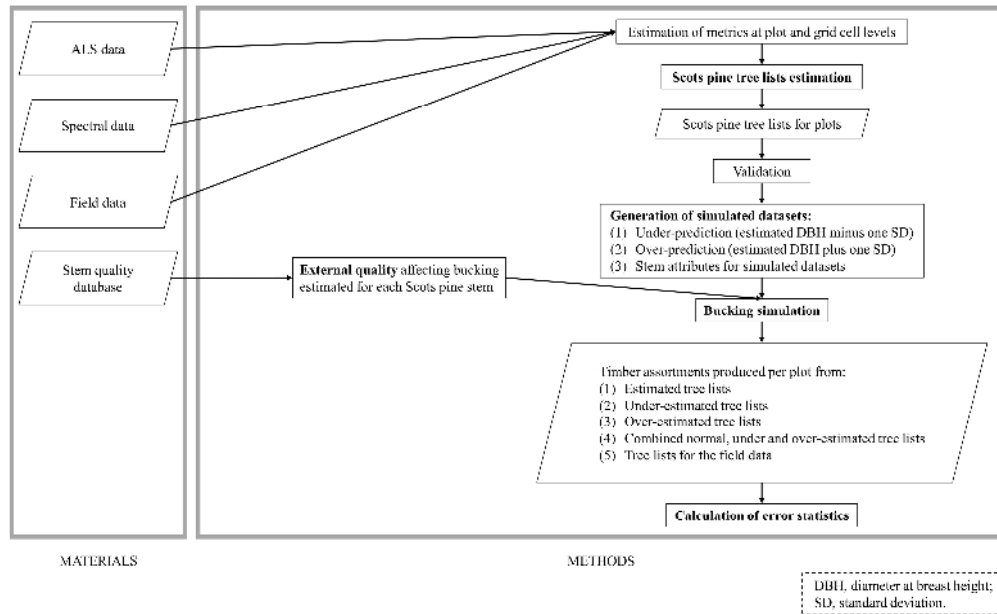


Fig. 2. Data processing steps.

379x233mm (300 x 300 DPI)

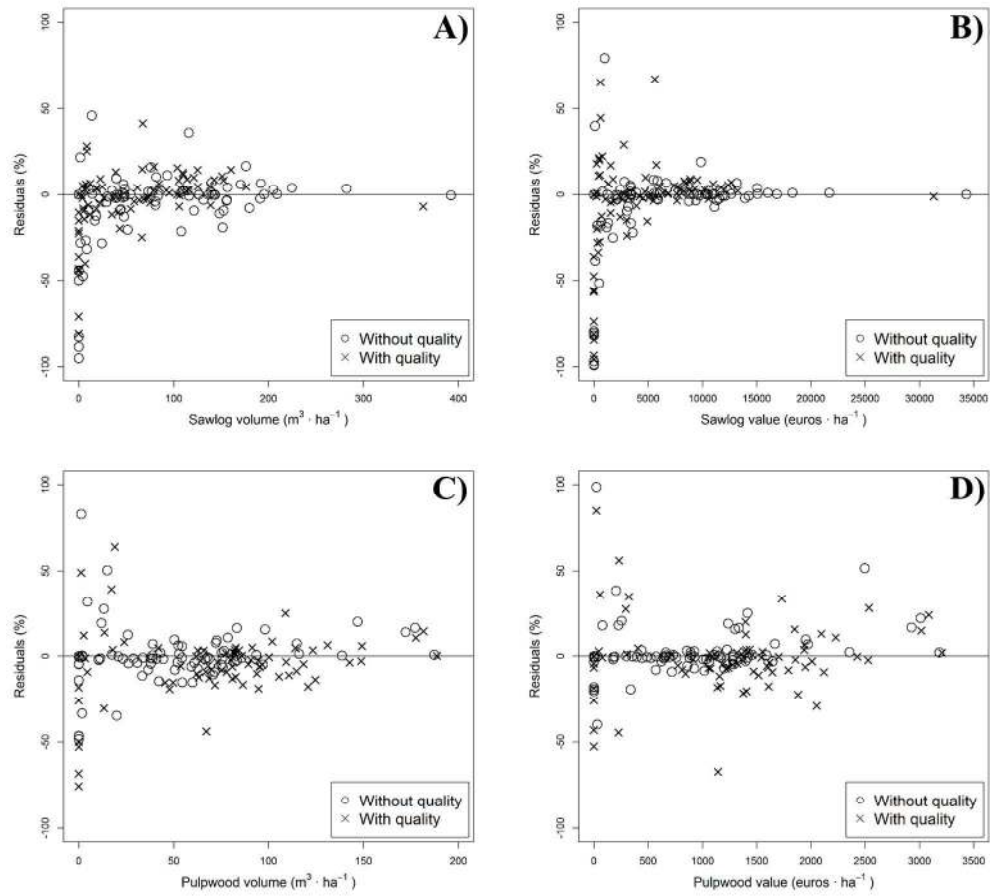


Fig. 3. Plot-level residual errors including and excluding quality estimation for: A) sawlog volume, B) sawlog value, C) pulpwood volume, and D) pulpwood value.

205x190mm (300 x 300 DPI)