

1 **PRODUCTIVITY MODEL AND REFERENCE DIAGRAM FOR SHORT ROTATION**  
2 **BIOMASS CROPS OF POPLAR GROWN IN MEDITERRANEAN ENVIRONMENTS**

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16 **Abstract**

17 A Reference Diagram (RD) was constructed for first rotations of the Euroamerican poplar ‘I-  
18 214’ grown as short rotation coppice (SRC). Data from 144 plots, established in eleven sites  
19 in Mediterranean environments, were used to develop the model. The density at establishment  
20 of the plantations ranged between 6 666 and 33 333 stools ha<sup>-1</sup>, covering the usual densities  
21 ranges used in short rotation forestry (SRF). The RD was based on a density-independent  
22 mortality model that relates the density of living stools to the average height of dominant  
23 shoot and the initial plantation density, and it includes a system of two simultaneously fitted  
24 equations relating a) quadratic mean basal diameter of dominant shoots to the average height  
25 of dominant shoot and the final density, and b) total above-ground woody dry biomass to  
26 quadratic mean basal diameter and final density. The isolines in the RD represented mortality,  
27 quadratic mean basal diameter of dominant shoots and total above-ground woody dry biomass

28 at the end of a first rotation of three years. The final yield in terms of biomass ranged from 1  
29 to 85 Mg dm ha<sup>-1</sup>. The **RD** enables rapid and straightforward comparison of different  
30 situations, both at planting and at harvesting, and is a useful tool, based on a wide range of  
31 empirical data, for management and decision making regarding short rotation poplar crops.  
32 **KEYWORDS:** Poplar, Short rotation coppice (SRC), Density Management Diagrams,  
33 **Reference Diagrams**, Biomass.

34 **1. Introduction**

35 Woody biomass is a renewable resource that is suitable for getting different  
36 bioproducts, including bioenergy for different applications (heat, electricity or second  
37 generation biofuels)[1, 2]. Use of woody biomass for bioenergy purposes represents a  
38 promising opportunity to contribute to the mitigation of climate change, to the extent that the  
39 presence of this resource may become important in the overall energy mix. The production  
40 and management of woody biomass may provide a new opportunity for economic  
41 development of rural areas [3] involving many different productive sectors.

42 Forestry crops represent one source of supply of woody biomass, which is  
43 characterized by its spatiality and temporality [4]. Such crops can be established on both  
44 abandoned agricultural land and on marginal land. Short rotation woody crops under  
45 coppicing management (SRC), such as *Salicaceae* (*Populus* spp. or *Salix* spp.), are well  
46 represented in northern and central Europe and to a lesser extent in southern Europe [5-7].  
47 Studies involving the production of these crops have revealed a wide range of biomass yield  
48 depending on different factors such as plant material, site characteristics, crop design (density  
49 and rotation), management regime, presence of pest and diseases, and survival after planting  
50 [8-10].

51 Plantation density is an important factor to be considered in SRC and has both  
52 production and economic implications. As tree density increases, the total yield rises initially  
53 in proportion to the number of plants per area if individual plants receive sufficient resources  
54 for growth. However, the specific density at which optimal production is attained has not yet  
55 been determined, although the range within which production remains constant is known [11].  
56 Several experimental and commercial plantations have been established to test densities  
57 ranging from 1 000 to more than 40 000 plants ha<sup>-1</sup> [12-14].

58 Density Management Diagrams (DMDs) are used to graphically illustrate the  
59 relationships between density, yield and density dependant mortality at all stages of stand  
60 development [15], including concepts such as competition, site occupancy and self-thinning.  
61 These biological models are mainly used for decision-making in density management, for  
62 example to determine the post-thinning density or even to display and evaluate alternative  
63 density regimes in forest management [16]. There are many examples for different areas and  
64 species, such as *Pinus palustris* Mill. [16], *Quercus robur* L. [17] and *Pseudotsuga menziesii*  
65 (Mirb.) Franco [18]. However, as far we know, models relating the initial cutting density to  
66 yield, stool mortality or height and basal diameter growth for different developmental stages  
67 in SRC are scarce. Such models have been developed, e.g. for *Eucalyptus globulus* Labill. and  
68 *Eucalyptus nitens* (Deane and Maiden) Maiden, on the basis of plantations established at the  
69 usual range of initial forest densities used in southwestern Europe and managed in short  
70 rotations [19]. In SRC, density reduction is not a common management practice and because  
71 of the short rotation, these crops rarely reach self-thinning limits, so that the application of  
72 DMD will be severely limited. We have therefore applied the basic concepts used in the  
73 construction of DMDs to propose a Reference Diagram (RD) for SRC management. These  
74 models may play an important role in helping understand short rotation yield patterns in  
75 poplar plantations as adaptation of the models may assist in the assessment of energy yield  
76 potential, and optimum stand management in terms of density and rotations, as reported for  
77 eucalypts [19].

78 The SRC yield of poplar has been considered in many studies by the application of  
79 allometric equations that can estimate shoot biomass from basal diameter and shoot height,  
80 which must therefore be measured in sample plots [20-24]. As basal diameter growth is  
81 directly related to stool density, and height growth is more dependent on site properties and  
82 management [24], the development of whole crop yield models can provide estimation tools

83 based on easily measured crop variables, particularly height and living stool density.  
84 However, as coppicing causes large changes in shoot density and growth rate, different sets of  
85 equations must be developed for the first and subsequent rotations. This is the most important  
86 factor limiting the application of process-based models to SRC [22]. Whole crop empirical  
87 statistical based models, which are powerful tools for estimating biomass, calculating  
88 economic gains and helping managers reach decisions about the timing of harvesting, are not  
89 yet available. A wide range of empirical data is required to enable development of such  
90 models [25].

91 The aim of the present study was to develop a whole crop model based on biomass,  
92 mean basal diameter and stool evolution as a function of mortality in a short rotation poplar  
93 crop, thus enabling subsequent development of a practical and dynamic **adaptation of Density**  
94 **Management Diagram concept, that we call Reference Diagram**. A further objective was to  
95 study the effect of initial density on biomass production at a rotation age of 3 years.

## 96 **2. Materials and methods**

### 97 **2.1. Data**

98 The study was carried out using data from a trial network of short rotation *Populus*  
99 plots established in 11 sites **in Spain** under Mediterranean conditions (Table 1). The clone  
100 selected for development of the DMD was 'I-214' (*Populus x canadensis* **Moench**), **this clone**  
101 **is a hybrid between *Populus deltoides* Marsh and *Populus nigra* L.** This is a well known clone  
102 widely planted in Mediterranean environments because of its high site plasticity and yield.  
103 This justifies use of 'I-214' as the reference clone in the trial plots for comparison of yield and  
104 other growth-related features. Data from 144 plots were available for fitting the base  
105 equations, **these data were taken from three types of experimental plots in which the aim was**  
106 **to evaluate the clone effect, stocking rate and site by measuring variables related to**  
107 **production. Clone 'I-214' was used in all the experiments. As the trial design took**

108 competition effects into account, the plot size is large enough to ensure that the measured  
109 samples are not subjected to an edge effect. The trial plots include plantations ranging in  
110 surface area from 0.25 ha to 8 ha. Plots were established in early spring between 2005 and  
111 2009, with 3 to 11 replications per site and plant densities. These densities ranged from 6 666  
112 cuttings ha<sup>-1</sup> to 33 333 cuttings ha<sup>-1</sup>.

113 Plantations were established using hardwood cuttings of 20-30 cm in length, planted in  
114 single rows 3 m apart, either by hand or by use of adapted planting machines. Similar  
115 management was applied, including fertilization during soil tillage according to the specific  
116 soil characteristics, pre-emergence treatment with oxyfluorfen (4 l ha<sup>-1</sup>) to control weeds, and  
117 drip or flooding irrigation (to field capacity) during the summer months [26]. A rotation  
118 length of three years was established in all plots. In some (32) plots, trees were cut back to a  
119 height of 0.1 m one year after planting, to stimulate sprouting [27, 28]. In these plots, root age  
120 was 4 and shoot age was 3 years (R4S3) at harvest time (Table 2). In the remaining plots  
121 (112), root age and shoot age were both 3 years (R3S3). In addition, 16 plots in the database  
122 had been already harvested once and were in a stage of development corresponding to R7S3;  
123 however, the data from these plots were only used to test the performance of the diagram for a  
124 second rotation and not for model development.

125 Measurements were made annually after planting. Diameter over bark at 10 cm (d10,  
126 mm) and at 130 cm (dbh, mm) were measured using a digital calliper, once leaves had fallen.  
127 This first diameter (d10) accounts for the size of the shoots at the usual harvesting height.  
128 Total height of the highest stool (H, cm) was also measured with the aid of a measuring pole.  
129 The number of shoots per stool and the density of living stools per plot were also recorded.  
130 The above-ground fresh biomass, excluding leaves, was evaluated in all plots by destructive  
131 analysis at the end of the third year. Total above-ground woody dry biomass (Ws, kg dm ha<sup>-1</sup>)

132 was calculated from the estimated dry weight of randomly selected whole plants from each of  
133 the plots after oven-drying a subsample of 1 kg for each clone to constant weight at 105°C.

## 134 **2.2. Model development**

135 The following crop variables were used for each plot: crop age (t), number of stools  
136 per hectare (N), basal area of basal diameters ( $G_{b0}$ ), basal quadratic mean diameter of  
137 dominant shoots ( $dg_{b0}$ ), mean height of the dominant shoot of each stool ( $H_0$ ), total above-  
138 ground woody dry biomass (Ws) and mortality. The number of stools per hectare (N) was  
139 calculated as the difference between the initial density ( $N_0$ ) and the natural mortality. The  
140 basal area of basal diameters ( $G_{b0}$ ) was calculated as the sum of the basal section of  
141 dominants shoots of all the stools in each plot. Basal quadratic mean diameter of dominant  
142 shoots ( $dg_{b0}$ ) was calculated as the quadratic mean diameter of the dominant shoots of each  
143 stool (Table 3).

144 A static density-independent mortality equation was fitted with data from a total of  
145 333 plot density measurements covering the 3 years rotation established for each plot.  
146 Reduction in stool number was fitted directly without prior consideration of the probability of  
147 mortality in the plots [29]. In this case, the age of the crop was not included in the model, as  
148 the height of the dominant shoot in the stool is the variable represented in the RD. Age was  
149 not included in the model because in short rotation crops, the relationships between age and  
150 height of the stools is highly dependent on the climatic conditions during the rotation, and  
151 therefore height is more representative (than age) of biomass yield. The equation used to  
152 predict the changes in stool density is exponential, which provides a constant rate of mortality  
153 independently of the initial density, as derived from the data:

$$N = N_0 e^{K H_0} \quad (1)$$

154 where N is the density (stool ha<sup>-1</sup>),  $N_0$  is the initial density (stool ha<sup>-1</sup>),  $H_0$  is the  
155 average height of the dominant shoot of each stool (cm), and K is a constant parameter.

156 Structurally, DMDs consist of a number of functional and empirical quantitative  
 157 relationships that collectively represent the cumulative effect of various underlying  
 158 competition processes on tree and stand yield variables [30]. The **RD** developed in this study  
 159 included a previously calculated **density-independent** mortality equation, and a system of two  
 160 equations, the first of which is used to predict the quadratic basal mean diameter and the  
 161 second of which is used to predict above-ground woody dry biomass:

$$dg_{b0} = a_1 H_0^{a_2} N^{a_3} \quad (2)$$

$$W_s = a_4 dg_{b0}^{a_5} N^{a_6} \quad (3)$$

162 where  $dg_{b0}$  is the quadratic mean diameter of dominant shoots (cm),  $H_0$  is the average  
 163 height of the dominant shoot of each stool (cm),  $N$  is the crop density (stools  $ha^{-1}$ ),  $W_s$  is the  
 164 above-ground woody dry biomass ( $kg\ dm\ ha^{-1}$ ), and  $a_1, a_2, a_3, a_4, a_5$  and  $a_6$  are constant  
 165 parameters.

166 The first equation is based on the relationship between average tree size, density and a  
 167 productivity indicator [31-33]. The second equation relates stand productivity (expressed in  
 168 terms of stand above-ground woody dry biomass) to basal quadratic mean diameter and  
 169 number of stools per hectare.

170 Graphical representation of the model was carried out using the lattice function of the  
 171 R statistical package [34, 35], which enables plotting of multivariate data. In this case, the  
 172 `xyplot` function was used to produce a two-dimensional graphic. The **RD** was constructed by  
 173 plotting mean height of dominant shoots ( $H_0$ , cm) on the X-axis and the number of stools per  
 174 hectare ( $N$ , stools  $ha^{-1}$ ) in logarithmic scale on the Y-axis. The basal quadratic mean diameter  
 175 of the dominant shoot isolines were represented in the diagrams by using constant values for  
 176  $dg_{b0}$  and solving equation (2) for  $N$ . The mortality isolines were represented in the diagrams  
 177 by using constant values for  $N_0$  and solving equation (1) for  $N$ . The above-ground woody dry  
 178 biomass isolines were represented in the diagrams, clearing the basal quadratic mean diameter

179 of the dominant shoots for equation (2), using constant values for  $W_s$  and solving equation (3)  
180 for  $N$ .

181 Bioenergy and ash content application were also provided. The energy content in  
182 above-ground woody dry biomass was calculated on the basis of the lowest heating value  
183 (LHV) at 0% moisture content, which corresponds to  $18.36 \text{ MJ kg}^{-1}$  for three year old shoots  
184 of the 'I-214' poplar clone [36]. The ash content (%) was calculated on the basis of the  
185 percentage of ash considered by Klasnja et al. [37] for the 'I-214' clone (5.44% for bark and  
186 0.78% for wood), and the percentage of bark as a function of diameter at breast height (dbh)  
187 measured by Guidi et al. [38]. For application of the latter percentage, an equation relating  
188 dbh to  $dg_{b0}$  was required:

$$dg_{b0} \text{ (mm)} = 10.666 + 1.0649 * dbh \quad (4)$$

189 Data from 144 plots were used to fit equation (4). The estimated single coefficient of  
190 the model is highly significant, and the model accounted more than 90% of the total  
191 variability of basal quadratic mean diameter of dominant shoots ( $dg_{b0}$ ). This model was used  
192 to obtain the relationship between  $dg_{b0}$  and ash content (2.25 % for  $dg_{b0}=2.54 \text{ cm}$ , 2 % for  
193  $dg_{b0}=3.47 \text{ cm}$ , 1.75 % for  $dg_{b0}=4.42 \text{ cm}$  and 1.5 % for  $dg_{b0}=8.92 \text{ cm}$ ).

194 For graphical representation, the dominant height axis ranged from 100 to 1 200 cm,  
195 and densities ranged from 3 000 to 35 000 stools  $\text{ha}^{-1}$  on a logarithmic scale. The basal  
196 quadratic mean diameters values ranged from 1 to 10 cm and finally the above-ground woody  
197 dry biomass values ranged from 0 to 100  $\text{Mg dm ha}^{-1}$

### 198 **2.3. Statistical analysis**

199 Equation (1) was fitted with the nls procedure of the R software program [39].  
200 Although this equation can also be considered as part of a simultaneous fitting system along  
201 with equations (2) and (3), separate fitting was preferred because of the different sample size  
202 and the interest in obtaining the most accurate estimate of living density of stools.

203 Equations (2) and (3) define a structurally simultaneous system, in which  $N$  and  $H_0$  are  
204 exogenous variables whose values are determined independently of the system of equations,  
205  $W_s$  is an endogenous variable, and  $dg_{b0}$  is an endogenous instrumental variable. The system  
206 of equations was fitted simultaneously using the SYSTEMFIT package [40] and the SUR  
207 (Seemingly unrelated regression) methodology in the R statistical package [39]. The adjusted  
208 coefficient of determination and the root mean square error were used to check the accuracy  
209 of the models.

210 Analysis of variance (ANOVA) was performed, using the R statistical package [39], to  
211 evaluate the effect of the stage of development in terms of height growth and Mean Annual  
212 Increment (MAI) in biomass, and as the samples sizes were different for different stages of  
213 development, the generalized linear model procedure (GLM) was used. Tukey's HSD test was  
214 used for comparison of means when significant differences of  $p < 0.05$  were observed.

### 215 3. Results

#### 216 3.1. Model fitting

217 The results of fitting the three equations included in the model are shown in Table 4.  
218 The estimate of the single coefficient of the density-independent mortality model was highly  
219 significant ( $p < 0.0001$ ) and the model accounted for more than 80% of the total variability in  
220 stool number. The equation obtained can be used to estimate the number of living stools from  
221 the mean height of the dominant shoots and planting density, and it produces a fixed mortality  
222 rate, which is consistent with the observations (Fig. 1).

223 For the simultaneous fit, all the coefficient estimates were highly significant ( $p <$   
224  $0.0001$ ), except for parameter  $a_4$  of biomass equation (3). This has not serious implications, as  
225 this parameter does not have any biological meaning [41]. The models accounted for more  
226 than 85% of the total variability in both the quadratic mean basal diameter and the biomass  
227 yield, (equations 2 and 3). It is usually difficult to obtain accurate prediction of diameters

228 because of the dependence on changes in density over time when longer rotations are  
229 considered.

### 230 **3.2. Reference diagram**

231 The range of values represented by the axes and the isolines in the **RD (Fig. 2)** were  
232 similar to the ranges included in the database used to construct the diagram (Table 3). The **RD**  
233 shows the isolines for basal quadratic mean diameter ( $dg_{b0}$ ), above-ground woody dry  
234 biomass ( $Ws$ ) and mortality, as well as the observed values of  $H_0$  and  $N$  in the plots used for  
235 fitting (Fig. 2).

236 The isolines for stool density decrease gradually with increasing dominant height,  
237 derived from a continuous reduction in stool number of 1.67% for each metre of increment in  
238  $H_0$ . The diagram can be used either by considering the initial density to predict the living stool  
239 density for a given dominant height or by directly using the actual stool density recorded in  
240 the plots. In both cases, the values of the final densities recorded in the plots ranged widely,  
241 from 3 735 to 33 333 stools  $ha^{-1}$ , and therefore the model can account for large differences in  
242 stool density. The dominant height ranged from 153 to 1 026 cm, and did not increase with  
243 initial density **(Fig. 3)**.

244 The isolines for biomass yield are curves that tend to be vertical for low dominant  
245 heights, indicating a small effect of stool density at such stages of crop development. As  
246 dominant height increases, these isolines become more horizontal and less separated, showing  
247 strong differences depending on density and height growth (Fig. 2). The isolines represented a  
248 range from 5 to 100  $Mg\ dm\ ha^{-1}$ , according to the values measured in the plots, shown in  
249 Table 3. The crops are most productive, as far as the first rotation is concerned, at densities  
250 higher than 15 000 stools  $ha^{-1}$ . These isolines can be used to define biomass thresholds for  
251 harvesting, which should be assessed in terms of stool density and dominant height, with the  
252 possibility of lengthening the rotation if necessary.

253 The isolines for basal quadratic mean diameter show a strong dependence on stool  
254 density, with very variable values (isolines considered from 2 to 10 cm, according to the  
255 observed values in the plots, Table 2). These isolines are rather uniformly separated and are  
256 representative of harvesting conditions and biomass quality (Fig. 2). The isolines tend to  
257 become more horizontal as dominant height increases. The basal area of basal diameters, a  
258 variable not included in the diagrams but used to obtain the basal quadratic mean diameter,  
259 ranged between 0.70 and 22.81 m<sup>2</sup> ha<sup>-1</sup> yr<sup>-1</sup> (Fig. 3) and tended to increase with density.

260 In the database, sixteen of the plots are at developmental stage corresponding to R7S3.  
261 This information was used to test the behaviour of the diagrams for a second rotation (Fig. 4)  
262 and it was noted that significant biases occur both in the case of diameter and biomass.

### 263 3.3. Example of RD use to determine energy production

264 As a practical example (Fig. 5), we simulated an initial planting density of 10 000  
265 stools ha<sup>-1</sup> and a final basal quadratic mean diameter of 8 cm (which allows efficient  
266 harvesting of the crop by a chip harvester). The total aboveground woody dry biomass yield  
267 was approximately 60 Mg dm ha<sup>-1</sup>, the final density was less than 9 000 stools ha<sup>-1</sup> and the  
268 dominant height obtained was about 11 m. As an additional guide to exploring the possible  
269 values of H<sub>0</sub> over time, the observed values of the quartiles for this variable are represented in  
270 Figure 6, along with the predicted quartiles for R4T4 and R5T4. Significant differences  
271 in height according to the stage of development (p<0.0001) were observed with increasing  
272 root age, although not in the case of shoot age. This was also found for Mean Annual  
273 Increment (MAI) in biomass (p<0.0001), except in the first year shoots, in which this variable  
274 did not vary significantly (Fig. 7). The rotation for calculating MAI is considered as being the  
275 period between planting and harvesting (root age), and the biomass produced is considered as  
276 the sum of the yield at harvest time and the small quantities obtained during the first  
277 coppicing at age 1 year (R1S1) in the corresponding cases. The total energy production for

278 this simulation was 1 100 GJ ha<sup>-1</sup> and the ash content approximately was 1.53 %. Therefore  
279 the energy production rate would be 366.6 GJ ha<sup>-1</sup> yr<sup>-1</sup>.

280 These values indicate that an area of 81.8 ha covered by poplar under SRC would be  
281 needed to supply a municipal power plant of 5 MW, with a performance of 1 500 hours per  
282 year and a thermal efficiency of 90% (typical dimension for several public buildings and a  
283 network of heat to various individual homes). This indicates the possibility of promoting SRC  
284 for thermal use in areas where the current biomass supply is low.

#### 285 **4. Discussion**

##### 286 4.1. Model utility and limitations

287 The system of related equations presented enables accurate estimation of crop yield in  
288 terms of oven dry biomass and total energy, while also providing the predicted changes in  
289 stool number, which is a useful tool for decision making. A density-independent mortality  
290 model was used rather than the density-dependant model usually used for DMDs because no  
291 different trends in mortality rate for different planting densities were observed. This may be  
292 because the development stage of the plantations under study may not have reached the self-  
293 thinning threshold, as indicated by the low mean mortality rate (< 15 %) across planting  
294 densities. The two main variables included in the diagram and used for decision-making were  
295 the initial cutting density and the rotation age, represented by the increase in mean height of  
296 the dominant shoots with age, depending on site properties and the crop management. The  
297 mean height of dominant shoots can be determined easily by measurement with telescopic  
298 rods in a sample plot or from LiDAR information.

299 The adjusted coefficient of determination in the case of the biomass model is,  
300 however, slightly lower than the values obtained by other authors for pine or oak stands [17,  
301 33, 42]. This may be because in the present study, fitting was at the stool level, without  
302 inclusion of additional variables such as the shoot number per stool. The average shoot

303 number per stool is often highly correlated with total biomass; however, for the information of  
304 first rotation managed in this study, the values obtained were low and did not improve the  
305 models. Nevertheless, this variable may have a major impact in models developed for  
306 subsequent rotations.

307         The variability in basal quadratic mean diameter explained by this model can be  
308 considered high relative to that reported by other authors [19], probably because in short  
309 rotations crops, basal diameter is more directly dependent on initial stool density. This  
310 variable may be important for considering the harvester limits and harvesting time. Chip  
311 harvesters specifically used for these types of crops may be limited by basal diameters greater  
312 than 15 cm, while multi-cutter harvesters may be more cost effective for basal diameters  
313 between 15 and 20 cm [43]. Tools such as that obtained in this study may provide a basis for  
314 comparing the management options for overcoming these limitations, not only by using  
315 appropriate densities but also choosing the best harvesting time. On the other hand,  
316 knowledge of the market value of the biomass as well as the costs associated with different  
317 management practices may also enable economic analysis to obtain the optimal planting  
318 density of poplar SRC. However, the models provided here are only valid for the first  
319 rotation. The predictable vigorous sprouting after the first coppice [44] would promote rapid  
320 canopy closure and full site occupancy, reducing the differences in biomass yield between  
321 initial density levels.

322         Comparing the results obtained for the second rotation to those predicted by this  
323 model, we confirmed the need to develop a different set of equations for the second rotation,  
324 as basal quadratic mean diameter is overestimated by the model and there is a strong tendency  
325 for biomass yield to be underestimated for high observed values of biomass, this was expected  
326 due to the higher growth of this type of crop in successive rotations [45-47]; the effect of an  
327 already well-formed root system, which is able to absorb more nutrients and water, and the

328 ability of the stool to provide multiple shoots together favour higher production after  
329 coppicing, and therefore the prediction for the second rotation with an equation fitted with  
330 first rotation data causes significant bias. This emphasizes the importance of developing  
331 similar models to those proposed here for future rotations.

332 The basal area of basal diameters tended to increase with density. However, by  
333 decreasing the density, the diameter of trees increased due to the decreased competition for  
334 resources, which results in a large average tree size [48-51], thus improving the quality of the  
335 biomass arising from lower bark content, lower ash content and greater lower heating value  
336 [52].

337 High ash content of wood is less desirable for fuelwood as it is non-combustible and  
338 reduces the heat of combustion [37, 53]. As the share of bark depends on the age of wood  
339 [38], and the ash content in the whole tree is mainly related to the amount of bark [54, 55], the  
340 ash content will also depend on the age of wood. Bark percentage decreases rapidly with  
341 increasing dbh, although it is thought that at  $dbh > 5$  cm, the percentage of dry bark stabilizes  
342 at around 7% of dry matter and the decrease in ash content thus slows down [38]. Previously  
343 reported values were used instead of an equation [38] to estimate the ash content because the  
344 basal quadratic mean diameter in the diagram ranged between 2-10. The ash values derived  
345 from the procedure described here were lower than the ash content observed for 'I-214' clone  
346 by Fernández et al. [36] at the end of a three year rotation (i.e. about 2.4 % on a dry weight  
347 basis).

#### 348 4.2. Comparison with data from other studies

349 The values obtained in the present study in relation to the annual above-ground woody  
350 dry biomass for 'I-214' clone in function of their densities showed a similar yield range to  
351 those reported by other authors, such as Facciotto et al. [56] (15 and 35 Mg dm ha<sup>-1</sup> yr<sup>-1</sup>),  
352 Liberloo et al. [57] (20 and 25.8 Mg dm ha<sup>-1</sup> yr<sup>-1</sup>) and Paris et al. [58] (7.25 Mg dm ha<sup>-1</sup> from

353 a low soil quality site and 21.86 to 23.74 Mg dm ha<sup>-1</sup> for medium and high soil quality sites).  
 354 Under the Mediterranean conditions of the Iberian Peninsula, the observed range was  
 355 between 19 and 8 Mg dm ha<sup>-1</sup> yr<sup>-1</sup> [59]. However, 'I-214' has been identified as stable in  
 356 terms of yield for a given density [59, 60], i.e. without departing from the expected behaviour  
 357 estimated from its average genotypic value.

358 Although the energy obtained from LHV is a theoretical value that can only be  
 359 achieved at 0% moisture, the information derived from this product may also be useful for  
 360 determining the energy value of the biomass produced in the different management scenarios.  
 361 In fact, the following equations enable calculation of biomass, lower heating value and bulk  
 362 density for chips with a moisture content (h %, wet basis), considering a wood and bark basic  
 363 density of 0.35 Mg m<sup>-3</sup> (data not show) and a ratio of 0.38 solid m<sup>3</sup>/apparent m<sup>3</sup>:

$$W_h = W_s \frac{100}{100 - h} \quad (5)$$

$$LHV_h = LHV_0 \frac{100 - h}{100} - 0.02443 h \quad (6)$$

$$BD_h = 0.35 \cdot 0.38 \frac{100}{100 - h} \quad (7)$$

364 where  $W_h$  is the biomass weight at a humidity content (h %, wet basis),  $W_s$  is the  
 365 above-ground woody dry biomass obtained from the diagrams,  $LHV_h$  is the low heating value  
 366 (MJ kg<sup>-1</sup>) and BD is the bulk density (Mg m<sup>-3</sup>). The application of such equations for the usual  
 367 humidity content at harvest time (55%) provides  $BD_{55}=296$  Mg m<sup>-3</sup>. Drying chips to  $h=30\%$   
 368 would provide a biofuel classified as BD150 ( $BD_{30}=190$  Mg m<sup>-3</sup>), Q11 ( $LHV_{30}=12.1$  MJ kg<sup>-1</sup>),  
 369 A3.0 (ash percentage always less than 3%) and thus class B for non industrial uses,  
 370 according to the European standard EN14961-4.

371 The predicted values for the energy production at the end of the rotation ranged  
 372 between 100-2 000 GJ ha<sup>-1</sup>, which is higher than the values reported for poplar (173-259 GJ  
 373 ha<sup>-1</sup>; 10-15 Mg dm ha<sup>-1</sup> yr<sup>-1</sup>) grown as a short rotation woody crop [61]. Mean plot values

374 ranged from 4.83 to 522.27 GJ ha<sup>-1</sup> yr<sup>-1</sup>, which includes the range of values obtained by other  
375 authors (165.51-311.78 GJ ha<sup>-1</sup> yr<sup>-1</sup> [36]) and even reached as high as the values for second  
376 rotations, which are expected to be higher (e.g. 351-537 GJ ha<sup>-1</sup> yr<sup>-1</sup> [62]).

#### 377 **4. Conclusions**

378 **Reference diagrams** are useful because of their simplicity and the fact that the inputs  
379 required are easily obtainable. These features make this **Reference Diagram** an excellent tool  
380 for stand management, adapted to short rotation coppice of poplar. The extensive network of  
381 heterogeneous plots used to develop this **RD** confers the model a wide range of performance,  
382 whether for planning plantation, as a tool to examine the different options to achieve an end  
383 goal (i.e. to achieve a specific production to supply a plant or not to exceed certain stage of  
384 development that can be limiting at harvest **time**), and at the end life of the plantation, for  
385 calculating the optimal cutting time for a final goal. In both cases, this type of diagram proved  
386 to be a very useful tool for planning different management according to the constraints of the  
387 desired product and optimizing resources to maximize the performance.

388 Although the translation of dominant height data to age would depend on site  
389 conditions and management, the models developed are useful for estimating the amount of  
390 biomass accumulated at a certain stage of development and initial planting density and to  
391 determine the maximum developmental stage that allows the use of available machinery to  
392 harvest the crop. These models are also useful for economic optimization of the initial density  
393 of planting in relation to production, although this requires models that are sensitive to the  
394 possible effect of the crop origin in relation to the initial density of the following rotations.  
395 Future research in this field of work should consider all these aspects.

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561

562

1 **PRODUCTIVITY MODEL AND REFERENCE DIAGRAM FOR SHORT ROTATION**  
2 **BIOMASS CROPS OF POPLAR GROWN IN MEDITERRANEAN ENVIRONMENTS**

3

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15

16 **Abstract**

17 A Reference Diagram (RD) was constructed for first rotations of the Euroamerican poplar ‘I-  
18 214’ grown as short rotation coppice (SRC). Data from 144 plots, established in eleven sites  
19 in Mediterranean environments, were used to develop the model. The density at establishment  
20 of the plantations ranged between 6 666 and 33 333 stools ha<sup>-1</sup>, covering the usual densities  
21 ranges used in short rotation forestry (SRF). The RD was based on a density-independent  
22 mortality model that relates the density of living stools to the average height of dominant  
23 shoot and the initial plantation density, and it includes a system of two simultaneously fitted  
24 equations relating a) quadratic mean basal diameter of dominant shoots to the average height  
25 of dominant shoot and the final density, and b) total above-ground woody dry biomass to  
26 quadratic mean basal diameter and final density. The isolines in the RD represented mortality,  
27 quadratic mean basal diameter of dominant shoots and total above-ground woody dry biomass

28 at the end of a first rotation of three years. The final yield in terms of biomass ranged from 1  
29 to 85 Mg dm ha<sup>-1</sup>. The RD enables rapid and straightforward comparison of different  
30 situations, both at planting and at harvesting, and is a useful tool, based on a wide range of  
31 empirical data, for management and decision making regarding short rotation poplar crops.  
32 **KEYWORDS:** Poplar, Short rotation coppice (SRC), Density Management Diagrams,  
33 Reference Diagrams, Biomass.

34 **1. Introduction**

35 Woody biomass is a renewable resource that is suitable for getting different  
36 bioproducts, including bioenergy for different applications (heat, electricity or second  
37 generation biofuels)[1, 2]. Use of woody biomass for bioenergy purposes represents a  
38 promising opportunity to contribute to the mitigation of climate change, to the extent that the  
39 presence of this resource may become important in the overall energy mix. The production  
40 and management of woody biomass may provide a new opportunity for economic  
41 development of rural areas [3] involving many different productive sectors.

42 Forestry crops represent one source of supply of woody biomass, which is  
43 characterized by its spatiality and temporality [4]. Such crops can be established on both  
44 abandoned agricultural land and on marginal land. Short rotation woody crops under  
45 coppicing management (SRC), such as *Salicaceae* (*Populus* spp. or *Salix* spp.), are well  
46 represented in northern and central Europe and to a lesser extent in southern Europe [5-7].  
47 Studies involving the production of these crops have revealed a wide range of biomass yield  
48 depending on different factors such as plant material, site characteristics, crop design (density  
49 and rotation), management regime, presence of pest and diseases, and survival after planting  
50 [8-10].

51 Plantation density is an important factor to be considered in SRC and has both  
52 production and economic implications. As tree density increases, the total yield rises initially  
53 in proportion to the number of plants per area if individual plants receive sufficient resources  
54 for growth. However, the specific density at which optimal production is attained has not yet  
55 been determined, although the range within which production remains constant is known [11].  
56 Several experimental and commercial plantations have been established to test densities  
57 ranging from 1 000 to more than 40 000 plants ha<sup>-1</sup> [12-14].

58           Density Management Diagrams (DMDs) are used to graphically illustrate the  
59 relationships between density, yield and density dependant mortality at all stages of stand  
60 development [15], including concepts such as competition, site occupancy and self-thinning.  
61 These biological models are mainly used for decision-making in density management, for  
62 example to determine the post-thinning density or even to display and evaluate alternative  
63 density regimes in forest management [16]. There are many examples for different areas and  
64 species, such as *Pinus palustris* Mill. [16], *Quercus robur* L. [17] and *Pseudotsuga menziesii*  
65 (Mirb.) Franco [18]. However, as far we know, models relating the initial cutting density to  
66 yield, stool mortality or height and basal diameter growth for different developmental stages  
67 in SRC are scarce. Such models have been developed, e.g. for *Eucalyptus globulus* Labill. and  
68 *Eucalyptus nitens* (Deane and Maiden) Maiden, on the basis of plantations established at the  
69 usual range of initial forest densities used in southwestern Europe and managed in short  
70 rotations [19]. In SRC, density reduction is not a common management practice and because  
71 of the short rotation, these crops rarely reach self-thinning limits, so that the application of  
72 DMD will be severely limited. We have therefore applied the basic concepts used in the  
73 construction of DMDs to propose a Reference Diagram (RD) for SRC management. These  
74 models may play an important role in helping understand short rotation yield patterns in  
75 poplar plantations as adaptation of the models may assist in the assessment of energy yield  
76 potential, and optimum stand management in terms of density and rotations, as reported for  
77 eucalypts [19].

78           The SRC yield of poplar has been considered in many studies by the application of  
79 allometric equations that can estimate shoot biomass from basal diameter and shoot height,  
80 which must therefore be measured in sample plots [20-24]. As basal diameter growth is  
81 directly related to stool density, and height growth is more dependent on site properties and  
82 management [24], the development of whole crop yield models can provide estimation tools

83 based on easily measured crop variables, particularly height and living stool density.  
84 However, as coppicing causes large changes in shoot density and growth rate, different sets of  
85 equations must be developed for the first and subsequent rotations. This is the most important  
86 factor limiting the application of process-based models to SRC [22]. Whole crop empirical  
87 statistical based models, which are powerful tools for estimating biomass, calculating  
88 economic gains and helping managers reach decisions about the timing of harvesting, are not  
89 yet available. A wide range of empirical data is required to enable development of such  
90 models [25].

91 The aim of the present study was to develop a whole crop model based on biomass,  
92 mean basal diameter and stool evolution as a function of mortality in a short rotation poplar  
93 crop, thus enabling subsequent development of a practical and dynamic adaptation of Density  
94 Management Diagram concept, that we call Reference Diagram. A further objective was to  
95 study the effect of initial density on biomass production at a rotation age of 3 years.

## 96 **2. Materials and methods**

### 97 **2.1. Data**

98 The study was carried out using data from a trial network of short rotation *Populus*  
99 plots established in 11 sites in Spain under Mediterranean conditions (Table 1). The clone  
100 selected for development of the DMD was 'I-214' (*Populus x canadensis* Moench), this clone  
101 is a hybrid between *Populus deltoides* Marsh and *Populus nigra* L. This is a well known clone  
102 widely planted in Mediterranean environments because of its high site plasticity and yield.  
103 This justifies use of 'I-214' as the reference clone in the trial plots for comparison of yield and  
104 other growth-related features. Data from 144 plots were available for fitting the base  
105 equations, these data were taken from three types of experimental plots in which the aim was  
106 to evaluate the clone effect, stocking rate and site by measuring variables related to  
107 production. Clone 'I-214' was used in all the experiments. As the trial design took

108 competition effects into account, the plot size is large enough to ensure that the measured  
109 samples are not subjected to an edge effect. The trial plots include plantations ranging in  
110 surface area from 0.25 ha to 8 ha. Plots were established in early spring between 2005 and  
111 2009, with 3 to 11 replications per site and plant densities. These densities ranged from 6 666  
112 cuttings ha<sup>-1</sup> to 33 333 cuttings ha<sup>-1</sup>.

113 Plantations were established using hardwood cuttings of 20-30 cm in length, planted in  
114 single rows 3 m apart, either by hand or by use of adapted planting machines. Similar  
115 management was applied, including fertilization during soil tillage according to the specific  
116 soil characteristics, pre-emergence treatment with oxyfluorfen (4 l ha<sup>-1</sup>) to control weeds, and  
117 drip or flooding irrigation (to field capacity) during the summer months [26]. A rotation  
118 length of three years was established in all plots. In some (32) plots, trees were cut back to a  
119 height of 0.1 m one year after planting, to stimulate sprouting [27, 28]. In these plots, root age  
120 was 4 and shoot age was 3 years (R4S3) at harvest time (Table 2). In the remaining plots  
121 (112), root age and shoot age were both 3 years (R3S3). In addition, 16 plots in the database  
122 had been already harvested once and were in a stage of development corresponding to R7S3;  
123 however, the data from these plots were only used to test the performance of the diagram for a  
124 second rotation and not for model development.

125 Measurements were made annually after planting. Diameter over bark at 10 cm (d10,  
126 mm) and at 130 cm (dbh, mm) were measured using a digital calliper, once leaves had fallen.  
127 This first diameter (d10) accounts for the size of the shoots at the usual harvesting height.  
128 Total height of the highest stool (H, cm) was also measured with the aid of a measuring pole.  
129 The number of shoots per stool and the density of living stools per plot were also recorded.  
130 The above-ground fresh biomass, excluding leaves, was evaluated in all plots by destructive  
131 analysis at the end of the third year. Total above-ground woody dry biomass (Ws, kg dm ha<sup>-1</sup>)

132 was calculated from the estimated dry weight of randomly selected whole plants from each of  
133 the plots after oven-drying a subsample of 1 kg for each clone to constant weight at 105°C.

## 134 **2.2. Model development**

135 The following crop variables were used for each plot: crop age (t), number of stools  
136 per hectare (N), basal area of basal diameters ( $G_{b0}$ ), basal quadratic mean diameter of  
137 dominant shoots ( $dg_{b0}$ ), mean height of the dominant shoot of each stool ( $H_0$ ), total above-  
138 ground woody dry biomass (Ws) and mortality. The number of stools per hectare (N) was  
139 calculated as the difference between the initial density ( $N_0$ ) and the natural mortality. The  
140 basal area of basal diameters ( $G_{b0}$ ) was calculated as the sum of the basal section of  
141 dominants shoots of all the stools in each plot. Basal quadratic mean diameter of dominant  
142 shoots ( $dg_{b0}$ ) was calculated as the quadratic mean diameter of the dominant shoots of each  
143 stool (Table 3).

144 A static density-independent mortality equation was fitted with data from a total of  
145 333 plot density measurements covering the 3 years rotation established for each plot.  
146 Reduction in stool number was fitted directly without prior consideration of the probability of  
147 mortality in the plots [29]. In this case, the age of the crop was not included in the model, as  
148 the height of the dominant shoot in the stool is the variable represented in the RD. Age was  
149 not included in the model because in short rotation crops, the relationships between age and  
150 height of the stools is highly dependent on the climatic conditions during the rotation, and  
151 therefore height is more representative (than age) of biomass yield. The equation used to  
152 predict the changes in stool density is exponential, which provides a constant rate of mortality  
153 independently of the initial density, as derived from the data:

$$N = N_0 e^{K H_0} \quad (1)$$

154 where N is the density (stool  $ha^{-1}$ ),  $N_0$  is the initial density (stool  $ha^{-1}$ ),  $H_0$  is the  
155 average height of the dominant shoot of each stool (cm), and K is a constant parameter.

156 Structurally, DMDs consist of a number of functional and empirical quantitative  
157 relationships that collectively represent the cumulative effect of various underlying  
158 competition processes on tree and stand yield variables [30]. The RD developed in this study  
159 included a previously calculated density-independent mortality equation, and a system of two  
160 equations, the first of which is used to predict the quadratic basal mean diameter and the  
161 second of which is used to predict above-ground woody dry biomass:

$$dg_{b0} = a_1 H_0^{a_2} N^{a_3} \quad (2)$$

$$W_s = a_4 dg_{b0}^{a_5} N^{a_6} \quad (3)$$

162 where  $dg_{b0}$  is the quadratic mean diameter of dominant shoots (cm),  $H_0$  is the average  
163 height of the dominant shoot of each stool (cm),  $N$  is the crop density (stools  $ha^{-1}$ ),  $W_s$  is the  
164 above-ground woody dry biomass ( $kg\ dm\ ha^{-1}$ ), and  $a_1, a_2, a_3, a_4, a_5$  and  $a_6$  are constant  
165 parameters.

166 The first equation is based on the relationship between average tree size, density and a  
167 productivity indicator [31-33]. The second equation relates stand productivity (expressed in  
168 terms of stand above-ground woody dry biomass) to basal quadratic mean diameter and  
169 number of stools per hectare.

170 Graphical representation of the model was carried out using the lattice function of the  
171 R statistical package [34, 35], which enables plotting of multivariate data. In this case, the  
172 `xyplot` function was used to produce a two-dimensional graphic. The RD was constructed by  
173 plotting mean height of dominant shoots ( $H_0$ , cm) on the X-axis and the number of stools per  
174 hectare ( $N$ , stools  $ha^{-1}$ ) in logarithmic scale on the Y-axis. The basal quadratic mean diameter  
175 of the dominant shoot isolines were represented in the diagrams by using constant values for  
176  $dg_{b0}$  and solving equation (2) for  $N$ . The mortality isolines were represented in the diagrams  
177 by using constant values for  $N_0$  and solving equation (1) for  $N$ . The above-ground woody dry  
178 biomass isolines were represented in the diagrams, clearing the basal quadratic mean diameter

179 of the dominant shoots for equation (2), using constant values for  $W_s$  and solving equation (3)  
180 for  $N$ .

181 Bioenergy and ash content application were also provided. The energy content in  
182 above-ground woody dry biomass was calculated on the basis of the lowest heating value  
183 (LHV) at 0% moisture content, which corresponds to  $18.36 \text{ MJ kg}^{-1}$  for three year old shoots  
184 of the 'I-214' poplar clone [36]. The ash content (%) was calculated on the basis of the  
185 percentage of ash considered by Klasnja et al. [37] for the 'I-214' clone (5.44% for bark and  
186 0.78% for wood), and the percentage of bark as a function of diameter at breast height (dbh)  
187 measured by Guidi et al. [38]. For application of the latter percentage, an equation relating  
188 dbh to  $dg_{b0}$  was required:

$$dg_{b0} \text{ (mm)} = 10.666 + 1.0649 * dbh \quad (4)$$

189 Data from 144 plots were used to fit equation (4). The estimated single coefficient of  
190 the model is highly significant, and the model accounted more than 90% of the total  
191 variability of basal quadratic mean diameter of dominant shoots ( $dg_{b0}$ ). This model was used  
192 to obtain the relationship between  $dg_{b0}$  and ash content (2.25 % for  $dg_{b0}=2.54 \text{ cm}$ , 2 % for  
193  $dg_{b0}=3.47 \text{ cm}$ , 1.75 % for  $dg_{b0}=4.42 \text{ cm}$  and 1.5 % for  $dg_{b0}=8.92 \text{ cm}$ ).

194 For graphical representation, the dominant height axis ranged from 100 to 1 200 cm,  
195 and densities ranged from 3 000 to 35 000 stools  $\text{ha}^{-1}$  on a logarithmic scale. The basal  
196 quadratic mean diameters values ranged from 1 to 10 cm and finally the above-ground woody  
197 dry biomass values ranged from 0 to 100  $\text{Mg dm ha}^{-1}$

### 198 **2.3. Statistical analysis**

199 Equation (1) was fitted with the nls procedure of the R software program [39].  
200 Although this equation can also be considered as part of a simultaneous fitting system along  
201 with equations (2) and (3), separate fitting was preferred because of the different sample size  
202 and the interest in obtaining the most accurate estimate of living density of stools.

203 Equations (2) and (3) define a structurally simultaneous system, in which  $N$  and  $H_0$  are  
204 exogenous variables whose values are determined independently of the system of equations,  
205  $W_s$  is an endogenous variable, and  $dg_{b0}$  is an endogenous instrumental variable. The system  
206 of equations was fitted simultaneously using the SYSTEMFIT package [40] and the SUR  
207 (Seemingly unrelated regression) methodology in the R statistical package [39]. The adjusted  
208 coefficient of determination and the root mean square error were used to check the accuracy  
209 of the models.

210 Analysis of variance (ANOVA) was performed, using the R statistical package [39], to  
211 evaluate the effect of the stage of development in terms of height growth and Mean Annual  
212 Increment (MAI) in biomass, and as the samples sizes were different for different stages of  
213 development, the generalized linear model procedure (GLM) was used. Tukey's HSD test was  
214 used for comparison of means when significant differences of  $p < 0.05$  were observed.

### 215 **3. Results**

#### 216 **3.1. Model fitting**

217 The results of fitting the three equations included in the model are shown in Table 4.  
218 The estimate of the single coefficient of the density-independent mortality model was highly  
219 significant ( $p < 0.0001$ ) and the model accounted for more than 80% of the total variability in  
220 stool number. The equation obtained can be used to estimate the number of living stools from  
221 the mean height of the dominant shoots and planting density, and it produces a fixed mortality  
222 rate, which is consistent with the observations (Fig. 1).

223 For the simultaneous fit, all the coefficient estimates were highly significant ( $p <$   
224  $0.0001$ ), except for parameter  $a_4$  of biomass equation (3). This has not serious implications, as  
225 this parameter does not have any biological meaning [41]. The models accounted for more  
226 than 85% of the total variability in both the quadratic mean basal diameter and the biomass  
227 yield, (equations 2 and 3). It is usually difficult to obtain accurate prediction of diameters

228 because of the dependence on changes in density over time when longer rotations are  
229 considered.

### 230 **3.2. Reference diagram**

231 The range of values represented by the axes and the isolines in the RD (Fig. 2) were  
232 similar to the ranges included in the database used to construct the diagram (Table 3). The RD  
233 shows the isolines for basal quadratic mean diameter ( $d_{gb0}$ ), above-ground woody dry  
234 biomass (Ws) and mortality, as well as the observed values of  $H_0$  and N in the plots used for  
235 fitting (Fig. 2).

236 The isolines for stool density decrease gradually with increasing dominant height,  
237 derived from a continuous reduction in stool number of 1.67% for each metre of increment in  
238  $H_0$ . The diagram can be used either by considering the initial density to predict the living stool  
239 density for a given dominant height or by directly using the actual stool density recorded in  
240 the plots. In both cases, the values of the final densities recorded in the plots ranged widely,  
241 from 3 735 to 33 333 stools  $ha^{-1}$ , and therefore the model can account for large differences in  
242 stool density. The dominant height ranged from 153 to 1 026 cm, and did not increase with  
243 initial density (Fig. 3).

244 The isolines for biomass yield are curves that tend to be vertical for low dominant  
245 heights, indicating a small effect of stool density at such stages of crop development. As  
246 dominant height increases, these isolines become more horizontal and less separated, showing  
247 strong differences depending on density and height growth (Fig. 2). The isolines represented a  
248 range from 5 to 100  $Mg\ dm\ ha^{-1}$ , according to the values measured in the plots, shown in  
249 Table 3. The crops are most productive, as far as the first rotation is concerned, at densities  
250 higher than 15 000 stools  $ha^{-1}$ . These isolines can be used to define biomass thresholds for  
251 harvesting, which should be assessed in terms of stool density and dominant height, with the  
252 possibility of lengthening the rotation if necessary.

253 The isolines for basal quadratic mean diameter show a strong dependence on stool  
254 density, with very variable values (isolines considered from 2 to 10 cm, according to the  
255 observed values in the plots, Table 2). These isolines are rather uniformly separated and are  
256 representative of harvesting conditions and biomass quality (Fig. 2). The isolines tend to  
257 become more horizontal as dominant height increases. The basal area of basal diameters, a  
258 variable not included in the diagrams but used to obtain the basal quadratic mean diameter,  
259 ranged between 0.70 and 22.81 m<sup>2</sup> ha<sup>-1</sup> yr<sup>-1</sup> (Fig. 3) and tended to increase with density.

260 In the database, sixteen of the plots are at developmental stage corresponding to R7S3.  
261 This information was used to test the behaviour of the diagrams for a second rotation (Fig. 4)  
262 and it was noted that significant biases occur both in the case of diameter and biomass.

### 263 **3.3. Example of RD use to determine energy production**

264 As a practical example (Fig. 5), we simulated an initial planting density of 10 000  
265 stools ha<sup>-1</sup> and a final basal quadratic mean diameter of 8 cm (which allows efficient  
266 harvesting of the crop by a chip harvester). The total aboveground woody dry biomass yield  
267 was approximately 60 Mg dm ha<sup>-1</sup>, the final density was less than 9 000 stools ha<sup>-1</sup> and the  
268 dominant height obtained was about 11 m. As an additional guide to exploring the possible  
269 values of H<sub>0</sub> over time, the observed values of the quartiles for this variable are represented in  
270 Figure 6, along with the predicted quartiles for R4T4 and R5T4. Significant differences  
271 in height according to the stage of development (p<0.0001) were observed with increasing  
272 root age, although not in the case of shoot age. This was also found for Mean Annual  
273 Increment (MAI) in biomass (p<0.0001), except in the first year shoots, in which this variable  
274 did not vary significantly (Fig. 7). The rotation for calculating MAI is considered as being the  
275 period between planting and harvesting (root age), and the biomass produced is considered as  
276 the sum of the yield at harvest time and the small quantities obtained during the first  
277 coppicing at age 1 year (R1S1) in the corresponding cases. The total energy production for

278 this simulation was  $1\ 100\ \text{GJ ha}^{-1}$  and the ash content approximately was 1.53 %. Therefore  
279 the energy production rate would be  $366.6\ \text{GJ ha}^{-1}\ \text{yr}^{-1}$ .

280 These values indicate that an area of 81.8 ha covered by poplar under SRC would be  
281 needed to supply a municipal power plant of 5 MW, with a performance of 1 500 hours per  
282 year and a thermal efficiency of 90% (typical dimension for several public buildings and a  
283 network of heat to various individual homes). This indicates the possibility of promoting SRC  
284 for thermal use in areas where the current biomass supply is low.

## 285 **4. Discussion**

### 286 4.1. Model utility and limitations

287 The system of related equations presented enables accurate estimation of crop yield in  
288 terms of oven dry biomass and total energy, while also providing the predicted changes in  
289 stool number, which is a useful tool for decision making. A density-independent mortality  
290 model was used rather than the density-dependant model usually used for DMDs because no  
291 different trends in mortality rate for different planting densities were observed. This may be  
292 because the development stage of the plantations under study may not have reached the self-  
293 thinning threshold, as indicated by the low mean mortality rate ( $< 15\ \%$ ) across planting  
294 densities. The two main variables included in the diagram and used for decision-making were  
295 the initial cutting density and the rotation age, represented by the increase in mean height of  
296 the dominant shoots with age, depending on site properties and the crop management. The  
297 mean height of dominant shoots can be determined easily by measurement with telescopic  
298 rods in a sample plot or from LiDAR information.

299 The adjusted coefficient of determination in the case of the biomass model is,  
300 however, slightly lower than the values obtained by other authors for pine or oak stands [17,  
301 33, 42]. This may be because in the present study, fitting was at the stool level, without  
302 inclusion of additional variables such as the shoot number per stool. The average shoot

303 number per stool is often highly correlated with total biomass; however, for the information of  
304 first rotation managed in this study, the values obtained were low and did not improve the  
305 models. Nevertheless, this variable may have a major impact in models developed for  
306 subsequent rotations.

307         The variability in basal quadratic mean diameter explained by this model can be  
308 considered high relative to that reported by other authors [19], probably because in short  
309 rotations crops, basal diameter is more directly dependent on initial stool density. This  
310 variable may be important for considering the harvester limits and harvesting time. Chip  
311 harvesters specifically used for these types of crops may be limited by basal diameters greater  
312 than 15 cm, while multi-cutter harvesters may be more cost effective for basal diameters  
313 between 15 and 20 cm [43]. Tools such as that obtained in this study may provide a basis for  
314 comparing the management options for overcoming these limitations, not only by using  
315 appropriate densities but also choosing the best harvesting time. On the other hand,  
316 knowledge of the market value of the biomass as well as the costs associated with different  
317 management practices may also enable economic analysis to obtain the optimal planting  
318 density of poplar SRC. However, the models provided here are only valid for the first  
319 rotation. The predictable vigorous sprouting after the first coppice [44] would promote rapid  
320 canopy closure and full site occupancy, reducing the differences in biomass yield between  
321 initial density levels.

322         Comparing the results obtained for the second rotation to those predicted by this  
323 model, we confirmed the need to develop a different set of equations for the second rotation,  
324 as basal quadratic mean diameter is overestimated by the model and there is a strong tendency  
325 for biomass yield to be underestimated for high observed values of biomass, this was expected  
326 due to the higher growth of this type of crop in successive rotations [45-47]; the effect of an  
327 already well-formed root system, which is able to absorb more nutrients and water, and the

328 ability of the stool to provide multiple shoots together favour higher production after  
329 coppicing, and therefore the prediction for the second rotation with an equation fitted with  
330 first rotation data causes significant bias. This emphasizes the importance of developing  
331 similar models to those proposed here for future rotations.

332         The basal area of basal diameters tended to increase with density. However, by  
333 decreasing the density, the diameter of trees increased due to the decreased competition for  
334 resources, which results in a large average tree size [48-51], thus improving the quality of the  
335 biomass arising from lower bark content, lower ash content and greater lower heating value  
336 [52].

337         High ash content of wood is less desirable for fuelwood as it is non-combustible and  
338 reduces the heat of combustion [37, 53]. As the share of bark depends on the age of wood  
339 [38], and the ash content in the whole tree is mainly related to the amount of bark [54, 55], the  
340 ash content will also depend on the age of wood. Bark percentage decreases rapidly with  
341 increasing dbh, although it is thought that at  $dbh > 5$  cm, the percentage of dry bark stabilizes  
342 at around 7% of dry matter and the decrease in ash content thus slows down [38]. Previously  
343 reported values were used instead of an equation [38] to estimate the ash content because the  
344 basal quadratic mean diameter in the diagram ranged between 2-10. The ash values derived  
345 from the procedure described here were lower than the ash content observed for 'I-214' clone  
346 by Fernández et al. [36] at the end of a three year rotation (i.e. about 2.4 % on a dry weight  
347 basis).

#### 348         4.2. Comparison with data from other studies

349         The values obtained in the present study in relation to the annual above-ground woody  
350 dry biomass for 'I-214' clone in function of their densities showed a similar yield range to  
351 those reported by other authors, such as Facciotto et al. [56] (15 and 35 Mg dm ha<sup>-1</sup> yr<sup>-1</sup>),  
352 Liberloo et al. [57] (20 and 25.8 Mg dm ha<sup>-1</sup> yr<sup>-1</sup>) and Paris et al. [58] (7.25 Mg dm ha<sup>-1</sup> from

353 a low soil quality site and 21.86 to 23.74 Mg dm ha<sup>-1</sup> for medium and high soil quality sites).  
 354 Under the Mediterranean conditions of the Iberian Peninsula, the observed range was  
 355 between 19 and 8 Mg dm ha<sup>-1</sup> yr<sup>-1</sup> [59]. However, 'I-214' has been identified as stable in  
 356 terms of yield for a given density [59, 60], i.e. without departing from the expected behaviour  
 357 estimated from its average genotypic value.

358 Although the energy obtained from LHV is a theoretical value that can only be  
 359 achieved at 0% moisture, the information derived from this product may also be useful for  
 360 determining the energy value of the biomass produced in the different management scenarios.  
 361 In fact, the following equations enable calculation of biomass, lower heating value and bulk  
 362 density for chips with a moisture content (h %, wet basis), considering a wood and bark basic  
 363 density of 0.35 Mg m<sup>-3</sup> (data not show) and a ratio of 0.38 solid m<sup>3</sup>/apparent m<sup>3</sup>:

$$W_h = W_s \frac{100}{100 - h} \quad (5)$$

$$LHV_h = LHV_0 \frac{100 - h}{100} - 0.02443 h \quad (6)$$

$$BD_h = 0.35 \cdot 0.38 \frac{100}{100 - h} \quad (7)$$

364 where W<sub>h</sub> is the biomass weight at a humidity content (h %, wet basis), W<sub>s</sub> is the  
 365 above-ground woody dry biomass obtained from the diagrams, LHV<sub>h</sub> is the low heating value  
 366 (MJ kg<sup>-1</sup>) and BD is the bulk density (Mg m<sup>-3</sup>). The application of such equations for the usual  
 367 humidity content at harvest time (55%) provides BD<sub>55</sub>=296 Mg m<sup>-3</sup>. Drying chips to h=30%  
 368 would provide a biofuel classified as BD150 (BD<sub>30</sub>=190 Mg m<sup>-3</sup>), Q11 (LHV<sub>30</sub>=12.1 MJ kg<sup>-1</sup>),  
 369 A3.0 (ash percentage always less than 3%) and thus class B for non industrial uses,  
 370 according to the European standard EN14961-4.

371 The predicted values for the energy production at the end of the rotation ranged  
 372 between 100-2 000 GJ ha<sup>-1</sup>, which is higher than the values reported for poplar (173-259 GJ  
 373 ha<sup>-1</sup>; 10-15 Mg dm ha<sup>-1</sup> yr<sup>-1</sup>) grown as a short rotation woody crop [61]. Mean plot values

374 ranged from 4.83 to 522.27 GJ ha<sup>-1</sup> yr<sup>-1</sup>, which includes the range of values obtained by other  
375 authors (165.51-311.78 GJ ha<sup>-1</sup> yr<sup>-1</sup> [36]) and even reached as high as the values for second  
376 rotations, which are expected to be higher (e.g. 351-537 GJ ha<sup>-1</sup> yr<sup>-1</sup> [62]).

#### 377 **4. Conclusions**

378 Reference diagrams are useful because of their simplicity and the fact that the inputs  
379 required are easily obtainable. These features make this Reference Diagram an excellent tool  
380 for stand management, adapted to short rotation coppice of poplar. The extensive network of  
381 heterogeneous plots used to develop this RD confers the model a wide range of performance,  
382 whether for planning plantation, as a tool to examine the different options to achieve an end  
383 goal (i.e. to achieve a specific production to supply a plant or not to exceed certain stage of  
384 development that can be limiting at harvest time), and at the end life of the plantation, for  
385 calculating the optimal cutting time for a final goal. In both cases, this type of diagram proved  
386 to be a very useful tool for planning different management according to the constraints of the  
387 desired product and optimizing resources to maximize the performance.

388 Although the translation of dominant height data to age would depend on site  
389 conditions and management, the models developed are useful for estimating the amount of  
390 biomass accumulated at a certain stage of development and initial planting density and to  
391 determine the maximum developmental stage that allows the use of available machinery to  
392 harvest the crop. These models are also useful for economic optimization of the initial density  
393 of planting in relation to production, although this requires models that are sensitive to the  
394 possible effect of the crop origin in relation to the initial density of the following rotations.  
395 Future research in this field of work should consider all these aspects.

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562

## Tables

Table 1. Locations and UTM coordinates of the experimental SRC poplar plots located in Spain.

Site		UTM coordinates <sup>a</sup>		Elevation m asl	T <sup>b</sup> (°C)	P <sup>c</sup> (mm)	pH	SOM <sup>d</sup> (%)	Sand (%)	Silt (%)	Clay (%)
		X	Y								
Almazán	1	537782	4591237	827	11.19	447	8.42	2.08	18.2	34.44	47.35
Lubia	2	541547	4605407	1 090	10.19	614	6.39	0.57	85.14	5.52	9.33
Magaz de Arriba	3	691550	4720450	560	12.80	747	6.01	1.02	53.43	23.22	23.34
Cababañas Raras	4	692850	4721700	560	12.69	476	6.21	0.84	55.36	23.88	20.76
Valtierra	5	610103	4670081	263	14.10	405	8.52	1.24	38.3	37.01	24.70
Granada	6	431869	4116815	738	15.3	355	8.45	1.42	40.04	35.28	24.77
Gerona	7	506101	4656270	20	15.69	658	8.61	0.36	74.09	11.53	14.38
Barcelona	8	472777	4615983	52	16.10	677	6.31	0.29	82.59	6.03	11.36
Iscar	9	371577	4575970	756	12.30	440	9.04	0.89	80.1	11.28	8.62
Zuera	10	683168	4647632	279	14.50	408	8.26	1.14	54.90	23.64	20.70
Faramontanos	11	258370	4635706	705	12.10	484	5.41	1.51	57.66	21.56	20.77

<sup>a</sup> The UTM coordinates refer to grid 30; <sup>b</sup> T: average annual temperature; <sup>c</sup> P: annual accumulated rainfall; <sup>d</sup> SOM: soil organic matter in the A horizon.

Table 2. Information on the plot characteristics and the average values of the main variables evaluated

Site	Age	Initial Density	Number of Evaluated Plots	Replicate	Average $H_0^a$ (cm)	Average $Ws^b$ (Mg dm ha <sup>-1</sup> )	Average $G_{b0}^c$ /ha (m <sup>2</sup> ha <sup>-1</sup> )	Average $dg_{b0}^d$ (cm)
1	R4T3	15 000	3	16	430.27	22.58	22.01	4.32
1	R4T3	25 000	3	16	391.17	22.95	27.42	3.73
1	R4T3	33 333	3	16	338.11	24.30	30.30	3.39
2	R4T3	17 316	3	16	617.96	66.04	48.37	5.95
2	R4T3	20 000	4	16	568.06	50.23	45.96	5.27
3	R3T3	13 333	4	25	524.41	17.50	17.82	4.06
3	R4T3	20 000	4	16	786.92	51.43	49.15	5.58
3	R4T3	20 000	3	16	774.06	51.73	42.15	5.17
3	R4T3	15 000	3	16	823.83	55.17	40.34	5.84
3	R4T3	25 000	3	16	797.27	70.17	57.08	5.38
3	R4T3	33 333	3	16	671.35	56.54	51.30	4.42
4	R3T3	13 333	4	16	481.13	13.96	16.67	3.96
6	R3T3	13 333	4	16	933.67	58.21	46.10	6.63
6	R3T3	13 333	4	25	747.65	32.83	31.98	5.51
6	R3T3	10 000	3	16	949.06	58.22	42.39	7.34
6	R3T3	15 000	3	16	909.79	62.97	49.29	6.45
6	R3T3	20 000	3	16	863.44	68.96	56.19	5.98
7	R3T3	13 333	4	16	501.18	25.27	23.36	4.70
7	R3T3	6 666	3	25	775.47	26.65	30.15	7.58
7	R3T3	13 333	3	25	686.39	27.72	34.62	5.74
7	R3T3	6 666	3	16	431.13	5.93	9.97	4.31
7	R3T3	10 000	3	16	470.45	9.22	16.77	4.54
7	R3T3	15 000	3	16	387.34	7.41	14.80	3.53
7	R3T3	20 000	3	16	423.66	14.79	22.94	3.76
8	R3T3	6 666	3	25	408.41	9.61	11.17	4.58
8	R3T3	13 333	3	25	472.83	16.73	23.37	4.71
9	R3T3	13 333	3	15	287.58	3.56	6.97	2.55
9	R3T3	13 333	4	25	170.76	1.11	3.09	1.68
9	R3T3	10 000	3	17	365.15	8.74	9.87	3.54
9	R3T3	15 000	3	16	322.97	8.77	14.53	3.50
9	R3T3	20 000	3	15	292.61	7.65	13.01	2.87
10	R3T3	13 333	3	16	634.67	27.98	27.21	5.09
10	R3T3	13 333	6	25	656.35	33.28	28.04	5.09
10	R3T3	10 000	3	17	731.86	33.13	28.85	6.05
10	R3T3	15 000	3	16	666.07	33.26	28.54	4.92
10	R3T3	20 000	3	16	737.68	49.70	40.88	5.08
11	R3T3	13 333	4	16	314.58	15.67	17.94	4.00
11	R3T3	6 666	4	25	488.52	16.20	12.33	4.81
11	R3T3	13 333	7	16	441.87	24.72	22.66	4.62
11	R3T3	10 000	3	16	500.02	21.71	20.63	5.08
11	R3T3	15 000	3	16	455.02	34.58	27.79	4.83
11	R3T3	20 000	3	16	378.76	20.66	20.59	3.61

<sup>a</sup>  $H_0$ : height of dominant shoots; <sup>b</sup>  $Ws$ : total above-ground woody dry biomass; <sup>c</sup>  $G_{b0}$ : basal area of basal diameters; <sup>d</sup>  $dg_{b0}$ : basal quadratic mean diameter of dominant shoots.

Table 3. Statistics for the main variables measured in the plots:

	Max <sup>a</sup>	Min <sup>b</sup>	Mean	Devest <sup>c</sup>
H <sub>0</sub> (cm)	1 025.6	153.1	557.9	214.3
dg <sub>bo</sub> (cm)	7.72	1.41	4.74	1.28
N (stool ha <sup>-1</sup> )	33 333	3750	13 328.9	5 680.0
N <sub>0</sub> (stool ha <sup>-1</sup> )	33 333	6 666	15 378.4	6 085.2
Ws (Mg dm ha <sup>-1</sup> )	85.3394	0.7901	29.7845	20.9524

<sup>a</sup> Max: maximum; <sup>b</sup> Min: minimum; <sup>c</sup> Devest: mean deviation

Table 4. Non-linear regression coefficients and statistics obtained from the mortality equation and simultaneous fitting of the system of 2 equations predicting basal quadratic mean diameter and total above-ground woody dry biomass.

Equation	Parameter estimates		Adjusted $R^2$	RMSE	N data	DF Error
(1)	K	-0.0001689 <0.0001	0.8059	2 566	350	349
	a <sub>1</sub>	0.41903566 <0.0001				
(2)	a <sub>2</sub>	0.65089060 <0.0001	0.8553	0.488	144	139
	a <sub>3</sub>	-0.17734437 <0.0001				
	a <sub>4</sub>	0.05115256 0.1250824				
(3)	a <sub>5</sub>	2.39193578 <0.0001				
	a <sub>6</sub>	0.99484093 <0.0001	0.8569	7 927	144	139

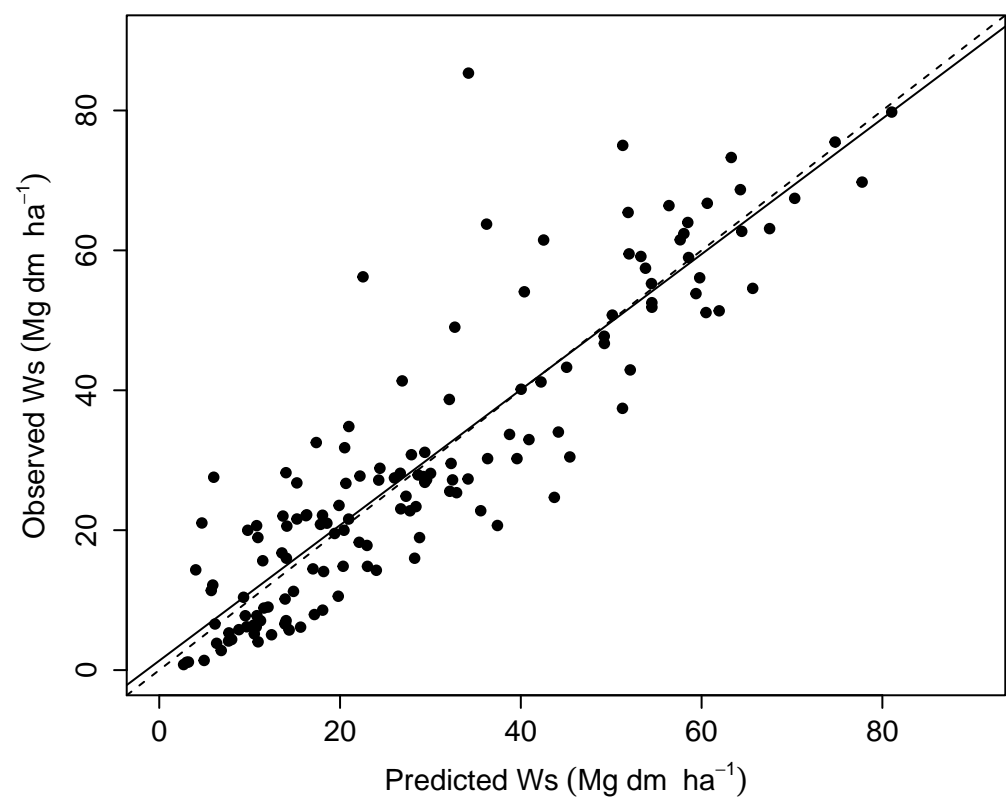
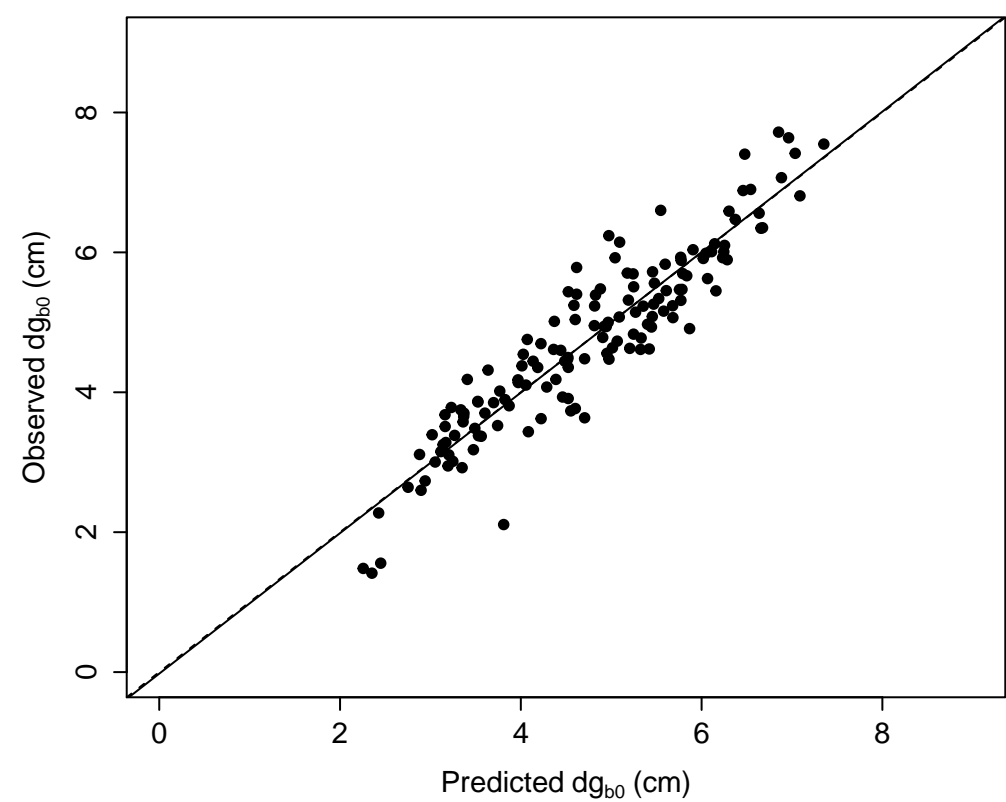
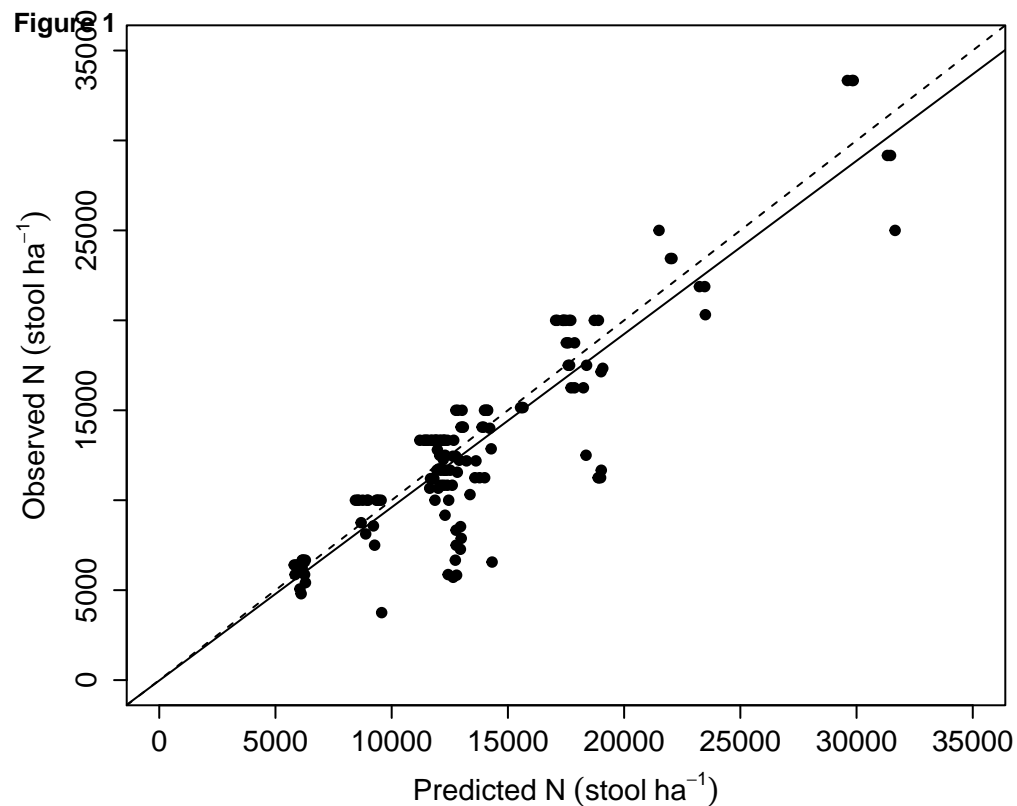


Figure 2

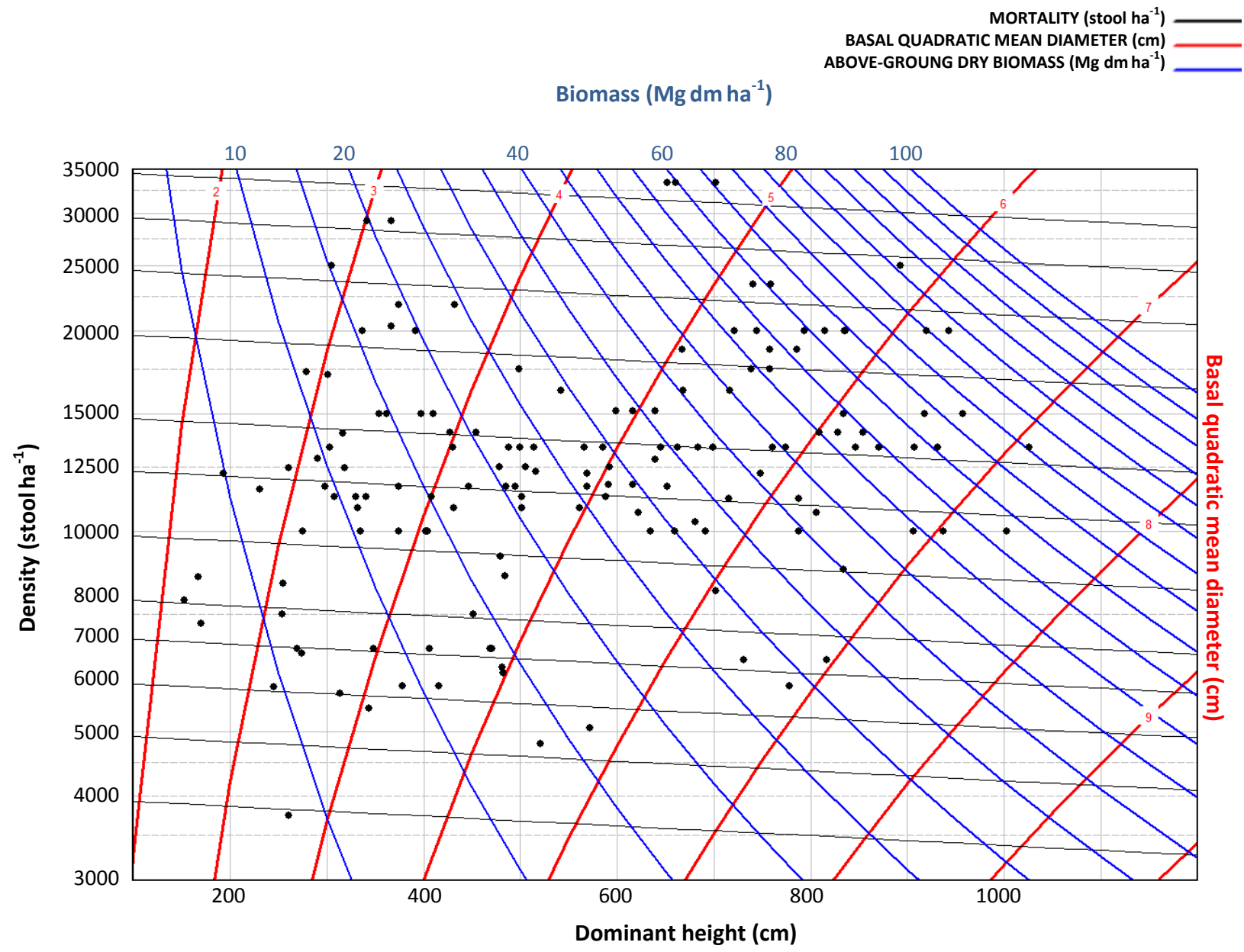


Figure 3

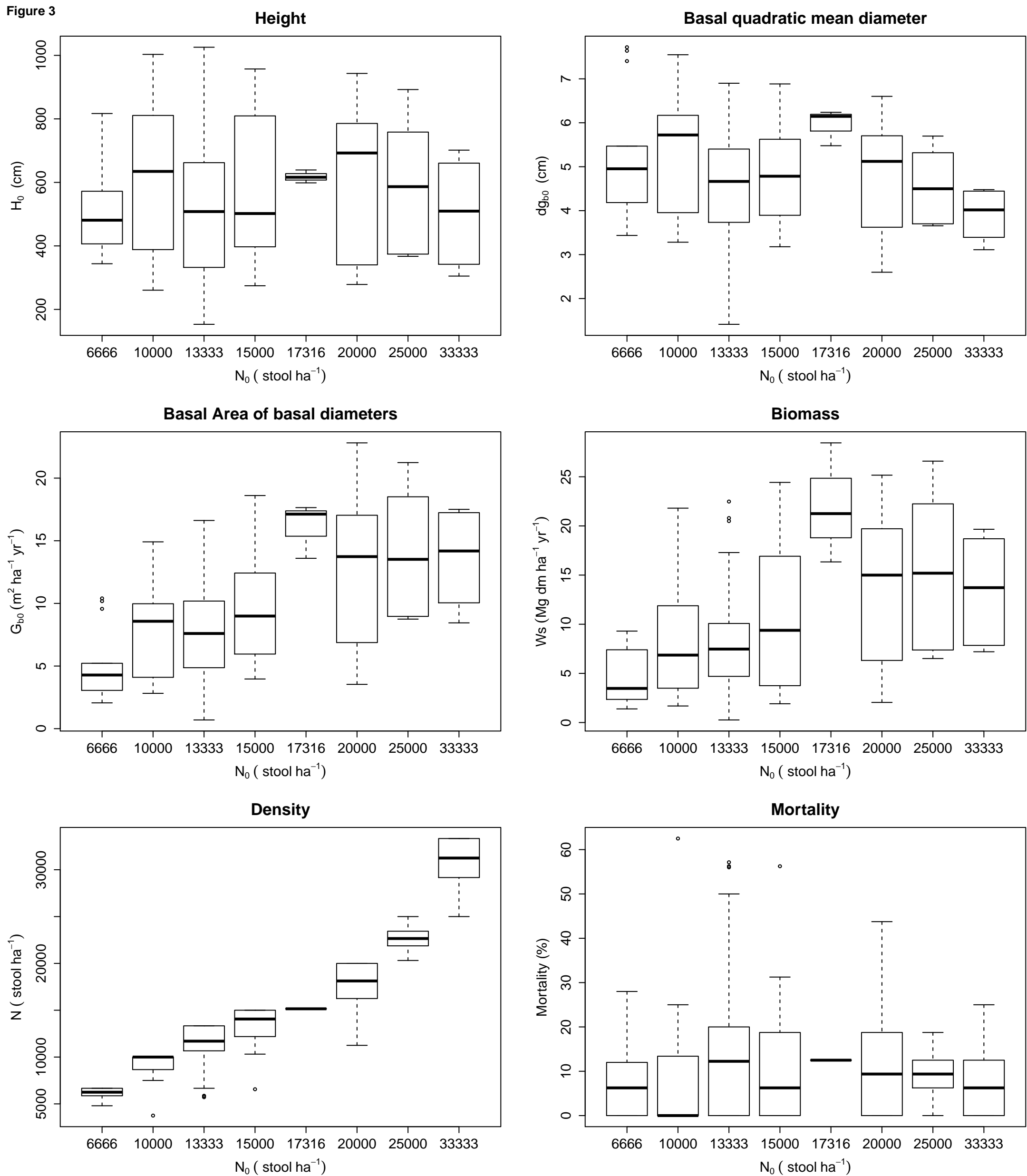


Figure 4

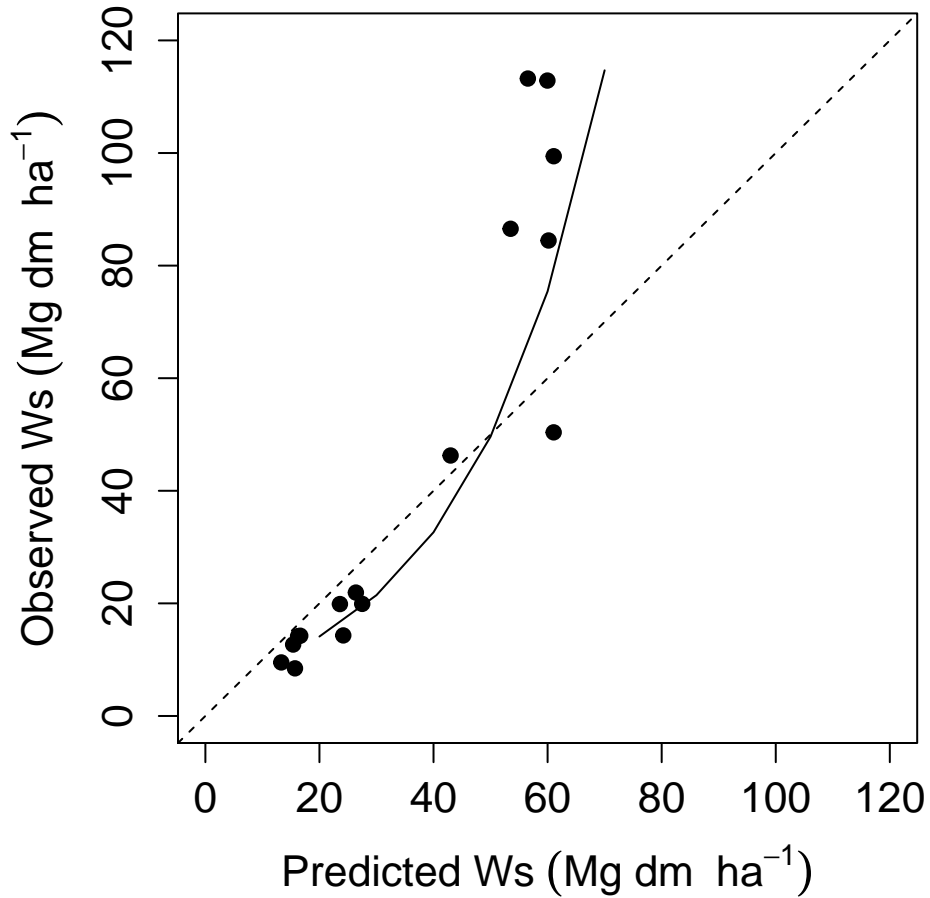
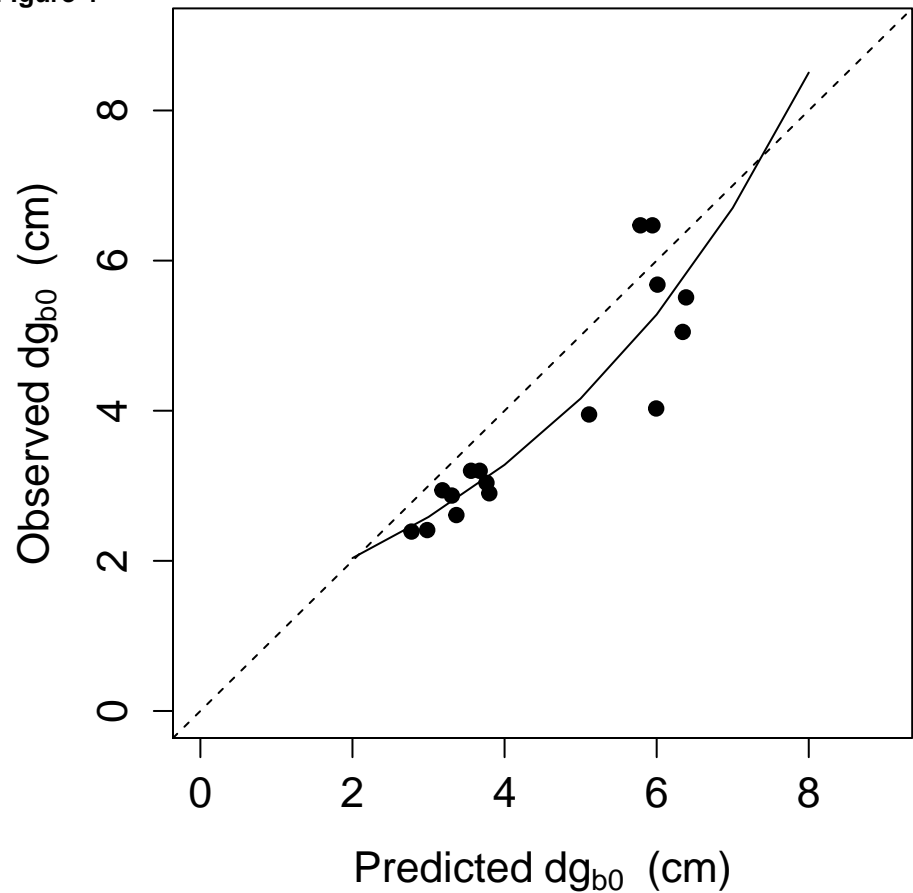


Figure 5

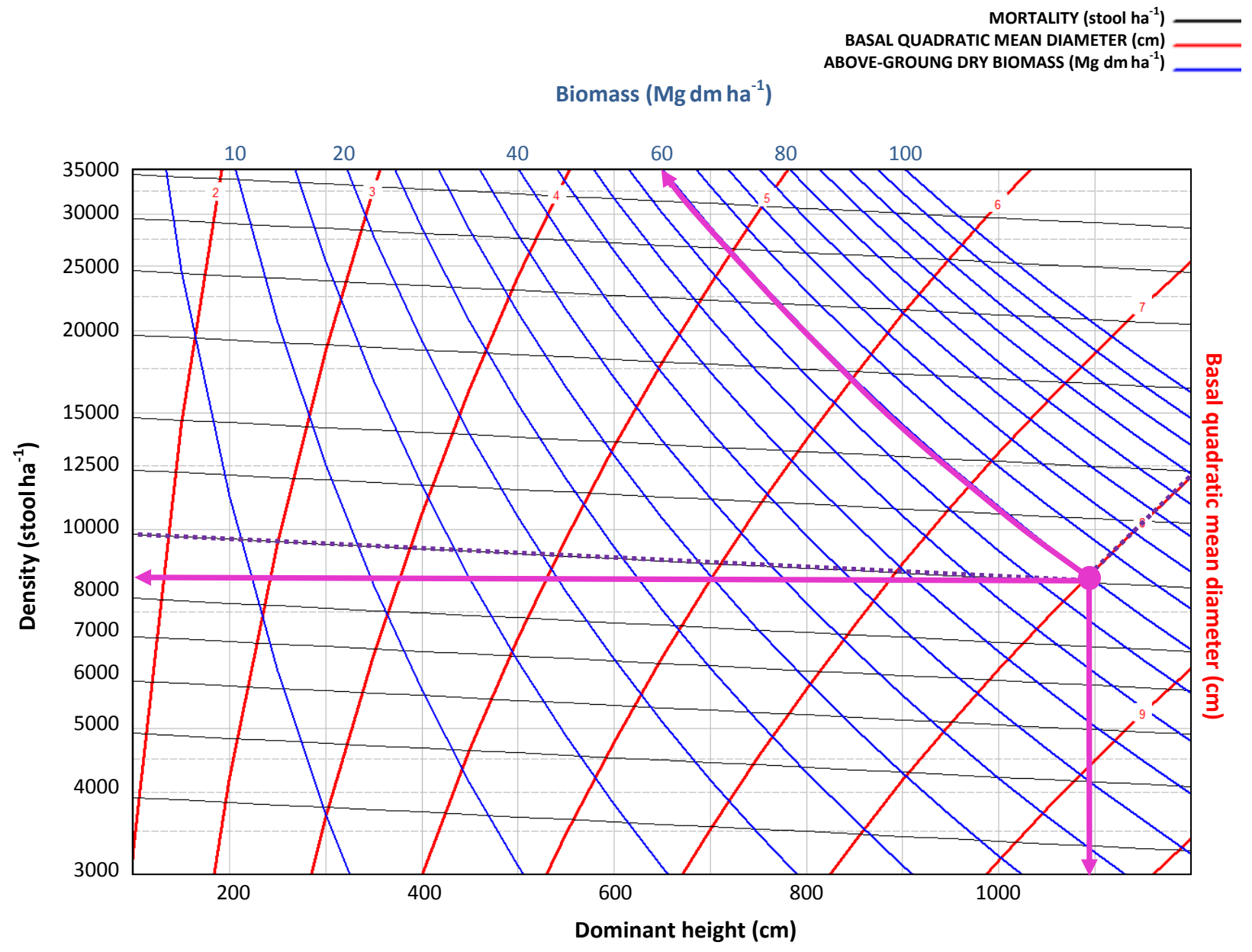


Figure 6

# Height

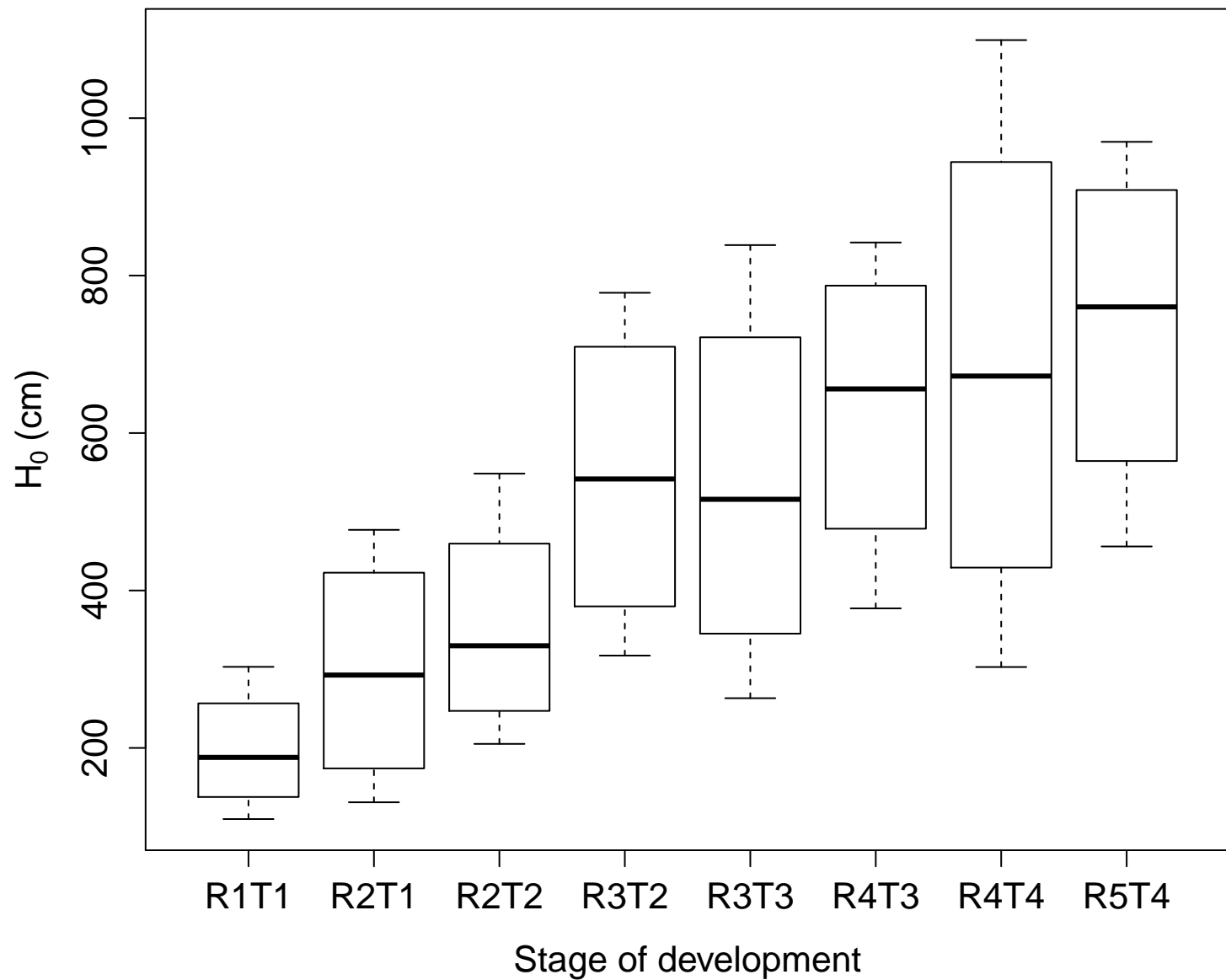
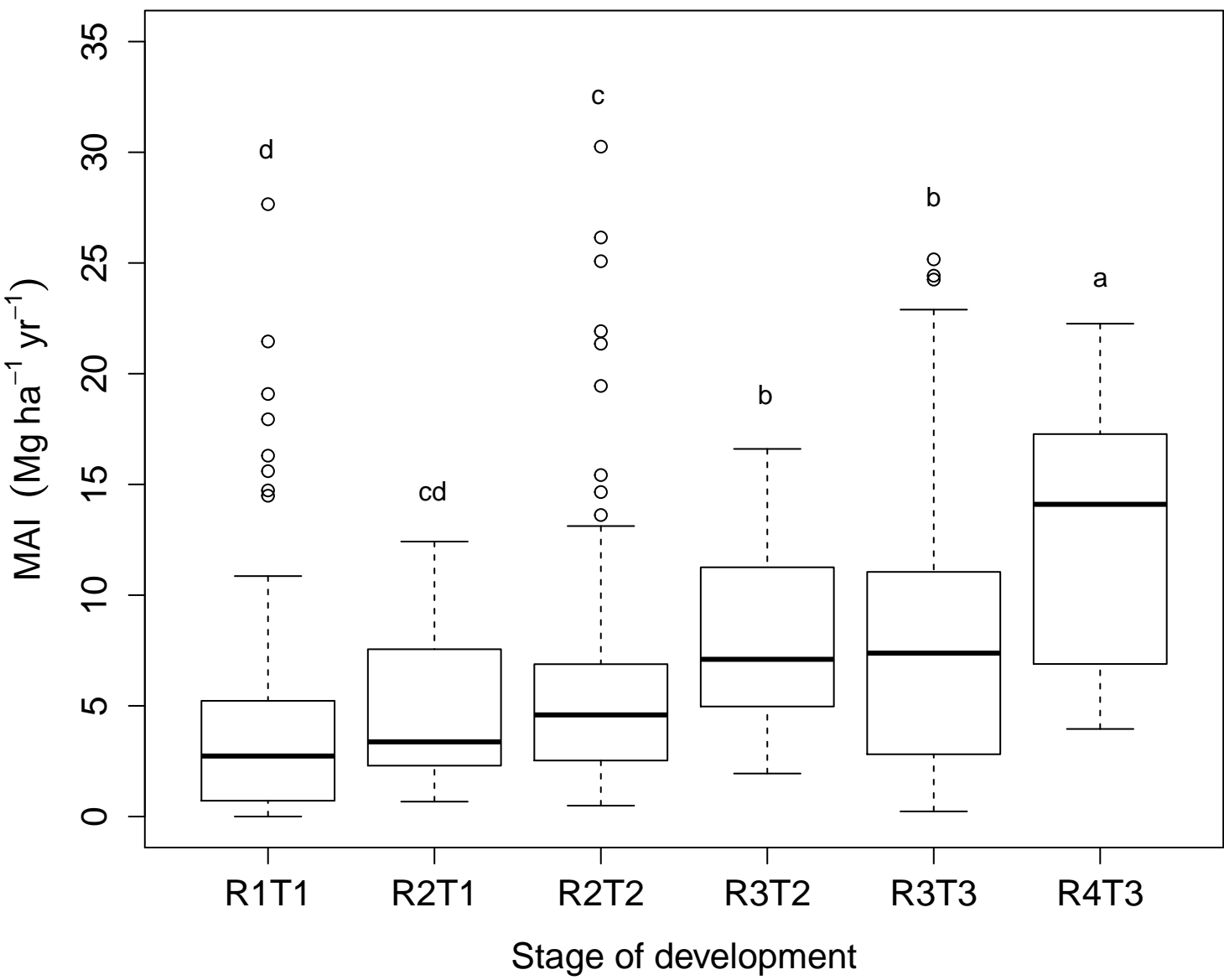


Figure 7

# Mean Annual Increment



## Figures Captions

Figure 1. Relationship between observed-predicted density values (stools  $\text{ha}^{-1}$ ) in the mortality equations, basal quadratic mean diameters values (cm) and dry biomass values ( $\text{Mg dm ha}^{-1}$ ) in the stool system of equations.

Figure 2. Reference diagram for 'I-214' poplar clone with isolines for mortality (stool  $\text{ha}^{-1}$ ), basal quadratic mean diameter (cm), aboveground dry biomass ( $\text{Mg ha}^{-1}$ ) and sample plots.

Figure 3. Boxplot of the variables height, basal quadratic mean diameter, basal area of basal diameters (all referring to dominant shoot per stool), and biomass, density and mortality as a function of the initial density (stool  $\text{ha}^{-1}$ ).

Figure 4. Relationship between observed-predicted dry biomass values ( $\text{Mg dm ha}^{-1}$ ) and basal quadratic mean diameters values (cm) for the second rotation, in the stool system of equations for first rotation used in the diagrams.

Figure 5. Practical example of the use of the reference diagram.

Figure 6. Quartiles height as a function of the stage of development.

Figure 7. Mean annual increment in biomass as a function of the stage of development. The rotation considered is the root age and the biomass is the total yield in the rotation. The letters represent the results of Tukey's HSD post-hoc comparisons of group means ( $p < 0.05$ ).