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1 **Unveiling effects of growth conditions on crown architecture and growth potential of Scots**  
2 **pine trees**

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17

18 **Abstract**

19 Trees adapt to their growing conditions by regulating the sizes of their parts and their relationships.  
20 For example, removal or death of adjacent trees increases the growing space and the amount of light  
21 received by the remaining trees enabling their crowns to expand. Knowledge about the effects of  
22 silvicultural practices on crown size and shape as well as about the quality of branches affecting the  
23 shape of a crown is, however, still limited. Thus, the aim was to study the crown structure of

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24 individual Scots pine trees in forest stands with varying stem densities due to past forest  
25 management practices. Furthermore, we wanted to understand how crown and stem attributes as  
26 well as tree growth affects stem area at the height of maximum crown diameter (SAHMC), which  
27 could be used as a proxy for tree growth potential. We used terrestrial laser scanning (TLS) to  
28 generate attributes characterizing crown size and shape. The results showed that increasing stem  
29 density decreased Scots pine crown size. TLS provided more detailed attributes for crown  
30 characterization compared to traditional field measurements. Furthermore, decreasing stem density  
31 increased SAHMC and strong relationships (Spearman correlations  $>0.5$ ) were found between  
32 SAHMC and crown and stem size as well as stem growth. Thus, this study provided quantitative  
33 and more comprehensive characterization of Scots pine crowns and their growth potential.

34 **Keywords:** tree growth, growth and yield, terrestrial laser scanning, ground-based LiDAR, pipe-  
35 model theory, silviculture, forest management, thinning, crown base height, live-crown ratio

36

## 37 **Introduction**

38 Trees direct available resources to reproduction and growth and can regulate their size and the  
39 relationship between their parts. That way trees adapt to changes in their growing conditions. The  
40 size of a tree correlates with the space a tree occupies and it defines tree growth which is linked to  
41 carbon sequestration (Pretzsch et al. 2015). Removal or death of trees enhances the light regime and  
42 photosynthesis for the remaining trees, which increases the crown size. This is particularly evident  
43 near the lowest limit of live crown where changes in the amount of light increases considerably  
44 more compared to the top of a tree (Oker-Blom & Kellomäki 1982).

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46 Trees of different species require differing amount of growing space; birch (*Betula* sp.) requires  
47 more space than Scots pine (*Pinus sylvestris* L.) which in turn is more demanding than Norway  
48 spruce (*Picea abies* (H. Karst) L.) (Aaltonen 1925, Pretzsch et al. 2015). Additionally, crown  
49 architecture (e.g., crown width, live-crown length) varies between mixed stands compared to  
50 monocultures (Bauhus et al. 2004, Bayer et al. 2013, Dieler & Pretzsch 2013, Pretzsch 2014). There  
51 is a relationship between tree size and growing conditions that can be assessed through the light  
52 regime. In dense forests lower branches die due to the limited amount of light (Heikinheimo 1953,  
53 Flower-Ellis et al. 1976, Kellomäki 1980) specifically for light-demanding species such as Scots  
54 pines and birches (Kellomäki & Tuimala 1981), and this decreases live-crown ratio (i.e., proportion  
55 of live crown from tree height).

56

57 Forest management is mainly aimed at increasing size and quality of the trees left to grow by  
58 regulating stand density and thus improving their growing conditions. First commercial thinning is  
59 especially important for Scots pines and later thinnings, even if intensive, do not offer recovery  
60 from reduced live crown ratio as it has been shown to reduce up to 37% of tree height (Mäkinen &  
61 Isomäki 2004c). The crown of young trees recover better compared to old trees because height  
62 growth of young trees increases the length of live crown (Hynynen 1995). In mature and old trees,  
63 height growth is slower, and recovery of a crown is limited to increasing the width and the number  
64 of leaves/needles.

65

66 There is a long history of research where the relationship between crown and stem dimensions has  
67 been investigated (Krajicek et al. 1961, Larson 1963, Gingrich 1967, Curtin 1970, Seymore &  
68 Smith 1987). Process-based models simulate tree growth as a function of leaf biomass, in other

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69 words of their photosynthetic elements (e.g. Valentine & Makela, 2005). Shinozaki et al. (1964)  
70 proposed a conceptual framework for the relationship between the amount of stem tissue and  
71 corresponding supported leaves known as the pipe model theory (PMT). It has been shown that the  
72 total cross-sectional area of living branches correlated strongly with foliage mass (Vanninen et al.,  
73 1996; Ilomäki et al., 2003; Kantola & Mäkelä, 2005). Longuetaud et al. (2006) reported that  
74 statistically significant indicators for tree vitality were the total cross-sectional area of branches,  
75 height-diameter at breast height (DBH) ratio (i.e., height/DBH), and the relative and absolute height  
76 of the crown base. More specifically, Lehtonen et al. (2020) and Hu et al. (2020) found leaf biomass  
77 of Scots pine to be proportional to the stem cross sectional area at the crown base. However, in both  
78 cases the relationship was influenced by other factors, such as age, site type, and temperature. There  
79 are indeed criticisms on the validity of the PMT, for which we direct the reader to the extensive  
80 review from Lehnebach et al. (2018). In any case, if traditional empirical models are using DBH as  
81 a proxy for growth potential, the question still remains if diameter at the crown base (dcb) could be  
82 a more accurate predictor.

83

84 Crown attributes from standing trees have been limited to crown base height, crown length, live-  
85 crown ratio, projection area, and crown width of which the last one has been more challenging to  
86 measure from several directions. Laser scanning (or Light detecting and ranging LiDAR) has  
87 provided new opportunities for characterizing trees in more detail in three-dimensional space.  
88 Especially terrestrial laser scanning (TLS) has increasingly been used in producing a variety of tree  
89 attributes (Seidel et al. 2011, Metz et al. 2013, Seidel et al. 2015, Hess et al. 2018, Chianucci et al.  
90 2020, Owen et al. 2020, Saarinen et al. 2017, Georgi et al. 2021, Rais et al. 2021, Zhu et al. 2021).  
91 One of the challenging stem-related attributes to be measured from standing trees has been taper  
92 curve (i.e., diameters at various heights of a stem) and TLS data has been shown to overcome that

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93 challenge (Liang et al. 2014, Yrttimaa et al. 2019, 2020). Additionally, versatile crown attributes  
94 such as volume (Fernández-Sarrá et al. 2013), surface area (Metz et al. 2013), asymmetry (Seidel et  
95 al. 2011), and height of the maximum crown projection area (Seidel et al. 2011) have been  
96 generated. Binkley et al. (2013) and Forrester (2014) have stated that crown projection area and  
97 crown volume, which can be obtained with TLS data, can be used as proxies for leaf area and leaf  
98 biomass. Furthermore, crown surface area has been used as a proxy for the photosynthetically active  
99 surface of the tree (Seidel et al. 2019a). TLS has also been used for studying competition between  
100 species (Martin-Ducup et al. 2016, Barbeito et al. 2017, Juchheim et al. 2019, Pretzsch et al. 2019,  
101 Hildebrandt et al. 2021), the effects of management intensity on tree structure (Juchheim et al.  
102 2017, Georgi et al. 2018, Bogdanovich et al. 2021), as well as structural complexity of individual  
103 trees (Seidel 2018, Seidel et al. 2019b, Saarinen et al. 2021). Thus, TLS provides a vast range of  
104 opportunities for understanding tree growth.

105

106 Knowledge about the effects of silvicultural practices on crown attributes such as volume and  
107 length as well as crown diameter and its variation that affect the shape of a crown is still limited.  
108 Thus, the aim is to investigate how crown structure of individual Scots pine trees varies when  
109 growing in differing conditions due to the intensity and type of past thinning treatments. It is  
110 hypothesized that crown size decreases with increasing stem density (H1) and increases when  
111 suppressed and co-dominant trees were removed (H2). Related to the PMT, the objective is to  
112 understand the relationship between stem area at the height of the maximum crown diameter  
113 (SAHMC) and crown and stem dimensions as well as growth of the tree. This relates to the question  
114 of the usefulness of diameter at the crown base (dcb) as a proxy for growth potential as it is of  
115 renewed importance since new technology such as TLS can now estimate this parameter more  
116 easily.

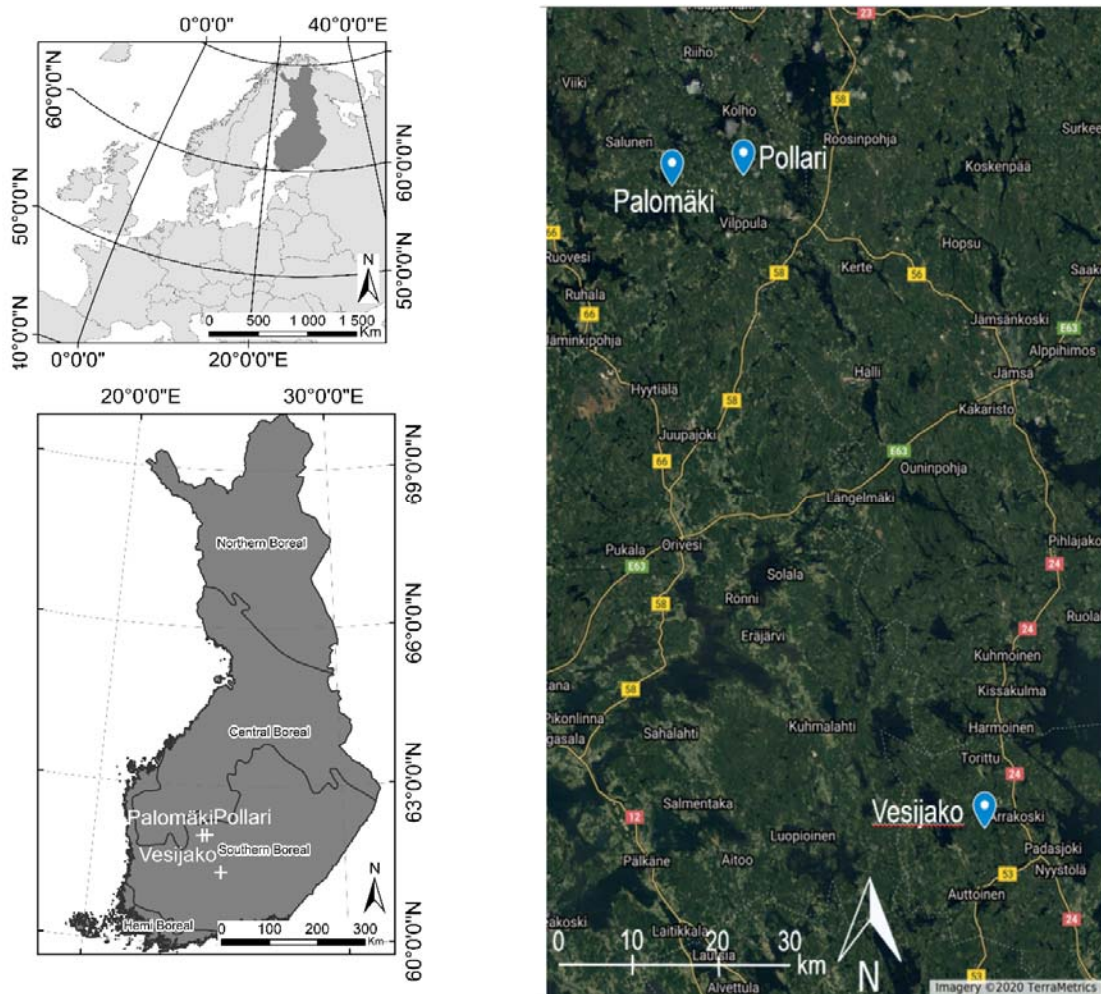
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117

## 118 **Materials**

119 The study area is located in southern boreal forest zone in Finland and consists of three study sites  
120 (Figure 1) with relatively flat terrain (elevation above sea level  $\sim 137 \text{ m} \pm 17 \text{ m}$ ) in mesic heath forest  
121 (i.e., *Myrtillus* forest site type according to Cajander (1909)) dominated by Scots pine.

122



123

124 Figure 1. Location of tree study sites (i.e. Palomäki, Pollari, and Vesijako) and vegetation zones in  
125 Finland (bottom left) and study sites on top of satellite imagery © 2020 TerraMetrics.

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126

127 The proportion of Norway spruce and deciduous trees (i.e., *Betula* sp and *Alnus* sp) from the total  
128 stem volume of all trees within the 27 sample plots was 3.06% and 0.03%, respectively. The study  
129 sites were established in 2005 and 2006 when nine rectangular sample plots (sized 1000-1200 m<sup>2</sup>)  
130 were placed on each study site. At the same time, first in situ measurements were carried out and  
131 the plots were also thinned according to the experimental study design that included two level of  
132 thinning intensity and three thinning types (Table 1). One plot at each study site was left as a  
133 control plot where no thinning has been carried out since the establishment of the sites. Thinning  
134 intensity was defined as the remaining basal area whereas thinning type determined which trees  
135 (based on a crown class) were removed. The remaining relative stand basal area after moderate  
136 thinning was ~68% of the stocking before thinning and intensive thinning reduced the stocking  
137 levels down to 34%. Suppressed and co-dominant trees were removed in thinning from below  
138 whereas dominant trees were mainly removed in thinning from above. Dominant trees were  
139 removed and small, suppressed trees were left to grow in systematic thinning from above without  
140 considering regular spatial distribution of the remaining trees, which was considered in thinnings  
141 from below and above. Additionally, unsound and damaged trees (e.g., crooked, forked) were  
142 removed in thinnings from below and above.

143

144 Table 1. Thinning treatments applied at the sample plots when the study sites were established.

Thinning treatment	Acronym	Explanation	Number of plots	Number of stems / ha
<b>Moderate thinning from below</b>	Moderate below	Moderate thinning refers to prevailing thinning guidelines applied in Finland (Rantala 2011)	3	716
<b>Moderate thinning from above</b>	Moderate above		4	913
<b>Moderate systematic thinning</b>	Moderate systematic		5	938



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<b>Intensive thinning from below</b>	Intensive below	Intensive thinning corresponds 50% lower remaining basal area (m <sup>2</sup> /ha) than in the plots with moderate thinning intensity	3	287
<b>Intensive thinning from above</b>	Intensive above		4	446
<b>Intensive systematic thinning</b>	Intensive systematic		5	466
<b>Control</b>	No treatment	No thinning treatment since the establishment	3	1245

145

146 Tree species, DBH from two perpendicular directions, crown layer, and health status were recorded  
 147 for each tree within a plot during all in situ measurements (i.e., at the establishment, 10 years after  
 148 the establishment, and between October 2018 and April 2019 for this study). Each sample plot also  
 149 includes ~22 sample trees from which also tree height, live crown base height, and height of the  
 150 lowest dead branch were measured. Plot-level attributes before and after thinning treatments (i.e. at  
 151 the establishment) as well as based on the in-situ measurements in 2018-2019 are presented in  
 152 Table 2, and the development of tree-level attributes for each thinning treatment can be found in  
 153 Table 3.

154

155 Table 2. Mean and standard deviation (with  $\pm$ ) of stand characteristics by treatments at the  
 156 establishment (2005-2006) and after the growth period (2018-2019). G = basal area, N = stem  
 157 number per hectare, V = volume, D<sub>w</sub> = mean diameter weighted by basal area, and H<sub>w</sub> = mean  
 158 height weighted by basal area.

	2005-2006						
	No treatment	Moderate below	Moderate above	Moderate systematic	Intensive below	Intensive above	Intensive systematic
<b>G (m<sup>2</sup>/ha)</b>	27.6±6.7	18.3±2.1	18.5±1.1	18.2±1.1	8.9±0.8	9.1±0.8	8.7±0.7
<b>N/ha</b>	1336±97	719±130	955±258	988±129	292±55	479±113	522±183
<b>V (m<sup>3</sup>/ha)</b>	224.0±92.8	148.8±30.2	144.0±15.3	141.3±23.6	72.9±12.4	69.1±11.3	67.3±14.7
<b>D<sub>w</sub> (cm)</b>	17.8±3.4	18.7±2.4	16.9±1.9	16.5±1.6	20.4±2.7	16.5±2.5	15.7±3.0
<b>H<sub>w</sub> (m)</b>	16.1±3.3	16.5±1.9	15.7±1.2	15.6±2.1	16.9±1.8	15.3±1.9	15.5±2.7
	2018-2019						
	No treatment	Moderate below	Moderate above	Moderate systematic	Intensive below	Intensive above	Intensive systematic
<b>G (m<sup>2</sup>/ha)</b>	37.1±4.6	28.4±2.5	28.3±28.3	27.6±1.8	15.9±0.7	16.1±1.2	15.9±1.6



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<b>N/ha</b>	1249±159	705±113	915±214	938±111	287±65	446±82	466±172
<b>V (m<sup>3</sup>/ha)</b>	380.3±93.9	291.8±44.7	282.3±6.1	267.9±16.1	160.8±9.1	150.5±12.6	150.4±9.9
<b>D<sub>w</sub> (cm)</b>	21.2±3.0	23.5±2.2	21.2±1.9	20.7±1.2	27.5±3.1	22.3±2.1	22.2±3.0
<b>H<sub>w</sub> (m)</b>	21.3±3.1	21.7±2.0	21.0±1.1	20.3±1.4	21.6±1.6	19.5±1.2	20.0±2.2

159

160 Table 3. Mean tree-level attributes with their standard deviation (with ±) for each treatment at the  
 161 year of the establishment (2005-2006) and after the growth period (2018-2019). DBH = diameter at  
 162 breast height.

	<b>2005-2006</b>						
	<b>No treatment</b>	<b>Moderate below</b>	<b>Moderate above</b>	<b>Moderate systematic</b>	<b>Intensive below</b>	<b>Intensive above</b>	<b>Intensive systematic</b>
<b>DBH (cm)</b>	15.4±4.6	17.6±3.3	15.3±3.3	14.8±3.5	19.3±3.4	15.1±3.1	14.8±4.1
<b>Height (m)</b>	14.7±2.6	15.9±1.9	15.3±1.2	14.6±1.9	16.5±1.8	14.8±1.8	14.7±2.6
<b>Volume (dm<sup>3</sup>)</b>	160.5±119.7	202.7±89.3	149.6±76.2	138.1±77.8	249.2±107.0	141.8±73.4	145.6±97.1
	<b>2018-2019</b>						
	<b>No treatment</b>	<b>Moderate below</b>	<b>Moderate above</b>	<b>Moderate systematic</b>	<b>Intensive below</b>	<b>Intensive above</b>	<b>Intensive systematic</b>
<b>DBH (cm)</b>	18.7±5.0	22.2±3.7	19.3±4.3	18.8±4.2	26.4±3.9	21.1±3.5	20.8±4.3
<b>Height (m)</b>	20.2±3.0	21.2±2.1	20.4±1.6	19.4±2.2	21.2±1.7	19.1±1.5	19.6±2.8
<b>Volume (dm<sup>3</sup>)</b>	299.4±190.8	408.3±106.3	306.4±145.6	282.5±137.2	563.8±202.5	335.2±125.4	347.0±173.3

163

164 TLS data acquisition was carried out with a Trimble TX5 3D phase-shift laser scanner (Trimble  
 165 Navigation Limited, USA) operating at a 1550 nm wavelength and measuring 976,000 points per  
 166 second. This resulted in a hemispherical (300° vertical x 360° horizontal) point cloud with a point  
 167 distance approximately 6.3 mm at 10-m distance. Eight scans were acquired from each sample plot  
 168 between September and October 2018. Two scans were placed on two sides of the plot center and

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169 six auxiliary scans were placed closer to the plot borders (see Figure 1 in Saarinen et al. 2020).  
170 Artificial targets (i.e., white spheres with a diameter of 198 mm) were placed around each sample  
171 plot to be used as reference objects for registering the eight scans into a single, aligned coordinate  
172 system with a FARO Scene software (version 2018). The registration resulted in a mean distance  
173 error of  $2.9 \pm 1.2$  mm, mean horizontal error was  $1.3 \pm 0.4$  mm, and mean vertical error  $2.3 \pm 1.2$   
174 mm. LAStools software (Isenburg 2019) was used to normalize the point heights to heights above  
175 ground by applying a point cloud normalization workflow presented by Ritter et al. (2017).

176

## 177 **Methods**

178 First, plot-level TLS point clouds were segmented to identify points from individual trees. Local  
179 maxima from canopy height models (CHMs) with a 20-cm resolution were identified using the  
180 Variable Window Filter approach (Popescu & Wynne 2004) and the Marker-Controlled Watershed  
181 Segmentation (Meyer & Beucher 1990) was applied to delineate crown segments. A point-in-  
182 polygon approach was applied for identifying all points belonging to each crown segment. To  
183 identify points that originated from stem and crown within each crown segment, a point cloud  
184 classification procedure by Yrttimaa et al (2020) was used. The classification of stem and non-stem  
185 points assumed that stem points have more planar, vertical, and cylindrical characteristics compared  
186 to non-stem points representing branches and foliage (Liang et al. 2012, Yrttimaa et al. 2020). The  
187 method by Yrttimaa et al. (2019, 2020) is an iterative procedure beginning from the base of a tree  
188 and proceeding towards treetop. More detailed description of the point cloud classification  
189 workflow can be found in Yrttimaa et al. (2019, 2020). The result of this step was 3D point clouds  
190 for each individual Scots pine tree ( $n = 2174$ ) within the 27 sample plots.

191

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192 We generated several attributes characterizing crown size and shape (Table 4). Points from TLS  
193 that were classified originating from branches and foliage (i.e., crown points) in the previous step  
194 were utilized. A 2D convex hull was fitted to envelope the crown points of each tree of which  
195 crown projection area was derived. Crown diameter, on the other hand, was defined as the distance  
196 between the two most outer points in xy-space of the 2D convex hull. To obtain crown volume and  
197 surface area, a 3D convex hull was fitted to the crown points. We also wanted to investigate crown  
198 shape and thus divided the crown points into height percentiles (i.e., slices) of 10% starting from the  
199 lowest points. Then, 2D convex hull was fitted for each slice and its area and diameter were  
200 similarly obtained to the maximum crown diameter. Furthermore, mean, standard deviation, and  
201 range (i.e., crown taper) of these slice diameters were saved.

202

203 Height of the maximum crown diameter (HMC) from TLS was used to define crown length (i.e.,  
204 live crown base height was deducted from tree height) and live-crown ratio (i.e., proportion of  
205 crown length from tree height). Finally, stem diameter at the HMC was obtained from the taper  
206 curve and stem area at the height of the maximum crown diameter (SAHMC) was calculated as  
207  $\pi/4*d^2$ .

208 Table 4. Crown attributes

ATTRIBUTE	DEFINITION/CALCULATION
Projection area	Area of the maximum crown diameter from 2D convex hull
Crown volume	Calculated using 3D convex hull
Surface area	Surface area of the 3D convex hull
Crown diameters	Crown points were divided in height percentiles (i.e., slices) of 10% starting from the lowest part and their diameter was calculated using 2D convex hull
Maximum crown diameter	Maximum diameter based on the 2D convex hull of the crown slices
Mean crown diameter	Mean diameter of the crown slices
Standard deviation of crown diameter	Standard deviation of the diameters of the crown slices
Height at the maximum crown diameter (HMC)	Defined from the crown slices
Crown length	Distance between the HMC and tree height
Crown tapering	Difference between maximum and minimum diameter of the crown slices
Live-crown ratio	Proportion of crown length from the tree height

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**Stem area at the height of the maximum crown diameter (SAHMC)**

Stem diameter at the HMC was obtained from the taper curve and basal area was then calculated as  $\pi/4*d^2$

209

210 Stem attributes included DBH, stem volume, height-DBH ratio (i.e., height/DBH), and cumulative  
211 volume. Tree height was obtained using the height of the highest TLS point of each tree (i.e.,  
212 normalized above ground) whereas DBH was defined from taper curve obtained with a combination  
213 of circle fitting to original stem points and fitting a cubic spline (see Yrttimaa et al. 2019, Saarinen  
214 et al. 2020). Stem volume, on the other hand, was defined by considering the stem as a sequence 10  
215 cm vertical cylinders and summing up the volumes of the cylinders using the estimated taper curve.  
216 Finally, cumulative stem volume was calculated as the height at which 50% of stem volume was  
217 accumulated.

218

219 As TLS data were only available for one time point, insitu measurements were utilized for obtaining  
220 growth information of individual Scots pine trees. Growth of DBH, tree height, stem volume, and  
221 change in height/DBH were calculated using in-situ measurements conducted in 2005-2006 (i.e., at  
222 the time of establishment of the study sites) and 2018-2019 (i.e., the latest in-situ measurements) for  
223 all live Scots pine trees that were identified from the sample plots during the latest field  
224 measurements.

225

226 *Effects of thinning on stem area at the height of the maximum crown diameter*

227 Due to the data structure (i.e., several sample plots in each study site), a nested two-level linear  
228 mixed-effects model (Equation 1) was fitted using Restricted Maximum Likelihood included in  
229 package nlme (Pinheiro et al. 2020) of the R-software to assess the effects of thinning treatment on  
230 SAHMC.

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$$y_{ij} = \beta_1 \text{Moderate below}_i + \beta_2 \text{Moderate above}_i + \beta_3 \text{Moderate systematic}_i + \beta_4 \text{Intensive below}_i + \beta_5 \text{Intensive above}_i + \beta_6 \text{Intensive systematic}_i + \beta_7 \text{No treatment}_i + a_j + c_{ij} + \epsilon_{ij}, \quad (1)$$

233

234 where  $y_{ij}$  is SAHMC,  $\beta_1, \dots, \beta_7$  are fixed parameters,  $i, i = 1, \dots, M$ , refers to study site,  $j, j = 1, \dots,$   
235  $n_i$ , to a plot,  $a_j$  and  $c_{ij}$  are normally distributed random effects for sample plot  $j$  and for sample plot  
236  $j$  within study site  $i$ , respectively, with mean zero and unknown, unrestricted variance-covariance  
237 matrix, and  $\epsilon_{ij}$  is a residual error with a mean zero and unknown variance. The random effects are  
238 independent across study sites and sample plots as well as residual errors are independent across  
239 trees. The effects of a study site and a sample plot within the study sites SAHMC were assessed  
240 through their variances.

241

242 *Relationship between basal area at the height of the maximum crown diameter and crown, stem,*  
243 *and growth attributes*

244 Correlations between dependent and independent variables was investigated using Spearman rho  
245 rank-based correlation coefficient. Furthermore, the significance level of the correlation was  
246 investigated. The nested-two-level linear mixed-effect model in Equation 1 was utilized in  
247 investigating the possible relationship between SAHMC and different crown, stem, and growth  
248 attributes. Each crown (Table 2), stem (i.e., DBH, stem volume, height/DBH), and growth ( $\Delta$ DBH,  
249  $\Delta$ tree height,  $\Delta$ stem volume,  $\Delta$ height/DBH) attribute was independently added to the Equation 1 as  
250 a predictor variable.

251

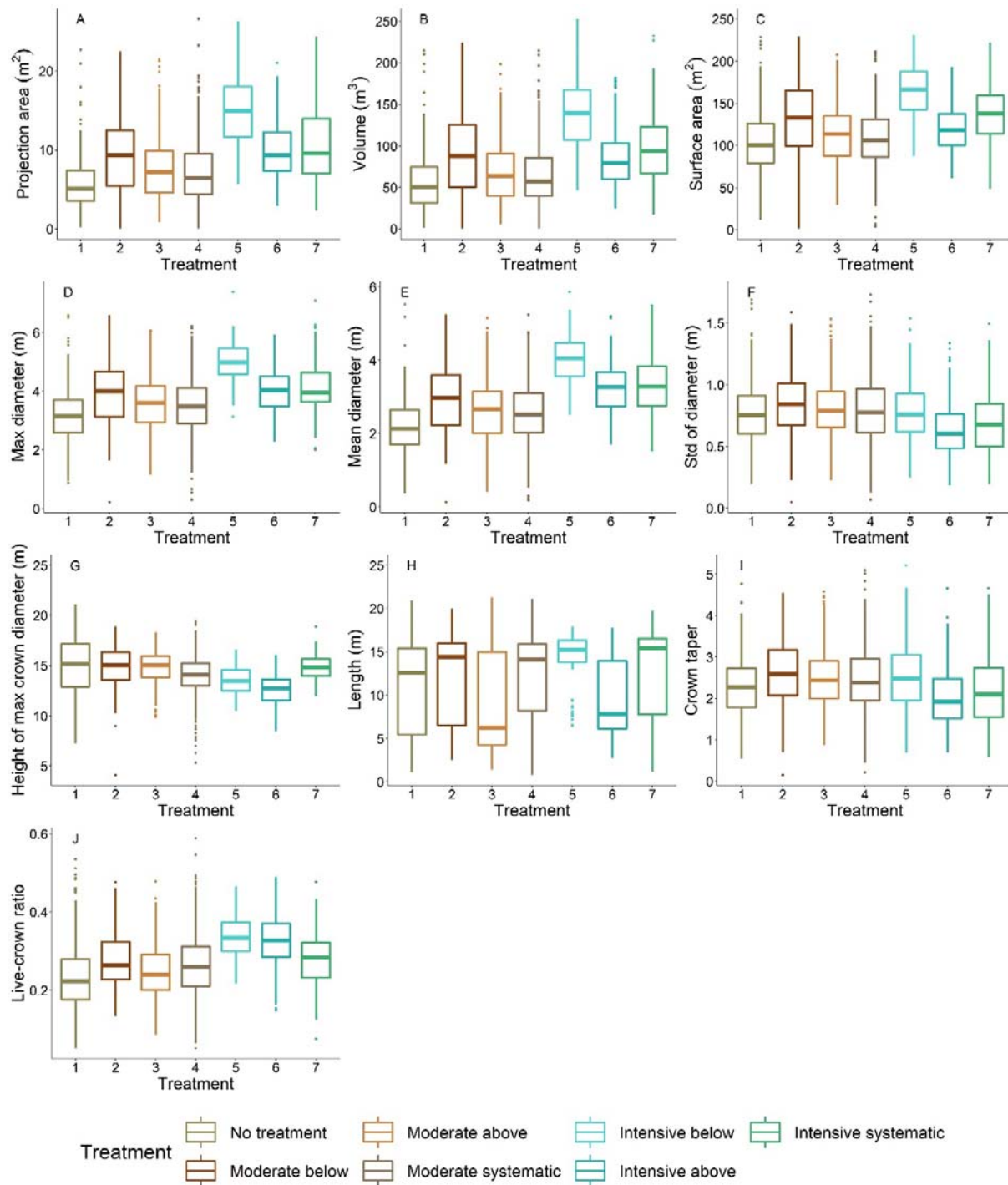
## 252 **Results**

253 *The effects of stem density on crown architecture*

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254 Difference in stem density/ha varied from 430 to 470 between moderate and intensive thinning and  
255 from 310 to 960 stem/ha between no treatment and thinned (i.e. all other) plots. When thinning  
256 intensity increased (i.e. stem density/ha decreased) from moderate to intensive thinning from below,  
257 crown volume, projection area, and maximum and mean diameter increased (Figure 2) statistically  
258 significantly ( $p < 0.05$ ). Similarly, live-crown ratio as well as crown diameter at the bottom of a  
259 crown (i.e. 10-30 percentiles) (Figure 3) statistically significantly ( $p < 0.05$ ) increased when thinning  
260 intensity increased, but this was true for all thinning types. However, there was no statistically  
261 significant ( $p > 0.05$ ) difference in crown attributes between moderate thinnings and no treatment.  
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263

264 Figure 2. Variation of crown attributes between thinning treatments. 1 = No treatment (i.e., control), 2 =  
 265 Moderate thinning from below, 3 = Moderate thinning from above, 4 = Moderate systematic thinning from  
 266 above, 5 = Intensive thinning from below, 6 = Intensive thinning from above, and 7 = Intensive systematic  
 267 thinning from above.

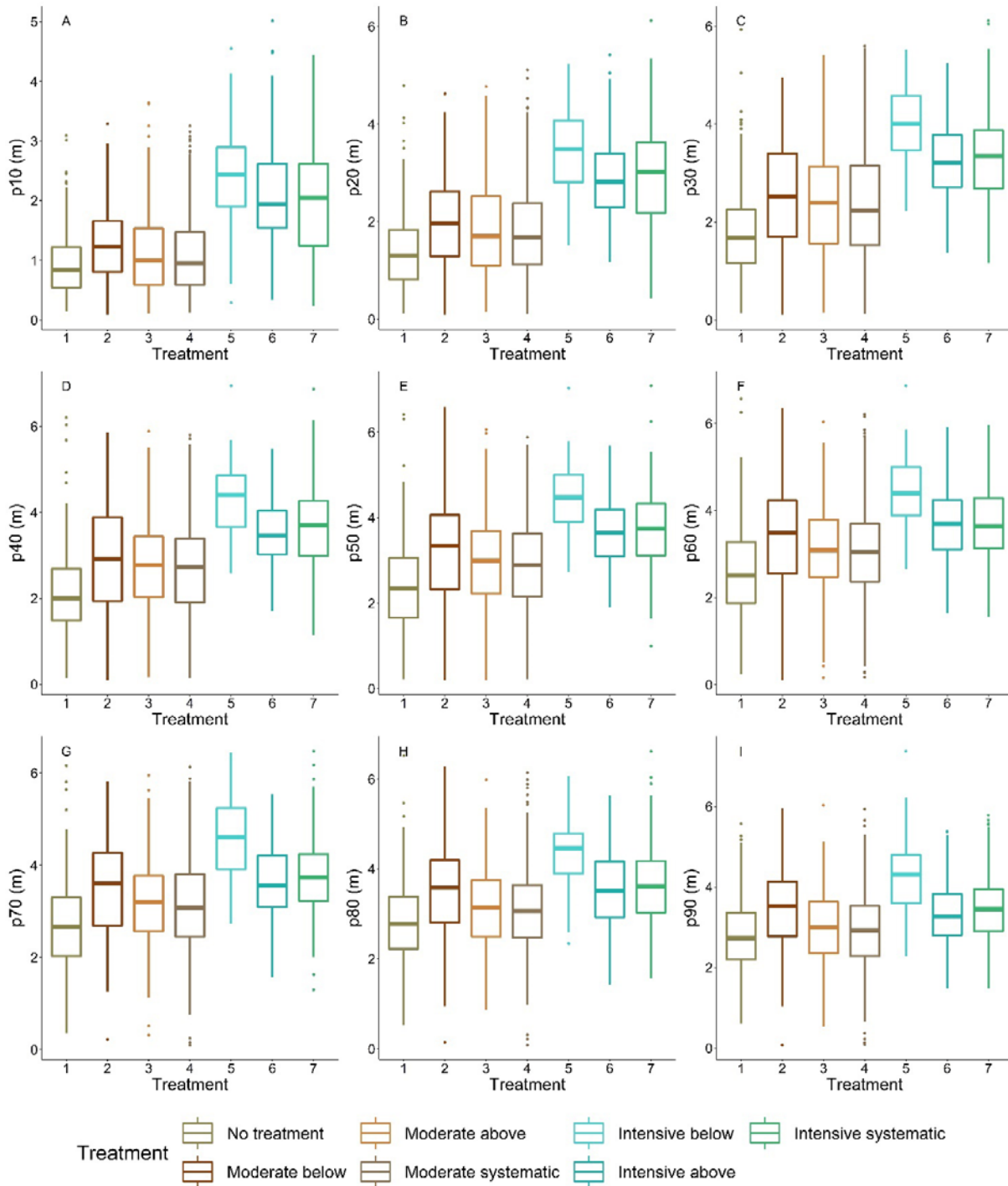


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268

269 Thinning type (i.e., removal of suppressed and co-dominant or dominant trees) had a less clear  
270 effect on crown size and shape. Statistically significant ( $p < 0.05$ ) differences were only present in  
271 crown volume, surface and projection area, maximum and mean diameter, as well as diameters at  
272 the top part of a crown when intensive thinning from below was compared with other intensive  
273 thinnings (difference in stem density/ha between 20 and 180). In other words, in intensive thinnings  
274 crown attributes were larger when suppressed and co-dominant trees had been removed (i.e.  
275 thinning from below) compared to when dominant trees were removed (i.e. thinning from above  
276 and systematic thinning). This is also visible for example trees from different thinning treatments  
277 (Figure 4).

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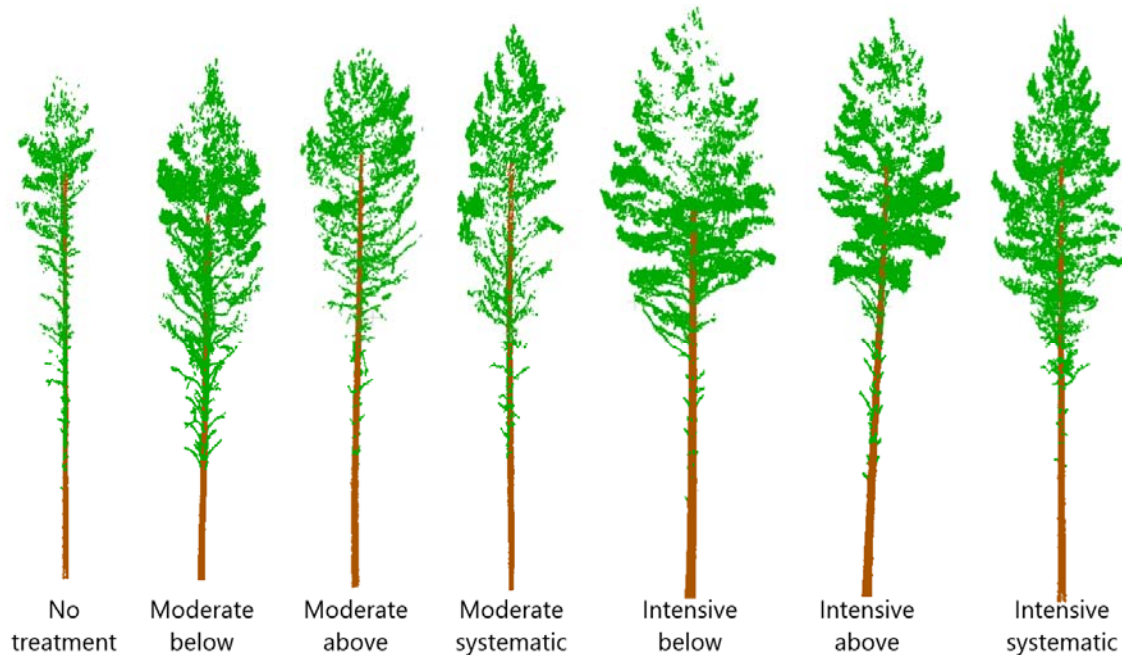
278

279 Figure 3. Variation of crown diameter at height percentiles between thinning treatments. P10  
280 indicates the lowest height percentile (i.e. the most bottom part of a crown), whereas p100 is the  
281 highest height percentile (i.e. the highest part of a crown). 1 = No treatment (i.e., control), 2 =  
282 Moderate thinning from below, 3 = Moderate thinning from above, 4 = Moderate systematic

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283 thinning from above, 5 = Intensive thinning from below, 6 = Intensive thinning from above, and 7 =  
284 Intensive systematic thinning from above.

285



286

287 Figure 4. Point clouds from example trees from different thinning treatments. Stem densities of the  
288 treatments were on average ~1250, 720, 910, 940, 290, 450, and 470 stems/ha for no treatment,  
289 moderate below, moderate above, moderate systematic, intensive below, intensive above, and  
290 intensive systematic, respectively.

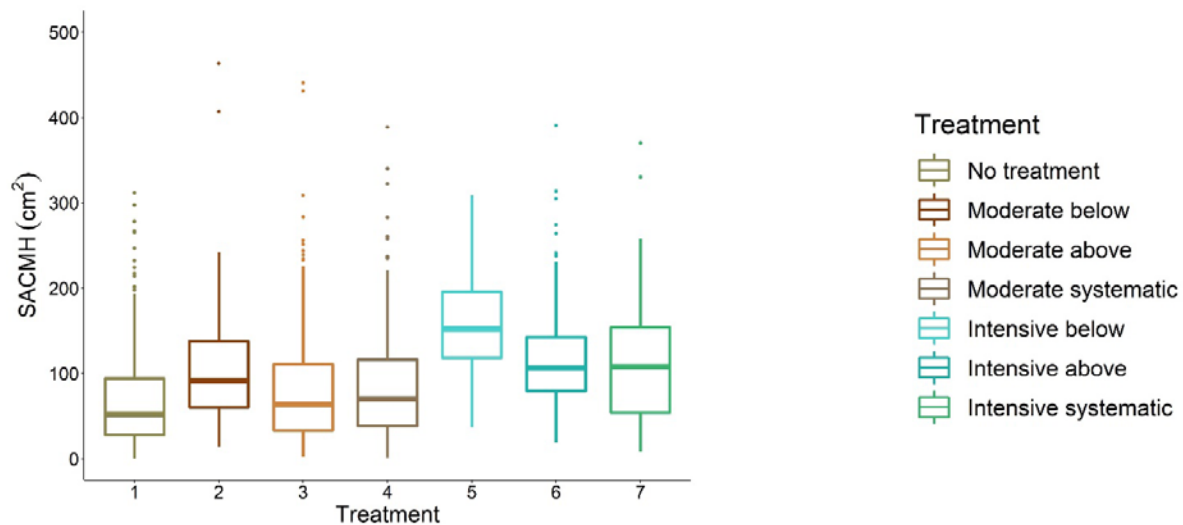
291

292 *The effects of stem density on stem area at the height of maximum crown diameter*

293 SAHMC ranged from 67.4 cm<sup>2</sup> to 170.2 cm<sup>2</sup> being the smallest with no treatment and the largest  
294 with intensive thinning from below (Figure 5). For moderate thinnings, SAHMC was 90.6 cm<sup>2</sup>, on  
295 average, whereas with intensive thinnings it was 132.2 cm<sup>2</sup>. Lower stem densities increased  
296 SAHMC, and SAHMC was statistically significantly ( $p < 0.05$ ) greater when stem density increased  
297 from ~290 stems/ha (i.e. intensive below) to at least ~720 stems/ha (i.e. moderate below). In other

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298 words, SAHMC was statistically significantly different between intensive thinning from below and  
299 all other thinning treatments, including no treatment, except between intensive thinning from above.



300

301 Figure 5. Stem area at the height of the maximum crown diameter (SAHMC) between thinning  
302 treatments. 1 = No treatment (i.e., control), 2 = Moderate thinning from below, 3 = Moderate  
303 thinning from above, 4 = Moderate systematic thinning from above, 5 = Intensive thinning from  
304 below, 6 = Intensive thinning from above, and 7 = Intensive systematic thinning from above.

305

306 *Relationship between stem area at the height of maximum crown diameter and crown and stem*  
307 *attributes as well as tree growth*

308 There was high correlation ( $\geq|0.5|$ ) between SAHMC and most of the crown, stem, and growth  
309 attributes (Table 5). Especially, attributes characterizing crown size (i.e., projection area, volume,  
310 surface area, maximum and mean crown diameter, and live-crown ratio) and stem size (i.e. DBH,  
311 stem volume, and height at which 50% of stem volume accumulated), and size growth (i.e. DBH  
312 growth and stem volume growth) showed high positive correlation. Height/DBH ratio, on the other  
313 hand, showed negative correlation with SAHMC. Correlations between SAHMC and all crown,  
314 stem, and growth attributes were statistically significant.

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316 Crown diameters at different heights also showed positive correlation ( $\geq 0.5$ ) with SAHMC.  
 317 Furthermore, the results from the nested-two-level linear mixed-effect model showed that increment  
 318 in most of the crown, stem, and growth attribute, when independently included as a predictor  
 319 variable, increased SAHMC. HMC and height/DBH were exceptions as their increment decreased  
 320 SAHMC. Increasing live-crown ratio, relative stem volume, and change in height/DBH increased  
 321 SAHMC ten times more than other crown, stem, and growth attributes, whereas the effect of  
 322 increasing height/DBH was of similar magnitude but to different direction, in other words it  
 323 decreased SAHMC. When each of the crown, stem, and growth attribute was separately added as a  
 324 predictor variable to estimate SAHMC all of them were statistically significant ( $p < 0.001$ ) for the  
 325 model (Table 5).

326

327 Table 5. Spearman correlations between stem area at the height of the maximum crown diameter  
 328 and crown, stem, and growth attributes as well as coefficient value from the nested-two-level linear  
 329 mixed-effect models when each attribute was independently included as a predictor variable against  
 330 stem area at the height of the maximum crown diameter. DBH = diameter at breast height. \*  
 331 denotes statistically significant correlation or importance in the model.

	Attribute	Spearman correlation	Coefficient value
<b>Crown attributes</b>	Projection area	0.56*	6.32*
	Crown volume	0.58*	0.72*
	Surface area	0.56*	0.78*
	Maximum crown diameter	0.54*	24.61*
	Mean crown diameter	0.56*	28.68*
	Standard deviation of crown diameter	0.11*	29.89*
	Height at the maximum crown diameter	-0.35*	-14.34*
	Crown length	0.26*	13.52*
	Crown tapering	0.16*	12.46*
	Live-crown ratio	0.73*	521.22*
<b>Stem attributes</b>	DBH	0.71*	10.40*
	Stem volume	0.74*	0.32*
	Height/DBH	-0.73*	-167.17*
	Relative stem volume	0.37*	310.10*

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	Height at which 50% of stem volume accumulated	<b>0.74*</b>	12.71*
<b>Growth attributes</b>	DBH growth	<b>0.67*</b>	21.85*
	Height growth	0.30*	21.24*
	Stem volume growth	<b>0.72*</b>	0.52*
	Change in height/DBH	0.40*	215.64*

332

333

## 334 **Discussion**

335 The results showed how thinning treatments carried out >10 years ago affected crown shape and  
336 size of Scots pine trees. As stem density decreased, crown volume, surface area, and maximum  
337 diameter increased. Also, diameter of the lower part of a crown (<80<sup>th</sup> height percentile) increased  
338 with decreasing stem density. These results suggest that stem density affects crown shape and size  
339 of Scots pine trees in boreal forests. Lower stem densities (i.e.  $\leq 700$  stems/ha) also increased  
340 SAHMC. Furthermore, when crown and stem size as well as stem growth increased, also SAHMC  
341 grew.

342

343 One of the traditional parameters used for characterizing crown architecture is live-crown ratio and  
344 the results here showed that it differed between stem densities, similarly to the findings by  
345 Kellomäki & Tuimala (1981). Additionally, there were significant differences between more  
346 advanced parameters (namely crown surface area and volume) at least amongst the sparsest stem  
347 densities (i.e., intensive thinning). Finally, the study confirmed the results presented by Oker-Blom  
348 & Kellomäki (1982) as the lowest part of a Scots pine tree crown was larger in low stem densities.  
349 Thus, the use of TLS for obtaining enhanced information on canopy structure and architecture can  
350 be justified.

351

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352 There is uncertainty in the SAHMC as the HMC may not represent the height of crown base height,  
353 which is traditionally used for crown length and live-crown ratio. Thus, also SAHMC may not  
354 represent the true dcb. However, it has not been traditionally feasible to measure dcb from standing  
355 trees, whereas measurements on stem diameters from TLS data offer this. Thus, our results show a  
356 way towards assessing the usefulness of dcb as a proxy for growth potential of individual trees.  
357 There was strong correlation ( $\geq 0.5$ ) between SAHMC and most of the crown attributes (e.g. crown  
358 volume, surface area, diameter, and live-crown ratio) but also with DBH and stem volume, and their  
359 growth. This indicates, that dcb or SAHMC could also be used when assessing growth potential,  
360 and TLS offers a means for obtaining this information.

361

362 Studies utilizing TLS in assessing tree development include European beech (*Fagus sylvatica* [L.])  
363 (Juchheim et al. 2017, Georgi et al. 2018) and holm oak (*Quercus ilex* L.) (Bogdanovich et al.  
364 2021). Juchheim et al. (2017) found that increasing thinning intensity increased crown surface area  
365 of European beech, which is in line with our results for Scots pine. Georgi et al. (2018) reported that  
366 crown size (i.e. crown volume, projection area, surface area, length, and live-crown ratio) of  
367 European beech trees growing in stands without forest management in  $\geq 50$  years was statistically  
368 significantly lower compared to European beech trees growing in managed stands or stands with  
369  $\leq 20$  years without forest management. Our results showed that only intensive thinning resulted in  
370 statistically significant difference in crown attributes (e.g. crown volume, projection area, and  
371 maximum and mean diameter) when compared with moderate thinning and no treatment. In other  
372 words, moderate thinning had no effect on crown size when compared with no treatment.

373



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374 As height/DBH and absolute height of the crown base have been identified as indicators for tree  
375 vitality (Longuetaud et al. 2006), this study presented a means for obtaining those attributes.  
376 Height/DBH has been shown to increase as forest management intensity increased (Saarinen et al.  
377 2020), whereas HMC did not differ significantly between tree densities in this study. However, this  
378 study provided dcb and stem cross-sectional area at the HMC which enables studies on their  
379 suitability as proxies for growth potential.

380

381 This study concentrated on investigating crown structure of individual Scots pine trees in different  
382 stem densities. Increasing stem density decreased crown size, confirming our hypothesis (H1). With  
383 low stem densities (i.e., intensive thinning), crown size also increased when suppressed and co-  
384 dominant trees were removed (i.e., thinning from below) partly confirming the H2 (i.e., no  
385 difference in moderate thinnings). Furthermore, a relationship between SAHMC and crown and  
386 stem attributes was found. Thus, this study showed how tree density affects crown shape and size of  
387 Scots pine trees and how they are adapted to the growing conditions of the trees. As stem density  
388 can be regulated through forest operations such as thinning, the results of this study can be utilized  
389 when planning management actions.

390

## 391 **Conclusions**

392 Stem densities affected crown size and shape of Scots pine trees growing in boreal forests. When  
393 growing in a denser forest, the crown size of Scots pine tree decreased, indicating more competition  
394 on light between adjacent tree crowns. Although this has been known for decades as growth and  
395 yield studies have a long history, this study provided quantitative attributes assessing crown size  
396 (e.g. crown volume, projection area, surface area, diameter) and shape (i.e. diameters at different

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397 heights of a crown, their mean and standard deviation) of Scots pine trees. Additionally, the study  
398 provided stem diameter and cross-sectional area at the height of maximum crown diameter (i.e.  
399 SAHMC) that can be assumed to present crown base height. Increasing forest management intensity  
400 increased the SAHMC and there was strong relationship between it and crown, stem, and growth  
401 attributes. Thus, it can be concluded that this study expanded our knowledge on the crown  
402 architecture of Scots pine trees of different size growing in different conditions (i.e., different stem  
403 densities) that were a result of past forest management activities. This was enabled with detailed 3D  
404 TLS data that offered quantitative and more comprehensive characterization of Scots pine crowns  
405 and growth potential.

406

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411

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