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5 Forest carbon storage in the northeastern United States: effects of
6 harvesting frequency and intensity including wood products

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ABSTRACT

23
24 Temperate forests are an important carbon sink, yet there is debate regarding the net effect of
25 forest management practices on carbon storage. Few studies have investigated the effects of
26 different silvicultural systems, and the relative strength of in-situ forest carbon versus wood
27 products pools remains in question. Our research (1) describes the impact of harvesting
28 frequency and degree of post-harvest structural retention on carbon storage in northern
29 hardwood-conifer forests, and (2) tests the significance of including harvested wood products in
30 carbon accounting at the stand scale. We stratified Forest Inventory and Analysis (FIA) plots to
31 control for environmental, forest structural, and compositional variables, resulting in 32 FIA
32 plots distributed throughout the northeastern US. We used the USDA Forest Vegetation
33 Simulator to project stand development over a 160 year period under nine different forest
34 management scenarios. Simulated treatments represented a gradient of increasing structural
35 retention and decreasing harvesting frequencies and included a “no harvest” scenario. The
36 simulations incorporated carbon flux between aboveground forest biomass (dead and live pools)
37 and harvested wood products (including carbon storage in landfills). Mean carbon storage over
38 the simulation period, including carbon stored in harvested wood products, was calculated for
39 each silvicultural scenario. We investigated tradeoffs among scenarios using a factorial
40 treatment design and two-way ANOVA. The predictive strength of management scenarios
41 relative to site-specific variables was evaluated using Classification and Regression Trees. Mean
42 carbon sequestration was significantly ($\alpha = 0.05$) greater for “no management” compared to any
43 of the active management scenarios. Of the harvest treatments, those favoring high levels of
44 structural retention and decreased harvesting frequency stored the greatest amounts of carbon. In
45 order to isolate the effect of in-situ forest carbon storage and harvested wood products, we did

46 not include the emissions benefits associated with substituting wood fiber for other construction
47 materials or energy sources. Our results show that harvesting frequency and structural retention
48 significantly affect mean carbon storage. Results from this study illustrate the importance of
49 both post-harvest forest structure and harvesting frequency in carbon storage, and are valuable to
50 land owners interested in managing forests for carbon sequestration.

51

52 **Key Words:** Carbon, sequestration, uptake rates, wood products, structural retention, harvesting
53 frequency

54

55 **INTRODUCTION**

56 While deforestation accounts for 20 to 30% of total global CO₂ emissions, due primarily
57 to tropical deforestation (IPCC 2007), forests in United States forests are currently a carbon (C)
58 sink (Goodale et al. 2002), sequestering approximately 10% of US annual CO₂ emissions
59 (Birdsey et al. 2006). Recognizing the important role forests play in the terrestrial C cycle and
60 climate change mitigation efforts, developing cap and trade C markets are considering inclusion
61 of sustainable forest management as an option for slowing rates of atmospheric CO₂
62 accumulation (Alig and Bair 2006, Canadell and Raupach 2008, Ray et al. 2009). The working
63 hypothesis is that “improved forest management” could achieve higher levels of C storage
64 compared to “business as usual” or a baseline condition (Ruddell et al. 2007). While forest
65 management clearly impacts terrestrial C storage (Birdsey et al. 2007), little information is
66 available describing how specific forest management alternatives might affect C storage and
67 sequestration. Yet this understanding is vital, because the dynamics of storage and fluxes among
68 the different sinks impacted by management (e.g. forest C versus wood products) are complex,

69 rendering accounting of net effects on C storage very challenging (Birdsey et al. 2006, Ray et al.
70 2009). The purpose of this study is to inform forest C management using empirical data coupled
71 with forest stand development modeling. In particular, we investigate the impact of harvested
72 wood products in the accounting of net C sequestration in managed forests in the northeastern
73 US.

74 Some researchers have suggested that sustainably managed forests sequester more C than
75 unmanaged forests, stressing the high tree growth rates achieved in harvested stands (Ruddell et
76 al. 2007), and C stored in wood products (Malmshemer et al. 2008b). However, other studies
77 have demonstrated that unmanaged forests, such as old-growth forests in the US Pacific
78 Northwest, sequester greater amounts of C than managed forests (Krankina and Harmon 1994,
79 Harmon and Marks 2002). These authors have argued that intensified forest management
80 actually leads to a net flux of C to the atmosphere due to lower biomass in harvested stands and
81 the often short lifespan of wood products. However, these conclusions are based primarily on
82 studies involving conversion of old-growth forest to young plantations (Harmon et al. 1990) and
83 the effects of intensive harvesting practices, such as clearcutting (Krankina and Harmon 1994).
84 Net effects on C dynamics across a range of silvicultural systems, including modified even-aged
85 and less intensive uneven-aged practices, remain poorly explored and thus are a focus of this
86 paper. In addition, we believe this is the first such study pertaining to northern hardwood-conifer
87 ecosystems in particular.

88 Recently interest has developed in the use of “extended rotations” (Curtis 1997) and post-
89 harvest structural retention (Franklin et al. 1997, Keeton 2006) as approaches favoring
90 maintenance and development of high levels of in-situ forest C storage. However, efforts to
91 analyze the effects of extended rotation were restricted to even-age forest management (Liski et

92 al. 2001, Harmon and Marks 2002, Balboa-Murias et al. 2006). Each of these studies did not
93 address the coupled effects of variations in harvesting frequency and post-harvest structural
94 retention in uneven-age and even-age forests. Decreased harvesting frequency is correlated with
95 increased C sequestration (Liski et al. 2001, Balboa-Murias et al. 2006); however, the increased
96 total C storage as a result of decreased harvesting frequency is less than C storage in unmanaged
97 forests, even when natural disturbance is accounted for (Krankina and Harmon 1994).
98 Conversely, the inclusion of C stored in durable, long-lived wood products in C accounting
99 increases net C storage in intensively managed forests where more biomass is being allocated to
100 post-harvest wood products rather than being stored in the forest (Perez-Garcia et al. 2005b). In
101 this study we explore C sequestration tradeoffs among harvesting frequency and structural
102 retention in both even and uneven-age forests, while also incorporating fluxes to wood products.

103 We address a fundamental research question facing forest managers, namely: what is the
104 most effective way to store C through forest management? Is effectiveness greater in more
105 intensive approaches favoring high rates of update and C transfer to wood products? Or are less
106 intensive approaches, favoring in-situ forest C storage, more effective at maximizing C storage?
107 We test two key variables with the potential to effect forest C sequestration: 1) harvesting
108 frequency (rotation length in even-aged silviculture and entry cycle in uneven-aged silviculture),
109 and 2) post-harvest structural retention.

110 In order to isolate the effect of in-situ forest C storage and harvested wood products, we
111 did not include the emissions benefits associated with substituting wood fiber for other
112 construction materials (Perez-Garcia et al. 2005a, Perez-Garcia et al. 2005b, Szabó et al. 2006)
113 or energy sources (Malmsheimer et al. 2008a). Accounting for these emissions offsets can
114 significantly change the net C effect of forest management (Hennigar et al. 2008), especially

115 considering the potential for reduced availability of wood products associated with decreased
116 harvesting (Ray et al. 2009). Comprehensive life-cycle analyses show that the substitution of
117 steel and concrete with wood products decreases emissions of CO₂ to the atmosphere, due to the
118 energy intensive manufacturing processes of concrete and steel (Lippke et al. 2004). However,
119 uncertainties in transportation related emissions and methane emissions attributable to
120 decomposition of forest products in landfills, make the incorporation of substitutive effects
121 associated with life-cycle analyses unreliable and difficult (Miner and Perez-Garcia 2007).
122 Studies focusing on the substitutive benefits associated with wood products suggest that if the
123 sole goal of forest management is to sequester C (and not to restrict C storage to forest C pools),
124 both short-rotation intensive management and long-rotation less intensive management can be
125 equivalent under certain conditions (Malmshemer et al. 2008b). However, these conclusions are
126 not based on analysis across a spectrum (encompassing both uneven-aged and even-aged
127 silviculture) of forest management scenarios, but rather rely heavily on a synthesis of studies
128 focused on uncertain wood product life-cycle assessments. Moreover, C markets currently
129 award credits only for C stored in the forest and in wood products due to the complexities
130 involved with broader energy accounting (Ruddell et al. 2007). Consequently for the purpose of
131 this study, we define C sequestration as the total C stored in both aboveground forest biomass
132 (live and dead) and the entire life-cycle of harvested wood products; sequestration thus relates
133 not just to uptake rates but also storage.

134 Quantifying C storage necessitates a temporal scale of a minimum of one complete
135 harvesting cycle, in order to obtain accurate and realistic results. For this reason, simulation
136 modeling is often used as a means for quantifying C sequestration in forested ecosystems.
137 Numerous process-based, empirical, and hybrid (combination of process-based and empirical)

138 models have been developed to project forest C dynamics at a variety of scales. Examples
139 include the European CO₂Fix model (Masera et al. 2003), the Pacific Northwest US models
140 STANDCARB (Harmon and Marks 2002) and HARVEST (Harmon et al. 1996), the process-
141 based FOREST-BGC (Running 1994), the northeast process-based model PnET (Aber and
142 Federer 1992), and empirically based NE-TWIGS (Hilt and Teck 1989). While absolute
143 predictions generated by empirical and hybrid models can be subject to a high degree of
144 uncertainty, they are useful for comparing relative differences among alternate management and
145 forest development scenarios (Zenner 2000, Eriksson et al. 2007, Seidl et al. 2007). These
146 models represent a variety of empirical and mechanistic approaches; however in this study we
147 employ another model in order to address all of our research questions with the use of one
148 model. In this study, we used the USDA Forest Service's Forest Vegetation Simulator (FVS,
149 Dixon 2002), a model derived from the Prognosis Model for Stand Development (Stage 1973).
150 FVS has the ability to simultaneously simulate stand development in multiple biomes, model at
151 multiple scales, model silvicultural treatments in uneven-aged mixed species composition
152 forests, and incorporate C stored in wood products from timber harvests. In addition FVS is one
153 of several simulation models identified by North American voluntary C markets for estimating C
154 sequestration in managed forests as a part of climate change mitigation projects.

155 Our primary research objective was to inform forest C management by testing two
156 hypotheses. The first hypothesis was that even with the inclusion of C storage in durable wood
157 products in C accounting, unmanaged (passive) forests would sequester greater amounts of C
158 than actively managed forests. Our second hypothesis focused on the effects of management
159 intensity on C sequestration. We hypothesized that silvicultural prescriptions with increased
160 structural retention coupled with decreased harvesting frequency would sequester the greatest

161 amount of C. In order to test these hypotheses, we evaluated a wide spectrum of silvicultural
162 prescriptions (Table 1), spanning nine different even-age and uneven-age forest management
163 scenarios.

164

165 **METHODS**

166 **Study area and selection of study sites**

167 Our study area spanned the northern hardwood region of the northeastern US,
168 encompassing portions of upstate New York, Vermont, New Hampshire, and Maine. The study
169 area is dominated by northern hardwood-conifer forests, in which *Acer saccharum* (sugar
170 maple), *Fagus grandifolia* (American beech), *Tsuga canadensis* (eastern hemlock), and *Betula*
171 *alleghaniensis* (yellow birch) form the major late-successional species. We used Mapmaker 2.1
172 (CITATION) to stratify the study area by eco-subregions following (Cleland et al. 1997), and
173 then selected Forest Inventory and Analysis (FIA) plots (or sites) from within these to ensure that
174 our sample was representative and well-distributed (Figure 1.). We used the most recent FIA
175 inventory data available at the time of this study for each state to avoid potential discrepancies
176 among different FIA survey periods (Maine: 2003, New Hampshire: 2005, New York: 2004,
177 Vermont: 2005). We controlled for other sources of variability by further stratifying plots based
178 on several site-specific variables as defined in the FIA database. These included stand age (80-
179 100 years old), slope (0 to 50%), forest type (maple-beech-birch), stand origin (“natural”), site
180 productivity (site class 1-5 out of 7), physiographic class (mesic classes 21-25) basal area (BA >
181 23 m²/ha), and total merchantable cubic volume (> 57 m³). The stratification process resulted in
182 a total of 32 FIA plots meeting these criteria (14 plots in the White Mountain Region and
183 western Maine, 3 plots in the Green Mountain Region, and 15 plots in the Adirondack Mountain

184 Region); these were selected for further analysis and are hereafter referred to as our “study sites”
185 (Table 2).

186

187 **Model description**

188 Site specific stand structure and composition data were input into FVS to project stand
189 development under alternate management scenarios. The FVS model has been used by North
190 American forest managers for over 30 years in a variety of applications (Teck et al. 1996,
191 Crookston and Dixon 2005). FVS is effective at simulating forest growth under alternative
192 management scenarios (Crookston and Dixon 2005). FVS is a distant-independent, individual-
193 tree based forest growth model, specifically designed for and applicable to even and uneven-aged
194 stands with simple to mixed species composition (Crookston and Dixon 2005). Aboveground
195 biomass estimates are based on species group-specific allometric equations developed by Jenkins
196 et al. (2003). The temporal scope of model projections ranges from five to several hundred
197 years, with five to ten year resolution. Projections begin with a summary of current stand
198 conditions based on original forest inventory data and then follow a sequential command order
199 (Dixon 2002). Multiple validation studies of various aspects of FVS have proven the model’s
200 accuracy in simulating forest growth in North America at decadal time steps (Robinson and
201 Froese 2004, Froese and Robinson 2007) and in numerous species (Froese and Robinson 2007).
202 Component models (variants) are used to adjust models to reflect specific regional climatic
203 conditions and growth rates. In this study we used Northeast Variant (NE-FVS) for all
204 simulations. NE-FVS uses growth and yield equations from NE-TWIGS (Hilt and Teck 1989),
205 with embedded height equation and bark ratios specific to northeastern species. Regional
206 validation studies of NE-FVS have shown reasonable predictions of forest growth in a variety of

207 species within the region (Bankowski et al. 1996, Yaussy 2000). FVS also has the ability to
208 track C flux in wood products between pools throughout the product life history from production
209 to landfill following methodologies developed by the USDA Forest Service (Smith et al. 2006).
210 To simulate C flux in wood product pools, FVS identifies pulp and sawlogs (Dixon 2002), and
211 applies product-specific life span curves based on recent data specific to North American forest
212 types (Smith et al. 2006).

213

214 **Silvicultural simulations**

215 In total, we simulated nine different management scenarios, including one passive (i.e. a
216 reserve-based) no management scenario and eight active management scenarios. The latter were
217 representative of silvicultural systems used commonly in the Northeast, but were modified to
218 encompass a range of harvesting intensities. Specific parameters of prescriptions were derived
219 from experience and studies in the Northeast (Seymour 1995, Nyland 1996, 1998). Silvicultural
220 prescriptions used in this study included four even-age scenarios and four uneven-age scenarios.
221 Within these broad silvicultural groups, individual treatments were derived by factoring two
222 “levels” for each of two categories: harvesting frequency and degree of structural retention
223 (Table 1).

224 To test the effect of harvesting frequency on C sequestration, the four active management
225 scenarios were run under two different harvesting intervals, one long (120 years for even-age
226 management scenarios, and 30 years for uneven-age management scenarios) and one short (80
227 years for even-age management scenarios, and 15 years for uneven-age management scenarios).
228 To analyze the effect of structural retention we developed two different even-aged management
229 scenarios representing different levels of structural retention. A clearcut represented low

230 structural retention, with a complete removal of all trees greater than five centimeters in diameter
231 at breast height (DBH), and all harvesting residue (slash) removed from the site. A shelterwood
232 represented high structural retention, with the preservation of six legacy trees (canopy trees never
233 harvested) per hectare and all slash left on site. In uneven-aged scenarios, two individual tree
234 selection (ITS) systems were used. In ITS systems, harvesting was based on a pre-defined
235 diameter distribution (q factor) that directed harvesting towards diameter classes with stem
236 densities above target levels. The first ITS represented low retention, where at each entry the
237 stand was harvested to a residual basal area of 15 m²/ha, with no legacy trees left and 50 cm
238 diameter used to define the maximum diameter size retained post-harvest. The second ITS
239 represented high retention, where at each entry the stand was harvested to a residual basal area of
240 19 m²/ha, with 12 legacy trees per hectare and 61 cm diameter used to define the maximum post-
241 harvest tree size.

242 We ran all scenarios for 160 years on five year cycles, in order to capture a minimum of
243 one complete rotation length. Each projection cycle represented the five year period of time for
244 which increments of tree characteristics (i.e. growth and mortality) were predicted (Dixon 2002).
245 As NE-FVS does not have a regeneration sub-model, user-defined regeneration parameters
246 (including species, distribution, total number per acre, and size of expected new trees) must be
247 defined in order to simulate non-stump sprout regeneration. Natural regeneration rates in
248 northern hardwood forests were acquired from the literature (Graber and Leak 1992), and field
249 data (Keeton unpublished data). These natural regeneration rates were used to develop
250 “background” regeneration rates based on average site species composition, which were input
251 into all simulations on every other simulation cycle (or every ten years) (Table 3). Background
252 regeneration rates were used to emulate natural regeneration within stands, independent of forest

253 management activities. In active management scenarios, we used adapted regeneration data
254 specific to northern hardwood even-age forest management (Leak 1987, 2005), and uneven-aged
255 forest management (Mader and Nyland 1984, Leak 1987). Regeneration in response to
256 harvesting activities was input into model simulations the cycle following harvesting activities.
257 Background regeneration, in addition to post-harvest regeneration, was included every other
258 simulation cycle as previously described.

259

260 **Data analysis**

261 Simulation outputs from the 32 different sites were averaged to produce mean values for
262 each scenario. We calculated the mean C stock in aboveground biomass (live and dead) and
263 wood products during the simulation period, as a way to compare C sequestration between
264 different management scenarios (Eriksson et al. 2007). In order to test our first hypothesis
265 examining the tradeoffs in C sequestration between active and passive management scenarios,
266 we used SPSS 16.0 (2008) statistical software to run single-factor ANOVA and post-hoc
267 Bonferroni multiple comparisons to test for significant differences ($\alpha = 0.05$) between
268 management scenarios. In order to address our second hypothesis we used two-way ANOVA to
269 test for the significance of harvesting frequency and structural retention and interaction between
270 the two relative to mean C sequestration. We also performed a sensitivity analysis to help
271 identify subtle differences in the effects of harvesting frequency on C sequestration. We did this
272 by adjusting the low and high harvesting frequency scenarios applied to each of the four original
273 silvicultural prescriptions. The original high harvesting frequency (80 years in even-age and 15
274 years in uneven-age management scenarios) was decreased by 25% to create two additional
275 harvesting frequencies (60 years for even-age and 11 years for uneven-aged management

276 scenarios). The original low harvesting frequency (120 years in even-age and 30 years in
277 uneven-age management scenarios) was increased by 25% to create two additional harvesting
278 frequencies (150 years for even-age and 38 years for uneven-aged management scenarios). The
279 adjusted models were again tested using two-way ANOVA to test for the effects of harvesting
280 frequency and post-harvest structural retention on mean C sequestration.

281 A logical criticism of attributing predicted C sequestration effects solely to management
282 scenario is that certain site characteristics, such as productivity, pre-harvest stand volume, and
283 species composition (e.g. percent conifer), might also affect forest growth rates and C
284 sequestration potential. To evaluate this, we used a classification and regression tree (CART) to
285 test the predictive strength of management scenario relative to other site-specific environmental,
286 structural, and compositional characteristics, modeled as independent variables. CART analysis
287 is recognized as a powerful tool for analyzing complex ecological data (De'ath and Fabricius
288 2000). CART is a robust, nonparametric, binary method that partitions variance in a response
289 variable through a series of repeated splits (branches) based on the values of independent
290 variables (Breiman et al. 1984, Keeton et al. 2007). CART was chosen for its ability to explain
291 the variation of a single response variable (in this case, mean C sequestration) based on multiple
292 categorical or continuous independent variables (De'ath and Fabricius 2000). We used both
293 categorical and continuous independent variables from original FIA plot measurements (Table
294 4). To avoid redundancy among predictor variables, independent variables exhibiting strong
295 collinearity ($r^2 > 0.60$) were dropped from further analyses. CART analysis was performed using
296 S-Plus software (Statistical Sciences 2002). Cost-complexity pruning was used to eliminate non-
297 significant nodes and reduce tree size.

298
299 **RESULTS**

300 **Mean C sequestration under alternate forest management scenarios**

301 *Simulation modeling output*

302 We averaged C sequestration in both forest aboveground live and dead biomass as well
303 as C stored in wood products (both in use and in landfills) over the 160 year time period for all
304 32 stands under each of the nine different management scenarios. All values, unless stated
305 otherwise, are presented as mean C sequestration over the 160 year simulation period.
306 Simulation results showed a clear gradient of C sequestration ranging from high intensity forest
307 management (clearcut) to low intensity management (ITS_HighLow and No Management)
308 (Figure 2). Ten year means of C sequestration were used to create chronosequences of
309 management scenarios to illustrate C temporal dynamics in management scenarios. Sharp
310 declines in active management scenarios are caused by the removal of C from the forest
311 following a scheduled harvest. The amplitude of these declines is muted by the flux of C into
312 storage pools in wood products as well as the averaged 10-year C sequestration values.
313 Generally, management scenarios with decreased harvesting frequency show greater accrual of C
314 as a result of accretion of C in dead wood pools and increased live biomass (Figure 3). Clearcut
315 scenarios sequestered less C than all other management scenarios (simulation mean: 72.9 metric
316 tons C/ha). Shelterwood scenarios sequestered similar amounts of C as ITS scenarios that
317 favored low structural retention (simulation means: Shelterwood = 90.2 metric tons C/ha and
318 ITS_Low = 90.3 metric tons C/ha). Of the active management scenarios, ITS scenarios that
319 favored high structural retention sequestered the greatest amount of C (simulation mean:
320 ITS_High = 110.0 metric tons C/ha). Results from post-hoc Bonferoni multiple comparisons of
321 means following the one-way ANOVA confirmed that mean C sequestration in the no

322 management scenario was significantly higher ($p < 0.01$) than all other management scenarios
323 (simulation mean: 157.1 metric tons C/ha) (Figure 3).

324 *Effects of harvesting frequency and intensity*

325 We found that harvesting intensity significantly affected C sequestration ($p < 0.01$), based
326 on the results of the two-way ANOVA. Harvesting frequency was also significant ($p = 0.081$);
327 however at a lower significance level than retention (Table 5). The interactive effect of
328 harvesting frequency and retention was not significant ($p = 0.584$). In order to further investigate
329 the nuance effects of harvesting frequency and retention within silvicultural prescriptions, we re-
330 ran the two-way ANOVA, separating treatments into two groups: even-age (clearcut and
331 shelterwood scenarios) and uneven-age treatments (ITS scenarios) (Table 5). The second
332 iteration of the two-way ANOVA showed that in uneven-age management scenarios harvesting
333 frequency significantly affected C sequestration ($p = 0.010$). On the contrary, in even-age
334 management scenarios, given our chosen harvesting frequency comparisons (80 and 120 year
335 harvesting cycles), harvesting frequency did not significantly affect C sequestration ($p = 0.658$).
336 In both uneven and even-age management scenarios, retention significantly affected C
337 sequestration ($p < 0.01$). Furthermore, the interactive effects of harvesting frequency and
338 retention were not significant in either uneven-age ($p = 0.716$) or in even-age ($p = 0.554$)
339 management scenarios.

340 In order to test the model sensitivity to harvesting frequency, we performed a secondary
341 analysis where we adjusted harvesting frequency in all active management scenarios. We tested
342 the effect of the following four harvesting frequencies on each active management scenario
343 (simulations: $n = 16$): 1) the original high harvesting frequency (80 years in even-age; 15 years in
344 uneven-age), 2) 25% below the original high frequency (60 years even-age; 11 years uneven-

345 age), 3) the original low frequency (120 years even-age; 30 years uneven-age), and 4) 25%
346 above the original low frequency (150 years even-age; 38 years uneven-age). Restrictions of
347 current FVS activity storage limits resulted in the model's inability to project extremely high
348 harvest frequencies (harvesting frequency < 15) in uneven-aged scenarios over the entire 160
349 year simulation period. For this reason, the 25% below original high frequency (11 year entry
350 cycles) for uneven-aged management are computed in FVS the same as the original high
351 frequency (15 year harvesting frequency), and the sensitivity analysis in uneven-aged scenarios
352 is restricted to three different harvesting frequencies (15, 30, and 38 years). A third two-way
353 ANOVA analysis was done to test the effects of the adjusted harvesting frequencies on mean C
354 sequestration within management scenarios (Table 6). Harvesting frequency significantly ($\alpha =$
355 0.05) affected C sequestration in all scenarios ($p = 0.01$) except the original frequencies (80 and
356 120 years) in even-age scenarios ($p = 0.658$). In all scenarios interactive effects between
357 harvesting frequency and structural retention were not significant ($p > 0.01$), except in scenarios
358 using the 25% below original high harvesting frequency (60 year) for even-age scenarios ($p <$
359 0.01). In these two scenarios, the interaction is driven by a combination of extremely high
360 harvesting frequencies (relative to typical silvicultural practices in the Northeast), and very low
361 structural retention that is notably different than other scenarios.

362 *Effects of management versus site-specific factors*

363 Our results strongly supported our second hypothesis that harvesting frequency and
364 intensity significantly affect C sequestration in actively management forests. In order to confirm
365 that this result was not a relic of pre-existing environmental or stand variables, we used a CART
366 analysis to confirm the predictive strength of the management scenarios in explaining mean C
367 sequestration relative to other site variables. We identified eleven independent variables to

368 reflect environmental, structural, and compositional components that may affect forest growth
369 (Table 4). Of eleven variables included in the initial model, four variables were incorporated in
370 the final CART model. Management scenario was the most important predictor of mean C
371 sequestration in CART models, with active management scenarios (B through I) generally
372 having a mean C sequestration of <130 metric tons C/ha (Figure 4). The CART model identified
373 several secondary predictor variables explaining lesser amounts of variance among sites
374 following the partitioning of sites by management scenario, which explained a significantly
375 greater proportion of deviance. In the passive (no management) scenario (A), sites with initial
376 basal areas greater than 36.4 m²/ha generally sequestered the greatest amount of C in all of the
377 tested scenarios in the CART analysis (N = 288). Within the active management scenarios, the
378 CART model identified management scenario as the variable explaining the second greatest
379 amount of deviance. At this “branch” in the CART model, management scenarios were
380 partitioned by even-age (shelterwood and clearcut) and the most intensive ITS scenario
381 (ITS_LowHigh). Following secondary partitioning, the CART model identified two
382 environmental (site index) and compositional (percent conifer) variables as the tertiary nodes. At
383 this point, uneven-age management practices with lower percentages of conifer (< 15% basal
384 area/ha) sequestered generally more C than stands with greater initial conifer compositions.
385 Furthermore, even-age management scenarios and the one high intensity ITS scenario were
386 partitioned by site index, where stands with better growing conditions (i.e. greater site index)
387 generally sequestered greater amounts of C.

388

389 **Effects of forest management scenarios on C uptake rates**

390 We calculated C uptake rates three different ways (Table 7). When C uptake rates were
391 averaged by harvesting frequency, clearcut scenarios had greater C uptake rates than all other
392 scenarios (clearcut uptake rate: high harvesting frequency = 0.55 metric tons C/ha/year, and low
393 harvesting frequency = 0.44 metric tons C/ha/year). In this same comparison of C uptake rates,
394 C uptake rates in the no management scenario were the third greatest (no management uptake
395 rate = 0.36 metric tons C/ha/year). In the calculation of uptake rates for the no management
396 scenario uptake rates were averaged for the 160 year simulation period, as there were no
397 harvesting cycles. When averaged over the 160 year simulation period without the inclusion of
398 C stored in wood products, C uptake rates in three scenarios were negative (shelterwood_low = -
399 0.02 metric tons C/ha/yr, ITS_LowHigh = -0.04 metric tons C/ha/yr, ITS_LowLow = -0.04
400 metric tons C/ha/yr). When calculating C uptake rates, the inclusion of C stored in wood
401 products resulted in positive uptake rates for all scenarios. It should be noted that mean C uptake
402 rates for the 160 year simulation period include harvesting activities, when significant amounts
403 of C is lost from forest pools.

404 405 **DISCUSSION**

406 Forest management intensity strongly affects C sequestration based on our results. While
407 our findings tell a novel story, they build on previous studies conducted throughout the world's
408 temperate forested regions (Roxburgh et al. 2006, Schmid et al. 2006, Eriksson et al. 2007, Seidl
409 et al. 2007). Previous research showed that actively managed forests can sequester significant
410 amounts of C and should be considered when developing terrestrial C management options
411 (Roxburgh et al. 2006). Furthermore, research has shown the importance of considering wood
412 products in C accounting (Schmid et al. 2006, Eriksson et al. 2007, Seidl et al. 2007). Unlike
413 previous studies, our results showed there can be important interactive effects of post-harvest

414 structural retention and harvesting frequency. These findings are relevant to ongoing debates
415 regarding forest management and C sequestration, as addressed by our two hypotheses. The
416 results supported our first hypothesis that passive management sequesters more C than active
417 management, as well our second hypothesis that management practices favoring lower
418 harvesting frequencies and higher structural retention sequester more C than intensive forest
419 management. Currently, the incorporation of active forest management in climate change
420 mitigation is widely debated. On one hand, intensively managed forests with high harvesting
421 frequencies that produce wood products and biofuels are recognized as a viable option for
422 preventing C emissions that would otherwise accrue from fossil fuel emissions used to produce
423 substitute products or energy (Eriksson et al. 2007, Malmsheimer et al. 2008b). On the other
424 hand, numerous studies have concluded that the replacement of older forests with younger
425 forests results in a net increase in C released to the atmosphere (Cooper 1983, Harmon et al.
426 1990, Schulze et al. 2000). Our results support these latter findings, and show that a shift
427 towards intensively managed forests does not increase C sequestration when C accounting is
428 restricted to C sequestration in aboveground forest biomass and harvested wood products.

429

430 **Effects of forest management on carbon sequestration**

431 Our results showed that management practices that favor lower harvesting frequencies
432 and higher structural retention sequester more C than more intensive forest management
433 practices. In addition, we can conclude there are more nuanced effects of structural retention and
434 harvesting frequency based on the results. In our first iteration of management scenario
435 projections, structural retention had a greater effect on C sequestration than harvesting
436 frequency. Similar to previous studies that showed the effect of decreased harvesting frequency

437 (Krankina and Harmon 1994, Liski et al. 2001, Balboa-Murias et al. 2006), we found that in
438 most cases harvesting frequency significantly affected C sequestration. Unlike previous studies
439 that focused on even-age management (Liski et al. 2001, Balboa-Murias et al. 2006) or did not
440 include wood products in their analysis (Krankina and Harmon 1994), our analysis evaluated the
441 effect of harvesting frequency on both even-age and uneven-age forest management practices
442 with the inclusion of wood products. Our second iteration of simulations showed that C
443 sequestration is sensitive to harvesting frequency in some cases. In the even-aged management
444 scenarios C sequestration was significantly higher when harvesting frequencies were increased
445 or decreased by more than 25%. Relative to even-age management, the effects of harvesting
446 frequency in uneven-age scenarios is underrepresented in the extant literature. Our studied
447 showed that in all uneven-aged management scenarios common to the Northeast, decreased
448 harvesting frequency significantly increased C sequestration, independent of post-harvest
449 structural retention. These findings suggest that in the Northeast, decreasing harvesting
450 frequency alone may not be effective for managing for C. Furthermore, there was a significant
451 interaction effect with harvesting frequency and post-harvest structural retention in high
452 harvesting frequency even-age stands. Thus, simultaneous consideration of both structural
453 retention and harvesting frequency is necessary in order to optimize forest C sequestration in the
454 northern hardwood ecosystems.

455

456 **Carbon uptake rates versus storage**

457 An important issue is the relative importance of C uptake rates versus in-situ storage (or
458 biomass) in terms of effects of total ecosystem sequestration (Fahey et al. 2005). Our results
459 showed that increased management intensity was positively correlated with increased C uptake

460 rates. Younger forests have high C uptake rates, though they store significantly less C than older
461 forests (Harmon et al. 1990, Harmon 2001, Luysaert et al. 2008). Carbon uptake rates vary
462 depending on the scale (spatial, temporal, and process resolution) at which they are measured or
463 extrapolated to (Harmon 2001). To clarify the relative importance of uptake rates versus storage
464 in our estimates of total predicted sequestration, we examined C uptake rates three different ways
465 (Table 7). When the temporal scope was restricted to one harvesting cycle, the greatest C uptake
466 rates were in clearcut scenarios (0.55 metric tons C/ha/yr and 0.44 metric tons C/ha/yr),
467 representing the highest intensity management scenario. These findings are consistent with
468 previous research on relationships between forest management and C uptake rates (Hoover and
469 Stout 2007). However, with the exception of the two clearcut scenarios, the no management
470 scenario had greater C uptake rates (0.36 metric tons C/ha/yr) than all other management
471 scenarios (Range of uptake rates per harvesting cycle: -0.02 to 0.55 metric tons C/ha/yr). We
472 believe this is a result of two factors: 1) model sensitivity to regeneration inputs; 2) net increase
473 in C sequestered in dead wood pools. We examined the first factor by testing model sensitivity
474 to varying regeneration inputs; confirming the model's high sensitivity to user-defined
475 regeneration inputs. Model sensitivity to regeneration was tested by re-running all 32 stands in
476 two randomly selected management scenarios with no regeneration inputs. Results from these
477 two additional simulations showed large increases in C uptake rates (up to 12.5 times greater).
478 Mortality and stand developmental dynamics within FVS are largely a function of stand density;
479 hence accurate regeneration inputs are vital to realistic simulation outputs. Simulations run
480 without user-defined regeneration inputs do not realistically reflect stand developmental
481 processes of the Northeast. Regeneration sub-models have been incorporated into several
482 western variants of FVS; however, most variants (including NE-FVS) require user-defined

483 regeneration rules. It is critical that FVS variants lacking well developed regeneration extensions
484 or sub-routines account for model sensitivity to regeneration inputs. One possibility is to
485 develop regionally standardized regeneration inputs in order to maintain consistency among
486 modeling efforts.

487 To address the second factor affecting uptake rates, we analyzed model partitioning of C
488 within forest pools (Figure 3). Continued recruitment of dead wood in the no management
489 scenarios accumulated at greater rates than the simulated decay of dead wood, resulting in a net
490 increase of C in these pools. Allocation of C to dead wood pools increases with forest stand
491 development and, in some cases, compensates for declining growth rates in older trees in terms
492 of total ecosystem biomass accumulations (Harmon 2001, Franklin et al. 2002, Goodale et al.
493 2002). For this reason, in our results no management had C accrual rates similar to the greatest
494 C accrual rates of intensive active management scenarios, where rapid biomass accretion was
495 closely related to increased growth rates. Excepting the most intensive management scenarios
496 (i.e. clearcutting), our results did not show that higher frequency, intensively managed forests
497 have greater C uptake rates than older, slower growing forests. We attribute this to a
498 combination of model sensitivity to regeneration, projected net positive C additions in live trees
499 (Hadley and Schedlbauer 2002, Keeton et al. 2007, Luysaert et al. 2008), and the significantly
500 greater dead wood C pool that develops over time under less intensive management scenarios
501 Harmon (2001) suggested that the parameters used to address comparisons of C sequestration
502 can influence the results. Our results confirm that the parameters used to measure C uptake rates
503 have a significant effect on calculated C uptake rates.

504

505 **Accounting for carbon stored in harvested wood products**

506 The inclusion of C stored in harvested wood products in C accounting is essential for
507 quantifying forest C sequestration (Schmid et al. 2006). Furthermore, unmanaged forests
508 sequester greater amounts of C than managed forests (Harmon et al. 1990, Thornley and Cannell
509 2000, Seidl et al. 2007). One of the objectives of this study was to test the effect of the inclusion
510 of harvested wood products in C accounting relative to management intensity, and quantify the
511 role of harvested wood products in net C sequestration at the forest stand scale. We recognize
512 that substitutive benefits in C accounting can alter GHG mitigation benefits of management
513 scenarios (Perez-Garcia et al. 2005b, Eriksson et al. 2007). However, in order to isolate the
514 effect of wood products in C accounting, we did not include substitutive benefits of avoided
515 combustion of fossil fuels from the use of forest biomass in construction or energy production. It
516 is critical to understand the individual impacts of fluxes between pools in order to inform broader
517 studies addressing substitutive benefits of forest products. Carbon flux between forest and
518 various wood products pools is well documented in the Northeast (Smith et al. 2006).

519

520 **Model assumptions**

521 We simulated stand development in NE-FVS based on three primary assumptions: 1)
522 natural disturbance is not included in simulations; 2) climate is held constant throughout
523 simulations; 3) C storage in soils is constant throughout simulation. Fine-scaled canopy
524 disturbance is the dominant disturbance type in the Northeast (Seymour et al. 2002), and occur
525 on return intervals of 50 to 200 years (Runkle 1982). Disturbance regimes impact C
526 sequestration through rapid flux of C from living biomass to dead wood pools following large-
527 scale disturbance (McNulty 2002), or more gradual flux of C between pools as a result of
528 intermediate and small-scale disturbances (Thurig et al. 2005). However, we did not include

529 natural disturbances in model simulations in order to isolate the effects of forest manage ment
530 practices, and minimize natural stochastic variability within sites.

531 Individual species range shifts (Beckage et al. 2008), community compositional changes
532 (Xu et al. 2009), increased mortality from drought and disease (van Mantgem et al. 2009) as a
533 result of climate change are likely to impact North American forests. However, due to the
534 uncertainties in the magnitude of regional climate change (Hayhoe et al. 2006), forest response to
535 climate change (Pitelka et al. 1997, Dale et al. 2001), and future CO₂ emissions driving
536 anthropogenic climate change (IPCC 2007), climate was held constant at the current climate
537 throughout simulations. Soils in temperate hardwood forests sequester approximately 50 % of
538 the total C stock (Lal 2005); however, uncertainties in C assimilation in stable mineral soils
539 (Jandl et al. 2007) make modeling C sequestration in soils difficult. In order to insulate C flux to
540 biomass pools, C sequestration measurements were restricted to aboveground live biomass,
541 standing dead trees, coarse woody debris, and harvested wood products.

542

543 **Integrating natural stand developmental processes into forest management**

544 Our research showed that decreased harvesting frequency and increased post-harvest
545 structural retention can effectively increase C sequestration. Silvicultural tools have already
546 been developed that utilize these concepts and would be applicable for land manager interested
547 in managing for increased C sequestration. In the Pacific Northwest, shifts in forest management
548 techniques have increased the focus on variable retention forestry (Franklin et al. 1997), and the
549 incorporation of stand developmental dynamics in silvicultural prescriptions (Zenner 2000,
550 Franklin et al. 2007). In the Northeast, attention on emulating frequency and scale of natural
551 disturbance dynamics (Seymour et al. 2002, Seymour 2005), and increased post-harvest

552 structural retention (Keeton 2005, Keeton 2006) have been proven as viable forest management
553 options. Using the two variables identified in this study as important to increased C
554 sequestration in forest management, we can identify existing silvicultural techniques that will
555 optimize C sequestration. Furthermore, less intensive management strategies may correlate with
556 other management goals. Based on previous research, we can infer that in addition to
557 sequestering more C, less intensively managed forests have multiple co-benefits, such as
558 enhanced late successional wildlife habitat (McKenny et al. 2006), hydrologic regulation
559 (CITATION), riparian functionality (Keeton et al. 2007). More intensively managed forests
560 with extremely high harvesting frequency may have negative impacts on biodiversity (Huston
561 and Marland 2004), and forest structural development (Rudolphi and Gustafsson 2005).

562

563 **Implications for forest management and carbon markets**

564 Though C sequestration in forests has been shown as a potential contribution to climate
565 change mitigation efforts (Lindner and Karjalainen 2007), this contribution is small relative to
566 other abatement options, but can have a significant impact on C market dynamics (Tavoni et al.
567 2007). However, sustainably managed forests sequester significant amounts of C and should be
568 recognized as a focal point as North American forestry sectors identifies climate change
569 mitigation projects (Ruddell et al. 2007). Numerous methodologies for measuring and managing
570 for C in forests are being discussed, ranging from individual stand monitoring protocols (Hoover
571 et al. 2000), to larger international programs developed in accordance the Kyoto Protocol
572 (Lindner and Karjalainen 2007). The parallel development of mandatory and voluntary C
573 markets over the last decade has lead to a wide array of climate change mitigation programs.
574 The establishment of standardized protocols for both managing and measuring C in forests is

575 necessary in order to maintain accurate C estimates (Lindner and Karjalainen 2007), while
576 maintaining socially (Agrawal et al. 2008) and ecologically (Chazdon 2008) responsible
577 mitigation projects. A secondary research objective of this project was to develop a
578 methodology that can be applied to other regions of North America. We did this by using data
579 sources that are available nationally (i.e. Forest Inventory and Analysis [FIA] data), and a widely
580 accessible simulation model (FVS).

581 Emerging voluntary C markets may provide a potential source of revenue for forest
582 owners interested in practicing sustainable forest management. Several different extant or
583 developing C markets within the US already incorporate or are considering sustainable forest
584 management as a means of mitigating CO₂ emissions (e.g. Chicago Climate Exchange,
585 California Climate Action Registry, and the Regional Greenhouse Gas Initiative). Our results
586 show that if the management objective of a land owner in the Northeast is strictly to manage for
587 high levels of C sequestration, passive management with no harvesting is the most effective
588 management technique. However, passive management in temperate forests is not currently
589 recognized as a viable project under present day C markets. Our results inform forest based C
590 sequestration projects, showing that both decreased harvesting frequency and increased post-
591 harvest structural retention are effective management techniques for increasing C sequestration.
592 Furthermore, coupling these two techniques results in the greatest C sequestration in actively
593 managed northern hardwood-conifer forests.

594

595 **CONCLUSIONS**

596 Results from this study will inform forest managers and policy makers in understanding
597 the effects of forest management on C sequestration and the role forests can play in climate

598 change mitigation. We showed that with the inclusion of C sequestered in harvested wood
599 products, unmanaged northern hardwood forests will sequester greater amounts of C (157.1
600 metric tons C/ha) than managed forests(72.5 to 112.8 metric tons C/ha). Moreover, less
601 intensively managed forests, such as selection harvest systems, sequester greater amounts of C
602 than intensively managed forests, such as even-aged systems with low structural retention,
603 despite lower C uptake rates. This is largely a result of the significant initial loss of C incurred in
604 intensive management scenarios as a result of the removal of large quantities of C stored in live
605 and dead biomass in the forest, followed by slow post-harvest accretion of C in dead wood pools.

606

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609

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858
859

860 Table 1. THIS TABLE WILL BE BROKEN INTO TWO TABLES WITH BETTER
 861 RESOLUTION. Description of the four different silvicultural prescriptions used as management
 862 scenarios. We ran each scenario with two different harvesting frequencies, and used a factorial
 863 design to test the independent effects of harvesting frequency and structural retention.
 864

Even aged silvicultural prescriptions		Harvesting frequency	
		High (80 years)	Low (120 years)
Residual structure	Low	<i>Clearcut_High</i> 1) Commercial thin: implement when stand reaches stocking density above normal 2) Clearcut: 2005 and 2085 No legacy trees *Whole tree harvest	<i>Clearcut_Low</i> 1) Commercial thin: implement when stand reaches stocking density above normal 2) Clearcut: 2005 and 2125 No legacy trees *Whole tree harvest
	High	<i>Shelterwood_High</i> 1) Commercial thin: implement when stand reaches stocking density above normal 2) Shelterwood: 2005 and 2085 residual BA 14 m ² /ha -6 legacy trees, smallest diameter in residual cut 6 m *Slash left on site	<i>Shelterwood_Low</i> 1) Commercial thin: implement when stand reaches stocking density above normal 2) Shelterwood: 2005 and 2125 residual BA 14 m ² /ha -5 legacy trees, smallest diameter in residual cut 6 m *Slash left on site

865

Uneven aged silvicultural prescriptions		Harvesting frequency	
		High (15 years)	Low (30 years)
Residual structure	Low	<i>HS_LowHigh</i> Entry cycle length: 15 yrs Q-value: 1.3 Residual BA: 15 m ² /ha Min DBH class: 5 cm Max DBH class: 50 cm DBH class width: 5 cm Number of legacy trees: 0	<i>HS_LowLow</i> Entry cycle length: 30 yrs Q-value: 1.3 Residual BA: 15 m ² /ha Min DBH class: 5 cm Max DBH class: 50 cm DBH class width: 5 cm Number of legacy trees: 0
	High	<i>HS_HighHigh</i> Entry cycle length: 15 yrs Q-value: 1.3 Residual BA: 19 m ² /ha Min DBH class: 5 cm Max DBH class: 61 cm DBH class width: 5 cm Number of legacy trees: 12 Average legacy tree diameter: 41 cm	<i>HS_HighLow</i> Entry cycle length: 30 yrs Q-value: 1.3 Residual BA: 19 m ² /ha Min DBH class: 5 cm Max DBH class: 61 cm DBH class width: 5 cm Number of legacy trees: 12 Average legacy tree diameter: 41 cm

866

Table 2. Descriptive information of environmental, structural, and compositional components of 32 FIA forest inventory plots used in simulation modeling. Eco-subregion codes are shown on figure one.

FIA Plot Code	Starting Stand Age	Eco-subregion **	Site Index	Slope (%)	Elevation (meters)	Aspect (degrees)	Percent Conifer (% BA)	Basal Area (m ² /ha)	SDI	Trees per Hectare	QMD	MAI (m ³ /ha/yr)	Number of Strata *	Canopy Height (m)	Percent Canopy Cover
2320030702501505	94	M211Af	44	14	518	195	13	37.6	510	10843	2.6	2.6	1	18.6	80
2320030702502686	97	M211Af	42	12	427	235	21	31.5	444	11125	2.4	1.6	1	19.5	82
2320030900702261	86	M211Af	34	8	549	215	34	33.1	506	17423	1.9	1.8	1	19.2	76
2320030900703046	80	M211Ae	42	9	701	100	18	30.5	480	18318	1.8	2.2	1	17.4	73
2320030900703313	87	M211Ag	51	12	183	2	50	35.1	430	5997	3.4	2.5	1	17.1	80
2320030900703677	89	M211Af	81	10	488	140	1	26.2	384	11191	2.1	1.6	1	19.5	79
2320030901700110	84	M211Ag	37	14	366	22	62	42.2	604	16032	2.3	3.2	2	21.3	72
2320030901700852	81	M211Af	37	13	823	248	42	29.4	372	6005	3.1	1.9	1	16.2	59
2320030901701013	96	M211Ae	41	14	610	124	17	34.7	450	8058	2.9	2.4	1	18.6	69
2320030901702963	85	M211Ag	65	27	274	65	0	24.6	334	7117	2.6	1.8	2	21.3	78
3320050200300163	82	M211Ad	81	17	274	250	0	30.5	398	7122	2.9	2.9	1	24.4	78
3320050200700781	80	M211Af	62	5	549	60	22	28.7	355	5300	3.3	2.3	1	21.9	71
3320050200900018	85	M211Ba	83	12	579	343	0	26.6	395	11826	2.1	2.8	1	26.8	73
3320050200900904	97	M211Ad	49	3	427	0	34	32.6	454	10939	2.4	2.1	1	23.5	82
3620040303506767	81	M211Db	62	0	335	0	44	47.8	477	2894	5.7	4.6	1	23.2	86
3620040304303762	80	M211Dd	60	12	457	179	3	38.1	465	6440	3.4	3.5	1	24.4	82
3620040304303966	80	M211Dd	43	6	549	256	27	33.1	403	5545	3.4	2.4	1	21.3	85
3620040403101088	95	M211Df	46	16	640	85	18	29.8	437	12639	2.2	2.1	1	24.4	71
3620040403102007	92	M211Df	88	20	549	81	4	30.5	354	4040	3.9	2.5	1	25.9	76
3620040403102851	97	M211Df	35	18	335	148	37	35.1	413	4982	3.7	2.4	1	20.1	79
3620040403105127	100	M211Df	50	13	701	287	7	24.6	330	6808	2.7	1.5	1	20.1	66
3620040403105218	90	M211Df	57	33	305	137	57	33.5	443	8599	2.8	2.1	1	21.0	75
3620040404102413	82	M211Dd	47	0	640	0	15	48.0	525	4663	4.5	4.8	1	25.3	75
3620040404102456	86	M211Dd	60	12	671	12	15	29.6	362	5115	3.4	2.3	1	25.0	73
3620040404102703	90	M211Dd	62	18	579	327	57	26.2	345	6588	2.8	2.0	2	21.9	57
3620040404104669	91	M211Dd	41	22	732	306	20	29.2	363	5488	3.2	2.1	1	20.1	72
3620040404106138	86	M211Dd	60	12	579	12	27	38.3	480	7480	3.2	3.2	1	22.6	80
3620040411302486	80	M211De	88	12	488	166	0	44.3	506	5382	4	5.0	1	33.8	90

3620040411305029	100	M211De	48	14	518	169	51	25.5	357	8819	2.4	1.8	1	23.5	59
5020050200900479	91	M211Ae	37	11	396	276	44	38.8	507	9160	2.9	3.0	2	21.3	81
5020050201701120	85	M211Ba	64	27	671	235	0	29.6	400	828	2.7	2.4	1	22.9	80
5020050202300275	81	M211Ca	89	47	183	10	0	23.0	261	2743	4.1	2.9	2	27.4	59

Note: All values were measured by USDA Forest Service Forest Inventory and Analysis Program, and retrieved through the stand list file in FVS.

* As defined in Crookston and Stage 1999

** As defined in Cleland et al. 1997

Table 3. Regeneration inputs used in model simulations. Seedling numbers are given as total seedlings per hectare.

Management Scenario	<i>Acer saccharum</i>	<i>Fagus grandifolia</i>	<i>Tsuga canadensis</i>	<i>Picea rubens</i>	<i>Fraxinus americana</i>	<i>Betula alleghaniensis</i>	<i>Acer rubrum</i>	<i>Populus tremuloides</i>	<i>Betula papyrifera</i>
Clearcut	4448	1730	432	432	8154	8093	8093	15320	15320
Shelterwood	4448	4695	62	62	618	556	1174	-	-
ITS	1977	2224	309	309	62	62	185	-	62
Background	494	247	62	62	-	62	62	-	-

Table 4. Description of independent variables used in CART analysis. The character of variables is denoted by A = Anthropogenic, S = Spatial, E = Environmental, C = Stand composition, T = Stand structure; and the type by N = numeric, O = Ordinal, or C = categorical

Variable	Character	Type	Values	Description
Scenario Code	A	C	A - I	A (Background), B (ITS_HighHigh), C (ITS_LowHigh), D (ITS_HighHigh), E (ITS_LowHigh), F (Clearcut_Low), G (Clearcut_High), H (Shelterwood_Low), I (Shelterwood_High)
Eco-subregion	S	C	10	Ecological subregions as defined by the USDA, 2005, Forest Service ECOMAP team, Washington D.C.
Site Index	E	N	30 < x < 90	Site index at age 50
Aspect	E	N	0 < x < 359	Aspect of individual stands
Percent Conifer	C	N	0 < x < 63	Starting percent conifer, calculated as a percentage of basal area per hectare
Basal Area	T	N	23.0 < x < 24 < x < 49	Starting basal area (m ² /ha),
Quadratic Mean Diameter	T	N	1.8 = x = 4.5	Starting QMD
Structure Class	T	O	0 - 6	0 (bare ground), 1 (stand initiation), 2 (stem exclusion), 3 (understory reinitiating), 4 (young forest, multi-strata), 5 (old forest, single stratum), 6 (old forest, multi-strata) (Crookston and Stage 1999)
Number of strata	T	O	0 - 3	Strata differentiated by 30% differentiation in tree height, with minimum threshold of 5% cover to qualify as a strata (Crookston and Stage 1999)
Slope	E	N	0 - 30	Slope of individual stands, measured as a percentage
Stand age	T	N	80 = x = 100	Starting stand age

Table 5. Treatment effects on the mean C sequestration over the 160 year simulation period, based on two-way ANOVA. Italicized p values are statistically significant.

Treatment	Silviculture type	Mean Square Error	F	Significance (p)
Harvesting Frequency* Retention (interaction)	Total	92.070	.300	.584
	Even-age	71.055	.352	.554
	Uneven-age	26.423	.133	.716
Harvesting Frequency	Total	940.159	3.066	.081
	Even-age	39.739	.197	.658
	Uneven-age	1373.349	6.907	.010
Retention	Total	17575.921	57.325	.000
	Even-age	9674.480	47.959	.000
	Uneven-age	7944.034	39.954	.000

Table 6. Two-way ANOVA results from sensitivity analysis. Results are divided by harvesting frequency and structural retention. Harvesting frequency adjustments are shown as percent above (+) or below (-) the original high and low harvesting frequencies used in simulation modeling. Four harvesting frequencies were used: 1) 25% below the original high frequency (60 years EA; 11 years UA); 2) the original high frequency (80 years EA; 15 years UA); 3) the original low frequency (120 years EA; 30 years UA); 4) 25% above original low frequency (150 years EA; 38 years UA).

Treatment	Silviculture type	Harvesting Frequency Adjustment	Mean Square Error	F	Significance (p)
Harvesting Frequency* Retention (interaction)	Even-age	- 25 %	14955.249	94.696	.000
		+/- 25%	17339.034	103.410	.000
		No change	71.055	.352	.554
		+ 25%	317.393	1.501	.223
	Uneven-age	- 25 % *	67.807	.326	.569
		+/- 25% *	67.807	.326	.569
		No change	26.423	.133	.716
		+ 25%	67.807	.326	.569
Harvesting Frequency	Even-age	- 25 %	17934.946	113.564	.000
		+/- 25%	29779.801	177.607	.000
		No change	39.739	.197	.658
		+ 25%	2020.570	9.555	.002
	Uneven-age	- 25 % *	3811.707	18.349	.000
		+/- 25% *	3811.707	18.349	.000
		No change	1373.349	6.907	.010
		+ 25%	3811.707	18.349	.000
Retention	Even-age	- 25 %	45037.826	285.179	.000

	+/- 25%	41142.063	245.372	.000
	No change	9674.480	47.959	.000
	+ 25%	7916.163	37.434	.000
Uneven-age	- 25 % *	7402.050	35.633	.000
	+/- 25% *	7402.050	35.633	.000
	No change	7944.034	39.954	.000
	+ 25%	7402.050	35.633	.000

Note: * = As a result of model limitations, 11 year harvesting frequencies in uneven-aged scenarios are simulated the same as 15 year entry cycles and values are identical.

Table 6. Description of independent variables used in CART analysis. The character of variables is denoted by A = Anthropogenic, S = Spatial, E = Environmental, C = Stand composition, T = Stand structure; and the type by N = numeric, O = Ordinal, or C = categorical

Variable	Character	Type	Values	Description
Scenario Code	A	C	A - I	A (Background), B (ITS_HighHigh), C (ITS_LowHigh), D (ITS_HighHigh), E (ITS_LowHigh), F (Clearcut_Low), G (Clearcut_High), H (Shelterwood_Low), I (Shelterwood_High)
Ecoregion	S	C	10	Ecological subregions as defined by the USDA, 2005, Forest Service ECOMAP team, Washington D.C.
Site Index	E	N	30 < x < 90	Site index at age 50
Aspect	E	N	0 < x < 359	Aspect of individual stands
Percent Conifer	C	N	0 < x < 63	Starting percent conifer, calculated as a percentage of basal area per hectare
Basal Area	T	N	23.0 < x < 24 < x < 49	Starting basal area (m ² /ha),
Quadratic Mean Diameter	T	N	1.8 = x = 4.5	Starting QMD
Structure Class	T	O	0 - 6	0 (bare ground), 1 (stand initiation), 2 (stem exclusion), 3 (understory reinitiating), 4 (young forest, multi-strata), 5 (old forest, single stratum), 6 (old forest, multi-strata) (Crookston and Stage 1999)
Number of strata	T	O	0 - 3	Strata differentiated by 30% differentiation in tree height, with minimum threshold of 5% cover to qualify as a strata (Crookston and Stage 1999)
Slope	E	N	0 - 30	Slope of individual stands, measured as a percentage
Stand age	T	N	80 = x = 100	Starting stand age

Table 7. Comparison of three different calculated mean C uptake rates by management scenario.

Prescription	Mean Forest C uptake rate per harvesting cycle (metric tons C/ha/year)	Mean forest C uptake rate for 160 year simulation period (metric tons C/ha/year)	Mean forest and harvested wood products C uptake rate for 160 year simulation period (metric tons C/ha/year)
Clearcut_High	0.55	0.23	0.23
Clearcut_Low	0.44	0.02	0.08
Shelterwood_High	0.18	0.13	0.13
Shelterwood_Low	0.17	-0.02	0.02
ITS_LowHigh	-0.02	-0.04	0.07
ITS_LowLow	-0.01	-0.04	0.08
ITS_HighHigh	0.04	0.02	0.14
ITS_HighLow	0.05	0.02	0.14
No Management	0.36	0.36	NA

FIGURE LEDGEND

Figure 1. Map of eco-subregions in the Northeast used to stratify the selection of FIA plots.

Figure 2. Simulation output time series of the 9 different management scenarios (values represent 10 year mean C of 32 stands). CH = clearcut with 80 year harvesting frequency, CL = clearcut with 120 year harvesting frequency, SH = shelterwood with 80 year harvesting frequency, SL = shelterwood with 120 year harvesting frequency, ITS_LH= Individual tree selection system with low retention and 15 year harvesting frequency, ITS_LL = Individual tree selection system with low retention and 30 year harvesting frequency, ITS_HH = Individual tree selection system with high retention and 15 year harvesting frequency, ITS_HL = Individual tree selection system with high retention and 30 year harvesting frequency, NM = no management.

Figure 3. Comparison of mean C stocks in nine different management scenarios. CH = clearcut with 80 year harvesting frequency, CL = clearcut with 120 year harvesting frequency, SH = shelterwood with 80 year harvesting frequency, SL = shelterwood with 120 year harvesting frequency, ITS_LH= Individual tree selection system with low retention and 15 year harvesting frequency, ITS_LL = Individual tree selection system with low retention and 30 year harvesting frequency, ITS_HH = Individual tree selection system with high retention and 15 year harvesting frequency, ITS_HL = Individual tree selection system with high retention and 30 year harvesting frequency, NM = no management.

Figure 4. Classification and regression tree (CART) showing independent variables selected, split values, and portioned mean values (bottom) of the dependent variable (mean C

sequestration). The figure ranks independent variables by predictive strength (top to bottom); the length of each vertical line is proportional to the amount of deviance explained by each variable. Independent variables were selected from an initial set of 11 variables. Minimum observations required for each split = 5; minimum deviance = 0.05; N = 288.

Figure 2:

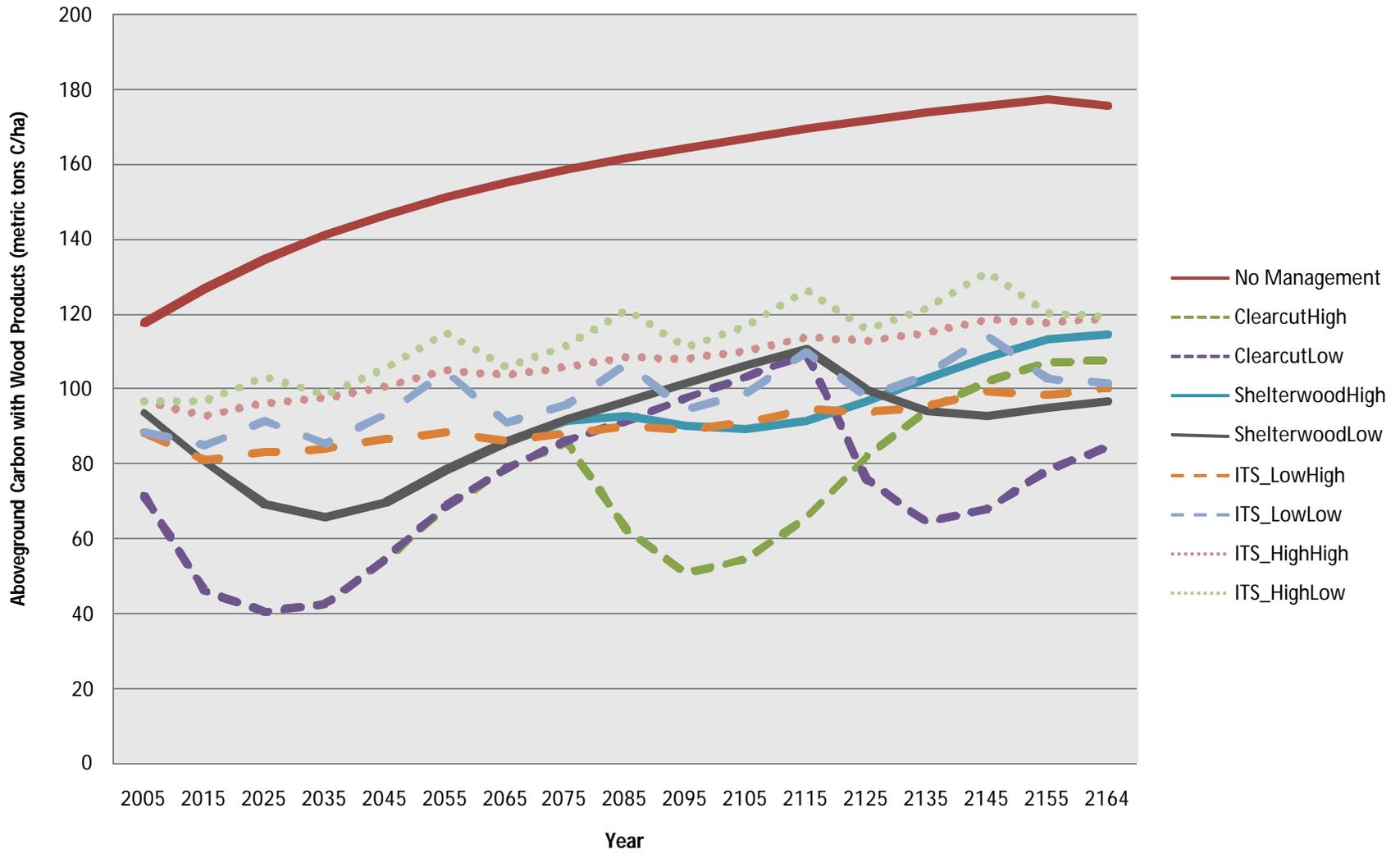


Figure 3:

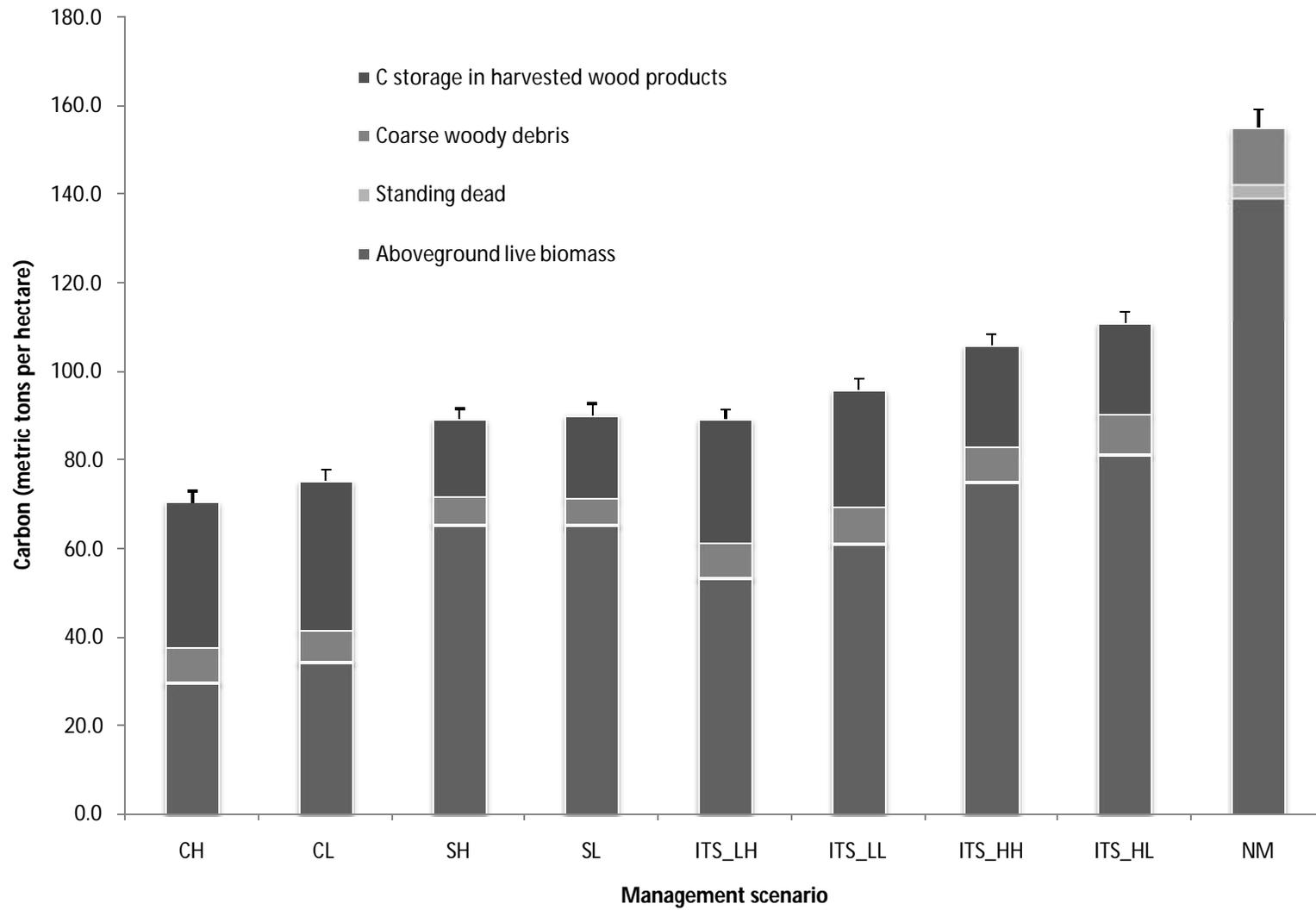


Figure 4:

