

1 Title

2 Effects of tree spacing and thinning on root reinforcement in mountain forests of the European Southern
3 Alps

4 Authors

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13 Abstract

14 Root reinforcement is the main contribution of forests in preventing and mitigating shallow soil instabilities,
15 one of the main hazards in mountain areas. Quantifying such factor remains complex because of a wide
16 variability and uncertainty. This study aims to assess how spatial tree distribution affects root reinforcement,
17 and whether the thinning operations can significantly reduce the contribution to the soil stabilization. We
18 measured tree size and position in 103 sampling plots, located in pure and mixed forests with sweet chestnut,
19 Norway spruce, European beech and silver fir in the Southern Alps. We developed, calibrated and validated
20 a model for estimating root reinforcement at the stand scale, using the spatial distribution of tree diameter
21 as input variable. Finally, we simulated how different silvicultural treatments (thinning 18% of the basal area,
22 either randomly or in groups), affects root reinforcement. The average values of root reinforcement were
23 6.06, 7.97, 8.31 and 8.53 kN/m in chestnut, mixed, spruce, and beech forests respectively. Probability density
24 functions of root reinforcement significantly differ among forest types. Randomly spaced thinning did not
25 significantly modify root reinforcement, while group thinning reduced it five-fold. Such obtained values are
26 consistent with previous works and can be used for assessing slope stability over forested hillslope with a
27 poor availability of forestry data.

28 Keywords

29 Protection forest, Root reinforcement, Tree roots, Shallow landslides, Natural hazards, Disaster Risk
30 Reduction.

31 1 Introduction

32 In mountain areas, forests play a significant role in protecting people, settlements and resources from natural
33 hazards as floods, landslides, snow avalanches and rockfalls. Their protective function has been recognised
34 and documented first and foremost by surviving works of ancient Greek, Hebrew and Roman literature
35 (Hamilton, 1992). Nowadays, the term “protection forests” is found in the laws of every country establishing
36 a specific land management that is clearly directed to preserve soil, water and all the natural resources.
37 Where natural hazards or potentially adverse climate may cause damage, where people or assets may be
38 damaged and where forests has the potentiality to mitigate the consequences, forests provide a “direct”
39 protection (Brang et al., 2001) that requests a particular attention in terms of monitoring, planning of the
40 activities (from the tourism to the forestry) and financial support. In particular, trees with their canopy and
41 root systems are effective in preventing and mitigating the triggering mechanisms of shallow landslides,
42 common landform-shaping processes that frequently evolve in debris flows and soil slips and can cause huge
43 sediment transport or accumulation of woody debris (e.g., Cislighi and Bischetti, 2019; Gasser et al., 2019;
44 Montgomery and Dietrich, 1994; Zimmermann et al., 2020). Such stabilizing effects are due to both
45 hydrological and mechanical processes. Canopy interception, suction, and transpiration contribute to reduce
46 soil moisture into the explored soil layers and to delay the onset of soil saturation at the soil depth where
47 landslides are triggered (Forbes and Broadhead, 2011). At the same time, mechanical soil stabilization occurs
48 through root reinforcement, anchorage, buttressing and arching, surcharge and soil aggregation (Sidle and
49 Ochiai, 2006). Among these actions, root reinforcement is undoubtedly the most studied since the pioneering
50 works of Endo and Tsuruta (1969), Gray (1969) and O’Loughlin (1974). The scientific literature provided a
51 large amount of site-specific data emphasising a wide spatial and temporal variability; on the other hand,
52 modelling root reinforcement has been continuing to evolve, from the pioneering approach at the end of the
53 Seventies (Burroughs and Thomas, 1977; Waldron, 1977; Wu et al., 1979) to the most refined methods
54 (Cohen et al., 2011; Pollen and Simon, 2005; Schwarz et al., 2013). Most models combine the biomechanical
55 properties of roots with their density and spatial distribution, whose development through time is simulated
56 based on pipe model theory (Shinozaki et al., 1964a, 1964b) and the static fractal branching model (e.g.,
57 Tobin et al., 2007). Another widespread approach is to empirically relate root diameter and its biomechanical
58 properties (e.g., Schwarz et al., 2010). Although some of these models assume that root reinforcement
59 decreases with increasing distance from the stem base, few works have assessed how the spatial pattern of
60 trees, and especially its changes due to human management, influences the spatial distribution of roots in

61 the soil and hence root reinforcement at the stand scale (Moos et al., 2016; Roering et al., 2003; Ziemer and
62 Swanston, 1977).

63 The present study aims to investigate the variability of tree spatial distribution and its effects on root
64 reinforcement in four common forest cover types (Norway spruce, sweet chestnut, European beech and
65 mixed forests) in the Southern Alps. The specific steps of his work can be synthetized as follows: (i) modelling
66 average values and probability distribution functions of root reinforcement in the four forest types, starting
67 from measurements of tree size and position collected by field surveys; (ii) generating virtual forests from
68 frequency distribution of diameter at breast height (*DBH*), and use them as input variables in a root
69 reinforcement model; (iii) comparing the root reinforcement values obtained by the virtual forests and by
70 the field measurements; and (iv) running the model with different spatial configurations of trees (e.g., as a
71 result of forest thinning) and assess which is the effect on root reinforcement.

72

73 2 Materials and methods

74 2.1 Study area

75 We sampled 103 plots collected in the Southern Central-Eastern Alps, belonging to three different
76 administrative Italian regions (Piedmont, Lombardy and Veneto). The samples ranged from 487 to 1542 m
77 asl in elevation, and from 20° to 40° in slope. The dominant tree species were Norway spruce (*Picea abies* L.)
78 (30 plots), European beech (*Fagus sylvatica* L.) (16 plots) and sweet chestnut (*Castanea sativa* Mill.) (20
79 plots). In addition, several areas were covered by mixed forests (37 plots) with equal share of Norway spruce,
80 silver fir (*Abies alba* Mill.) and European beech (Figure 1). Supplementary material 1 summarises the main
81 characteristics of the study sites (geographical, geological, lithological, meteorological, and silvicultural
82 features). The survey plots were selected in function of several criteria: (i) location inside a protective forest;
83 (ii) proximity to a village or an infrastructure; (iii) hillslope inclination higher than 20°; and (iv) inclusion in
84 publicly-owned forests. In each plot (circular with 20-m radius), we measured diameter at breast height
85 (*DBH*), total height and position of all living trees with $DBH \geq 0.075$ m. Average x and y coordinates were
86 derived in case of multi-stemmed individuals.

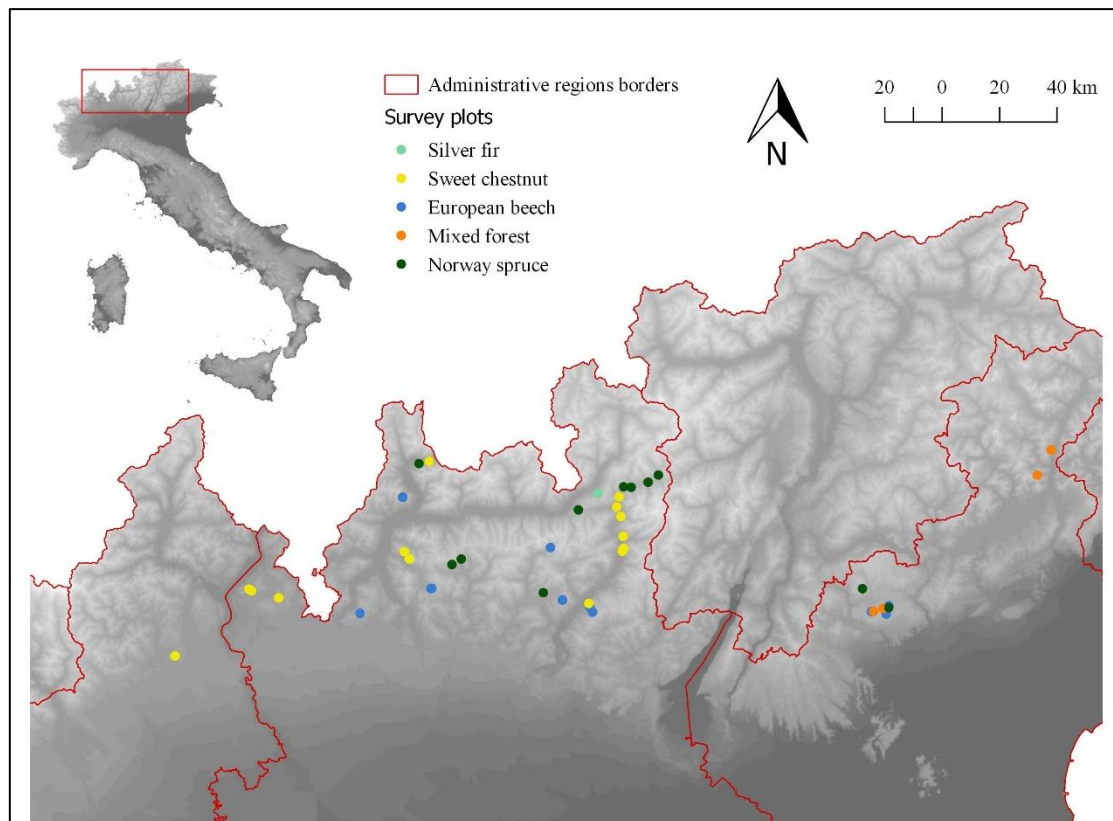


Figure 1. Location of sample plots and dominant tree species.

87

88

89

90 2.2 Spatial pattern quantification

91 Using tree coordinates as input, in each plot we computed the Clark-Evans index (Clark and Evans, 1954;
 92 Pommerening and Grabarnik, 2019), using the Kaplan-Meier type edge correction (Kaplan and Meier, 1958)
 93 to avoid edge bias. The value of Clark -vans index equals one when the population is randomly distributed, <
 94 1 for a clumped pattern and >1 for a regular (over-dispersed) pattern.

95

96 2.3 Modelling root reinforcement

97 We developed the MATLAB package rootFORCE, which estimates root reinforcement provided by a single
 98 tree as a function of species, *DBH* and distance from the stem base (*d*). rootFORCE combines two separate
 99 models: a Root Distribution Model (RDM) and the Root Bundle Model Weibull (RBMw), which are described
 100 below.

101

102 2.3.1 Root Distribution Model (RDM)

103 RDM (Schwarz et al. 2010) estimates the density of roots belonging to different size classes, based on the
104 static fractal branching model and the pipe theory (e.g., Ammer and Wagner, 2005). This model requests, as
105 input parameters, d (m) and DBH (m). RDM estimates the density of the fine roots (i.e., with a diameter < 1.5
106 mm) (FRs) using the following equations:

$$107 \quad FRs(DBH, d < m \sum_i DBH_i) = \Theta \frac{\frac{\pi}{4} (\sum_i^n DBH_i)^2 \left[\alpha + (1-\alpha) \frac{d}{m \sum_i DBH_i} \right]}{2\pi m \sum_i DBH_i} \quad (1)$$

$$108 \quad FRs(DBH, d \geq m \sum_i DBH_i) = \Theta \frac{\frac{\pi}{4} (\sum_i DBH_i)^2}{2\pi d} \quad (2)$$

109 Where Θ is the pipe theory coefficient (roots/m²), α and m are empirical dimensionless parameters, and
110 $\sum_i DBH_i$ is the sum of DBH of the trees belonging to the same stump.

111 To estimate the density of roots >1.5 mm (CRs), RDM uses a two-parameter Gumbel cumulative distribution
112 function:

$$113 \quad CRs(\phi_i, DBH, d) = FRs(DBH, d) \frac{1 - \exp\left[-\exp\left(\frac{\phi_i - a}{b}\right)\right]}{1 - \exp\left[-\exp\left(\frac{\phi_0 - a}{b}\right)\right]} \quad (3)$$

114 Where ϕ_i is the diameter of CRs , a and b are the two Gumbel parameters.

115 The coefficients α , m , a and b are estimated via ordinary least square regression between observed and
116 simulated root density; Mean Percentage Error (MPE, Eq. 4) and Root Mean Square Error (RMSE, Eq.5) were
117 chosen as goodness-of-fit metrics:

$$118 \quad MPE = \frac{100\%}{M} \sum_j^M \frac{1}{n} \sum_i^n \left(\frac{y_{i,k} - x_{i,k}}{x_{i,k}} \right) \quad (4)$$

$$119 \quad RMSE = \frac{1}{M} \sum_j^M \sqrt{(y_{i,k} - x_{i,k})^2} \quad (5)$$

120 where M is the number of plots, n is the number of observed trench profiles, $x_{i,k}$ and $y_{i,k}$ are the observed and
121 predicted root density in the i -th trench profile at the k -th study site.

122

123 2.3.2 Root Bundle Model Weibull (RBMw)

124 RBMw estimates the tensile strength of a root bundle (Schwarz et al., 2013). The model is based on a strain-
125 step loading approach and is calibrated on force-displacement curves of root bundles. RBMw includes
126 mechanical and geometrical properties of roots, such as modulus of elasticity (E), ultimate tensile resistance
127 (F_{max}) and root elongation (L), which are modelled by power functions:

128 $F_{max}(\phi_i) = F_0 \left(\frac{\phi_i}{\phi_0}\right)^\xi$ (6)

129 $E(\phi_i) = r E_0 \left(\frac{\phi_i}{\phi_0}\right)^\beta$ (7)

130 $L(\phi_i) = L_0 \left(\frac{\phi_i}{\phi_0}\right)^\gamma$ (8)

131 where F_0 , E_0 and L_0 are multiplicative coefficients, ξ , β and γ are exponential coefficients, and r represents
 132 the effect of root tortuosity on Young's modulus.

133 In accordance with the elasticity law, the root reinforcement of a bundle of roots (F_{tot}) is calculated by
 134 summing the contribution of each root as a function of displacement (Δx):

135 $F_{tot}(\Delta x) = \sum_i^N F(\phi_i, \Delta x) S(\Delta x^*)$ (9)

136 Where F is the tensile force of a single root and S is a function of the normalized displacement Δx^* , as
 137 described by the following equations:

138 $F(\phi_i, \Delta x) = \frac{\pi E_0}{4L_0} \phi_i^{2+\beta-\gamma}$ $F(\phi_i, \Delta x) \leq F_{max}(\phi_i)$ (10)

139 $S(\Delta x^*) = \exp\left[-\left(\frac{\Delta x}{\lambda}\right)^\omega\right]$ (11)

140 where λ is the Weibull scale parameter and ω is the Weibull shape parameter (dimensionless).

141

142 2.3.3 RDM and RBMw calibration

143 RDM calibration requires measures of root spatial distribution and root density collected in trench profiles
 144 at different distances from the stem base. RBMw calibration requires an evaluation of the biomechanical
 145 properties of roots (tensile properties), observed through tensile tests in the laboratory or by pull-out tests
 146 in the field (Cislaghi et al., 2017a; Giadrossich et al., 2017). In the present study, RDM and RBMw parameters
 147 were calibrated using a total of 27 sample plots located in Norway spruce (18 trench profiles in 3 plots), silver
 148 fir (12 trench profiles in 2 plots), European beech (12 trench profiles in 2 plots) and sweet chestnut (24 trench
 149 profiles in 4 plots) stands. In each plot, we measured root spatial distribution and root density at different
 150 distances from the stem base (approximately 1.5 m, 2.5 m and 3.5 m) using the trench wall method (Böhm,
 151 1979). We imaged the vertical profile of each excavated trench into raw pictures that were manually rectified
 152 using a GIS software (Schmid and Kazda, 2002). On each picture, we identified all roots and measured their
 153 diameter. Roots with a diameter smaller than 0.5 mm were excluded due to high uncertainty in
 154 photointerpretation. To assess root tensile properties, we collected samples of living roots from the 27 plots,
 155 and preserved them into plastic tappers with 15% alcohol solution. Then, within two weeks from the
 156 collection of samples, we performed tensile tests in laboratory, using an Electromechanical Universal Testing

157 Machine (MTS Criterion® Series 40). Tensile tests consisted in measuring the tensile resistance in function of
158 strain using a load cell (full scale 500 N, accuracy 0.5 N).

159 2.4 Virtual random forest

160 Root reinforcement is highly dependent on the spatial distribution of trees (Moos et al., 2016; Roering et al.,
161 2003; Schmidt et al., 2001). Cislighi et al. (2017b) developed the Virtual Random Forest (VRF) model to
162 estimate the spatial distribution of root reinforcement values from measurements commonly found in forest
163 management plans, i.e., *DBH* frequency, tree density, and minimum distance between trees. Here, we
164 implement the VRF workflow using field measurements collected in the 103 sample plots and reducing the
165 input to only one variable (i.e., the *DBH* frequency). The algorithm (Fig. 2) includes the following steps:

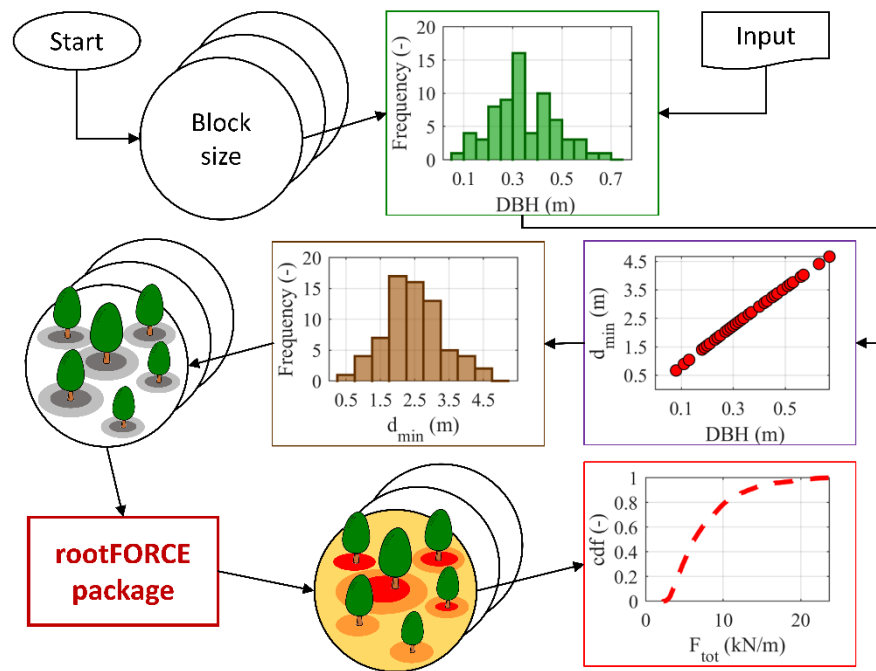
- 166 1. Parameterising the frequency distribution of stem diameters obtained by field measurements;
- 167 2. Estimating the minimum distance between trees (d_{min}) as a function of average tree diameter DBH_m :
168
$$d_{min} = D_0 DBH_m^\delta \quad (12)$$

169 where D_0 and δ are fitted parameters;
- 170 3. Generating of a set of virtual forests through a sequentially constrained Monte Carlo simulation (1,000
171 iterations) that produces random locations of trees respecting the inter-tree distance constrained
172 through the empirical rule (Eq. 12) and the *DBH* frequency distribution from step 1;
- 173 4. Estimating root reinforcement values and using the rootFORCE package, described in the section 2.3;
- 174 5. Generating a cumulative distribution function and spatially explicit map of root reinforcement values
175 based on root density in each virtual forest.

176 The similarity between the root reinforcement probability distributions and maps produced by VRF and those
177 resulting from estimation by rootFORCE from field-measured tree patterns and was examined through the
178 Lin's concordance correlation coefficient ρ^c (Lin, 1989):

$$179 \rho^c = \frac{2\sigma_{12}}{\sigma_1^2 + \sigma_2^2 + (\mu_1 - \mu_2)^2} \quad (13)$$

180 where μ_1 and σ_1^2 represent the mean and the variance for the root reinforcement values provided by the
181 VRF procedure, μ_2 and σ_2^2 represent the mean and the variance for the root reinforcement values provided
182 by the application of rootFORCE using the surveyed plots and the σ_{12} is the covariance of the two outputs.
183 This index denotes an almost perfect concordance when >0.99 , substantial when $0.95-0.99$, moderate when
184 $0.90-0.95$, and poor when <0.90 (McBride, 2005).



185

186 *Figure 2. Flowchart of the virtual random forest (VRF) procedure. The main steps are as follows: (i) parameterising the DBH frequency*
 187 *distribution; (ii) estimating the minimum distance between trees by applying empirical relationships with DBH; (iii) generating tree*
 188 *positions constrained by minimum distances between trees, and sized constrained by the DBH frequency; (iv) generating root*
 189 *reinforcement maps using rootFORCE; and (v) calculating a cumulative distribution function for root reinforcement in each VRF plot.*

190 2.5 Thinning simulation

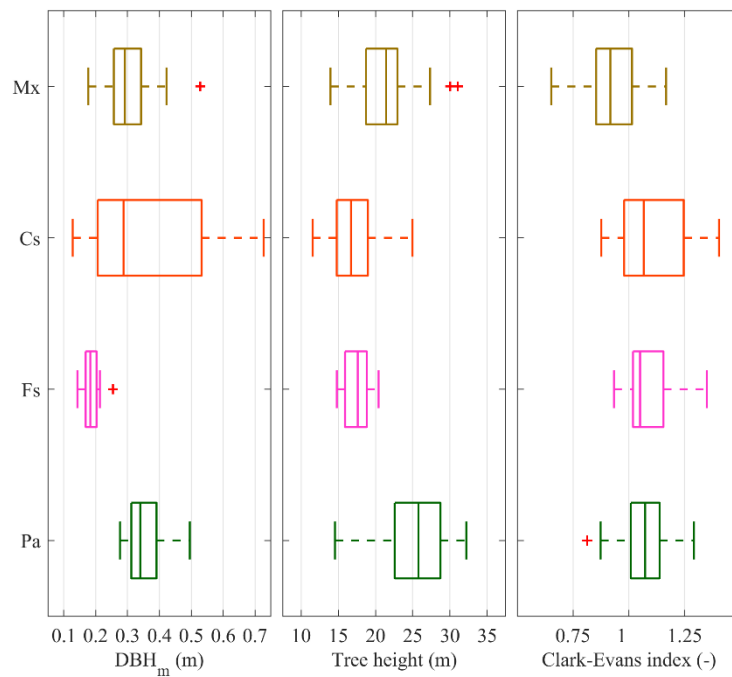
191 Thinning influences the growth and survival of the trees remaining in the stand, hence affecting the spatial
 192 distribution of root reinforcement and possibly slope stability (e.g., Cislighi et al., 2019; Sakals and Sidle,
 193 2004). In the present study, we simulated two thinning scenarios aimed at removing suppressed and sub-
 194 dominant trees, in order to funnel the resources for the growth of the remaining trees (Kerr and Haufe, 2011).
 195 In the first scenario, trees were randomly removed from the plot, whereas in the second they were removed
 196 in small groups from local hot-spots with high tree density. In both scenarios, thinning removed 18% of the
 197 total basal area of the plot as suggested by Del Favero (2004) for the Italian Alpine area. Furthermore, we
 198 operated under the following assumptions: (i) roots of removed trees are completely degraded after ten
 199 years from cutting (Bischetti et al., 2016; Sidle and Bogaard, 2016); (ii) the remaining trees grow according to
 200 a power *DBH*-time function (Bertogliati and Conedera, 2012); and (iii) ingrowth is negligible. After the
 201 applying thinning scenarios to the study plots, rootFORCE was applied again to estimate the change in the
 202 probability distribution of root reinforcement.

203 3 Results

204 3.1 Stand structure

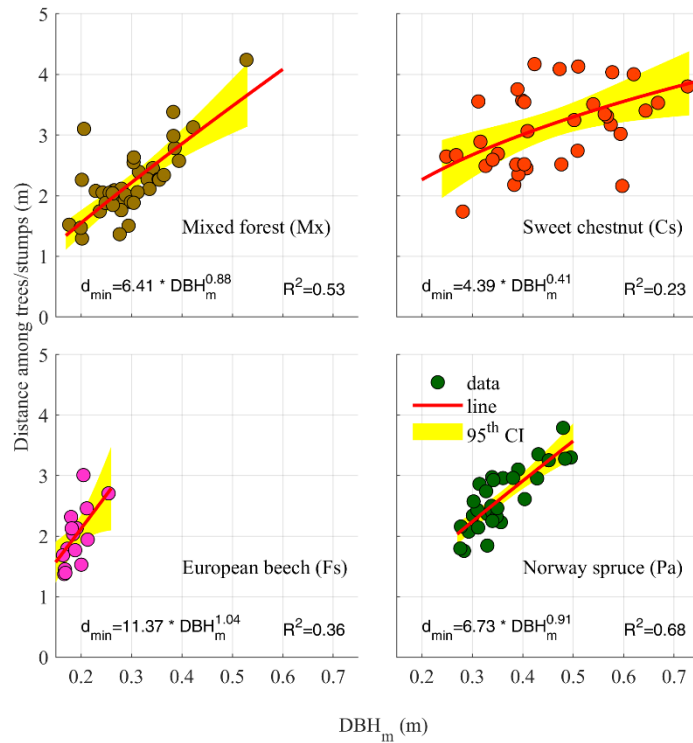
205 The range of *DBH* was 0.18-0.53 m in mixed forest plots, 0.13-0.73 m in sweet chestnut plots, 0.15-0.25 m in
206 European beech plots and 0.28-0.50 m in Norway spruce plots. Tree height ranged between 14 and 31 m in
207 mixed forest plots, 12-25 m in sweet chestnut plots, 15-20 m in European beech plots and 15-32 in Norway
208 spruce plots (Fig. 3). The degree of tree spatial aggregation varied among forest types. Mean Clark-Evans
209 index was 1.07 in European beech and Norway spruce plots, 1.29 in sweet chestnut plots (indicating a
210 tendency towards a regular point pattern), and 0.94 in mixed forests and it was 0.94, suggesting a clumped
211 tree pattern (Fig.3).

212 The relationship between the minimum distance between trees and DBH_m (Eq.12) was significant for all the
213 forest types. Sweet chestnut and European beech revealed a moderate goodness-of-fit ($R^2=0.23$ and
214 $R^2=0.36$), whereas Norway spruce and mixed forest exhibited a strong fitting ($R^2=0.53$ and $R^2=0.68$) (Fig.4).



215

216 *Figure 3. Dendrometric features observed in the surveyed plots in function of the forest types (Mx = mixed forest; Cs = sweet chestnut;*
217 *Fs = European beech; Pa = Norway spruce).*



218

219 *Figure 4. Relationship between average minimum distance among trees and DBH_m in function of forest types: markers are the*
 220 *observations, red lines are the fitted relationships (Eq.12) and the yellow areas are the 95th confidence intervals.*

221

222 3.2 Calibration of rootFORCE package

223 The calibration of the RDM coefficients aimed to minimize the differences between observed and simulated
 224 root density. In silver fir MPE was 3.73% ($\pm 1.74\%$) and RMSE was 26.47 root m^{-2} (± 14.56), in sweet chestnut
 225 MPE was 7.43% ($\pm 1.03\%$) and RMSE was 39.50 root m^{-2} (± 20.82), in European beech MPE was 2.47% ($\pm 2.08\%$)
 226 and RMSE was 18.68 root m^{-2} (± 15.49), and in Norway spruce MPE was 1.22% ($\pm 1.42\%$) and RMSE was 15.29
 227 root m^{-2} (± 10.44). In the optimal set of RDM coefficients (Table 1), m and α can be approximated to values of
 228 4.000 and 0.500, respectively. Parameters a and b , which are used to estimate the distribution of coarse
 229 roots, showed a wider range (1.420-1.587 and 0.389-0.797, respectively). Finally, the parameter Θ , which is
 230 linked to fine root density, showed the highest variability, with values up to three times as high in beech as
 231 in silver fir.

232

Table 1. Results of calibration of Root Distribution Model (RDM).

Species	Θ (root/ m^2)	m (-)	α (-)	a (-)	b (-)
Silver fir	19712	3.967	0.500	1.587	0.797
Sweet chestnut	25044	3.996	0.495	1.472	0.534
European beech	56000	4.001	0.496	1.420	0.389
Norway spruce	31500	4.000	0.489	1.557	0.689

233

234 The calibration of RBMw was attained by fitting the non-linear regression for the maximum tensile force
 235 (Eq.6), the elastic modulus (Eq.7), the root elongation (Eq.8) and the Weibull function (Eq.9), using the results
 236 of the tensile tests. In terms of biomechanical properties, the roots of beech were stronger and, at the same
 237 time, more flexible than those of other species. On the other hand, the roots of Norway spruce and sweet
 238 chestnut were more rigid. The roots of silver fir are the weakest in term of tensile resistance (Table 2).

239 *Table 2. Results of calibration of Root Bundle Model weibull (RBMw).*

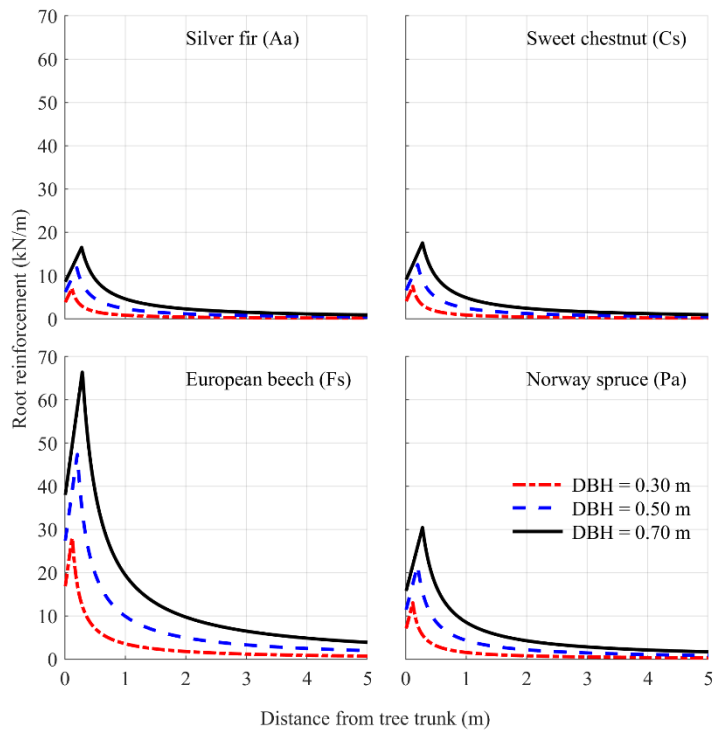
Eq.	Species	Silver fir	Sweet chestnut	European beech	Norway spruce
(6)	F_0 (N)	7.733	13.498	27.478	13.928
	ξ (-)	1.745	1.514	1.491	1.568
	R^2	0.759	0.749	0.777	0.664
(7)	E_0 (MPa)	116.319	230.197	288.155	211.886
	β (-)	-0.836	-1.189	-1.193	-1.385
	R^2	0.683	0.642	0.646	0.763
(8)	L_0 (mm)	0.062	0.065	0.069	0.068
	Υ (-)	0.129	0.067	0.114	0.134
	R^2	0.381	0.228	0.518	0.441
(11)	λ (-)	1.072	1.079	1.090	1.116
	ω (-)	2.970	3.319	3.242	2.359
	R^2	0.985	0.946	0.944	0.977

240

241 3.3 Root reinforcement estimation

242 After the calibration phase, rootFORCE provided an estimation of root reinforcement by a single tree, as a
 243 function of its species, diameter and biomechanical root properties. Silver fir had the lowest root
 244 reinforcement (7.08, 11.80, and 16.53 kN/m at a distance of 0.12, 0.20, and 0.30 m from stem base and for
 245 a DBH of 0.30, 0.50, and 0.70 m, respectively. The values were slightly higher in sweet chestnut (7.52, 12.54
 246 and 17.56 kN/m), almost twice as high in Norway spruce (13.06, 21.76, and 30.46 kN/m) and highest
 247 European beech (28.02, 47.36, and 66.38 kN/m, i.e., almost four times higher than those of silver fir and
 248 sweet chestnut).

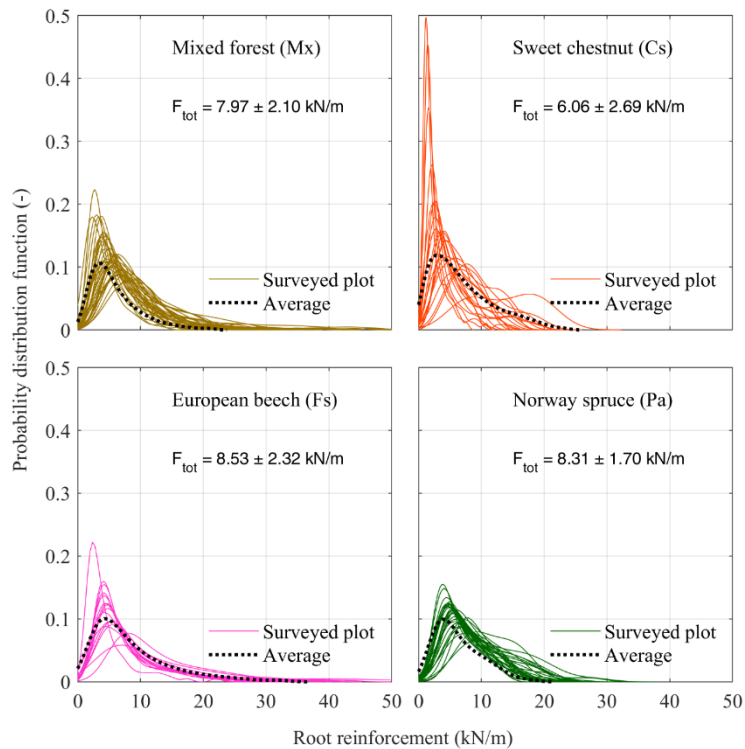
249 As expected, root reinforcement declined sharply with increasing distance. Indeed, at a distance of 3.5 m,
 250 root reinforcement was < 0.75 kN/m for single silver fir and chestnut, slightly higher than 1.25 kN/m for
 251 spruce, and as high as 2.85 kN/m for beech (Fig. 5). The average plot-scale root reinforcement for each forest
 252 type was 7.97 ± 2.10 , 8.31 ± 1.70 , 8.53 ± 2.32 , and 6.06 ± 2.69 kN/m in mixed forest, Norway spruce, European
 253 beech and sweet chestnut stands, respectively. The probability distribution of root reinforcement
 254 significantly differed among forest types (Fig. 6). This was underlined also by the difference in average
 255 maximum root reinforcement in all sample plots: 34.75 ± 7.38 kN/m for European beech, 28.60 ± 8.71 kN/m
 256 for mixed forests, 20.85 ± 3.24 kN/m for Norway spruce, and 15.04 ± 4.04 kN/m for sweet chestnut stands.



257

258 *Figure 5. Root reinforcement of a tree in relation to the distance from the stem base, the DBHs (0.30 m, 0.50 m and 0.70 m), and the*
 259 *tree species (silver fir, sweet chestnut, European beech and Norway spruce).*

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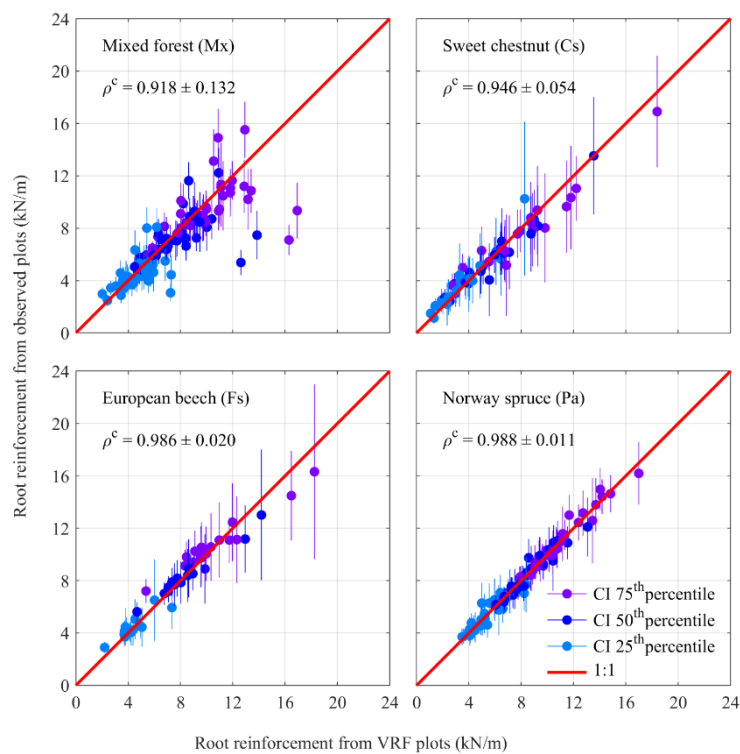


261

262 *Figure 6. Probability distribution of root reinforcement values evaluated applying the rootFORCE package. Continuous lines represent*
 263 *the probability distribution in each plot, whereas dashed lines represent the average probability distribution in the four forest types*
 264 *(mixed forest, sweet chestnut, European beech and Norway spruce).*

265 3.4 Virtual random forest

266 We generated 1,000 virtual forests for each *DBH* frequency of the survey plots, and hence 1,000 distribution
267 maps of root reinforcement values (Fig.7). The concordance between maps of root reinforcement obtained
268 from VRF and from field measurement plus rootFORCE estimation depended strictly on the type of *DBH*
269 frequency distribution. The average Lin's concordance correlation coefficient was higher ($\rho^c=0.99\pm0.01$) in
270 Norway spruce, suggesting a perfect concordance. A substantial concordance was obtained for chestnut and
271 beech stands ($\rho^c=0.95\pm0.05$ and $\rho^c=0.99\pm0.02$ respectively). The lowest value of ρ^c was obtained in mixed
272 forest (0.92 ± 0.13), probably due to an exacerbated bimodal *DBH* frequency distribution and a grouped tree
273 spatial distribution inside the observed plots.



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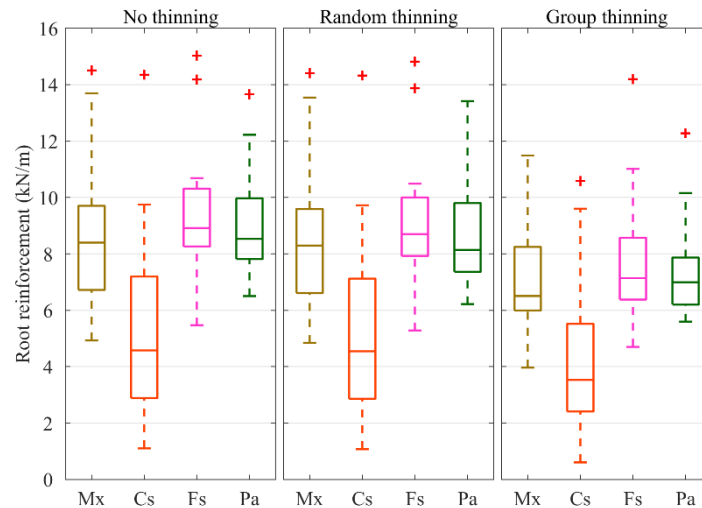
275 *Figure 7. Root reinforcement probability distribution obtained by VRF methodology compared to those obtained directly using the*
276 *observed forest configurations as input parameter.*

277

278 3.5 Thinning effects

279 Despite having the same intensity (-18% of the total basal area), the two thinning scenarios produced
280 significant different effects (Fig.8). Random thinning reduced average root reinforcement value by less than
281 11% relative to before treatment. A mean reduction of approximately 2% was estimated in mixed and
282 chestnut forests, and of 4-6% in Norway spruce and European beech stands. Group thinning had a stronger
283 impact on root reinforcement, with reductions of 25% to 28% on average. Forest types showed similar
284 average effects but differed widely in their variability, which was much larger in chestnut forests. Norway

285 spruce and European beech plots were again more sensitive to thinning on average, even if maximum
286 reductions of root reinforcement were registered in mixed and chestnut stands (-47.6% and -56.9%
287 respectively).



288

289 *Figure 8. Root reinforcement in function of forest types (Mx = mixed forest; Cs = sweet chestnut; Fs = European beech; Pa = Norway*
290 *spruce) and thinning spatial configuration (random or group).*

291 4 Discussion

292 4.1 Applicability of rootFORCE

293 The rootFORCE package allows to provide the probability distribution of root reinforcement in forest stands.
294 In this study, the root reinforcement was estimated for mixed forest, Norway spruce, sweet chestnut and
295 European beech stands, starting from *DBH* spatial distribution. The proposed methodology is an attempt to
296 face the wide variability and uncertainty derived from the observations of root systems in calculating root
297 reinforcement for a specific area through not the estimation of a single value for the entire forest stand, but
298 providing a stochastic sample in function of the forest stand configuration. The obtained probability
299 distribution of root reinforcement values in function of forest types can be included in raster-based stochastic
300 slope stability analysis overcoming specific distributions adopted so far (e.g., uniform, normal and lognormal
301 distributions) (Arnone et al., 2016; Hammond et al., 1992; Milledge et al., 2014; Pack et al., 1998) and
302 improving the alternative methodology previously developed (Cislaghi et al., 2018).

303 In this study, the estimation of root reinforcement showed a significant variability, ranging from 0 kN/m to
304 50 kN/m in according to their specific main characteristics of the forest stand. Such range is more
305 precautionary than reference values estimated by Schmidt et al. (2001) for an old Douglas fir forest, by
306 Schwarz et al. (2012) in an Apennine chestnut forest and by Mao et al. (2012) in an Alpine conifer forest. On
307 the other hand, these results are in perfect agreement with some recent works. Dorren and Schwarz (2016)

308 analysed the root reinforcement for Norway spruce, silver fir and European beech in Switzerland, quantifying
309 a range between 0 and 15 kPa. Chiaradia et al. (2016) achieved similar results investigating the same tree
310 species; however, they neglected the role of stand structure. Dazio et al. (2018) investigated the role of
311 coppicing on root reinforcement in chestnut stands collecting data on root distribution and biomechanical
312 properties of roots providing results in agreement with those one showed in this paper.

313 Besides the use of *DBH* spatial distribution as input parameter, the present study proposed an alternative
314 feasible method, the VRF, aimed to quantify the root reinforcement at stand level starting from simpler stand
315 features such as *DBH* frequency distribution. These forestry data are often available from forest management
316 plans where can be found as average values for each forest section or can be derived from other forestry
317 stand characteristics such as tree age, total basal area or tree density. Therefore, it is possible to characterize
318 each forest section also in terms of root reinforcement (and consequently in terms of slope stability). VRF
319 can be replaced when detailed field surveys and forestry inventories obtained through LiDAR applications
320 are available (Duncanson et al., 2015; Marchi et al., 2018; Moser et al., 2017). In fact, tree-based methods
321 used in LiDAR data analysis can give information about position and dimension of each tree belonging to the
322 stand, even if the performance of the results depend on tree species and forest type (Eysn et al., 2015).
323 However, such analysis are sometimes too expensive and time-consuming (hours of specialized users and
324 specific instruments) in particular over large territory.

325 4.2 Root reinforcement and thinning simulation

326 Thinning is a primary silvicultural practice that modifies stand structure and tree density, influencing the
327 contribution of trees on the slope stability (Bishop and Stevens, 1964). The results of the thinning simulation
328 confirmed what has been already showed in Cislighi et al. (2019): a random thinning planned to remove 18%
329 of trees causes a slight reduction of spatial root reinforcement below the 6%, on average. The canopy
330 perimeter and the canopy cover have been investigated as proxy for estimating root lateral expansions and
331 of root reinforcement (Choi et al., 2016; Hodgkins and Nichols, 1977). Another advantage consists in not
332 exacerbate the distance among trees preserving a maximum distance of 5 m. In fact, several authors,
333 investigating coniferous stands, emphasized as a distance >6 m between two neighbouring trees could be a
334 zone of weakness, i.e., the measured distance between a boarder tree and a landslide scarp (Bischetti et al.,
335 2016; Mao et al., 2014; Moos et al., 2016). Conversely, this last preventive measure is not observed in case
336 of the group thinning. The group thinning with the same intensity of the random thinning exerts more
337 influence on the spatial distribution of root reinforcement. Opening gap causes a reduction of root
338 reinforcement ranging between -23.85% and -29.92%, on average, with extreme case reaching almost -60%.
339 For this reason, the group thinning can cause a significant reduction of root reinforcement, and therefore, an
340 increase of landslide susceptibility, especially where the slope inclination is higher than 20°. In addition,
341 differences in terms of root reinforcement values were found among the investigated forest types. Spruce

342 and beech stands, often composed by trees of similar size and age, showed more susceptibility to thinning
 343 than mixed forest and sweet chestnut stands. This discrepancy was probably due to the fact that, in mixed
 344 forest and sweet chestnut stands, low thinning led to remove all small trees with $DBH < 0.15$ m that
 345 contribute least to the root reinforcement (Fig.5).

346 In addition to the changes in the stand structure due to tree cuttings, other aspects must be considered such
 347 as the root degradation of a cut tree, the root expansion and the tree growth of the remaining trees and the
 348 root expansion of new seedlings. Root degradation is a natural process that includes both the deterioration
 349 of root mechanical properties and the reduction in the number of roots causing a rapid decay in terms of
 350 root reinforcement. Since the Seventies, pioneering studies investigated the root decay over the time after
 351 tree cutting, in particular after a clear-cutting, describing the rate of root reinforcement (ΔC) in function of
 352 time through negative exponential functions (Burroughs and Thomas, 1977; Sidle, 1992; Vergani et al., 2016):

$$353 \Delta C = \exp(-k t^n) \quad (13)$$

354 where ΔC is the rate of root reinforcement (dimensionless with a range 0-1), k and n are two empirical
 355 coefficients, and t is the time after cutting in years.

356 Despite the estimated rate of root reinforcement decay was extremely wide because of differences in
 357 environmental conditions, tree species, thinning intensity and methodology for quantifying root
 358 reinforcement (as reported in Table 3), most of the studies underlined how the minimum reinforcement was
 359 reached within 10 years after cutting.

360 *Table 3. Reduction rate of tensile strength and root reinforcement for different species and sites available from the literature. The*
 361 *estimation rate was calculated fitting a negative exponential relationship.*

Site	Species	Root reinforcement	ΔCr (T=2 yr)	ΔCr (T=5 yr)	ΔCr (T=10 yr)	ΔCr (T=20 yr)	References
Brembana valley (Italy)	Silver fir (<i>Abies alba</i>) and Norway spruce (<i>Picea abies</i>)	Fiber Bundle Model	9.47%	2.80%	0.74%	0.12%	Bischetti et al. (2016)
Idaho (United States)	Douglas fir (<i>Pseudotsuga menziesii</i>)	Empirical Model	44.88 %	6.14%	0.08%	0.00%	Burroughs and Thomas (1977)
Western Oregon (United States)	Douglas fir (<i>Pseudotsuga menziesii</i>)	Empirical Model	37.65 %	32.73 %	29.05%	25.45%	Burroughs and Thomas (1977)
Serchio valley (Italy)	European beech (<i>Fagus sylvatica</i>)	Wu & Waldron Model	74.84 %	42.59 %	14.48%	1.26%	Preti (2013)
North Westland (New Zealand)	Hard beech (<i>Nothofagus truncata</i>), red beech <i>N. fusca</i> , kamahi (<i>Weinmannia racemosa</i>) and rimu (<i>Dacrydium cupressinum</i>)	Wu & Waldron Model	60.45 %	27.52 %	7.21%	0.47%	O'Loughlin and Ziemer (1982)
Southeast Alaska (United States)	Yellow-cedar (<i>Cupressus nootkatensis</i>), Sitka spruce (<i>Picea sitchensis</i>), and western hemlock (<i>Tsuga heterophylla</i>)	Wu & Waldron Model	88.23 %	74.22 %	56.28%	33.02%	Johnson and Wilcock (2002)
Sanko catchment (Japan)	Sugi (<i>Cryptomeria japonica</i>)	Empirical Model	61.22 %	43.71 %	29.27%	16.13%	Kitamura and Namba (1981)
Ashley State Forest (New Zealand)	Radiata pine (<i>Pinus radiata</i> D.Don)	Average Tensile Strength	29.77 %	1.09%	0.00%	0.00%	O'Loughlin and Watson (1979)
Southeast Alaska (United States)	Hemlock	Average Tensile Strength	76.08 %	70.56 %	65.76%	60.42%	Zierner and Swanston (1977)
Southeast Alaska (United States)	Sitka spruce	Average Tensile Strength	94.10 %	76.34 %	43.43%	7.61%	Zierner and Swanston (1977)
British Columbia (Canada)	Douglas fir (<i>Pseudotsuga menziesii</i>)	Average Tensile Strength	65.14 %	17.44 %	0.64%	0.00%	O'Loughlin (1974)

British Columbia (Canada)	Western red cedar (<i>Thuja plicata</i> Don)	Average Tensile Strength	76.49 %	34.27 %	4.72%	0.02%	O'Loughlin (1974)
Northern California (United States)	Shore pine (<i>Pinus contorta</i>)	Average Tensile Strength	47.64 %	30.98 %	19.08%	9.61%	Ziemer (1981)
North Island (New Zealand)	Kanuka (<i>Kunzea ericoides</i> var. <i>ericoides</i>)	Average Tensile Strength	54.04 %	20.92 %	4.21%	0.16%	Watson et al. (1997, 1999)
North Island (New Zealand)	Southern Rata (<i>Metrosideros umbellata</i> Cav.)	Average Tensile Strength	57.67 %	26.70 %	7.73%	0.70%	Watson et al. (1997, 1999)
British Columbia (Canada)	Douglas fir (<i>Pseudotsuga menziesii</i>)	Empirical Model	53.15 %	47.30 %	42.71%	38.02%	Sakals and Sidle (2004)
Canton of Glanora (Switzerland)	Norway spruce (<i>Picea abies</i>)	Average Tensile Strength	98.05 %	86.37 %	51.28%	4.76%	Ammann et al. (2009)
Canton of Schwyz (Switzerland)	Norway spruce (<i>Picea abies</i>)	RBMw Model	80.64 %	43.12 %	9.45%	0.13%	Vergani et al. (2016)

362

363 5 Conclusions

364 In the present study we developed, calibrated and validated a model for estimating the root reinforcement
365 at stand scale, using the spatial distribution of tree diameter as the unique parameter. Stand structure data
366 were collected in 103 plots, belonging to four common Alpine forest types (Norway spruce, sweet chestnut,
367 European beech and mixed forest with same cover of Norway spruce, silver fir and European beech) The
368 average values of root reinforcement within forest types were 7.97 kN/m, 8.31 kN/m, 8.53 kN/m, and 6.06
369 kN/m in mixed forest, Norway spruce, European beech and sweet chestnut stands respectively. The shapes
370 of the probability distribution functions were significantly different among forest types. The best
371 concordance between root reinforcement modelled from field *DBH* spatial distribution and VRF method was
372 obtained in Norway spruce forest (Lin's concordance correlation coefficient, $\rho^c=0.99\pm 0.01$). The thinning
373 simulation gave different reduction of root reinforcement in function of the different spatial distribution of
374 the cuttings. The random thinning did not significantly modify the root reinforcement, causing a quite
375 negligible reduction below the 6%. On the other hand, group thinning causes a significant decrease,
376 approximately 25% on average. These results suggest that forest management must be mistake into account
377 the contribution of trees to mitigate the landslide triggering, especially proximity of infrastructures or
378 villages. The spatial modelling of root reinforcement through the here-tested rootFORCE and VRF models
379 may help forest managers to assess the contribution of forests on reduce landslides.

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