

1 Modeling below-ground biomass to improve sustainable management of *Actaea racemosa*, a
2 globally important medicinal forest product

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16

17

18 **Abstract**

19

20 Non-timber forest products, particularly herbaceous understory plants, support a multi-billion
21 dollar industry and are extracted from forests worldwide for their therapeutic value. Tens of
22 thousands of kilograms of roots and rhizomes of *Actaea racemosa* L., a native Appalachian
23 forest perennial, are harvested every year and used for the treatment of menopausal
24 conditions. Sustainable management of this and other wild-harvested non-timber forest
25 products requires the ability to effectively and reliably inventory marketable plant components.
26 However, few methods exist to estimate below-ground biomass (roots and rhizomes) based on
27 above-ground metrics. Data from a sustainable harvest study of *A. racemosa* L., to estimate the
28 relationship of above-ground vegetation components to below-ground (roots and rhizomes)
29 biomass was used to develop the model to predict root mass. Over 1000 plants were extracted
30 from two sites in the Central Appalachian Mountains of Virginia. Measurements of plant height
31 and canopy dimensions were matched with corresponding weights of roots and rhizomes. A
32 multi-staged process was used to fit a mixed effects model. A random effects structure was
33 selected using Akaike's Information Criterion, while the fixed effects structure was simplified
34 through backward selection using likelihood ratio tests. Over 500 plants were harvested from
35 three neighboring sites to evaluate the effectiveness of the model in predicting below-ground
36 biomass based on above-ground metrics. The relationships between above and below-ground
37 biomass of plants from the sustainability study sites and the validation study sites were similar,
38 indicating effectiveness of the model. Predicted values for the validation data were, on average,
39 slightly larger than the observed values indicating a small bias. The 95% prediction intervals
40 computed from the model, however, covered the true values more than 95% of the time. This
41 study demonstrates that estimating marketable root and rhizome biomass of native medicinal
42 plants is feasible at a stand level. The model will serve as a valuable tool for inventorying forest
43 products, allowing estimation of below-ground biomass based on above-ground metrics. Use of
44 this tool will aid in developing effective inventory and management strategies for wild-
45 harvested medicinal plants. Adaptation of this model to other species will encourage efforts
46 toward sustainable use of non-timber forest products worldwide.

47

48 **Key words:** Appalachian hardwood forests, black cohosh, forest inventory, medicinal plants,
49 non-timber forest products, wild-harvest

50

51 **1. Introduction**

52

53 Non-timber forest products, particularly from herbaceous understory plants, are being
54 extracted at an astounding pace from forests worldwide to support culinary, floral, herbal
55 medicine, and other 'non-traditional' forest product industries (Chamberlain et al. 1998;
56 Chamberlain et al. 2004; Peck et al. 2008). Muir et al. (2006) estimated the value of commercial
57 moss harvest, in the United States, at about \$11 million, annually. According to Schippman et
58 al. (2002) the twelve leading countries, world-wide, exported more than 280,000 tons of
59 medicinal and aromatic plants worth over \$640 billion from 1991 through 1998. As these
60 products, and other non-timber forest products, have been harvested for generations with little
61 or no management, the potential for over-harvesting and endangerment of wild-harvested
62 species is tremendous (Schippmann et al. 2002; Lawrence 2003). Resulting population declines
63 have been witnessed in *Panax quinquefolius* L. (American ginseng) (Nantel et al. 1996; McGraw
64 2001), *Aquilaria malaccensis* Lam. (Agarwood) (Paoli et al. 2001), and *Hydrastis canadensis* L.
65 (Goldenseal) (Sinclair et al. 2005).

66

67 *Actaea racemosa* (black cohosh) is one of many forest herbs native to the Appalachian
68 Mountain region of eastern North America that is harvested for its commercial value (Foster
69 1995; Predny et al. 2006; Small et al. 2011). Native Americans in deciduous forests of eastern
70 North America harvested roots and rhizomes to treat female conditions and a variety of other
71 ailments (Predny et al. 2006). The use of black cohosh expanded when early European settlers
72 adopted many of these treatments and started using the roots to treat smallpox and cholera.
73 Today, roots and rhizomes of black cohosh are harvested primarily to support demand for
74 herbal treatment of menopausal symptoms. Between 1997 and 2005, over 1 million kilograms
75 of roots and rhizomes were harvested from natural populations (Chamberlain et al. 2002;

76 American Herbal Products Association 2007) and, in the one year period ending June 1998,
77 retail sales of black cohosh products increased more than 500% (Blumenthal 1999). The
78 American Herbal Products Association (2007) estimates that more black cohosh was harvested
79 between 1997 and 2005 than any other medicinal plant tracked by the Association, with little
80 effort to manage the plant as a natural resource (Chamberlain et al. 2002; Ticktin 2004).

81
82 A fundamental element in sustainable management of wild-harvested species is the ability to
83 effectively and reliably inventory, *in situ*, marketable stock of natural forest products, an
84 activity which – to date – is poorly understood. Though a prolific seed producer, most black
85 cohosh reproduction occurs through clonal expansion of below-ground rhizomes, the plant-part
86 harvested for medicinal use. Vegetative reproduction occurs by bud growth from the rhizomes
87 which are harvested near the end of the growing season (August through October), as above-
88 ground vegetation begins to senesce. At that time, active chemical constituents appear to be
89 greatest (Predny et al. 2006) in the rhizomes.

90
91 Knowledge about the population biology of clonal, rhizomatous plants, such as black cohosh, is
92 lacking because of the challenges of collecting data on below-ground organs (Wetzel and Howe
93 1999). Braly (2007) developed predictive models for root mass of *Sanguinaria canadensis* L.
94 (bloodroot) based on various above-ground organs in western North Carolina. Using regression
95 analysis, Braly (2007) found positive and significant relationships between rhizome weight and
96 the number of leaf lobes ($R^2 = 0.54$, $P < 0.0001$), stem height ($R^2 = 0.65$, $P < 0.0001$) and stem
97 diameter ($R^2 = 0.73$, $P < 0.0001$), respectively. In a greenhouse study of nine understory
98 herbaceous species, including *Actaea rubra* (Ait.) Willd. (a relative of *A. racemosa* L.), native to
99 coniferous forests in the Pacific Northwest U.S., Piper (1989) found a significant linear
100 relationship between natural log transformations of shoot and root dry biomass. Yonghua et al.
101 (2008) used plant height as a simple predictor ($R^2 = 0.87$, $P < 0.001$) of root to shoot ratios in
102 Alpine grasslands at a regional level in the Tibetan Plateau. While very few such studies have
103 been conducted, these provide a foundation for assessing below-ground biomass based on an
104 above-ground metric.

105
106 Increasing recognition that above and below ground plant components have tremendous
107 influence on each other and that their interactions control ecosystem processes (Wardle et al.
108 2004) has spurred more studies designed to predict root biomass based on shoot biomass, but
109 predominantly at the population, forest, or regional level (Harris 1992; Reynolds and Pacala
110 1993; Yonghua et al. 2008). Obtaining accurate estimates of below-ground biomass is
111 recognized as essential for determining its contribution to carbon storage. As such, most
112 analyses have focused on correlations with factors associated with forest stand development:
113 tree height, diameter, and tree density (Thornley 1998; Vogt et al. 1998; Mokany et al. 2006).
114 Niklas's (2004) model assumes, in fact, that below ground biomass for non-woody and woody
115 plants is only the result of root growth and does not recognize the contribution of rhizomes
116 from clonal plants. However, few studies focus on methods to inventory below-ground biomass
117 based on above-ground biomass (Piper 1989; Braly 2007; Yonghua et al. 2008).

118
119 Foresters have a long-history of measuring timber and estimating species-specific growth and
120 yields of forest stands; accurate mensuration techniques and biometric estimators of timber
121 products are well developed and accepted (Avery and Burkhart 1983; Clutter et al. 1992).
122 However, we lack this same knowledge for black cohosh and most other non-timber forest
123 products. No methods exist to inventory product volumes, or to estimate below-ground growth
124 and yield. As little is known about wild harvest impacts on black cohosh across its natural range,
125 the potential for unsustainable use is considerable (Predny et al. 2006; Small et al. 2011).
126 Adding to this challenge is the inability to determine how much rhizome biomass is available for
127 harvest or how much rhizome biomass accrues or sloughs each year. Being able to estimate
128 below-ground biomass based on above-ground metrics is essential in determining baseline
129 inventory volumes for single patches and for determining whether harvest intensities are
130 sustainable. The current study was conceived and designed to fill this gap in our knowledge. A
131 purpose of this study was to develop and validate a model that would predict below-ground,
132 harvestable biomass of black cohosh, based on above-ground measurable biomass. Our
133 resulting model provides a practical, efficient, and simple approach to guide forest managers in

134 the sustainable use of black cohosh, and should serve as a template in developing inventory
135 and management plans for other non-timber forest products.

136

137 **2. Methods**

138

139 This study stemmed from previous work that examined the impact of wild-harvesting on the
140 sustainability of black cohosh populations (Small et al. 2011). In 2005, long-term study sites
141 were established to examine sustainable harvest in two locations (Reddish Knob and Mt.
142 Rogers) in Virginia, USA. Data were collected from these sites from 2005 through 2011. In 2011,
143 the study was extended to three sites (Reddish Knob, Selu Conservancy, and Comers Rock) in
144 Virginia to provide data to evaluate the predictive ability of the model developed using data
145 from the initial sustainability study.

146

147 **2.1 Study Sites and Field Methods**

148

149 Two long-term study sites were established in healthy, robust natural populations of black
150 cohosh, to examine the effects of wild-harvesting practices (Small et al. 2011) and the
151 sustainability of natural stands. Populations were selected that were accessible to harvesters.
152 Sites were established in mixed oak stands in the George Washington-Jefferson National Forest,
153 Virginia, USA (Fig. 1). The northern site (Reddish Knob (RKS)) was in Augusta County
154 ($38^{\circ}26'33.52''\text{N} / 79^{\circ}15'51.80''\text{W}$) at an elevation of ~ 1190 m, on a moderately steep southeast-
155 facing slope. The southern site (Mt. Rogers (MR)) was in Wythe County, Virginia ($36^{\circ}45'36.56''\text{N}$
156 $/ 81^{\circ}12'57.66''\text{W}$) at an elevation of ~ 1180 m, on a moderately steep north-facing slope.

157

158 At each of the sustainability study sites (RKS and MR), one permanent 100 m transect was
159 established along the upper contour of a population of black cohosh. Twelve shorter sub-
160 transects, traversing the black cohosh stand, were established perpendicular to the main
161 transect. Sub-transect lengths reflected the width of the populations being considered; for RKS
162 sub-transects were 45 m and for MT they were 17 meters. Three 2 x 5 m sample plots were

163 located along each sub-transect. Sample plots were assigned one of three harvest treatments
164 (0, 33 or 66 percent). In total, one-third of the 36 sample plots in each replicate were assigned
165 to each harvest treatment. One additional replicate was set up at each site, proximal to the
166 original replicate, in each of the next two years, resulting in three replicates at each site.
167 Slightly different, but consistent, approaches were utilized at RKS and MR. At RKS all three plots
168 along the same subtransect were randomly assigned a harvest treatment, while at MR each of
169 the three plots along the subtransect were individually, randomly assigned a treatment.
170 Replicates established in subsequent years used the same protocols as the initial replicate at
171 the same location. The same data collection procedures were followed at each site and
172 replicate.

173
174 Within each sample plot, the location of every black cohosh stem (petiole) was mapped and the
175 number of black cohosh stems emerging from the ground was counted. Plant height, from
176 ground surface to the top of the main canopy of leaves, was recorded. Plant measurements
177 were made with a meter stick accurate to a half centimeter. Stems (petioles) originating from
178 discrete underground locations on rhizomes were treated as separate units. Two orthogonal
179 measurements of the main crown canopy were taken at the widest points to calculate crown
180 area (m^2). Based on observations that the canopy tends to be elliptical, we employed the
181 equation: $Area = [\pi \times D_1 \times D_2]/40000$, where D_1 and D_2 are orthogonal canopy diameter
182 measurements (cm). In plots that were harvested, plants with the largest canopy were selected
183 to mimic harvester practices. Above-ground vegetation (i.e., petiole, leaves, and flowering or
184 fruiting racemes) was kept attached to the harvested below-ground biomass (i.e., rhizome and
185 roots), yet weighed separately to allow for relationship analysis.

186
187 Comparisons, between sites, of the basic measurements of the plants harvested were
188 performed by fitting univariate random effects models with log root mass, log largest crown
189 area, and log plant height as the response variables, site and month as fixed effects, and year,
190 rep and plot as random effects. All measurements were log-transformed to improve normality
191 of the residuals from the fitted models, and the random effects structure was needed to

192 account for the complex nesting of data geographically and over time. Equality of the mean log
193 root mass, largest crown area, and plant height across sites were then tested using likelihood
194 ratio tests to compare models with and without site specific means.

195

196 **2.2 Model Development and Fitting**

197

198 Random effects were required in the model to account for the complex sampling scheme, and
199 model fitting proceeded through the multi-stage process for fitting mixed effects models
200 described by Zuur et al. (2009). As in Piper (1989) we found that root mass was linearly related
201 to the above ground measurements on the log-scale, and all analysis was conducted with log-
202 transformed measurements of root mass, crown area, and plant height. Computing was done
203 with the statistical software R (R Development Core Team 2011), using the package lme4 (Bates
204 et al. 2011). A full model of fixed and random effects was, initially, fit to the data. The random
205 effects structure was then simplified by removing terms judged not significant through
206 comparisons of Akaike's Information Criterion (AIC). After fixing the random effects structure,
207 the fixed effects structure was simplified through backward selection using likelihood ratio tests
208 for model comparison. Conceptually, the full model was:

209

$$210 \quad \text{Log (root mass)} = \text{log (largest crown area)} + \text{log (plant height)} + \text{harvest month} + \text{Year}_R \\ 211 \quad \quad \quad + \text{Replicate}_R + (\text{Transect} | \text{Replicate})_R + (\text{Plot} | \text{Transect} | \text{Replicate})_R + \epsilon$$

212 where:

213 Fixed Effects

- 214 • Log (largest crown area) = log transformed largest crown area of a plant
- 215 • Log (plant height) = log transformed height of a plant
- 216 • Harvest month = month in which harvest was done for a given site

217 Random Effects

- 218 • Year_R = effect due to year of harvest
- 219 • Replicate_R = effect due to replicates
- 220 • (Transect | Replicate)_R = effects due to transects nested in replicates

- $(\text{Plot}|\text{Transect}|\text{Replicate})_R$ + effects due to plots nested in transects nested in replicates
- ϵ = error, assumed to be normally distributed with mean 0 and constant variance σ^2

223

224 **2.3 Forest-based Validation**

225

226 In 2011, the study was extended to evaluate the effectiveness of the model in predicting the
227 relationship between above- and below-ground biomass of black cohosh at new locations.
228 Three sites were selected based on their abundance of black cohosh and proximity to the
229 original study sites. The first site (RKV) was near the original Reddish Knob site, in Augusta
230 County, VA, at an elevation of approximately 1,006 m with a southeast-facing slope. The second
231 site (CR) was near the Mt. Rogers site, but located in Grayson County, VA proximal to Comers
232 Rock, at an elevation of approximately 1,178 m with a south-facing slope. The third site (SC)
233 was located at Radford University's Selu Conservancy in Montgomery County, VA, at an
234 elevation of approximately 640 m, with nearly no slope.

235

236 At each site (RKV, CR and SC), thirty-six 1x1 m plots containing black cohosh plants were located
237 randomly along transects. Within each plot, every black cohosh above-ground stem was tagged
238 and measured for plant height and crown canopy, following the procedures previously
239 described. After all plants were measured, a 100% harvest was performed. Above-ground
240 (stems, leaves, and flower or fruiting racemes) and below-ground (rhizomes and roots) biomass
241 were recorded for each rhizome. Each rhizome was treated as an individual unit, and all above-
242 ground vegetation was kept with the associated rhizome. The resulting above- and below-
243 ground plant metrics were used to validate the original root biomass predictive model.

244

245 We compared the distribution of residuals for the sustainability study data with the residuals
246 for the validation study data to estimate the accuracy of the model. To demonstrate the
247 effectiveness of using the mixed effects model, predicted values for the sustainability study
248 sites were calculated in two ways: 1) using only the fixed effects, and 2) combining the fixed

249 and random effects. The difference between the distributions of the residuals for these two
250 cases indicates how much predictions can be improved with site specific information.

251

252 **3. Results**

253

254 **3.1 Data Summary and Site Comparisons**

255

256 A total of 1,164 [RKS, n = 362; MR, n = 802] rhizomes (including roots), and associated
257 vegetation were measured for the sustainability study that formed the basis for model
258 development and fitting. To validate the model, 551 rhizomes and connected vegetation [CR, n
259 = 108; RKV, n = 357; SC, n = 86] were measured (Table 1). A small number of observations did
260 not have associated root mass measurements and these were removed prior to computing
261 summary statistics and modeling the relationship between above and below ground biomass.

262

263 Statistics summarizing the distribution of the measurements of the plants harvested from each
264 site over all years are provided (Table 1). Root mass ranged from a minimum of 0.2 g for a plant
265 harvested at CR to a maximum of 1612 g for a plant harvested from RKS. Mean root mass at
266 each site ranged from a minimum of 21.63 g at SC to a maximum of 111.4 g at CR. Standard
267 deviations also followed a similar pattern with a minimum of 25.01 g at SC to a maximum of
268 172.68 g at RKS.

269

270 Across all sites and years, crown area varied from 0.002 m² for a plant harvested from RKV to
271 1.483 m² for a plant harvested from MR (Table 1). The mean crown area of plants at CR was the
272 largest ($\mu = 0.255$ m²), while the mean crown area for plants harvested from SC were
273 approximately 60 percent as large ($\mu = 0.151$ m²). Standard deviations of the crown area
274 followed a similar pattern, and were largest at CR ($\sigma = 0.229$ m²) and smallest at SC ($\sigma = 0.109$
275 m²).

276

277 Across all sites and years, plant height varied from 6 cm for a plant harvested from RKV to 110
278 cm for a plant harvested from MR (Table 1). Mean plant height over all years varied from 31.8
279 cm at SC to 47.9 cm at RKS. As with root mass and crown area, the standard deviation of plant
280 height followed a similar pattern and was smallest at SC ($\sigma = 12.4$ cm) and largest at CR ($\sigma =$
281 16.6 cm).

282
283 Estimates of the year adjusted median root mass, crown area, and plant height along with
284 standard errors and 95% confidence intervals obtained from the univariate random effects
285 models are provided (Table 2). Testing for differences in largest crown area between
286 sites/months of sampling produced a chi-square statistic of 0.00 with 5 degrees of freedom (DF)
287 and resulted in a p-value of 1.00. The chi-square statistic for plant height was calculated to be
288 10.16 (5 DF) and a p-value of 0.07. For root biomass a chi-squared statistic of 17.69 (5 DF)
289 resulted in a p-value of < 0.01 . We deduce from these that there is a statistically significant
290 difference in median root biomass between sites/month of sampling, weak and inconclusive
291 evidence of a difference in plant height, and no evidence of a difference in canopy area.

292 293 **3.2 Model Development**

294
295 The final model from the sustainability data set included largest crown area (log transformed),
296 plant height (log transformed), and month as fixed effects, and year, replication, transect, and
297 plot as random effects. All location variables and year were retained as random effects in the
298 final model, which is presented as:

$$\begin{aligned} \text{Log (root mass)} = & 3.33 - 0.02 (\text{July Harvest}) - 0.42 (\text{August Harvest}) + 0.76 \log (\text{largest} \\ & \text{crown area}) + 0.46 \log (\text{plant height}) + \text{Year}_R + \text{Replicate}_R + \\ & (\text{Transect} | \text{Replicate})_R + (\text{Plot} | \text{Transect} | \text{Replicate})_R + \epsilon \end{aligned}$$

303
304 The variance for all random effects combined was much smaller than the residual variance
305 (Table 3), indicating greater variation from plant-to-plant within a plot than across plots,

306 transects, and replications. More than 82 percent of the variance is accounted for in plant-to-
307 plant variation. The interaction term (largest crown area x height) and treatment effect over
308 time were not significant and therefore were omitted from the final model ($P = 0.7673$, $P =$
309 0.828). Harvest month significantly affected root biomass ($P = 0.002$) and, therefore, was
310 retained in the final predictive model. Exclusion of height and largest crown area showed both
311 to be significant ($P < 0.0001$, $P < 0.0001$). Thus, these predictors remained in the model as
312 explanatory variables.

313

314 **3.3 Model Validation**

315

316 The relationships between above and below-ground biomass at the sustainability (original)
317 study sites and the validation study sites were similar as evident by the considerable overlap in
318 data points (Fig. 2). The black squares and triangular points illustrate the relationships found at
319 MR and RKS between largest crown area, plant height and root biomass. The white circular,
320 diamond and upside down triangular points illustrate the relationships of above and below-
321 ground biomass variables at the three validation study sites (CR, RKV, and SC). The overlap of
322 these points illustrates the similarities between study sites. In the validation study, all plants
323 were harvested and hence more small plants are found in the graphics. In the sustainability
324 (original) study, large plants were selected to mimic harvesters' desire and hence the
325 distribution reflects such. In both graphics there is a clear upwardly increasing linear trend.
326 Root biomass increases as both largest crown area and plant height increase, respectively.

327

328 The proficiency of the model in predicting below-ground biomass based on above-ground
329 metrics is illustrated in comparing observed to predicted root mass (Fig. 3a). Ideally, all points
330 on the scatter-graphs should fall on or close to the dashed line. The density plots of the
331 residuals for the validation data and the sustainability (original) data, with and without the
332 random effects further illustrates the predictability of the validation study (Fig. 3b). The
333 residuals for the data from the sustainability study and used in model development are
334 centered on zero showing that the model provides unbiased prediction of the original data. The

335 mean residual for the validation data was -0.18 units (on log-scale) compared with -0.01 and -
336 0.02 for the residuals of the sustainability study data obtained from predicting log-root mass
337 from models including the random effects or based on fixed effects alone (i.e., without random
338 effects). The standard deviation of the residuals for the validation data was 0.86 compared with
339 0.82 and 0.78 for the residuals of the sustainability study data obtained from models with and
340 without random effects. An F-test comparing the variances of the residuals from the validation
341 data and from the model of the sustainability data without random effects showed that the
342 standard deviation of the residuals from the validation data were significantly larger ($P = 0.04$)
343 and a paired test also indicated a significant difference in the mean residuals ($P = 0.02$). These
344 results indicate that the root mass for the plants harvested in the validation study sites were
345 significantly smaller and slightly more variable than predicted by the model. On average, our
346 model over-estimated the root mass of plants harvested from the validation sites by a value of
347 0.18 on the log-scale, which translates to an average over-estimation of approximately 20% on
348 the natural scale.

349
350 Prediction intervals for data from the 2011 sustainability study covered the true log root
351 biomass for 94.3 percent of the plants. This is very close to the nominal value of 95%. For the
352 validation study, the prediction intervals covered the true log root biomass with an even higher
353 rate of 96.8 percent. This result was not expected given that the model was developed from the
354 sustainability study data and that the residuals from the validation study sites showed a slight
355 negative bias and slightly higher variance. The reason for this appears that the log root biomass
356 values from the validation study are closer to normally distributed with less extreme values.
357 The average width of the 95% prediction intervals was 3.77 indicating that the log root biomass
358 for an individual plant can be predicted to with approximately +/- 1.89 units.

359

360 **4. Discussion and Conclusions**

361

362 More than a hundred plant species from eastern forests of the U.S. have recognized medicinal
363 properties, dozens of which are sold in international markets (Krochmal et al. 1969; Foster

364 1995; Chamberlain et al. 2002). Over-harvesting has been suggested as a major cause of
365 population decline in many of these species (Sinclair et al. 2005; Mulligan and Gorchov 2005),
366 including black cohosh (Small et al. 2011), and linked to broader ecological impacts such as
367 increased plant susceptibility to herbivores, declines in avian diversity (with decreased fruit or
368 seed availability), and ecosystem-level nutrient losses (Ticktin 2004).

369
370 One kilogram of dried root of black cohosh has been estimated to contain approximately
371 6.3 rhizomes (Predny et al. 2006). This suggests that more than 6.3 million rhizomes were
372 exported from the U.S. from 1999 through 2002 with no effective way to predict below-ground
373 biomass prior to harvesting natural populations. This basic information is essential to to
374 determine if harvesting practices are sustainable. Thus, developing a model to predict
375 marketable below-ground biomass (roots and rhizomes) based on above-ground (stems and
376 vegetation) metrics is needed for the long term viability of non-timber forest products such as
377 black cohosh. Our model allows for adequate assessment of the volume of rhizomes available
378 for harvest at the stand level, although the high variability between plants with the same above
379 ground measurements makes it difficult to predict root mass of a single plant.

380
381 A small number of studies have found strong predictive relationships between above- and
382 below-ground parameters. For example, Anderson et al. (1993) found dry root biomass in
383 American ginseng to be strongly correlated with factors such as shoot biomass ($r = 0.98$), stem
384 height above ground ($r = 0.90$) and leaf area ($r = 0.88$). These biomass relationships in black
385 cohosh, however, are considerably more challenging, as it is often difficult to identify individual
386 genets. Excavating the plants reveals that multiple stems often are attached to a single
387 rhizome. Under close scrutiny, we also found that multiple rhizomes often are closely tangled
388 together. Van der Voort et al. (2003) report a similar rhizome arrangement in large populations
389 of goldenseal, another eastern forest herb harvested for the medicinal properties of its
390 rhizomes. In black cohosh, this phenomenon confounds efforts to predict below ground
391 biomass at an individual level.

392

393 One intent of this project was to develop a practical tool for foresters to improve inventory and
394 management of non-timber forest products. Based on results of this effort, the following model
395 can be used to estimate the root biomass in stands of black cohosh, at a stand level. Predictions
396 at new locations without previous information can be made based on the fixed effects alone.
397 The model is set up to allow for predictions based on the month of harvest: a value of one is
398 substituted into the equation for the month in which harvest occurs, otherwise the value is
399 zero.

400

$$401 \quad \text{Log (root mass)} = 3.33 - 0.02 (\text{July Harvest}) - 0.42 (\text{August Harvest}) + 0.76 \log (\text{largest} \\ 402 \quad \text{crown area}) + 0.46 \log (\text{plant height})$$

403

404 Sustainable management of wild-harvested medicinal plants, in the Appalachians forests of
405 eastern North America or throughout the world, requires accurate estimation of marketable
406 material. Long-term studies such as those reported, particularly those established in
407 consultation with local harvesting practices, have been identified as particularly valuable
408 research priorities for developing management plans to reduce harvest impacts (Ticktin 2004).
409 With plants that are harvested for below-ground storage organs, such as black cohosh,
410 determining availability of below-ground biomass has been nearly impossible without
411 excavation and destruction of the plants. The predictive model allows for estimation of below-
412 ground marketable rhizomes based on above-ground metrics, and provides a tool that can aid
413 in the sustainable management of natural populations. Though focused on black cohosh, the
414 protocols and model presented here are likely adaptable to other species harvested for below-
415 ground storage structures. Thus, forest managers worldwide should benefit from the results of
416 this study. Adapting the approach presented here to other non-timber forest products,
417 particularly native medicinal plants, is an explicit objective of future research, and should help
418 to improve management of economically important native species.

419

420 **Acknowledgements**

421

422 We are extremely grateful for all the volunteer citizen scientists who helped with the field work
423 on this effort. Simon Bonner's work on this project was partially supported by the KY-NSF-
424 EPSCOR Grant (NSF Grant No. 0814194). Also, a special thanks to the reviewers whose
425 comments and suggestions helped to improve the manuscript.

426 **5. References**

427

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Figure captions:

Figure 1. Location of black cohosh populations used in the sustainability and validation studies.

Figure 2. The relationships between the above and below ground measurements for the sustainability study sites and the validation sites. The significant overlap of data points demonstrates the similarities between plants harvested from the two studies.

Figure 3. Plots of predicted and residuals values illustrate the fit of the predictive model. The mean and standard deviation of the residuals for the validation data are -0.18 and 0.86 compared to -0.02 and 0.78 for the original data when using estimated random effects and -0.01 and 0.82 for the original data when using only the fixed effects (i.e., without random effects).