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## E CETACEAN STRANDING REPORT

### E.1 CETACEAN STRANDINGS AND THREATS

Strandings can involve a single animal or several to hundreds of animals. An event where animals are found out of their normal habitat may be considered a stranding even though animals do not necessarily end up beaching (such as the July 2004 “Hanalei Mass Stranding Event”; Southall et al., 2006). Several hypotheses have been given for the mass strandings which include the impact of shallow beach slopes on odontocete echolocation, disease or parasites, geomagnetic anomalies that affect navigation, following a food source in close to shore, avoiding predators, social interactions that cause other cetaceans to come to the aid of stranded animals, and human actions. Generally, inshore species do not strand in large numbers, but generally just as individual animals. This may be due to their familiarity with the coastal area. By contrast, pelagic species that are unfamiliar with obstructions or sea bottom tend to strand more often in larger numbers (Woodings, 1995). The Navy has studied several stranding events in detail that may have occurred in association with Navy sonar activities. To better understand the causal factors in stranding events that may be associated with Navy sonar activities, the main factors - including bathymetry (i.e. steep drop-offs), narrow channels (less than 35 nm), environmental conditions (e.g. surface ducting) and multiple sonar ships (see Section on Stranding Events Associated with Navy Sonar) - were compared among the different stranding events.

#### E.1.1 What is a Stranded Marine Mammal?

When a live or dead marine mammal swims or floats onto shore and becomes “beached” or incapable of returning to sea, the event is termed a “stranding” (Geraci et al., 1999; Perrin and Geraci, 2002; Geraci and Lounsbury, 2005; NMFS, 2007). The legal definition for a stranding within the U.S. is that “a marine mammal is dead and is (i) on a beach or shore of the United States; or (ii) in waters under the jurisdiction of the United States (including any navigable waters); or (B) a marine mammal is alive and is (i) on a beach or shore of the United States and is unable to return to the water; (ii) on a beach or shore of the United States and, although able to return to the water, is in need of apparent medical attention; or (iii) in the waters under the jurisdiction of the United States (including any navigable waters), but is unable to return to its natural habitat under its own power or without assistance.” (16 United States Code [U.S.C.] section 1421h).

The majority of animals that strand are dead or moribund (NMFS, 2007). For animals that strand alive, human intervention through medical aid and/or guidance seaward may be required for the animal to return to the sea. If unable to return to sea, rehabilitation at an appropriate facility may be determined as the best opportunity for animal survival. An event where animals are found out of their normal habitat may be considered a stranding depending on circumstances even though the animals do not necessarily end up beaching (Southall, 2006).

Three general categories can be used to describe strandings: single, mass and unusual mortality events. The most frequent type of stranding involves only one animal (or a mother/calf pair) (NMFS, 2007).

Mass stranding involves two or more marine mammals of the same species other than a mother/calf pair (Wilkinson, 1991), and may span one or more days and range over several miles (Simmonds and Lopez-Jurado, 1991; Frantzis, 1998; Walsh et al., 2001; Freitas, 2004). In North America, only a few species typically strand in large groups of 15 or more and include sperm whales, pilot whales, false killer whales, Atlantic white-sided dolphins, white-beaked dolphins and rough-toothed dolphins (Odell 1987, Walsh et al., 2001). Some species, such as pilot whales, false-killer whales and melon-headed whales occasionally strand in groups of 50 to 150 or more (Geraci et al., 1999). All of these normally pelagic off-shore species are highly sociable and infrequently encountered in coastal waters. Species that commonly strand in smaller numbers include pygmy killer whales, common dolphins, bottlenose dolphins, Pacific white-sided dolphin Fraser’s dolphins, gray whales and humpback whales (West Coast only), harbor porpoise,

Cuvier's beaked whales, California sea lions and harbor seals (Mazzuca et al., 1999, Norman et al., 2004, Geraci and Lounsbury, 2005).

Unusual mortality events (UMEs) can be a series of single strandings or mass strandings, or unexpected mortalities (i.e., die-offs) that occur under unusual circumstances (Dierauf and Gulland, 2001; Harwood, 2002; Gulland, 2006; NMFS, 2007). These events may be interrelated: for instance, at-sea die-offs lead to increased stranding frequency over a short period of time, generally within one to two months. As published by the NMFS, revised criteria for defining a UME include (71 FR 75234, 2006):

- (1) A marked increase in the magnitude or a marked change in the nature of morbidity, mortality or strandings when compared with prior records.
- (2) A temporal change in morbidity, mortality or strandings is occurring.
- (3) A spatial change in morbidity, mortality or strandings is occurring.
- (4) The species, age, or sex composition of the affected animals is different than that of animals that are normally affected.
- (5) Affected animals exhibit similar or unusual pathologic findings, behavior patterns, clinical signs or general physical condition (e.g., blubber thickness).
- (6) Potentially significant morbidity, mortality or stranding is observed in species, stocks or populations that are particularly vulnerable (e.g., listed as depleted, threatened or endangered or declining). For example, stranding of three or four right whales may be cause for great concern whereas stranding of a similar number of fin whales may not.
- (7) Morbidity is observed concurrent with or as part of an unexplained continual decline of a marine mammal population, stock or species.

UMEs are usually unexpected, infrequent and may involve a significant number of marine mammal mortalities. As discussed below, unusual environmental conditions are probably responsible for most UMEs and marine mammal die-offs (Vidal and Gallo-Reynoso, 1996; Geraci et al., 1999; Walsh et al., 2001; Gulland and Hall, 2005).

### **E.1.2 United States Stranding Response Organization**

Stranding events provide scientists and resource managers information not available from limited at-sea surveys, and may be the only way to learn key biological information about certain species such as distribution, seasonal occurrence and health (Rankin, 1953; Moore et al., 2004; Geraci and Lounsbury, 2005). Necropsies are useful in attempting to determine a reason for the stranding, and are performed on stranded animals when the situation and resources allow.

In 1992, Congress amended the MMPA to establish the Marine Mammal Health and Stranding Response Program (MMHSRP) under authority of the NMFS. The MMHSRP was created out of concern started in the 1980s for marine mammal mortalities, to formalize the response process and to focus efforts being initiated by numerous local stranding organizations and as a result of public concern.

Major elements of the MMHSRP include (NMFS, 2007):

- National Marine Mammal Stranding Network
- Marine Mammal UME Program

- National Marine Mammal Tissue Bank (NMMTB) and Quality Assurance Program
- Marine Mammal Health Biomonitoring, Research and Development
- Marine Mammal Disentanglement Network
- John H. Prescott Marine Mammal Rescue Assistance Grant Program (a.k.a. the Prescott Grant Program)
- Information Management and Dissemination.

The United States has a well-organized network in coastal states to respond to marine mammal strandings. Overseen by the NMFS, the National Marine Mammal Stranding Network is comprised of smaller organizations manned by professionals and volunteers from nonprofit organizations, aquaria, universities and state and local governments trained in stranding response animal health and diseased investigation. Currently, 141 organizations are authorized by NMFS to respond to marine mammal strandings (National Marine Fisheries Service, 2007o). Through a National Coordinator and six regional coordinators, NMFS authorizes and oversees stranding response activities and provides specialized training for the network.

#### NMFS Regions and Associated States and Territories

NMFS Northeast Region- ME, NH, MA, RI, CT, NY, NJ, PA, DE, MD, VA

NMFS Southeast Region- NC, SC, GA, FL, AL, MS, LA, TX, PR, VI

NMFS Southwest Region- CA

NMFS Northwest Region- OR, WA

NMFS Alaska Region- AK

NMFS Pacific Islands Region- HI, Guam, American Samoa, Commonwealth of the Northern Mariana Islands (CNMI)

Stranding reporting and response efforts over time have been inconsistent, although effort and data quality within the U.S. have been improving within the last 20 years (NMFS, 2007). Given the historical inconsistency in response and reporting, however, interpretation of long-term trends in marine mammal stranding is difficult (NMFS, 2007). Nationwide, between 1995-2004, there were approximately 700-1500 cetacean strandings per year and between 2000-4600 pinniped strandings per year (NMFS, 2007). Detailed regional stranding information including most commonly stranded species can be found in Zimmerman (1991), Geraci and Lounsbury (2005), and NMFS (2007).

Stranding data is presented in Table E-1 and Figure E-1 below.

**Table E-1. Cetacean And Pinniped Stranding Count By NMFS Region 2001-2004.**

NMFS Region	# of Cetaceans	# of Pinnipeds
Northeast	1,620	4,050
Southeast	2,830	45
Southwest	12,900	45
Northwest	188	1,430
Alaska	269	348
Pacific Islands	59	10
<b>Four Year Total</b>	<b>17,866</b>	<b>5,928</b>

Source: NMFS 2007

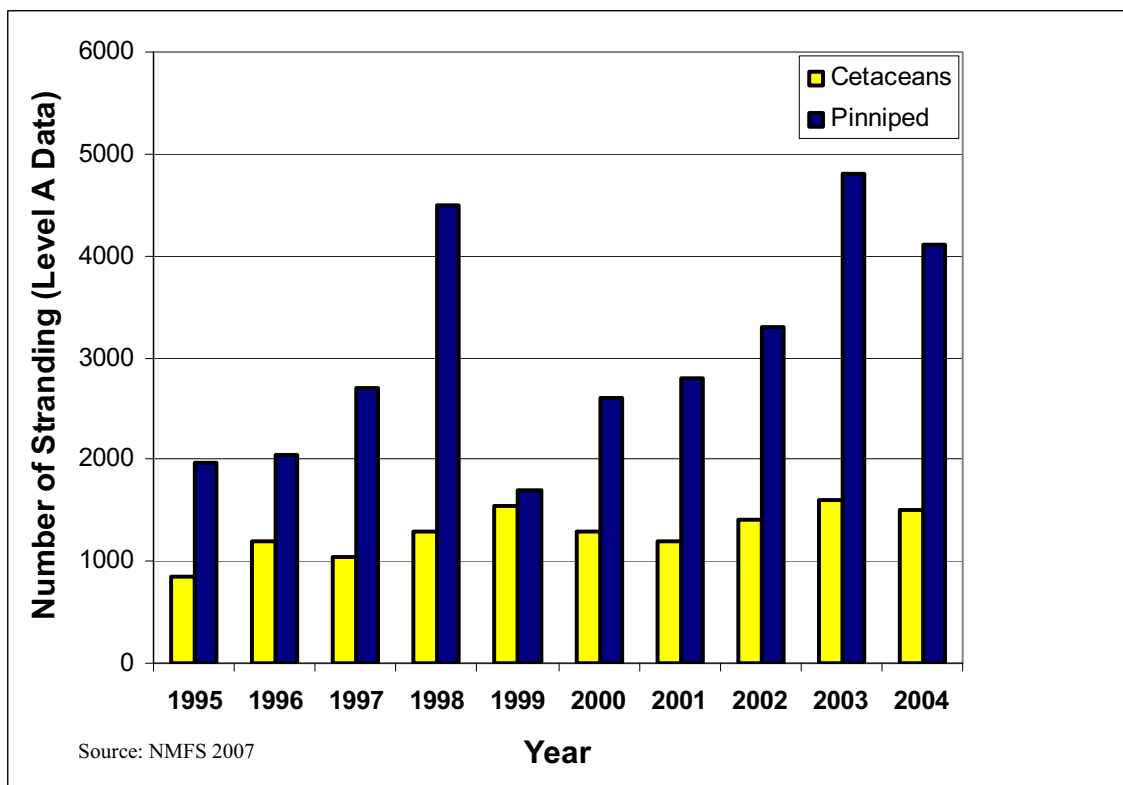


Figure E-1. United States Annual Cetacean And Pinniped Stranding From 1995-2004.

### E.1.3 Unusual Mortality Events (UMEs)

From 1991 to the present, there have been 45 formally recognized UMEs in the U.S. The UMEs have either involved single or multiple species and dozens to hundreds of individual marine mammals per event (NOAA Fisheries, Office of Protected Resources 2008). Table E-2 contains a list of documented UMEs in and along the Pacific coast of the U.S.

### E.1.4 Threats to Marine Mammals and Potential Causes for Stranding

Reports of marine mammal strandings can be traced back to ancient Greece (Walsh et al., 2001). Like any wildlife population, there are normal background mortality rates that influence marine mammal population dynamics, including starvation, predation, aging, reproductive success and disease (Geraci et al., 1999; Carretta et al., 2007). Strandings in and of themselves may be reflective of this natural cycle or, more recently, may be the result of anthropogenic sources (i.e., human impacts). Current science suggests that multiple factors, both natural and man-made, may be acting alone or in combination to cause a marine mammal to strand (Geraci et al., 1999; Culik, 2002; Perrin and Geraci, 2002; Hoelzel, 2003; Geraci and Lounsbury, 2005; NRC, 2006). While post-stranding data collection and necropsies of dead animals are attempted in an effort to find a possible cause for the stranding, it is often difficult to pinpoint exactly one factor that can be blamed for any given stranding. An animal suffering from one ailment becomes susceptible to various other influences because of its weakened condition, making it difficult to determine a primary cause. In many stranding cases, scientists never learn the exact reason for the stranding.

**Table E-2. Documented UMEs within the United States.**

<b>Year</b>	<b>Composition</b>	<b>Determination</b>
1993	Harbor seals, Steller sea lions, and California sea lions on the central Washington coast	Human Interaction
1993/1994	Bottlenose dolphins in the Gulf of Mexico	Morbillivirus
1994	Common dolphins in California	Cause not determined
1996	Right whales off Florida/Georgia coast	Evidence of human interactions
1996	Manatees on the west coast of Florida	Brevetoxin
1996	Bottlenose dolphins in Mississippi	Cause not determined
1997	Harbor seals in California	Unknown infectious respiratory disease
1997	Pinnipeds on the Pacific coast	El Niño
1998	California sea lions in central California	Harmful algal bloom; Domoic acid
1999	Harbor porpoises on the East Coast	Determined not to meet criteria for UME because of multiplicity of causes
1999/2000	Bottlenose dolphins in the Panhandle of Florida	Harmful algal bloom is suspected; still under investigation
1999/2000	Gray whales from Alaska to Mexico	Still under investigation
2004	Bottlenose dolphins along the Florida Panhandle	Uncertain, red tide is suspected
2005	Bottlenose dolphins, manatees, sea turtles, and seabirds in west central Florida	Unknown

Source: NMFS 2007

Specific potential stranding causes can include both natural and human influenced (anthropogenic) causes listed below and described in the following sections:

#### Natural Stranding Causes

- Disease
- Natural toxins
- Weather and climatic influences
- Navigation errors
- Social cohesion
- Predation

#### Human Influenced (Anthropogenic) Stranding Causes

- Fisheries interaction
- Vessel strike
- Pollution and ingestion
- Noise

#### E.1.4.1 Natural Stranding Causes

Significant natural causes of mortality, die-offs and stranding discussed below include disease and parasitism; marine neurotoxins from algae; navigation errors that lead to inadvertent stranding; and climatic influences that impact the distribution and abundance of potential food resources (i.e., starvation). Other natural mortality not discussed in detail includes predation by other species such as sharks (Cockcroft et al., 1989; Heithaus, 2001), killer whales (Constantine et al., 1998; Guinet et al., 2000; Pitman et al., 2001) and some species of pinniped (Hiruki et al., 1999; Robinson et al., 1999).

##### Disease

Like other mammals, marine mammals frequently suffer from a variety of diseases of viral, bacterial, parasitic and fungal origin (Visser et al., 1991; Dunn et al., 2001; Harwood, 2002). Gulland and Hall (2005) provide a more detailed summary of individual and population effects of marine mammal diseases.

Microparasites such as bacteria, viruses and other microorganisms are commonly found in marine mammal habitats and usually pose little threat to a healthy animal (Geraci et al., 1999). For example, long-finned pilot whales that inhabit the waters off the northeastern coast of the U.S. are carriers of the morbillivirus, yet have grown resistant to its usually lethal effects (Geraci et al., 1999). Since the 1980s, however, virus infections have been strongly associated with marine mammal die-offs (Domingo et al., 1992; Geraci and Lounsbury, 2005). Morbillivirus is the most significant marine mammal virus and suppresses a host's immune system, increasing risk of secondary infection (Harwood, 2002). A bottlenose dolphin UME in 1993 and 1994 was caused by infectious disease. Die-offs ranged from northwestern Florida to Texas, with an increased number of deaths as it spread (NMFS, 2007c). A 2004 UME in Florida was also associated with dolphin morbillivirus (NMFS, 2004). Influenza A was responsible for the first reported mass mortality in the U.S., occurring along the coast of New England in 1979-1980 (Geraci et al., 1999; Harwood, 2002). Canine distemper virus (a type of morbillivirus) has been responsible for large scale pinniped mortalities and die-offs (Grachev et al., 1989; Kennedy et al., 2000; Gulland and Hall, 2005), while a bacteria, *Leptospira pomona*, is responsible for periodic die-offs in California sea lions about every four years (Gulland et al., 1996; Gulland and Hall, 2005). It is difficult to determine whether microparasites commonly act as a primary pathogen, or whether they show up as a secondary infection in an already weakened animal (Geraci et al., 1999). Most marine mammal die-offs from infectious disease in the last 25 years, however, have had viruses associated with them (Simmonds and Mayer, 1997; Geraci et al., 1999; Harwood, 2002).

Macroparasites are usually large parasitic organisms and include lungworms, trematodes (parasitic flatworms), and protozoans (Geraci and St. Aubin, 1987; Geraci et al., 1999). Marine mammals can carry many different types and have shown a robust tolerance for sizeable infestation unless compromised by illness, injury or starvation (Morimitsu et al., 1987; Dailey et al., 1991; Geraci et al., 1999). *Nasitrema*, a usually benign trematode found in the head sinuses of cetaceans (Geraci et al., 1999), can cause brain damage if it migrates (Ridgway and Dailey, 1972). As a result, this worm is one of the few directly linked to stranding in the cetaceans (Dailey and Walker, 1978; Geraci et al., 1999).

Non-infectious disease, such as congenital bone pathology of the vertebral column (osteomyelitis, spondylosis deformans, and ankylosing spondylitis [AS]), has been described in several species of cetacean (Paterson, 1984; Alexander et al., 1989; Kompanje, 1995; Sweeny et al., 2005). In humans, bone pathology such as AS, can impair mobility and increase vulnerability to further spinal trauma (Resnick and Niwayama, 2002). Bone pathology has been found in cases of single strandings (Paterson, 1984; Kompanje, 1995), and also in cetaceans prone to mass stranding (Sweeny et al., 2005), possibly acting as a contributing or causal influence in both types of events.



### **Naturally Occurring Marine Neurotoxins**

Some single-cell marine algae common in coastal waters, such as dinoflagellates and diatoms, produce toxic compounds that can accumulate (termed bioaccumulation) in the flesh and organs of fish and invertebrates (Geraci et al., 1999; Harwood, 2002). Marine mammals become exposed to these compounds when they eat prey contaminated by these naturally produced toxins although exposure can also occur through inhalation and skin contact (Van Dolah, 2005). Figure E-2 shows U.S. animal mortalities from 1997-2006 resulting from toxins produced during harmful algal blooms.

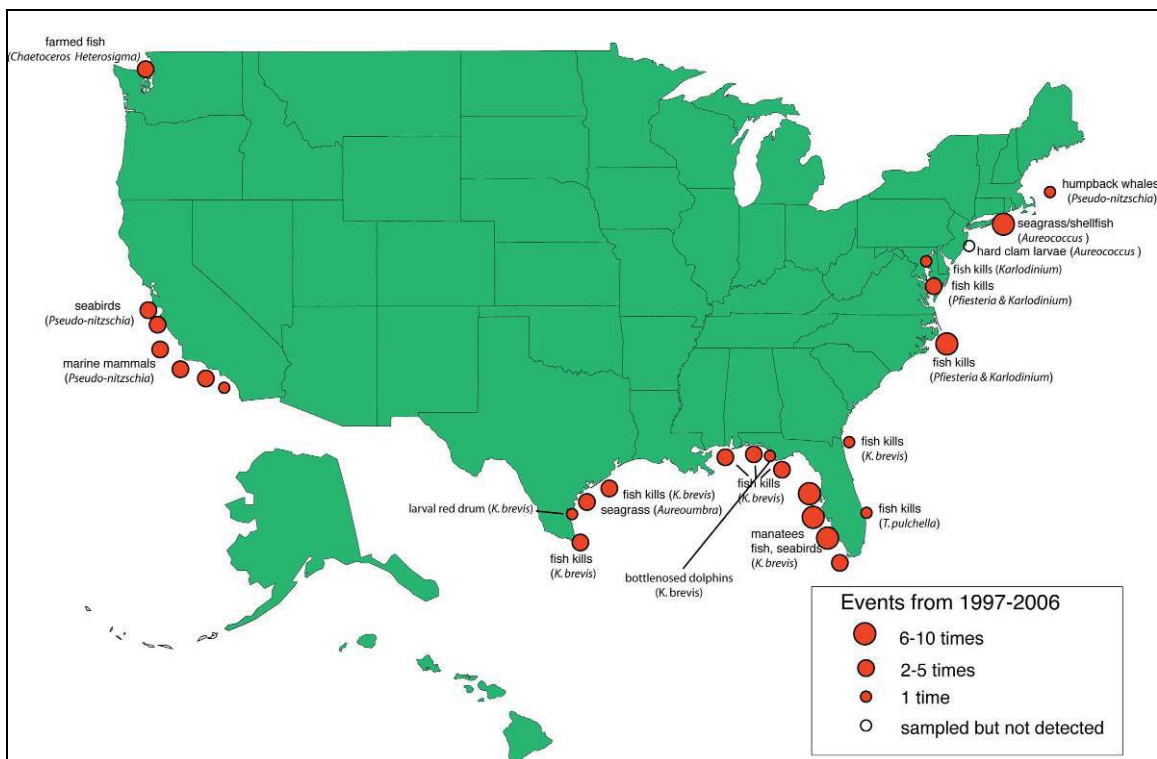
In the Gulf of Mexico and mid- to southern Atlantic states, “red tides,” a form of harmful algal bloom, are created by a dinoflagellate (*Karenia brevis*). *K. brevis* is found throughout the Gulf of Mexico and sometimes along the Atlantic coast (Van Dolah 2005; NMFS 2007). It produces a neurotoxin known as brevetoxin. Brevetoxin has been associated with several marine mammal UMEs within this area (Geraci, 1989; Van Dolah et al., 2003; NMFS, 2004; Flewelling et al., 2005; Van Dolah, 2005; NMFS, 2007). On the U.S. West Coast and in the northeast Atlantic, several species of diatoms produce a toxin called domoic acid which has also been linked to marine mammal strandings (Geraci et al., 1999; Van Dolah et al., 2003; Greig et al., 2005; Van Dolah, 2005; Brodie et al., 2006; NMFS, 2007; Bargu et al., 2008; Goldstein et al., 2008). Other algal toxins associated with marine mammal strandings include saxitoxins and ciguatoxins and are summarized by Van Dolah (2005).

### **Weather events and climate influences**

Severe storms, hurricanes, typhoons and prolonged temperature extremes may lead to localized marine mammal strandings (Geraci et al., 1999; Walsh et al., 2001). Hurricanes may have been responsible for mass strandings of pygmy killer whales in the British Virgin Islands and Gervais’ beaked whales in North Carolina (Mignucci-Giannoni et al., 2000; Norman and Mead, 2001). Storms in 1982-1983 along the California coast led to deaths of 2,000 northern elephant seal pups (Le Boeuf and Reiter, 1991). Ice movement along southern Newfoundland has forced groups of blue whales and white-beaked dolphins ashore (Sergeant, 1982). Seasonal oceanographic conditions in terms of weather, frontal systems and local currents may also play a role in stranding (Walker et al., 2005).

The effect of large-scale climatic changes to the world’s oceans and how these changes impact marine mammals and influence strandings is difficult to quantify given the broad spatial and temporal scales involved and the cryptic movement patterns of marine mammals (Moore, 2005; Learmonth et al., 2006). The most immediate, although indirect, effect is decreased prey availability during unusual conditions. This, in turn, results in increased search effort required by marine mammals (Crocker et al., 2006), potential starvation if not successful and corresponding stranding due directly to starvation or succumbing to disease or predation while in a more weakened, stressed state (Selzer and Payne, 1988; Geraci et al., 1999; Moore, 2005; Learmonth et al., 2006; Weise et al., 2006).

Two recent papers examined potential influences of climate fluctuation on stranding events in southern Australia, including Tasmania, an area with a history of more than 20 mass stranding since the 1920s (Evans et al., 2005; Bradshaw et al., 2006). These authors note that patterns in animal migration, survival, fecundity, population size and strandings will revolve around the availability and distribution of food resources. In southern Australia, movement of nutrient-rich waters pushed closer to shore by periodic meridional winds (occurring about every 12 to 14 years) may be responsible for bringing marine mammals closer to land, thus increasing the probability of stranding (Bradshaw et al., 2006). The papers conclude, however, that while an overarching model can be helpful for providing insight into the prediction of strandings, the particular reasons for each one are likely to be quite varied.



Source: Woods Hole Oceanographic Institute (WHO) <http://www.whoi.edu/redtide/HABdistribution/HABmap.html>

**Figure E-2. Animal Mortalities from Harmful Algal Blooms within the U.S., 1997-2006.**

### **Navigation Error**

*Geomagnetism* – It has been hypothesized that, like some land animals, marine mammals may be able to orient to the Earth’s magnetic field as a navigational cue, and that areas of local magnetic anomalies may influence strandings (Bauer et al., 1985; Klinowska, 1985; Kirschvink et al., 1986; Klinowska, 1986; Walker et al., 1992; Wartzok and Ketten, 1999). In a plot of live stranding positions in Great Britain with magnetic field maps, Klinowska (1985; 1986) observed an association between live stranding positions and magnetic field levels. In all cases, live strandings occurred at locations where magnetic minima, or lows in the magnetic fields, intersect the coastline. Kirschvink et al. (1986) plotted stranding locations on a map of magnetic data for the East Coast of the U.S., and were able to develop associations between stranding sites and locations where magnetic minima intersected the coast. The authors concluded that there were highly significant tendencies for cetaceans to beach themselves near these magnetic minima and coastal intersections. The results supported the hypothesis that cetaceans may have a magnetic sensory system similar to other migratory animals, and that marine magnetic topography and patterns may influence long-distance movements (Kirschvink et al., 1986). Walker et al. (1992) examined fin whale swim patterns off the northeastern U.S. continental shelf, and reported that migrating animals aligned with lows in the geometric gradient or intensity. While a similar pattern between magnetic features and marine mammal strandings at New Zealand stranding sites was not seen (Brabyn and Frew, 1994), mass strandings in Hawaii typically were found to occur within a narrow range of magnetic anomalies (Mazzuca et al., 1999).

*Echolocation Disruption in Shallow Water* - Some researchers believe stranding may result from reductions in the effectiveness of echolocation within shallow water, especially with the pelagic species of odontocetes that may be less familiar with coastline (Dudok van Heel, 1966; Chambers and James, 2005). For an odontocete, echoes from echolocation signals contain important information on the

location and identity of underwater objects and the shoreline. The authors postulate that the gradual slope of a beach may present difficulties to the navigational systems of some cetaceans, since it is common for live strandings to occur along beaches with shallow, sandy gradients (Brabyn and McLean, 1992; Mazzuca et al., 1999; Maldini et al., 2005; Walker et al., 2005). A contributing factor to echolocation interference in turbulent, shallow water is the presence of microbubbles from the interaction of wind, breaking waves and currents. Additionally, ocean water near the shoreline can have an increased turbidity (e.g., floating sand or silt, particulate plant matter, etc.) due to the run-off of fresh water into the ocean, either from rainfall or from freshwater outflows (e.g., rivers and creeks). Collectively, these factors can reduce and scatter the sound energy within echolocation signals and reduce the perceptibility of returning echoes of interest.

### **Social cohesion**

Many pelagic species such as sperm whale, pilot whales, melon-head whales and false killer whales and some dolphins occur in large groups with strong social bonds between individuals. When one or more animals strand due to any number of causative events, then the entire pod may follow suit out of social cohesion (Geraci et al., 1999; Conner, 2000; Perrin and Geraci, 2002; NMFS, 2007).

#### **E.1.4.2 Anthropogenic Stranding Causes and Potential Risks**

With the exception of historic whaling in the 19th and early part of the 20th century, over the past few decades there has been an increase in marine mammal mortalities associated with a variety of human activities (Geraci et al., 1999; NMFS, 2007). These include fisheries interactions (bycatch and directed catch), pollution (marine debris, toxic compounds), habitat modification (degradation, prey reduction), direct trauma (vessel strikes, gunshots) and noise. Figure E-3 show potential worldwide risk to small toothed cetaceans by source.

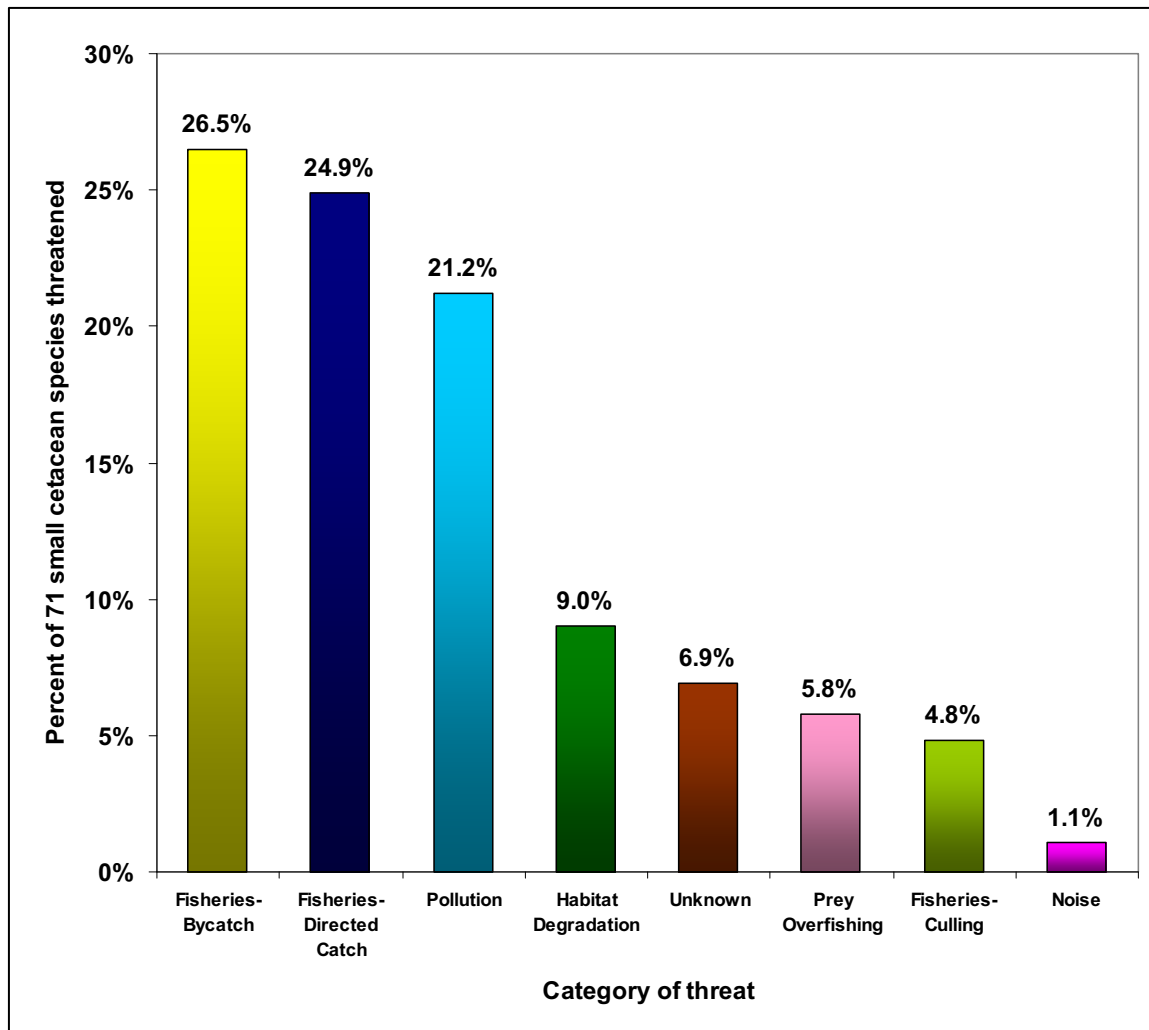
### **Fisheries Interaction: By-Catch, Directed Catch, and Entanglement**

The incidental catch of marine mammals in commercial fisheries is a significant threat to the survival and recovery of many populations of marine mammals (Geraci et al., 1999; Baird, 2002; Culik, 2002; Carretta et al., 2004; Geraci and Lounsbury, 2005; NMFS, 2007). Interactions with fisheries and entanglement in discarded or lost gear continue to be a major factor in marine mammal deaths worldwide (Geraci et al., 1999; Nieri et al., 1999; Geraci and Lounsbury, 2005; Read et al., 2006; Zeeber et al., 2006). For instance, baleen whales and pinnipeds have been found entangled in nets, ropes, monofilament line and other fishing gear that had been discarded out at sea (Geraci et al., 1999; Campagna et al., 2007).

*Bycatch* - Bycatch is the catching of non-target species within a given fishing operation and can include non-commercially used invertebrates, fish, sea turtles, birds and marine mammals (NRC 2006). Read et al. (2006) attempted to estimate the magnitude of marine mammal bycatch in U.S. and global fisheries. Data on marine mammal bycatch within the United States was obtained from fisheries observer programs, reports of entangled stranded animals and fishery logbooks, and was then extrapolated to estimate global bycatch by using the ratio of U.S. fishing vessels to the total number of vessels within the world's fleet (Read et al., 2006). Within U.S. fisheries, between 1990 and 1999 the mean annual bycatch of marine mammals was 6,215 animals, with a standard error of +/- 448 (Read et al., 2006). Eighty-four percent of cetacean bycatch occurred in gill-net fisheries, with dolphins and porpoises constituting most of the cetacean bycatch (Read et al., 2006). Over the decade there was a 40 percent decline in marine mammal bycatch, which was significantly lower from 1995-1999 than it was from 1990-1994 (Read et al., 2006). Read et al. (2006) suggests that this is primarily due to effective conservation measures that were implemented during this period.

Read et al. (2006) then extrapolated this data for the same time period and calculated an annual estimate of 653,365 of marine mammals globally, with most of the world's bycatch occurring in gill-net fisheries. With global marine mammal bycatch likely to be in the hundreds of thousands every year, bycatch in

fisheries is the single greatest threat to many marine mammal populations around the world (Read et al., 2006).



(Source: Culik 2002)

**Figure E-3. Human Threats to World Wide Small Cetacean Populations**

*Entanglement* - Entanglement in active fishing gear is a major cause of death or severe injury among the endangered whales in the action area. Entangled marine mammals may die as a result of drowning, escape with pieces of gear still attached to their bodies, manage to be set free either of their own accord, or are set free by fishermen. Many large whales carry off gear after becoming entangled (Read et al., 2006). Many times when a marine mammal swims off with gear attached, the end result can be fatal. The gear may become too cumbersome for the animal or it can be wrapped around a crucial body part and tighten over time. Stranded marine mammals frequently exhibit signs of previous fishery interaction, such as scarring or gear attached to their bodies, and the cause of death for many stranded marine mammals is often attributed to such interactions (Baird and Gorgone, 2005). Because marine mammals that die or are injured in fisheries may not wash ashore and because not all animals that do wash ashore exhibit clear signs of interactions, stranding data probably underestimate fishery-related mortality and serious injury (NMFS, 2005a).

From 1993 through 2003, 1,105 harbor porpoises were reported stranded from Maine to North Carolina, many of which had cuts and body damage suggestive of net entanglement (NMFS, 2005e). In 1999 it was possible to determine that the cause of death for 38 of the stranded porpoises was fishery interactions, with one additional animal having been mutilated (right flipper and fluke cut off) (NMFS, 2005e). In 2000, one stranded porpoise was found with monofilament line wrapped around its body (NMFS, 2005e). In 2003, nine stranded harbor porpoises were attributed to fishery interactions, with an additional three mutilated animals (NMFS, 2005e). An estimated 78 baleen whales were killed annually in the offshore Southern California/Oregon drift gillnet fishery during the 1980s (Heyning and Lewis, 1990). From 1998-2005, based on observer records, five fin whales (CA/OR/WA stock), 12 humpback whales (ENP stock), and six sperm whales (CA/OR/WA stock) were either seriously injured or killed in fisheries off the mainland West Coast of the U.S. (California Marine Mammal Stranding Network Database, 2006).

### **Ship Strike**

Vessel strikes to marine mammals are another cause of mortality and stranding (Laist et al., 2001; Geraci and Lounsbury, 2005; de Stephanis and Urquiola, 2006). An animal at the surface could be struck directly by a vessel, a surfacing animal could hit the bottom of a vessel, or an animal just below the surface could be cut by a vessel's propeller. The severity of injuries typically depends on the size and speed of the vessel (Knowlton and Kraus, 2001; Laist et al., 2001; Vanderlaan and Taggart, 2007).

An examination of all known ship strikes from all shipping sources (civilian and military) indicates vessel speed is a principal factor in whether a vessel strike results in death (Knowlton and Kraus, 2001; Laist et al., 2001, Jensen and Silber, 2003; Vanderlaan and Taggart, 2007). In assessing records in which vessel speed was known, Laist et al. (2001) found a direct relationship between the occurrence of a whale strike and the speed of the vessel involved in the collision. The authors concluded that most deaths occurred when a vessel was traveling in excess of 13 knots, although most vessels do travel greater than 15 knots. Jensen and Silber (2003) detailed 292 records of known or probable ship strikes of all large whale species from 1975 to 2002. Of these, vessel speed at the time of collision was reported for 58 cases. Of these cases, 39 (or 67 percent) resulted in serious injury or death (19 or 33 percent resulted in serious injury as determined by blood in the water, propeller gashes or severed tailstock, and fractured skull, jaw, vertebrae, hemorrhaging, massive bruising or other injuries noted during necropsy and 20 or 35 percent resulted in death). Operating speeds of vessels that struck various species of large whales ranged from 2 to 51 knots. The majority (79 percent) of these strikes occurred at speeds of 13 knots or greater. The average speed that resulted in serious injury or death was 18.6 knots. Pace and Silber (2005) found that the probability of death or serious injury increased rapidly with increasing vessel speed. Specifically, the predicted probability of serious injury or death increased from 45 percent to 75 percent as vessel speed increased from 10 to 14 knots, and exceeded 90 percent at 17 knots. Higher speeds during collisions result in greater force of impact, but higher speeds also appear to increase the chance of severe injuries or death by pulling whales toward the vessel. Computer simulation modeling showed that hydrodynamic forces pulling whales toward the vessel hull increase with increasing speed (Clyne, 1999; Knowlton et al., 1995).

The growth in civilian commercial ports and associated commercial vessel traffic is a result in the globalization of trade. The Final Report of the NOAA International Symposium on "Shipping Noise and Marine Mammals: A Forum for Science, Management, and Technology" stated that the worldwide commercial fleet has grown from approximately 30,000 vessels in 1950 to more than 85,000 vessels in 1998 (NRC, 2003; Southall, 2005). Between 1950 and 1998, the U.S.-flagged fleet declined from approximately 25,000 to fewer than 15,000 and currently represents only a small portion of the world fleet. From 1985 to 1999, world seaborne trade doubled to 5 billion tons and currently includes 90 percent of the total world trade, with container shipping movements representing the largest volume of seaborne trade. It is unknown how international shipping volumes and densities will continue to grow. However, current statistics support the prediction that the international shipping fleet will continue to grow at the current rate or at greater rates in the future. Shipping densities in specific areas and trends in routing and

vessel design are as, or more, significant than the total number of vessels. Densities along existing coastal routes are expected to increase both domestically and internationally. New routes are also expected to develop as new ports are opened and existing ports are expanded. Vessel propulsion systems are also advancing toward faster ships operating in higher sea states for lower operating costs; and container ships are expected to become larger along certain routes (Southall, 2005).

While there are reports and statistics of whales struck by vessels in U.S. waters, the magnitude of the risks of commercial ship traffic poses to marine mammal populations is difficult to quantify or estimate. In addition, there is limited information on vessel strike interactions between ships and marine mammals outside of U.S. waters (de Stephanis and Urquiola, 2006). Laist et al. (2001) concluded that ship collisions may have a negligible effect on most marine mammal populations in general, except for regional-based small populations where the significance of low numbers of collisions would be greater given smaller populations or populations segments.

U.S. Navy vessel traffic is a small fraction of the overall U.S. commercial and fishing vessel traffic. While U.S. Navy vessel movements may contribute to the ship strike threat, given the lookout and mitigation measures adopted by the U.S. Navy, probability of vessel strikes is greatly reduced. Furthermore, actions to avoid close interaction of U.S. Navy ships and marine mammals and sea turtles, such as maneuvering to keep away from any observed marine mammal and sea turtle are part of existing at-sea protocols and standard operating procedures. Navy ships have up to three or more dedicated and trained lookouts as well as two to three bridge watchstanders during at-sea movements who would be searching for any whales, sea turtles or other obstacles on the water surface. Such lookouts are expected to further reduce the chances of a collision.

#### **Commercial and Private Marine Mammal Viewing**

In addition to vessel operations, private and commercial vessels engaged in marine mammal watching also have the potential to impact marine mammals in Southern California. NMFS has promulgated regulations at 50 CFR 224.103, which provide specific prohibitions regarding wildlife viewing activities. In addition, NMFS launched an education and outreach campaign to provide commercial operators and the general public with responsible marine mammal viewing guidelines. In January 2002, NMFS also published an official policy on human interactions with wild marine mammals which states: "NOAA Fisheries cannot support, condone, approve or authorize activities that involve closely approaching, interacting or attempting to interact with whales, dolphins, porpoises, seals or sea lions in the wild. This includes attempting to swim, pet, touch or elicit a reaction from the animals."

Although considered by many to be a non-consumptive use of marine mammals with economic, recreational, educational and scientific benefits, marine mammal watching is not without potential negative impacts. One concern is that animals become more vulnerable to vessel strikes once they habituate to vessel traffic (Swingle et al., 1993; Wiley et al., 1995). Another concern is that preferred habitats may be abandoned if disturbance levels are too high. A whale's behavioral response to whale watching vessels depends on the distance of the vessel from the whale, vessel speed, vessel direction, vessel noise and the number of vessels (Amaral and Carlson, 2005; Au and Green, 2000; Cockeron, 1995; Erbe, 2002; Felix, 2001; Magalhaes et al., 2002; Richter et al., 2003; Schedat et al., 2004; Simmonds, 2005; Watkins, 1986; Williams et al., 2002). The whale's responses changed with these different variables and, in some circumstances, the whales did not respond to the vessels, but in other circumstances, whales changed their vocalizations surface time, swimming speed, swimming angle or direction, respiration rates, dive times, feeding behavior and social interactions. In addition to the information on whale watching, there is also direct evidence of pinniped haul out site (Pacific harbor seals) abandonment because of human disturbance at Strawberry Spit in San Francisco Bay (Allen, 1991).

### **Ingestion of Plastic Objects and Other Marine Debris and Toxic Pollution Exposure**

For many marine mammals, debris in the marine environment is a great hazard and can be harmful to wildlife. Not only is debris a hazard because of possible entanglement, animals may mistake plastics and other debris for food (NMFS, 2007g). U.S. Navy vessels have a zero-plastic discharge policy and return all plastic waste to appropriate disposition on shore.

There are certain species of cetaceans, along with Florida manatees, that are more likely to eat trash, especially plastics, which is usually fatal for the animal (Geraci et al., 1999). From 1990 through October 1998, 215 pygmy sperm whales stranded along the U.S. Atlantic Coast from New York through the Florida Keys (NMFS, 2005a). Remains of plastic bags and other debris were found in the stomachs of 13 of these animals (NMFS, 2005a). During the same period, 46 dwarf sperm whale strandings occurred along the U.S. Atlantic coastline between Massachusetts and the Florida Keys (NMFS, 2005d). In 1987 a pair of latex examination gloves was retrieved from the stomach of a stranded dwarf sperm whale (NMFS, 2005d). One hundred twenty-five pygmy sperm whales were reported stranded from 1999 to 2003 between Maine and Puerto Rico; in one pygmy sperm whale found stranded in 2002, red plastic debris was found in the stomach along with squid beaks (NMFS, 2005a).

Sperm whales have been known to ingest plastic debris, such as plastic bags (Evans et al., 2003; Whitehead, 2003). While this has led to mortality, the scale to which this is affecting sperm whale populations is unknown, but Whitehead (2003) suspects it is not substantial at this time.

High concentrations of potentially toxic substances within marine mammals along with an increase in new diseases have been documented in recent years. Scientists have begun to consider the possibility of a link between pollutants and marine mammal mortality events. NMFS takes part in a marine mammal bio-monitoring program not only to help assess the health and contaminant loads of marine mammals, but also to assist in determining anthropogenic impacts on marine mammals, marine food chains and marine ecosystem health. Using strandings and bycatch animals, the program provides tissue/serum archiving, samples for analyses, disease monitoring and reporting and additional response during disease investigations (NMFS, 2007).

The impacts of these activities are difficult to measure. However, some researchers have correlated contaminant exposure to possible adverse health effects in marine mammals. Contaminants such as organochlorines do not tend to accumulate in significant amounts in invertebrates, but do accumulate in fish and fish-eating animals. Thus, contaminant levels in planktivorous mysticetes have been reported to be one to two orders of magnitude lower compared to piscivorous odontocetes (Borell, 1993; O'Shea and Brownell, 1994; O'Hara and Rice, 1996; O'Hara et al., 1999).

The manmade chemical PCB (polychlorinated biphenyl), and the pesticide DDT (dichlorodiphenyltrichloroethane), are both considered persistent organic pollutants that are currently banned in the United States for their harmful effects in wildlife and humans (NMFS, 2007c). Despite having been banned for decades, the levels of these compounds are still high in marine mammal tissue samples taken along U.S. coasts (NMFS, 2007c). Both compounds are long-lasting, reside in marine mammal fat tissues (especially in the blubber), and can be toxic, causing effects such as reproductive impairment and immunosuppression (NMFS, 2007c).

Both long-finned and short-finned pilot whales have a tendency to mass strand throughout their range. Short-finned pilot whales have been reported as stranded as far north as Rhode Island, and long-finned pilot whales as far south as South Carolina (NMFS, 2005b). For U.S. East Coast stranding records, both species are lumped together and there is rarely a distinction between the two because of uncertainty in species identification (NMFS, 2005b). Since 1980 within the Northeast region alone, between 2 and 120 pilot whales have stranded annually either individually or in groups (NMFS, 2005b). Between 1999 and 2003 from Maine to Florida, 126 pilot whales were reported stranded, including a mass stranding of 11

animals in 2000 and another mass stranding of 57 animals in 2002, both along the Massachusetts coast (NMFS, 2005b).

It is unclear how much of a role human activities play in these pilot whale strandings, and toxic poisoning may be a potential human-caused source of mortality for pilot whales (NMFS, 2005b). Moderate levels of PCBs and chlorinated pesticides (such as DDT, DDE and dieldrin) have been found in pilot whale blubber (NMFS, 2005b). Bioaccumulation levels have been found to be more similar in whales from the same stranding event than from animals of the same age or sex (NMFS, 2005b). Numerous studies have measured high levels of toxic metals (mercury, lead and cadmium), selenium and PCBs in pilot whales in the Faroe Islands (NMFS, 2005b). Population effects resulting from such high contamination levels are currently unknown (NMFS, 2005b).

Habitat contamination and degradation may also play a role in marine mammal mortality and strandings. Some events caused by man have direct and obvious effects on marine mammals, such as oil spills (Geraci et al., 1999). But in most cases, effects of contamination will more than likely be indirect in nature, such as effects on prey species availability or by increasing disease susceptibility (Geraci et al., 1999).

U.S. Navy vessel operation between ports and exercise locations has the potential for release of small amounts of pollutant discharges into the water column. U.S. Navy vessels are not a typical source, however, of either pathogens or other contaminants with bioaccumulation potential such as pesticides and PCBs. Furthermore, any vessel discharges such as bilge water and deck runoff associated with the vessels would be in accordance with international and U.S. requirements for eliminating or minimizing discharges of oil, garbage and other substances, and not likely to contribute significant changes to ocean water quality.

### **Deep Water Ambient Noise**

Urick (1983) provided a discussion of the ambient noise spectrum expected in the deep ocean. Shipping, seismic activity and weather, are the primary causes of deep-water ambient noise. The ambient noise frequency spectrum can be predicted fairly accurately for most deep-water areas based primarily on known shipping traffic density and wind state (wind speed, Beaufort wind force or sea state) (Urick, 1983). For example, for frequencies between 100 and 500 Hz, Urick (1983) estimated the average deep water ambient noise spectra to be 73 to 80 dB for areas of heavy shipping traffic and high sea states, and 46 to 58 dB for light shipping and calm seas.

### **Shallow Water Ambient Noise**

In contrast to deep water, ambient noise levels in shallow waters (i.e., coastal areas, bays, harbors, etc.) are subject to wide variations in level and frequency depending on time and location. The primary sources of noise include distant shipping and industrial activities, wind and waves, marine animals (Urick, 1983). At any give time and place, the ambient noise is a mixture of all of these noise variables. In addition, sound propagation is also affected by the variable shallow water conditions, including the depth, bottom slope and type of bottom. Where the bottom is reflective, the sound levels tend to be higher, than when the bottom is absorptive.

### **Noise from Aircraft and Vessel Movement**

Surface shipping is the most widespread source of anthropogenic, low frequency (0 to 1,000 Hz) noise in the oceans and may contribute to over 75 percent of all human sound in the sea (Simmonds and Hutchinson, 1996, ICES, 2005b). Ross (1976) has estimated that between 1950 and 1975, shipping had caused a rise in ambient noise levels of 10 dB. He predicted that this would increase by another 5 dB by the beginning of the 21st century. The National Resource Council (1997) estimated that the background ocean noise level at 100 Hz has been increasing by about 1.5 dB per decade since the advent of propeller-driven ships. Michel et al. (2001) suggested an association between long-term exposure to low-frequency



sounds from shipping and an increased incidence of marine mammal mortalities caused by collisions with ships.

Sound from a low-flying helicopter or airplane may be heard by marine mammals and turtles while at the surface or underwater. Due to the transient nature of sounds from aircraft involved in at-sea operations, such sounds would not likely cause physical effects but have the potential to affect behaviors. Responses by mammals and turtles could include hasty dives or turns or decreased foraging (Soto et al., 2006). Whales may also slap the water with flukes or flippers or swim away from the aircraft track.

Sound emitted from large vessels, particularly in the course of transit, is the principal source of noise in the ocean today, primarily due to the properties of sound emitted by civilian cargo vessels (Richardson et al., 1995; Arveson and Vendittis, 2000). Ship propulsion and electricity generation engines, engine gearing, compressors, bilge and ballast pumps, as well as hydrodynamic flow surrounding a ship's hull and any hull protrusions contribute to a large vessel's noise emission into the marine environment. Propellor-driven vessels also generate noise through cavitation, which accounts for much of the noise emitted by a large vessel depending on its travel speed. Military vessels underway or involved in naval operations or exercises also introduce anthropogenic noise into the marine environment. Noise emitted by large vessels can be characterized as low-frequency, continuous and tonal. The sound pressure levels at the vessel will vary according to speed, burden, capacity and length (Richardson et al., 1995; Arveson and Vendittis, 2000). Vessels ranging from 135 to 337 meters generate peak source sound levels from 169 to 200 dB between 8 Hz and 430 Hz, although Arveson and Vendittis (2000) documented components of higher frequencies (10-30 kHz) as a function of newer merchant ship engines and faster transit speeds.

Whales have variable responses to vessel presence or approaches, ranging from apparent tolerance to diving away. Unfortunately, it is not always possible to determine whether the whales are responding to the vessel itself or the noise generated by the engine and cavitation around the propeller. Apart from some disruption of behavior, an animal may be unable to hear other sounds in the environment due to masking by the noise from the vessel. Any masking of environmental sounds or conspecific sounds is expected to be temporary, as noise dissipates with a vessel transit through an area.

Vessel noise primarily raises concerns for masking of environmental and conspecific cues. However, exposure to vessel noise of sufficient intensity and/or duration can also result in temporary or permanent loss of sensitivity at a given frequency range, referred to as temporary or permanent threshold shifts (TTS or PTS). Threshold shifts are assumed to be possible in marine mammal species as a result of prolonged exposure to large vessel traffic noise due to its intensity, broad geographic range of effectiveness and constancy.

Collectively, significant cumulative exposure to individuals, groups, or populations can occur if they exhibit site fidelity to a particular area; for example, whales that seasonally travel to a regular area to forage or breed may be more vulnerable to noise from large vessels compared to transiting whales. Any permanent threshold shift in a marine animal's hearing capability, especially at particular frequencies for which it can normally hear best, can impair its ability to perceive threats, including ships. Whales have variable responses to vessel presence or approaches, ranging from apparent tolerance to diving away from a vessel. It is not possible to determine whether the whales are responding to the vessel itself or the noise generated by the engine and cavitation around the propeller. Apart from some disruption of behavior, an animal may be unable to hear other sounds in the environment due to masking by the noise from the vessel.

Most observations of behavioral responses of marine mammals to human-generated sounds have been limited to short-term behavioral responses, which included the cessation of feeding, resting, or social

interactions. Nowacek et al. (2007) provide a detailed summary of cetacean response to underwater noise.

Given the sound propagation of low-frequency sounds, a large vessel in this sound range can be heard 139 to 463 kilometers away (Ross, 1976 in Polefka, 2004). U.S. Navy vessels, however, have incorporated significant underwater ship quieting technology to reduce their acoustic signatures (compared to a similarly sized vessel) in order to reduce their vulnerability to detection by enemy passive acoustics (Southall, 2005). Therefore, the potential for TTS or PTS from U.S. Navy vessel and aircraft movement is extremely low given, that the exercises and training events are transitory in time, with vessels moving over large areas of the ocean. A marine mammal or sea turtle is unlikely to be exposed long enough at high levels for TTS or PTS to occur. Any masking of environmental sounds or conspecific sounds is expected to be temporary, as noise dissipates with a U.S. Navy vessel transiting through an area. If behavioral disruptions result from the presence of aircraft or vessels, it is expected to be temporary. Animals are expected to resume their migration, feeding, or other behaviors without any threat to their survival or reproduction. However, if an animal is aware of a vessel and dives or swims away, it may successfully avoid being struck.

### **E.1.5 Stranding Events Associated with Navy Sonar**

There are two classes of sonars employed by the U.S. Navy: active sonars and passive sonars. Most active military sonars operate in a limited number of areas, and are most likely not a significant contributor to a comprehensive global ocean noise budget (ICES, 2005b).

The effects of mid-frequency active naval sonar on marine wildlife have not been studied as extensively as the effects of air-guns used in seismic surveys (Madsen et al., 2006; Stone and Tasker, 2006; Wilson et al., 2006; Palka and Johnson, 2007; Parente et al., 2007). Maybaum (1989, 1993) observed changes in behavior of humpbacks during playback tapes of the M-1002 system (using 203 dB re 1  $\mu$ Pa-m for study); specifically, a decrease in respiration, submergence and aerial behavior rates; and an increase in speed of travel and track linearity. Direct comparison of Maybaum's results, however, with U.S. Navy mid-frequency active sonar are difficult to make. Maybaum's signal source, the commercial M-1002, operated differently from naval mid-frequency sonar. In addition, behavioral responses were observed during playbacks of a control tape, (i.e. a tape with no sound signal) so interpretation of Maybaum's results are inconclusive.

Research by Nowacek, et al. (2004) on North Atlantic right whales using a whale alerting signal designed to alert whales to human presence suggests that received sound levels of only 133 to 148 pressure level (decibel [dB] re 1 microPascals [ $\mu$ Pa]) for the duration of the sound exposure may disrupt feeding behavior. The authors did note, however, that within minutes of cessation of the source, a return to normal behavior would be expected. Direct comparison of the Nowacek et al. (2004) sound source to MFA sonar, however, is not possible given the radically different nature of the two sources. Nowacek et al.'s source was a series of non-sonar-like sounds designed to purposely alert the whale, lasting several minutes, and covering a broad frequency band. Direct differences between Nowacek et al. (2004) and MFA sonar is summarized below from Nowacek et al. (2004) and Nowacek et al. (2007):

(1) Signal duration: Time difference between the two signals is significant, 18-minute signal used by Nowacek et al. versus < 1 sec for MFA sonar.

(2) Frequency modulation: Nowacek et al. contained three distinct signals containing frequency modulated sounds:

1st - alternating 1-sec pure tone at 500 and 850 Hz

2nd - 2-sec logarithmic down-sweep from 4500 to 500 Hz

3rd - pair of low-high (1500 and 2000 Hz) sine wave tones amplitude modulated at 120 Hz

(3) Signal-to-noise ratio: Nowacek et al.'s signal maximized signal-to-noise ratio so that it would be distinct from ambient noise and resist masking.

(4) Signal acoustic characteristics: Nowacek et al.'s signal comprised of disharmonic signals spanning northern right whales' estimated hearing range.

Given these differences, therefore, the exact cause of apparent right whale behavior noted by the authors cannot be attributed to any one component, since the source was such a mix of signal types.

The effects of naval sonar on marine wildlife have not been studied as extensively as have the effects of airguns used in seismic surveys (Nowacek et al., 2007). In the Caribbean, sperm whales were observed to interrupt their activities by stopping echolocation and leaving the area in the presence of underwater sounds surmised to have originated from submarine sonar signals (Watkins and Schevill, 1975; Watkins et al., 1985). The authors did not report receive levels from these exposures, and also got a similar reaction from artificial noise they generated by banging on their boat hull. It was unclear if the sperm whales were reacting to the sonar signal itself or to a potentially new unknown sound in general. Madsen et al. (2006) tagged and monitored eight sperm whales in the Gulf of Mexico exposed to seismic airgun surveys. Sound sources were from approximately 2 to 7 nm (4 to 13 km) away from the whales and based on multipath propagation, RLs were as high as 162 dB re 1 uPa with energy content greatest between 0.3 and 3.0 kHz. Sperm whales engaged in foraging dives continued the foraging dives throughout exposure to these seismic pulses. In the Caribbean Sea, sperm whales avoided exposure to mid-frequency submarine sonar pulses, in the range 1000 Hz to 10,000 Hz (IWC 2005). Sperm whales have also moved out of areas after the start of airgun seismic testing (Davis et al., 1995). In contrast, during playback experiments off the Canary Islands, André et al. (1997) reported that foraging sperm whales exposed to a 10 kHz pulsed signal did not exhibit any general avoidance reactions.

The Navy sponsored tests of the effects of low-frequency active (LFA) sonar source, between 100 Hz and 1,000 Hz, on blue, fin and humpback whales. The tests demonstrated that whales exposed to sound levels up to 155 dB did not exhibit significant disturbance reactions, though there was evidence that humpback whales altered their vocalization patterns in reaction to the noise. Given that the source level of the Navy's LFA is reported to be in excess of 215 dB, the possibility exists that animals in the wild may be exposed to sound levels much higher than 155 dB.

Acoustic exposures have been demonstrated to kill marine mammals and result in physical trauma and injury (Ketten, 2005). Animals in or near an intense noise source can die from profound injuries related to shock wave or blast effects. Acoustic exposures can also result in noise-induced hearing loss that is a function of the interactions of three factors: sensitivity, intensity and frequency. Loss of sensitivity is referred to as a threshold shift; the extent and duration of a threshold shift depends on a combination of several acoustic features and is specific to particular species (TTS or PTS, depending on how the frequency, intensity and duration of the exposure combine to produce damage). In addition to direct physiological effects, noise exposures can impair an animal's sensory abilities (masking) or result in behavioral responses such as aversion or attraction (see Section 3.19).

Acoustic exposures can also result in the death of an animal by impairing its foraging, ability to detect predators or communicate, or by increasing stress and disrupting important physiological events. Whales have moved away from their feeding and mating grounds (Bryant et al., 1984; Morton and Symnods, 2002; Weller et al., 2002), moved away from their migration route (Richardson et al., 1995), and have changed their calls due to noise (Miller et al., 2000). Acoustic exposures such as MFA sonar tend to be infrequent, temporary in nature, and therefore effects are likely indirect and to be short lived. In situations such as the alteration of gray whale migration routes in response to shipping and whale

watching boats, those acoustic exposures were chronic over several years (Moore and Clarke, 2002). This was also true of the effect of seismic survey airguns (daily for 39 days) on the use of feeding areas by gray whales in the western North Pacific although whales began returning to the feeding area within one day of the end of the exposure (Weller et al., 2002).

Below are evaluations of the general information available on the variety of ways in which cetaceans and pinnipeds have been reported to respond to sound, generally, and mid-frequency sonar, in particular.

The Navy is very concerned and thoroughly investigates each marine mammal stranding potentially associated with Navy activities to better understand the events surrounding strandings (Norman, 2006). Strandings can involve a single animal or several to hundreds. An event where animals are found out of their normal habitat may be considered a stranding even though animals do not necessarily end up beaching (such as the July 2004 “Hanalei Mass Stranding Event”; Southall et al., 2006). Several hypotheses have been given for the mass strandings which include the impact of shallow beach slopes on odontocete sonar, disease or parasites, geomagnetic anomalies that affect navigation, following a food source in close to shore, avoiding predators, social interactions that cause other cetaceans to come to the aid of stranded animals, and human actions. Generally, inshore species do not strand in large numbers but generally just as a single animal. This may be due to their familiarity with the coastal area whereas pelagic species that are unfamiliar with obstructions or sea bottom tend to strand more often in larger numbers (Woodings, 1995). The Navy has studied several stranding events in detail that may have occurred in association with Navy sonar activities. To better understand the causal factors in stranding events that may be associated with Navy sonar activities, the main factors, including bathymetry (i.e., steep drop offs), narrow channels (less than 35 nm), environmental conditions (e.g., surface ducting), and multiple sonar ships were compared between the different stranding events.

When a marine mammal swims or floats onto shore and becomes “beached” or stuck in shallow water, it is considered a “stranding” (MMPA section 410 (16 USC section 1421g; NMFS, 2007a). NMFS explains that “a cetacean is considered stranded when it is on the beach, dead or alive, or in need of medical attention while free-swimming in U.S. waters. A pinniped is considered to be stranded either when dead or when in distress on the beach and not displaying normal haul-out behavior” (NMFS, 2007b).

Over the past three decades, several “mass stranding” events [strandings involving two or more individuals of the same species (excluding a single cow-calf pair) and at times, individuals from different species] that have occurred have been associated with naval operations, seismic surveys, and other anthropogenic activities that introduce sound into the marine environment (Canary Islands, Greece, Vieques, U.S. Virgin Islands, Madeira Islands, Haro Strait, Washington State, Alaska, Hawaii, North Carolina).

Information was collected on mass stranding events (events in which two or more cetaceans stranded) that have occurred and for which reports are available, from the past 40 years. Any causal agents that have been associated with those stranding events were also identified (Table 2-5). Major range events undergo name changes over the years, however, the equivalent of COMPTUEX and JTFEX have been conducted in Southern California since 1934. Training involving sonar has been conducted since World War II and sonar systems described in the SOCAL EIS/OEIS since the 1970s (Jane’s 2005).

### **E.1.6 Stranding Analysis**

Over the past two decades, several mass stranding events involving beaked whales have been documented. While beaked whale strandings have been reported since the 1800s (Geraci and Lounsbury, 1993; Cox et al., 2006; Podesta et al., 2006), several mass strandings since have been associated with naval operations that may have included mid-frequency sonar (Simmonds and Lopez-Jurado, 1991; Frantzis, 1998; Jepson et al., 2003; Cox et al., 2006). As Cox et al. (2006) concludes, the state of science cannot yet determine if a sound source such as mid-frequency sonar alone causes beaked whale

strandings, or if other factors (acoustic, biological or environmental) must co-occur in conjunction with a sound source.

A review of historical data (mostly anecdotal) maintained by the Marine Mammal Program in the National Museum of Natural History, Smithsonian Institution, reports 49 beaked whale mass stranding events between 1838 and 1999. The largest beaked whale mass stranding occurred in the 1870s in New Zealand when 28 Gray's beaked whales (*Mesoplodon grayi*) stranded. Blainsville's beaked whale (*Mesoplodon densirostris*) strandings are rare, and records show that they were involved in one mass stranding in 1989 in the Canary Islands. Cuvier's beaked whales (*Ziphius cavirostris*) are the most frequently reported beaked whale to strand, with at least 19 stranding events from 1804 through 2000 (DoC and DoN, 2001; Smithsonian Institution, 2000).

The discussion below centers on those worldwide stranding events that may have some association with naval operations, and global strandings that the U.S. Navy feels are either inconclusive or cannot be associated with naval operations.

#### **E.1.6.1 Naval Association**

In the following sections, specific stranding events that have been putatively linked to potential sonar operations are discussed. Of note, these events represent a small number of animals over an 11-year period (40 animals), and not all worldwide beaked whale strandings can be linked to naval activity (ICES, 2005a; 2005b; Podesta et al., 2006). Four of the five events occurred during NATO exercises or events where U.S. Navy presence was limited (Greece, Portugal, Spain). One of the five events involved only U.S. Navy ships (Bahamas).

Beaked whale stranding events associated with potential naval operations.

1996 May	Greece (NATO)
2000 March	Bahamas (US)
2000 May	Portugal, Madeira Islands (NATO/US)
2002 September	Spain, Canary Islands (NATO/US)
2006 January	Spain, Mediterranean Sea coast (NATO/US)

#### **Case Studies of Stranding Events (coincidental with or implicated with naval sonar)**

##### **1996 Greece Beaked Whale Mass Stranding (May 12–13, 1996)**

Description: Twelve Cuvier's beaked whales (*Ziphius cavirostris*) stranded along a 38.2-kilometer strand of the coast of the Kyparissiakos Gulf on May 12 and 13, 1996 (Frantzis, 1998). From May 11 through May 15, the NATO research vessel Alliance was conducting sonar tests with signals of 600 Hz and 3 kHz and root-mean-squared (rms) sound pressure levels (SPL) of 228 and 226 dB re: 1 $\mu$ Pa, respectively (D'Amico and Verboom, 1998; D'Spain et al., 2006). The timing and the location of the testing encompassed the time and location of the whale strandings (Frantzis, 1998).

Findings: Partial necropsies of eight of the animals were performed, including external assessments and the sampling of stomach contents. No abnormalities attributable to acoustic exposure were observed, but the stomach contents indicated that the whales were feeding on cephalopods soon before the stranding event. No unusual environmental events before or during the stranding event could be identified (Frantzis, 1998).

**Conclusions:** The timing and spatial characteristics of this stranding event were atypical of stranding in Cuvier's beaked whale, particularly in this region of the world. No natural phenomenon that might contribute to the stranding event coincided in time with the mass stranding. Because of the rarity of mass strandings in the Greek Ionian Sea, the probability that the sonar tests and stranding coincided in time and location, while being independent of each other, was estimated as being extremely low (Frantzis, 1998). However, because information for the necropsies was incomplete and inconclusive, the cause of the stranding cannot be precisely determined.

### **2000 Bahamas Marine Mammal Mass Stranding (March 15-16, 2000)**

**Description:** Seventeen marine mammals - Cuvier's beaked whales, Blainville's beaked whales (*Mesoplodon densirostris*), minke whale (*Balaenoptera acutorostrata*), and one spotted dolphin (*Stenella frontalis*) - stranded along the Northeast and Northwest Providence Channels of the Bahamas Islands on March 15-16, 2000 (Evans and England, 2001). The strandings occurred over a 36-hour period and coincided with U.S. Navy use of mid-frequency active sonar within the channel. Navy ships were involved in tactical sonar exercises for approximately 16 hours on March 15. The ships, which operated the AN/SQS-53C and AN/SQS-56, moved through the channel while emitting sonar pings approximately every 24 seconds. The timing of pings was staggered between ships and average source levels of pings varied from a nominal 235 dB SPL (AN/SQS-53C) to 223 dB SPL (AN/SQS-56). The center frequency of pings was 3.3 kHz and 6.8 to 8.2 kHz, respectively.

Seven of the animals that stranded died, while ten animals were returned to the water alive. The animals known to have died included five Cuvier's beaked whales, one Blainville's beaked whale, and the single spotted dolphin. Six necropsies were performed and three of the six necropsied animals (one Cuvier's beaked whale, one Blainville's beaked whale, and the spotted dolphin) were fresh enough to permit identification of pathologies by computerized tomography (CT). Tissues from the remaining three animals were in a state of advanced decomposition at the time of inspection.

**Findings:** The spotted dolphin demonstrated poor body condition and evidence of a systemic debilitating disease. In addition, since the dolphin stranding site was isolated from the acoustic activities of Navy ships, it was determined that the dolphin stranding was unrelated to the presence of Navy active sonar.

All five necropsied beaked whales were in good body condition and did not show any signs of external trauma or disease. In the two best preserved whale specimens, hemorrhage was associated with the brain and hearing structures. Specifically, subarachnoid hemorrhage within the temporal region of the brain and intracochlear hemorrhages were noted. Similar findings of bloody effusions around the ears of two other moderately decomposed whales were consistent with the same observations in the freshest animals. In addition, three of the whales had small hemorrhages in their acoustic fats, which are fat bodies used in sound production and reception (i.e., fats of the lower jaw and the melon). The best-preserved whale demonstrated acute hemorrhage within the kidney, inflammation of the lung and lymph nodes and congestion and mild hemorrhage in multiple other organs. Other findings were consistent with stresses and injuries associated with the stranding process. These consisted of external scrapes, pulmonary edema and congestion.

**Conclusions:** The post-mortem analyses of stranded beaked whales lead to the conclusion that the immediate cause of death resulted from overheating, cardiovascular collapse and stresses associated with being stranded on land. However, subarachnoid and intracochlear hemorrhages were believed to have occurred prior to stranding and were hypothesized as being related to an acoustic event. Passive acoustic monitoring records demonstrated that no large-scale acoustic activity besides the Navy sonar exercise occurred in the times surrounding the stranding event. The mechanism by which sonar could have caused the observed traumas or caused the animals to strand was undetermined. The spotted dolphin was in overall poor condition for examination, but showed indications of long-term disease. No analysis of

baleen whales (minke whale) was conducted. Baleen whale stranding events have not been associated with either low-frequency or mid-frequency sonar use (ICES 2005a, 2005b).

### **2000 Madeira Island, Portugal Beaked Whale Strandings (May 10–14, 2000)**

Description: Three Cuvier's beaked whales stranded on two islands in the Madeira Archipelago, Portugal, from May 10 to 14, 2000 (Cox et al., 2006). A joint NATO amphibious training exercise, named "Linked Seas 2000," which involved participants from 17 countries, took place in Portugal during May 2 to 15, 2000. The timing and location of the exercises overlapped with that of the stranding incident.

Findings: Two of the three whales were necropsied. Two heads were taken to be examined. One head was intact and examined grossly and by CT; the other was only grossly examined because it was partially flensed and had been seared from an attempt to dispose of the whale by fire (Ketten, 2005).

No blunt trauma was observed in any of the whales. Consistent with prior CT scans of beaked whales stranded in the Bahamas 2000 incident, one whale demonstrated subarachnoid and peribullar hemorrhage and blood within one of the brain ventricles. Post-cranially, the freshest whale demonstrated renal congestion and hemorrhage, which was also consistent with findings in the freshest specimens in the Bahamas incident.

Conclusions: The pattern of injury to the brain and auditory system were similar to those observed in the Bahamas strandings, as were the kidney lesions and hemorrhage and congestion in the lungs (Ketten, 2005). The similarities in pathology and stranding patterns between these two events suggested a similar causative mechanism. Although the details about whether or how sonar was used during "Linked Seas 2000" is unknown, the presence of naval activity within the region at the time of the strandings suggested a possible relationship to Navy activity.

### **2002 Canary Islands Beaked Whale Mass Stranding (September 24, 2002)**

Description: On September 24, 2002, 14 beaked whales stranded on Fuerteventura and Lanzaote Islands in the Canary Islands (Jepson et al., 2003). Seven of the 14 whales died on the beach and the other seven were returned to the ocean. Four beaked whales were found stranded dead over the next three days either on the coast or floating offshore (Fernández et al., 2005). At the time of the strandings, an international naval exercise (Neo-Tapon, 2002) that involved numerous surface warships and several submarines was being conducted off the coast of the Canary Islands. Tactical mid-frequency active sonar was utilized during the exercises, and strandings began within hours of the onset of the use of mid-frequency sonar (Fernández et al., 2005).

Findings: Eight Cuvier's beaked whales, one Blainville's beaked whale, and one Gervais' beaked whale were necropsied; six of them within 12 hours of stranding (Fernández et al., 2005). The stomachs of the whales contained fresh and undigested prey contents. No pathogenic bacteria were isolated from the whales, although parasites were found in the kidneys of all of the animals. The head and neck lymph nodes were congested and hemorrhages were noted in multiple tissues and organs, including the kidney, brain, ears and jaws. Widespread fat emboli were found throughout the carcasses, but no evidence of blunt trauma was observed in the whales. In addition, the parenchyma of several organs contained macroscopic intravascular bubbles and lesions, putatively associated with nitrogen off-gassing.

Conclusions: The association of NATO mid-frequency sonar use close in space and time to the beaked whale strandings and the similarity between this stranding event and previous beaked whale mass strandings coincident with sonar use suggest that a similar scenario and causative mechanism of stranding may be shared between the events. Beaked whales stranded in this event demonstrated brain and auditory system injuries, hemorrhages and congestion in multiple organs, similar to the pathological findings of

the Bahamas and Madeira stranding events. In addition, the necropsy results of the Canary Islands stranding event lead to the hypothesis that the presence of disseminated and widespread gas bubbles and fat emboli were indicative of nitrogen bubble formation, similar to what might be expected in decompression sickness (Jepson et al., 2003; Fernández et al., 2005). Whereas gas emboli would develop from the nitrogen gas, fat emboli would enter the blood stream from ruptured fat cells (presumably where nitrogen bubble formation occurs) or through the coalescence of lipid bodies within the blood stream.

The possibility that the gas and fat emboli found by Fernández et al. (2005) was due to nitrogen bubble formation has been hypothesized to be related to either direct activation of the bubble by sonar signals or to a behavioral response in which the beaked whales flee to the surface following sonar exposure. The first hypothesis is related to rectified diffusion (Crum and Mao, 1996), the process of increasing the size of a bubble by exposing it to a sound field. This process is facilitated if the environment in which the ensonified bubbles exist is supersaturated with gas. Repetitive diving by marine mammals can cause the blood and some tissues to accumulate gas to a greater degree than is supported by the surrounding environmental pressure (Ridgway and Howard, 1979). Deeper and longer dives of some marine mammals, such as those conducted by beaked whales, are theoretically predicted to induce greater levels of supersaturation (Houser et al., 2001). If rectified diffusion were possible in marine mammals exposed to high-level sound, conditions of tissue supersaturation could theoretically speed the rate and increase the size of bubble growth. Subsequent effects due to tissue trauma and emboli would presumably mirror those observed in humans suffering from decompression sickness. It is unlikely that the brief duration of sonar pings would be long enough to drive bubble growth to any substantial size, if such a phenomenon occurs. However, an alternative but related hypothesis has also been suggested: stable bubbles could be destabilized by high-level sound exposures such that bubble growth then occurs through static diffusion of gas out of the tissues. In such a scenario the marine mammal would need to be in a gas-supersaturated state long enough for bubbles to become of a problematic size. The second hypothesis speculates that rapid ascent to the surface following exposure to a startling sound might produce tissue gas saturation sufficient for the evolution of nitrogen bubbles (Jepson et al., 2003; Fernández et al., 2005). In this scenario, the rate of ascent would need to be sufficiently rapid to compromise behavioral or physiological protections against nitrogen bubble formation. Tyack et al. (2006) showed that beaked whales often make rapid ascents from deep dives, suggesting that it is unlikely that beaked whales would suffer from decompression sickness. Zimmer and Tyack (2007) speculated that if repetitive shallow dives that are used by beaked whales to avoid a predator or a sound source, they could accumulate high levels of nitrogen because they would be above the depth of lung collapse (above about 210 feet) and could lead to decompression sickness. There is no evidence that beaked whales dive in this manner in response to predators or sound sources and other marine mammals such as Antarctic and Galapagos fur seals, and pantropical spotted dolphins make repetitive shallow dives with no apparent decompression sickness (Kooyman and Trillmich, 1984; Kooyman et al., 1984; Baird et al., 2001).

Although theoretical predictions suggest the possibility for acoustically mediated bubble growth, there is considerable disagreement among scientists as to its likelihood (Piantadosi and Thalmann, 2004). Sound exposure levels predicted to cause *in vivo* bubble formation within diving cetaceans have not been evaluated and are suspected as needing to be very high (Evans, 2002; Crum et al., 2005). Moore and Early (2004) reported that in analysis of sperm whale bones spanning 111 years, gas embolism symptoms were observed, indicating that sperm whales may be susceptible to decompression sickness due to natural diving behavior. Further, although it has been argued that traumas from recent beaked whale strandings are consistent with gas emboli and bubble-induced tissue separations (Jepson et al., 2003), there is no conclusive evidence supporting this hypothesis and there is concern that at least some of the pathological findings (e.g., bubble emboli) are artifacts of the necropsy. Currently, stranding networks in the United States have agreed to adopt a set of necropsy guidelines to determine, in part, the possibility and frequency with which bubble emboli can be introduced into marine mammals during necropsy procedures (Arruda et al., 2007).



### **2006 Spain, Gulf of Vera Beaked Whale Mass Stranding (26-27 January 2006)**

Description: The Spanish Cetacean Society reported an atypical mass stranding of four beaked whales that occurred January 26-28, 2006, on the southeast coast of Spain near Mojacar (Gulf of Vera) in the Western Mediterranean Sea. According to the report, two of the whales were discovered the evening of January 26 and were found to be still alive. Two other whales were discovered on January 27, but had already died. A following report stated that the first three animals were located near the town of Mojacar and were examined by a team from the University of Las Palmas de Gran Canarias, with the help of the stranding network of Ecologistas en Acción Almería-PROMAR and others from the Spanish Cetacean Society. The fourth animal was found dead on the afternoon of January 27, a few kilometers north of the first three animals.

From January 25-26, 2006, a NATO surface ship group (seven ships including one U.S. ship under NATO operational command) conducted active sonar training against a Spanish submarine within 50 nm of the stranding site.

Findings: Veterinary pathologists necropsied the two male and two female beaked whales (*Z. cavirostris*).

Conclusions: According to the pathologists, a likely cause of this type of beaked whale mass stranding event may have been anthropogenic acoustic activities. However, no detailed pathological results confirming this supposition have been published to date, and no positive acoustic link was established as a direct cause of the stranding.

Even though no causal link can be made between the stranding event and naval exercises, certain conditions may have existed in the exercise area that, in their aggregate, may have contributed to the marine mammal strandings (Freitas, 2004):

- Operations were conducted in areas of at least 1,000 meters in depth near a shoreline where there is a rapid change in bathymetry on the order of 1,000 to 6,000 meters occurring a cross a relatively short horizontal distance (Freitas, 2004).
- Multiple ships, in this instance, five MFA sonar equipped vessels, were operating in the same area over extended periods (20 hours) in close proximity.
- Exercises took place in an area surrounded by landmasses, or in an embayment. Operations involving multiple ships employing mid-frequency active sonar near land may produce sound directed towards a channel or embayment that may cut off the lines of egress for marine mammals (Freitas, 2004)

#### **E.1.6.2 Other Global Stranding Discussions**

In the following sections, stranding events that have been linked to U.S. Navy activity in popular press are presented. As detailed in the individual case study conclusions, the U.S. Navy believes there is enough evidence available to refute allegations of impacts from mid-frequency sonar, or at least indicate a substantial degree of uncertainty in time and space that precludes a meaningful scientific conclusion.

#### **Case Studies of Stranding Events**

##### **2003 Washington State Harbor Porpoise Strandings (May 2 – June 2 2003)**

Description: At 1040 hours on May 5, 2003, the USS SHOUP began the use of mid-frequency tactical active sonar as part of a naval exercise. At 1420, the USS SHOUP entered the Haro Strait and terminated active sonar use at 1438, thus limiting active sonar use within the strait to less than 20 minutes. Between May 2 and June 2, 2003, approximately 16 strandings involving 15 harbor porpoises (*Phocoena phocoena*) and one Dall's porpoise (*Phocoenoides dalli*) were reported to the Northwest Marine Mammal

Stranding Network. A comprehensive review of all strandings and the events involving USS SHOUP on May 5, 2003 were presented in U.S. Department of Navy (2004). Given that the USS SHOUP was known to have operated sonar in the strait on May 5, and that supposed behavioral reactions of killer whales (*Orcinus orca*) had been putatively linked to these sonar operations (NMFS Office of Protected Resources, 2005), NMFS undertook an analysis of whether sonar caused the strandings of the harbor porpoises.

Whole carcasses of ten harbor porpoises and the head of an additional porpoise were collected for analysis. Necropsies were performed on ten of the porpoises, and six whole carcasses and two heads were selected for CT imaging. Gross examination, histopathology, age determination, blubber analysis, and various other analyses were conducted on each of the carcasses (Norman et al., 2004).

Findings: Post-mortem findings and analysis details are found in Norman et al. (2004). All of the carcasses suffered from some degree of freeze-thaw artifact that hampered gross and histological evaluations. At the time of necropsy, three of the porpoises were moderately fresh; the remainder of the carcasses were considered to have moderate to advanced decomposition. None of the 11 harbor porpoises demonstrated signs of acoustic trauma. In contrast, a putative cause of death was determined for five of the porpoises; two animals had blunt trauma injuries and three had indication of disease processes (fibrous peritonitis, salmonellosis and necrotizing pneumonia). A cause of death could not be determined in the remaining animals, which is consistent with expected percentage of marine mammal necropsies conducted within the Northwest region. It is important to note, however, that these determinations were based only on the evidence from the necropsy to avoid bias with regard to determinations of the potential presence or absence of acoustic trauma. The result was that other potential causal factors, such as one animal (Specimen 33NWR05005) found tangled in a fishing net, was unknown to the investigators in their determination regarding the likely cause of death.

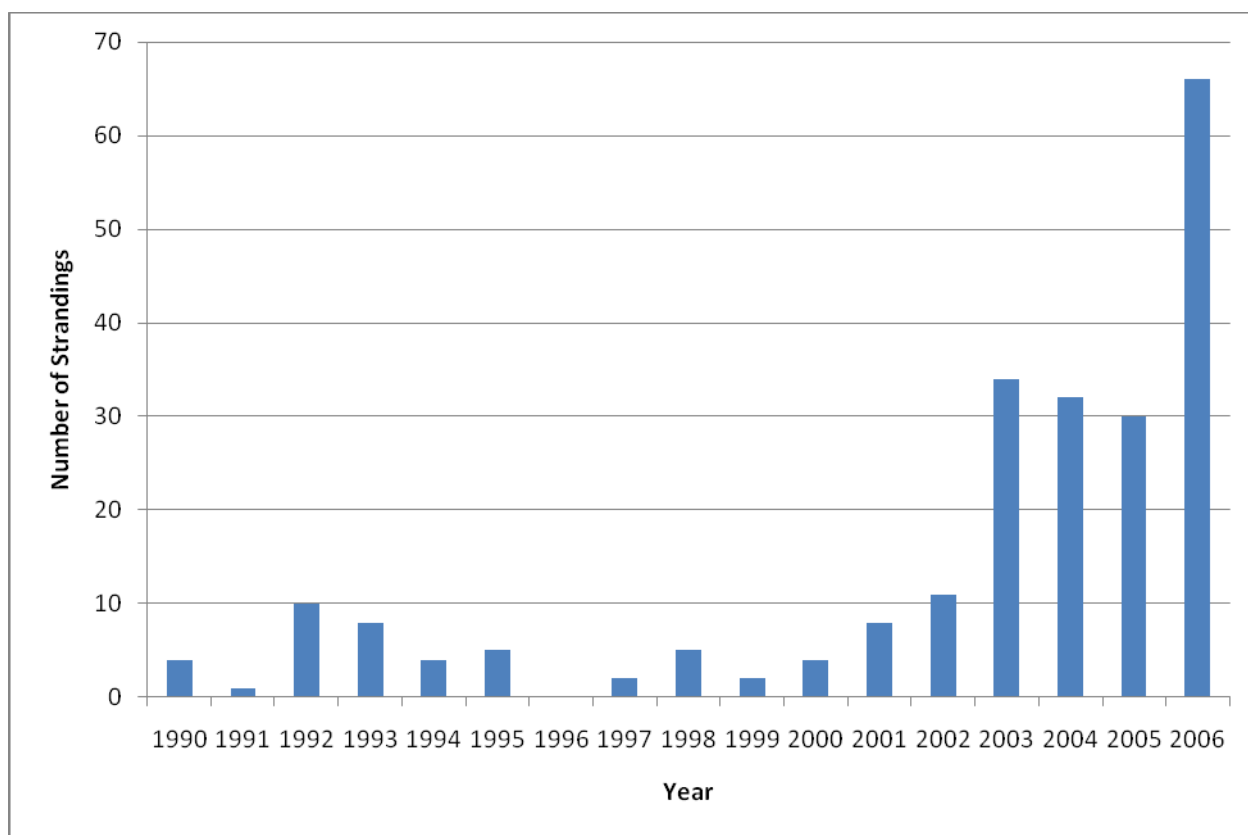
Conclusions: NMFS concluded from a retrospective analysis of stranding events that the number of harbor porpoise stranding events in the approximate month surrounding the USS SHOUP use of sonar was higher than expected based on annual strandings of harbor porpoises (Norman et al., 2004). In this regard, it is important to note that the number of strandings in the May-June timeframe in 2003 was also higher for the outer coast, indicating a much wider phenomena than use of sonar by USS SHOUP in Puget Sound for one day in May. The conclusion by NMFS that the number of strandings in 2003 was higher is also different from that of The Whale Museum, which has documented and responded to harbor porpoise strandings since 1980 (Osborne, 2003). According to The Whale Museum, the number of strandings as of May 15, 2003, was consistent with what was expected based on historical stranding records and was less than that occurring in certain years. For example, since 1992 the San Juan Stranding Network has documented an average of 5.8 porpoise strandings per year. In 1997 there were 12 strandings in the San Juan Islands with more than 30 strandings throughout the general Puget Sound area. Disregarding the discrepancy in the historical rate of porpoise strandings and its relation to the USS SHOUP, NMFS acknowledged that the intense level of media attention focused on the strandings likely resulted in an increased reporting effort by the public over that which is normally observed (Norman et al., 2004). NMFS also noted in its report that the “sample size is too small and biased to infer a specific relationship with respect to sonar usage and subsequent strandings.”

Seven of the porpoises collected and analyzed died prior to SHOUP departing to sea on May 5, 2003. Of these seven, one, discovered on May 5, 2003, was in a state of moderate decomposition, indicating it died before May 5; the cause of death was determined, most likely, to be salmonella septicemia. Another porpoise, discovered at Port Angeles on May 6, 2003, was in a state of moderate decomposition, indicating that this porpoise also died prior to May 5. One stranded harbor porpoise discovered fresh on May 6 is the only animal that could potentially be linked in time to the USS SHOUP's May 5 active sonar use. Necropsy results for this porpoise found no evidence of acoustic trauma. The remaining eight strandings were discovered one to three weeks after the USS SHOUP's May 5 transit of the Haro Strait,

making it difficult to causally link the sonar activities of the USS SHOUP to the timing of the strandings. Two of the eight porpoises died from blunt trauma injury and a third suffered from parasitic infestation, which possibly contributed to its death (Norman et al., 2004). For the remaining five porpoises, NMFS was unable to identify the causes of death.

Additionally, it has become clear that the number of harbor porpoise strandings in the Northwest increased beginning in 2003 and through 2006. Figure A-3 shows the number of strandings documented in the Northwest for harbor porpoises. On November 3, 2006, a UME in the Pacific Northwest was declared. In 2006, a total of 66 harbor porpoise strandings were reported in the Outer Coast of Oregon and Washington and Inland waters of Washington (NOAA Fisheries, 2006; NOAA Fisheries, Northwest Region, 2006a).

**Figure E-4. Northwest Region Harbor Porpoise Strandings 1990 - 2006**



Source: NOAA Fisheries, Northwest Region, 2006b

The speculative association of the harbor porpoise strandings to the use of sonar by the USS SHOUP is inconsistent with prior stranding events linked to the use of mid-frequency sonar. Specifically, in prior events, the stranding of whales occurred over a short period of time (less than 36 hours), stranded individuals were spatially co-located, traumas in stranded animals were consistent between events, and active sonar was known or suspected to be in use. Although mid-frequency active sonar was used by the USS SHOUP, the distribution of harbor porpoise strandings by location and with respect to time surrounding the event do not support the suggestion that mid-frequency active sonar was a cause of harbor porpoise strandings. Rather, a complete lack of evidence of any acoustic trauma within the harbor porpoises and the identification of probable causes of stranding or death in several animals further support the conclusion that harbor porpoise strandings were unrelated to the sonar activities of the USS SHOUP.

Additional allegations regarding USS SHOUP use of sonar having caused behavioral effects to Dall's porpoise, orca and a minke whale also arose in association with this event (see U.S. Department of Navy 2004 for a complete discussion).

Dall's porpoise: Information regarding the observation of Dall's porpoise on May 5, 2003, came from the operator of a whale watch boat at an unspecified location. This operator reported the Dall's porpoise were seen "going north" when the SHOUP was estimated by him to be 10 miles away. Potential reasons for the Dall's movement include the pursuit of prey, the presence of harassing resident orca or predatory transient orca, vessel disturbance from one of many whale watch vessels or multiple other unknowable reasons, including the use of sonar by SHOUP. In short, there was nothing unusual in the observed behavior of the Dall's porpoise on May 5, 2003 and no way to assess if the otherwise normal behavior was in reaction to the use of sonar by SHOUP, any other potential causal factor or a combination of factors.

Orca: Observer opinions regarding orca J-Pod behaviors on May 5, 2003, were inconsistent, ranging from the orca being "at ease with the sound" or "resting" to their being "annoyed." One witness reported observing "low rates of surface active behavior" on behalf of the orca J-Pod, which is in conflict with that of another observer who reported variable surface activity, tail slapping and spyhopping. Witnesses also expressed the opinion that the behaviors displayed by the orca on May 5, 2003, were "extremely unusual," although those same behaviors are observed and reported regularly on the Orca Network Website, are behaviors listed in general references as being part of the normal repertoire of orca behaviors. Given the contradictory nature of the reports on the observed behavior of the J-Pod orca, there is no way to assess if any unusual behaviors were present or if present they were in reaction to vessel disturbance from one of many nearby whale watch vessels, use of sonar by SHOUP, any other potential causal factor or a combination of factors.

Minke whale: A minke whale was reported porpoising in Haro Strait on May 5, 2003, which is a rarely observed behavior. The cause of this behavior is indeterminate given multiple potential causal factors including but not limited to the presence of predatory transient orca, possible interaction with whale watch boats, other vessel or SHOUP's use of sonar. Given the existing information, there is no way to be certain if the unusual behavior observed was in reaction to the use of sonar by SHOUP, any other potential causal factor or a combination of factors.

#### ***2004 Alaska Beaked Whale Strandings (Northern Edge Exercise, 7-16 June 2004)***

Description: Between 27 June and 19 July 2004, five beaked whales were discovered at various locations along 1,600 miles of the Alaskan coastline and one was found floating (dead) at sea. These whales included three Baird's beaked whales and two Cuvier's beaked whales. Questions and comments posed on previous Navy environmental documents have alleged that sonar use may have been the cause of these strandings in association with the Navy Alaska Shield/Northern Edge exercise, which occurred June 7 to June 16, 2004 (within the approximate timeframe of these strandings).

Findings: Information regarding the strandings is incomplete as the whales had been dead for some time before they were discovered. The stranded beaked whales were in moderate to advanced states of decomposition and necropsies were not performed. Additionally, prior to the Navy conducting the Alaska Shield/Northern Edge exercise, two Cuvier's beaked whales were discovered stranded at two separate locations along the Alaskan coastline (February 26 at Yakutat and June 1 at Nuka Bay).

Zimmerman (1991) reported that between 1975 and 1987, 11 species of cetaceans were found stranded in Alaska seven or more times, including 29 Stejneger's beaked whales, 19 Cuvier's beaked whales, and 8 Baird's beaked whales. Cuvier's beaked whales have been found stranded from the eastern Gulf of Alaska to the western Aleutians. Baird's beaked whales were found stranded as far north as the area

between Cape Pierce and Cape Newenham, east near Kodiak, and along the Aleutian Islands. (Zimmerman, 1991). In short, however, the stranding of beaked whales in Alaska is a relatively uncommon occurrence (as compared to other species).

Conclusions: The at-sea portion of the Alaska Shield/Northern Edge 2004 exercise consisted mainly surface ships and aircraft tracking a vessel of interest followed by a vessel boarding search and seizure event. There was no ASW component to the exercise, no use of mid-frequency sonar and no use of explosives in the water. There were no events in the Alaska Shield/Northern Edge exercise that could have caused or been related to any of the strandings over this 33-day period along 1,600 miles of coastline.

#### **2004 Hawai'i Melon-Headed Whale Unusual Milling Event (July 3-4 2004)**

Description: The majority of the following information is taken from the NMFS report (which referred to the event as a “mass stranding event”; (Southall et al., 2006) but includes additional and new information not presented in the NMFS report. On the morning of July 3, 2004, between 150 and 200 melon-headed whales (*Peponocephala electra*) entered Hanalei Bay, Kauai. Individuals attending a canoe blessing ceremony observed the animals entering the bay at approximately 7:00 a.m. The whales were reported entering the bay in a “wave as if they were chasing fish” (Braun 2006). At 6:45 a.m. on July 3, 2004, approximately 25 nm north of Hanalei Bay, active sonar was tested briefly prior to the start of an anti-submarine warfare exercise.

The whales stopped in the southwest portion of the bay, grouping tightly, and displayed spy-hopping and tail-slapping behavior. As people went into the water among the whales, the pod separated into as many as four groups, with individual animals moving among the clusters. This continued through most of the day, with the animals slowly moving south and then southeast within the bay. By about 3 p.m., police arrived and kept people from interacting with the animals. The Navy believes that the abnormal behavior by the whales during this time is likely the result of people and boats in the water with the whales rather than the result of sonar activities taking place 25 or more miles off the coast. At 4:45 p.m. on July 3, 2004, the RIMPAC Battle Watch Captain received a call from a National Marine Fisheries representative in Honolulu, Hawaii, reporting the sighting of as many as 200 melon-headed whales in Hanalei Bay. At 4:47 p.m. the Battle Watch Captain directed all ships in the area to cease active sonar transmissions.

At 7:20 p.m. on July 3, 2004, the whales were observed in a tight single pod 75 yards from the southeast side of the bay. The pod was circling in a group and displayed frequent tail slapping and whistle vocalizations and some spyhopping. No predators were observed in the bay and no animals were reported having fresh injuries. The pod stayed in the bay through the night of July 3, 2004. On the morning of July 4, 2004, the whales were observed to still be in the bay and collected in a tight group. A decision was made at that time to attempt to herd the animals out of the bay. A 700-to-800-foot rope was constructed by weaving together beach morning glory vines. This vine rope was tied between two canoes and with the assistance of 30 to 40 kayaks, was used to herd the animals out of the bay. By approximately 11:30 a.m. on July 4, 2004, the pod was coaxed out of the bay.

A single neonate melon-headed whale was observed in the bay on the afternoon of July 4, after the whale pod had left the bay. The following morning on July 5, 2004, the neonate was found stranded on Lumahai Beach. It was pushed back into the water but was found stranded dead between 9 and 10 a.m. near the Hanalei pier. NMFS collected the carcass and had it shipped to California for necropsy, tissue collection and diagnostic imaging.

Following the unusual milling event, NMFS undertook an investigation of possible causative factors of the event. This analysis included available information on environmental factors, biological factors and an analysis of the potential for sonar involvement. The latter analysis included vessels that utilized mid-

frequency active sonar on the afternoon and evening of July 2. These vessels were to the southeast of Kauai, on the opposite side of the island from Hanalei Bay.

Findings: NMFS concluded from the acoustic analysis that the melon-headed whales would have had to have been on the southeast side of Kauai on July 2 to have been exposed to sonar from naval vessels on that day (Southall et al., 2006). There was no indication whether the animals were in that region or whether they were elsewhere on July 2. NMFS concluded that the animals would have had to swim from 1.4 to 4.0 m/s for 6.5 to 17.5 hours after sonar transmissions ceased to reach Hanalei Bay by 7 a.m. on July 3. Sound transmissions by ships to the north of Hanalei Bay on July 3 were produced as part of exercises between 6:45 a.m. and 4:47 p.m. Propagation analysis conducted by the 3rd Fleet estimated that the level of sound from these transmissions at the mouth of Hanalei Bay could have ranged from 138-149 dB re: 1  $\mu$ Pa.

NMFS was unable to determine any environmental factors (e.g., harmful algal blooms, weather conditions) that may have contributed to the stranding. However, additional analysis by Navy investigators found that a full moon occurred the evening before the stranding and was coupled with a squid run (Mobley, 2007). One of the first observations of the whales entering the bay reported the pod came into the bay in a line “as if chasing fish” (Braun, 2005). In addition, a group of 500 to 700 melon-headed whales were observed to come close to shore and interact with humans in Sasanhaya Bay, Rota, on the same morning as the whales entered Hanalei Bay (Jefferson et al., 2006). Previous records further indicated that, though the entrance of melon-headed whales into the shallows is rare, it is not unprecedented. A pod of melon-headed whales entered Hilo Bay in the 1870s in a manner similar to that which occurred at Hanalei Bay in 2004.

The necropsy of the melon-headed whale calf suggested that the animal died from a lack of nutrition, possibly following separation from its mother. The calf was estimated to be approximately one week old. Although the calf appeared not to have eaten for some time, it was not possible to determine whether the calf had ever nursed after it was born. The calf showed no signs of blunt trauma or viral disease and had no indications of acoustic injury.

Conclusions: Although it is not impossible, it is unlikely that the sound level from the sonar caused the melon-headed whales to enter Hanalei Bay. This conclusion is based on a number of factors:

1. The speculation that the whales may have been exposed to sonar the day before and then fled to the Hanalei Bay is not supported by reasonable expectation of animal behavior and swim speeds. The flight response of the animals would have had to persist for many hours following the cessation of sonar transmissions. Such responses have not been observed in marine mammals and no documentation exists that such persistent flight response after the cessation of a frightening stimulus has been observed in other mammals. The swim speeds, though feasible for the species, are highly unlikely to be maintained for the durations proposed, particularly since the pod was a mixed group containing both adults and neonates. Whereas adults may maintain a swim speed of 4.0 m/s for some time, it is improbable that a neonate could achieve the same for a period of many hours.

2. The area between the islands of Oahu and Kauai and the Pacific Missile Range Facility training range have been used in RIMPAC exercises for more than 30 years, and are used year-round for ASW training with mid-frequency active sonar. Melon-headed whales inhabiting the waters around Kauai are likely not naive to the sound of sonar and there has never been another stranding event associated in time with ASW training at Kauai. Similarly, the waters surrounding Hawaii contain an abundance of marine mammals, many of which would have been exposed to the same sonar operations that were speculated to have affected the melon-headed whales. No other strandings were reported coincident with the RIMPAC exercises. This leaves it uncertain as to why melon-headed whales, and no other species of marine mammal, would respond to the sonar exposure by stranding.

3. At the nominal swim speed for melon-headed whales, the whales had to be within 1.5 to 2 nm of Hanalei Bay before sonar was activated on July 3. The whales were not in their open ocean habitat but had to be close to shore at 6:45 a.m. when the sonar was activated to have been observed inside Hanalei Bay from the beach by 7 a.m. (Hanalei Bay is very large area). This observation suggests that other potential factors could have caused the event (see below).

4. The simultaneous movement of 500 to 700 melon-headed whales and Risso's dolphins into Sasanhaya Bay, Rota, in the Northern Marianas Islands on the same morning as the 2004 Hanalei stranding (Jefferson et al., 2006) suggests that there may be a common factor which prompted the melon-headed whales to approach the shoreline. A full moon occurred the evening before the stranding and a run of squid was reported concomitant with the lunar activity (Mobley et al., 2007). Thus, it is possible that the melon-headed whales were capitalizing on a lunar event that provided an opportunity for relatively easy prey capture (Mobley et al., 2007). A report of a pod entering Hilo Bay in the 1870s indicates that on at least one other occasion, melon-headed whales entered a bay in a manner similar to the occurrence at Hanalei Bay in July 2004. Thus, although melon-headed whales entering shallow embayments may be an infrequent event, and every such event might be considered anomalous, there is precedent for the occurrence.

5. The received noise sound levels at the bay were estimated to range from roughly 95 to 149 dB re: 1  $\mu$ Pa. Received levels as a function of time of day have not been reported, so it is not possible to determine when the presumed highest levels would have occurred and for how long. However, received levels in the upper range would have been audible by human participants in the bay. The statement by one interviewee that he heard "pings" that lasted an hour and that they were loud enough to hurt his ears is unreliable. Received levels necessary to cause pain over the duration stated would have been observed by most individuals in the water with the animals. No other such reports were obtained from people interacting with the animals in the water.

Although NMFS concluded that sonar use was a "plausible, if not likely, contributing factor in what may have been a confluence of events (Southall et al., 2006)," this conclusion was based primarily on the basis that there was an absence of any other compelling explanation. The authors of the NMFS report on the incident were unaware, at the time of publication, of the simultaneous event in Rota. In light of the simultaneous Rota event, the Hanalei event does not appear as anomalous as initially presented and the speculation that sonar was a causative factor is weakened. The Hanalei Bay incident does not share the characteristics observed with other mass strandings of whales coincident with sonar activity (e.g., specific traumas, species composition, etc.). In addition, the inability to conclusively link or exclude the impact of other environmental factors makes a causal link between sonar and the melon-headed whale event highly speculative at best.

#### **1980- 2004 Beaked Whale Strandings in Japan (Brownell et al., 2004)**

Description: Brownell et al. (2004) compared the historical occurrence of beaked whale strandings in Japan (where there are U.S. Navy bases), with strandings in New Zealand (which lacks a U.S. Naval base) and concluded the higher number of strandings in Japan may be related to the presence of US. Navy vessels using mid-frequency sonar. While the dates for the strandings were well-documented, the authors of the study did not attempt to correlate the dates of any navy activities or exercises with those stranding dates.

To fully investigate the allegation made by Brownell et al. (2004), the Center for Naval Analysis (CNA) in an internal Navy report, looked at past U.S. Naval exercise schedules from 1980 to 2004 for the water around Japan in comparison to the dates for the strandings provided by Brownell et al. (2004). None of the strandings occurred during or soon (within weeks) after any U.S. Navy exercises. While the CNA analysis began by investigating the probabilistic nature of any co-occurrences, the strandings and sonar

use were not correlated by time. Given that there was no instance of co-occurrence in over 20 years of stranding data, it can be reasonably postulated that sonar use in Japan waters by U.S. Navy vessels did not lead to any of the strandings documented by Brownell et al. (2004).

### **2005 North Carolina Marine Mammal Mass Stranding Event (January 15-16, 2005)**

Description: On January 15 and 16, 2005, 36 marine mammals consisting of 33 short-finned pilot whales, one minke whale, and two dwarf sperm whales stranded alive on the beaches of North Carolina (Hohn et al., 2006a). The animals were scattered across a 111-km area from Cape Hatteras northward. Because of the live stranding of multiple species, the event was classified as a UME. It is the only stranding on record for the region in which multiple offshore species were observed to strand within a two- to three-day period

The U.S. Navy indicated that from January 12-14 some unit level training with mid-frequency active sonar was conducted by vessels that were 93 to 185 km from Oregon Inlet. An expeditionary strike group was also conducting exercises to the southeast, but the closest point of active sonar transmission to the inlet was 650 km away. The unit-level operations were not unusual for the area or time of year and the vessels were not involved in antisubmarine warfare exercises. Marine mammal observers on board the vessels did not detect any marine mammals during the period of unit-level training. No sonar transmissions were made on January 15-16.

The National Weather Service reported that a severe weather event moved through North Carolina on January 13 and 14. The event was caused by an intense cold front that moved into an unusually warm and moist air mass that had been persisting across the eastern United States for about a week. The weather caused flooding in the western part of the state, considerable wind damage in central regions of the state, and at least three tornadoes that were reported in the north central part of the state. Severe, sustained (one to four days) winter storms are common for this region.

Over a two-day period (January 16-17), two dwarf sperm whales, 27 pilot whales and the minke whale were necropsied and tissue samples collected. Twenty-five of the stranded cetacean heads were examined; two pilot whale heads and the heads of the dwarf sperm whales were analyzed by CT.

Findings: The pilot whales and dwarf sperm whale were not emaciated, but the minke whale, which was believed to be a dependent calf, was emaciated. Many of the animals were on the beach for an extended period of time prior to necropsy and sampling, and many of the biochemical abnormalities noted in the animals were suspected of being related to the stranding and prolonged time on land. Lesions were observed in all of the organs, but there was no consistency across species. Musculoskeletal disease was observed in two pilot whales and cardiovascular disease was observed in one dwarf sperm whale and one pilot whale. Parasites were a common finding in the pilot whales and dwarf sperm whales but were considered consistent with the expected parasite load for wild odontocetes. None of the animals exhibited traumas similar to those observed in prior stranding events associated with mid-frequency sonar activity. Specifically, there was an absence of auditory system trauma and no evidence of distributed and widespread bubble lesions or fat emboli, as was previously observed (Fernández et al., 2005).

Sonar transmissions prior to the strandings were limited in nature and did not share the concentration identified in previous events associated with mid-frequency active sonar use (Evans and England, 2001). The operational/environmental conditions were also dissimilar (e.g., no constrictive channel and a limited number of ships and sonar transmissions). NMFS noted that environmental conditions were favorable for a shift from up-welling to down-welling conditions, which could have contributed to the event. However, other severe storm conditions existed in the days surrounding the strandings and the impact of these weather conditions on at-sea conditions is unknown. No harmful algal blooms were noted along the coastline.



**Conclusions:** All of the species involved in this stranding event are known to occasionally strand in this region. Although the cause of the stranding could not be determined, several whales had preexisting conditions that could have contributed to the stranding. Cause of death for many of the whales was likely due to the physiological stresses associated with being stranded. A consistent suite of injuries across species, which was consistent with prior strandings where sonar exposure is expected to be a causative mechanism, was not observed.

NMFS was unable to determine any causative role that sonar may have played in the stranding event. The acoustic modeling performed, as in the Hanalei Bay incident, was hampered by uncertainty regarding the location of the animals at the time of sonar transmissions. However, as in the Hanalei Bay incident, the response of the animals following the cessation of transmissions would imply a flight response that persisted for many hours after the sound source was no longer operational. In contrast, the presence of a severe weather event passing through North Carolina during January 13 and 14 is a possible, if not likely, contributing factor to the North Carolina UME of January 15. Hurricanes may have been responsible for mass strandings of pygmy killer whales in the British Virgin Islands and Gervais' beaked whales in North Carolina (Mignucci-Giannoni et al., 2000; Norman and Mead, 2001).

#### **E.1.6.3 Causal Associations for Stranding Events**

Several stranding events have been associated with Navy sonar activities but relatively few of the total stranding events that have been recorded occurred spatially or temporally with Navy sonar activities. While sonar may be a contributing factor under certain rare conditions, the presence of sonar is not a necessary condition for stranding events to occur. In established range areas such as those in Hawaii and Southern California where sonar use has been routine for decades, there is no evidence of impacts from sonar use on marine mammals.

A review of past stranding events associated with sonar suggests that the potential factors that may contribute to a stranding event are steep bathymetry changes, narrow channels, multiple sonar ships, surface ducting and the presence of beaked whales that may be more susceptible to sonar exposures. The most important factors appear to be the presence of a narrow channel (e.g. Bahamas and Madeira Island, Portugal) that may prevent animals from avoiding sonar exposure and multiple sonar ships within that channel. There are no narrow channels (less than 35 nm wide and 10 nm in length) in the SOCAL Range Complex and the ships would be spread out over a wider area allowing animals to move away from sonar activities if they choose. In addition, beaked whales may not be more susceptible to sonar but may favor habitats that are more conducive to sonar effects.

#### **E.1.7 Stranding Section Conclusions**

Marine mammal strandings have been a historic and ongoing occurrence attributed to a variety of causes. Over the last 50 years, increased awareness and reporting has led to more information about species effected and raised concerns about anthropogenic sources of stranding. While there have been some marine mammal mortalities potentially associated with mid-frequency sonar effects to a small number of species (primarily limited numbers of certain species of beaked whales), the significance and actual causative reason for any impacts is still subject to continued investigation.

By comparison and as described previously, potential impacts to all species of cetaceans worldwide from fishery related mortality can be orders of magnitude more significant (100,000s of animals versus tens of animals) (Culik, 2002; ICES, 2005b; Read et al., 2006). This does not negate the influence of any mortality or additional stressor to small, regionalized sub-populations which may be at greater risk from human related mortalities (fishing, vessel strike, sound) than populations with larger oceanic level distribution or migrations. ICES (2005a) noted, however, that taken in context of marine mammal populations in general, sonar is not a major threat, nor is it a significant portion of the overall ocean noise budget.

In conclusion, a constructive framework and continued research based on sound scientific principles is needed in order to avoid speculation as to stranding causes, and to further our understanding of potential effects or lack of effects from military mid-frequency sonar (Bradshaw et al., 2005; ICES 2005b; Barlow and Gisiner, 2006; Cox et al., 2006).