

DWARF SPERM WHALE (*Kogia simus*): Western North Atlantic Stock

STOCK DEFINITION AND GEOGRAPHIC RANGE

The dwarf sperm whale (*Kogia simus*) appears to be distributed worldwide in temperate to tropical waters (Caldwell and Caldwell 1989). There are no stranding records for the east Canadian coast (Willis and Baird 1998). Sightings of these animals in the western North Atlantic occur primarily along the continental shelf edge and over the deeper waters off the continental shelf (Hansen *et al.* 1994; NMFS unpublished data). Dwarf sperm whales and pygmy sperm whales are difficult to distinguish and sightings of either species are often categorized as *Kogia* sp. There is no information on stock differentiation for the Atlantic population. In a recent study using hematological and stable-isotope data, Barros *et al.* (1998) speculated that dwarf sperm whales may have a more pelagic distribution than pygmy sperm whales, and/or dive deeper during feeding bouts.

POPULATION SIZE

An abundance of 115 (CV=0.61) for *Kogia* sp. was estimated from a line transect sighting survey conducted during July 6 to September 6, 1998 by a ship and plane that surveyed 15,900 km of track line in waters north of Maryland (38° N) (Figure 1; Palka *et al.* in review). Shipboard data were analyzed using the modified direct duplicate method (Palka 1995) that accounts for school size bias and $g(0)$, the probability of detecting a group on the track line. Aerial data were not corrected for $g(0)$.

An abundance of 421 (CV=0.55) for *Kogia* sp. was estimated from a shipboard line transect sighting survey conducted between 8 July and 17 August 1998 that surveyed 5,570 km of track line in waters south of Maryland (38°N) (Figure 1; Mullin in review). Abundance estimates were made using the program DISTANCE (Buckland *et al.* 1993; Laake *et al.* 1993) where school size bias and ship attraction were accounted for.

The best available abundance estimate for *Kogia* sp. is the sum of the estimates from the two 1998 USA Atlantic surveys, 536 (CV=0.45), where the estimate from the northern USA Atlantic is 115 (CV=0.61) and from the southern USA Atlantic is 421 (CV=0.55). This joint estimate is considered best because together these two surveys have the most complete coverage of the species' habitat.

Minimum Population Estimate

The minimum population estimate is the lower limit of the two-tailed 60% confidence interval of the log-normally distributed best abundance estimate. This is equivalent to the 20th percentile of the log-normal distribution as specified by Wade and Angliss (1997). The best estimate of abundance for *Kogia* sp. is 536 (CV=0.45). The minimum population estimate for *Kogia* sp. is 373.

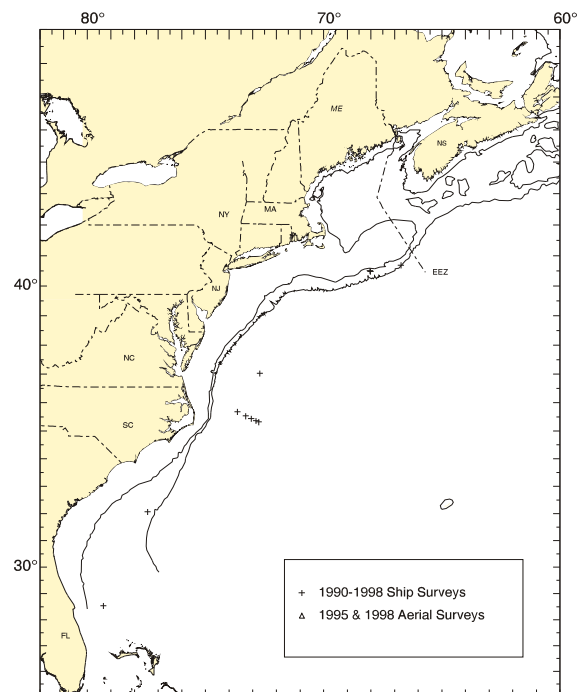


Figure 1. USA Gulf of Mexico bays and sounds. Each of the alpha-numerically designated blocks corresponds to one of the NMFS Southeast Fisheries Science Center logistical aerial survey areas listed in Table 1. The bottlenose dolphins inhabiting each bay and sound are considered to comprise a unique stock for purposes of this assessment.

Current Population Trend

The available information is insufficient to evaluate trends in population size for this species in the western North Atlantic.

CURRENT AND MAXIMUM NET PRODUCTIVITY RATES

Current and maximum net productivity rates are unknown for this stock. For purposes of this assessment, the maximum net productivity rate was assumed to be 0.04. This value is based on theoretical modeling showing that cetacean populations may not grow at rates much greater than 4% given the constraints of their reproductive life history (Barlow *et al.* 1995).

POTENTIAL BIOLOGICAL REMOVAL

Potential Biological Removal (PBR) is the product of minimum population size, one-half the maximum productivity rate, and a “recovery” factor (Wade and Angliss 1997). The minimum population size is 373. The maximum productivity rate is 0.04, the default value for cetaceans. The “recovery” factor, which accounts for endangered, depleted, threatened stocks, or stocks of unknown status relative to optimum sustainable population (OSP) is assumed to be 0.5 because this stock is of unknown status. PBR for the western North Atlantic Kogia sp. is 3.7.

ANNUAL HUMAN-CAUSED MORTALITY AND SERIOUS INJURY

The level of past or current, direct, human-caused mortality of dwarf sperm whales in the USA Atlantic EEZ is unknown. Available information indicates there is likely little fisheries interaction with dwarf sperm whales in the USA Atlantic EEZ. Total annual estimated average fishery-related mortality or serious injury to this stock during 1994-1998 was 0.25 dwarf sperm whales (CV=0); Table 1).

Fishery Information

Data on current incidental takes in USA fisheries are available from several sources. In 1986, NMFS established a mandatory logbook system for large pelagic fisheries. The Northeast Fisheries Science Center (NEFSC) Sea Sampling Observer Program initiated in 1989, and since that year several fisheries have been covered by the program. In late 1992 and in 1993 the SEFSC provided observer coverage of pelagic longline vessels fishing off the Grand Banks (Tail of the Banks) and provides observer coverage of vessels fishing south of Cape Hatteras.

Bycatch has been observed by NMFS Sea Samplers in the pelagic drift gillnet fishery, but no mortalities or serious injuries have been documented in other fisheries.

Pelagic Drift Gillnet

The estimated total number of hauls in the pelagic drift gillnet fishery increased from 714 in 1989 to 1,144 in 1990; thereafter, with the introduction of quotas, effort was severely reduced. The estimated number of hauls in 1991, 1992, 1993, 1994, 1995, 1996, and 1998 were 233, 243, 232, 197, 164, 149, and 113 respectively. In 1996 and 1997, NMFS issued management regulations which prohibited the operation of this fishery in 1997. Further, in January 1999 NMFS issued a Final Rule to prohibit the use of driftnets (*i.e.*, permanent closure) in the North Atlantic swordfish fishery (50 CFR Part 630). Fifty-nine different vessels participated in this fishery at one time or another between 1989 and 1993. Since 1994, between 10- and 13 vessels have participated in the fishery (Table 1). Observer coverage, expressed as percent of sets observed, was 8% in 1989, 6% in 1990, 20% in 1991, 40% in 1992, 42% in 1993, 87% in 1994, 99% in 1995, 64% in 1996, and 99% in 1998. Effort was concentrated along the southern edge of Georges Bank and off Cape Hatteras. Examination of the species composition of the catch and locations of the fishery throughout the year, suggested that the pelagic drift gillnet fishery be stratified into two strata, a southern or winter stratum, and a northern or summer stratum. Estimates of the total bycatch, from 1989 to 1993, were obtained using the aggregated (pooled 1989-1993) catch rates, by strata (Northridge 1996). Estimates of total annual bycatch for 1994 and 1995 were estimated from the sum of the observed caught and the product of the average bycatch per haul and the number of unobserved hauls as recorded in self-reported fisheries information. Variances were estimated using bootstrap re-sampling techniques. There was one report of mortality or serious injury to dwarf sperm whales attributable to this fishery. Estimated annual fishery-related mortality and serious injury (CV in parentheses) was 0 dwarf sperm whales from 1991-1994, 1.0 in 1995 (CV=0), and 0 from 1996-1998;

estimated average annual mortality and serious injury related to this fishery during 1994-1998 was 0.25 dwarf sperm whales (CV=0) (Table 1).

Table 1. Summary of the incidental mortality of the dwarf sperm whale (*Kogia simus*), by commercial fishery including the years sampled (Years), the number of vessels active within the fishery (Vessels), the type of data used (Data Type), the annual observer coverage (Observer Coverage), the mortalities recorded by on-board observers (Observed Mortality), the estimated annual mortality (Estimated Mortality), the estimated CV of the annual mortality (Estimated CVs) and the mean annual mortality (CV in parentheses).

Fishery	Years	Vessels ¹	Data Type ²	Observer Coverage	Observed Serious Injury	Observed Mortality	Estimated Mortality	Estimated CVs	Mean Annual Mortality
Pelagic ⁵ Drift Gillnet	94-98	1994=11 1995=12 1996=10 1998=13	Obs. Data Logbook	.87, .99, .64, NA, .99	0, 0, 0, 0, 0	0, 1, 0, NA, 0	0, 1.0 ⁴ , 0, NA, 0	0	0.25 (0)
TOTAL									0.25 (0)

¹ 1994, 1995, 1996 and 1998 shown, other years not available on an annual basis.

² Observer data (Obs. Data) are used to measure bycatch rates, and the data are collected within the Northeast Fisheries Science Center (NEFSC) Sea Sampling Program. Logbook (Logbook) data are used to measure total effort, and the data are collected at the Southeast Fisheries Science Center (SEFSC).

³ The observer coverage and unit of effort for the Pelagic Drift Gillnet is a set.

⁴ One vessel was not observed and recorded 1 set in a 10 day trip in the SEFSC mandatory logbook. If you assume the vessel fished 1.4 sets per day as estimated from the 1995 SS data, the point estimate may increase by 0.08 animals. However, the SEFSC mandatory logbook data was taken at face value, and therefore it was assumed that 1 set was fished within this trip, and the point estimate would then increase by 0.01 animals.

⁵ The fishery did not operate in 1997; the average annual mortality is based on the number of years (4; 1994-1996, 1998) that the fishery operated.

Other Mortality

Historical stranding records (1883-1988) of dwarf sperm whales in the southeastern USA (Credle 1988), and strandings recorded during 1988-1997 (Barros *et al.* 1998) indicate that this species accounts for about 17% of all *Kogia* strandings in this area. During the period 1990-October 1998, three dwarf sperm whale strandings occurred in the northeastern USA (Maryland, Massachusetts, and Rhode Island), whereas 43 strandings were documented along the USA Atlantic coast between North Carolina and the Florida Keys in the same period. A pair of latex examination gloves was retrieved from the stomach of a dwarf sperm whale stranded in Miami in 1987 (Barros *et al.* 1990). In the period 1987-1994, one animal had possible propeller cuts on or near the flukes.

STATUS OF STOCK

The status of this stock relative to OSP in the USA Atlantic EEZ is unknown. This species is not listed as endangered or threatened under the Endangered Species Act. There is insufficient information with which to assess population trends. Total fishery-related mortality and serious injury for this stock is less than 10% of PBR and therefore can be considered insignificant and approaching zero mortality and serious injury rate.

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