

1 **Multivariate analysis of behavioural response experiments in humpback**  
2 **whales (*Megaptera novaeangliae*)**

3  
4 Rebecca A. Dunlop<sup>1</sup>, Michael J. Noad<sup>1</sup>, Douglas H. Cato<sup>2,3</sup>, Eric Kniest<sup>4</sup>, Patrick Miller<sup>5</sup>, Joshua  
5 N. Smith<sup>6</sup> and M. Dale Stokes<sup>7</sup>.

6 <sup>1</sup> *School of Veterinary Science, University of Queensland, Gatton, Qld 4343, Australia*

7 <sup>2</sup> *Defence Science and Technology Organisation, Eveleigh, NSW 1430, Australia*

8 <sup>3</sup> *University of Sydney Institute of Marine Science, University of Sydney, NSW 2006, Australia*

9 <sup>4</sup> *School of Engineering, University of Newcastle, NSW 2308, Australia*

10 <sup>5</sup> *Scottish Oceans Institute, East Sands, St Andrews, Fife, KY16 8LB. United Kingdom.*

11 <sup>6</sup> *School of Biological Sciences and Biotechnology, Murdoch University, WA 6150, Australia*

12 <sup>7</sup> *Marine Physical Laboratory, Scripps Institution of Oceanography, Calif 92037-0238, USA.*

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15 Correspondence: <sup>1</sup> *School of Veterinary Science, University of Queensland, Gatton, Qld 4343,*  
16 *Australia. r.dunlop@uq.edu.au*

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## SUMMARY

The behavioural response study (BRS) is an experimental design used by field biologists to determine the function and /or behavioural effects of conspecific, heterospecific or anthropogenic stimuli. When carrying out these studies in marine mammals it is difficult to make basic observations and achieve sufficient samples sizes due to the high cost and logistical difficulties. Rarely are other factors such as social context or the physical environment considered in the analysis because of these difficulties. This paper presents results of a BRS carried out in humpback whales to test the response of groups to one recording of conspecific social sounds and an artificially-generated tone stimulus. Experiments were carried out in September/October 2004 and 2008 during the humpback whale southward migration along the east coast of Australia. In total, 13 ‘tone’ experiments, 15 ‘social sound’ experiments (using one recording of social sounds) and three silent controls were carried out over two years. Results (using a mixed model statistical analysis) suggested that humpback whales responded differently to both stimuli, measured by changes in course travelled and dive behaviour. Although the response to ‘tones’ was consistent, in that groups moved offshore and surfaced more often (suggesting an aversion to the stimulus), the response to ‘social sounds’ was highly variable and dependent upon the composition of the social group. The change in course and dive behaviour in response to ‘tones’ was found to be related to proximity to the source, the received signal level and signal-to-noise ratio *SNR*. This study demonstrates the complexity of behavioural responses by a marine mammal to acoustic stimuli, the need to replicate stimuli to generate a sufficient sample size, and to measure as many other factors as possible culminating in a multivariate analysis in order to tease out complex interactions.

## INTRODUCTION

49 Acoustic playback experiments, ‘behavioural response studies’ (BRS) and ‘controlled exposure  
50 experiments’ (CEE) seek to identify and describe potential responses of animals to natural or  
51 synthetic acoustic stimuli. Playback experiments (in which animal sounds are played back) have  
52 been carried out since the late 1950s on a variety of species including insects (Alexander, 1961;  
53 Haskell, 1957), birds (Ficken and Ficken, 1970; Roche, 1966; Verner and Milligan, 1971), fish  
54 (Fish, 1968), seals (Watkins and Schevill, 1968), reindeer (Espmark, 1971) and cetaceans  
55 (Morgan, 1970). However, there is a distinct lack of published playback experiments in marine  
56 mammals compared to terrestrial animals. In the last five years alone, over 200 playback  
57 experiments have been carried out on bird species (to 2006) compared to only 46 experiments on  
58 marine mammals (Deecke, 2006). Since that report (to date), only a few more playback studies  
59 on a marine mammal species have been presented in the peer-reviewed literature. This difference  
60 in the number is likely due to the relative ease with which wild terrestrial animals can be targeted  
61 or experimental terrestrial animals can be held in captivity (Falls, 1992) compared to most  
62 marine mammal species. There are obvious logistical and monetary constraints in marine  
63 mammal research (which limits the sample size and therefore the experimental power, Dunlop et  
64 al., 2012) and there is a lack of background data on marine mammal populations available to test  
65 hypotheses and interpret conclusions. More recently, the terms CEE and BRS have been used for  
66 experiments that control the acoustic dosage (level received by the animal), with exposure  
67 metrics measured or modeled at the animal, usually in order to obtain dose-response. Many  
68 playback experiments do not include this level of control.

69 Humpback whales are very vocal. Males produce a long, complex, stereotyped, repetitive  
70 ‘song’ (Payne and McVay, 1971) on the breeding grounds and during migration. The function of  
71 song is currently under debate but one function is likely to be a as a sexual advertisement  
72 directed towards females (Smith et al., 2008; Tyack, 1981). Other proposed functions include  
73 song operating as a mechanism for male social sorting (Darling et al. 2006), a method of spacing  
74 between singers (Frankel et al., 1995) or a threat display during intra-sexual competition (Baker  
75 & Herman, 1984). In addition to song, humpback whales produce ‘social sounds’ (Payne, 1978;  
76 Tyack, 1981), which include surface-generated percussive sounds (e.g. breaches, pectoral flipper  
77 slaps, tail slaps) and social vocalisations. Social sounds are produced by adult males, adult

78 females (Dunlop et al., 2008) and probably calves (Zoidis et al., 2008). These sounds are thought  
79 to convey information on species and sex of the signaller, signaller location, size, readiness to  
80 mate and readiness to compete with males as well as aid in group cohesion during joining,  
81 instigate and facilitate social interactions between groups or cohorts, maintain contact with other  
82 group members and facilitate group splitting (Dunlop et al., 2008). However, the function of  
83 specific social sounds is still not known and the contextual use of many of the social sounds in  
84 humpback whales is still to be determined.

85 To date, two ‘playback’ studies have been carried out on humpback whales, both  
86 designed to determine the function of conspecific vocalisations; Tyack (1983), tested the  
87 behavioural response of humpback whales to conspecific song and social sounds, and Mobley Jr.  
88 et al. (1988), included exposure to a synthetic sound along with playback of conspecific song and  
89 social sounds. Both singers and non-singers demonstrated approach and avoidance responses to  
90 playback of social sounds (Tyack, 1983; Mobley et al., 1988) suggesting an important  
91 communicative function of these sounds between different social groups. However, as with many  
92 of these studies, sample size was unavoidably small and the experiments were ‘sacrificially  
93 replicated’ (Deecke, 2006), that is, focal individuals were used repeatedly (exposed to both  
94 stimuli) and statistical independence was violated in the analysis as it did not account for this  
95 repeated measure design. Other behavioural response studies on humpback whales have focused  
96 on assessing the response to an anthropogenic stimulus. In the marine mammal literature they are  
97 usually referred to as controlled exposure experiments (CEEs). In many of these studies, only the  
98 received level of the sound was considered as the stimulus variable and other factors relating to  
99 the context of the exposed animal (for example the social environment and the noise  
100 environment) were not considered. The most current and preferred term for this type of  
101 experiment in wild cetaceans is ‘Behavioural Response Study’, or ‘BRS’.

102 In this experiment, we used a typical behavioural response experimental design to test the  
103 response of humpback whales to one recording of conspecific social sounds compared to a low-  
104 frequency sweep (2 kHz) tone, which is within the frequency range of humpback vocalisations.  
105 Song units are highly variable in frequency range and usually lie between 30 Hz (Payne and  
106 Payne, 1985) and 4 kHz (Tyack and Clark, 2000) with harmonics extending beyond 24 kHz (Au  
107 et al., 2006) and social vocalisations range from less than 30Hz to 2.5 kHz (Dunlop et al., 2007).

108 We therefore assumed both stimuli were audible but hypothesised that humpback whale groups  
109 would react differently to an artificial signal ('tones') compared to a more natural signal (a  
110 recording of conspecific social sounds taken from the same population of whales). Behavioural  
111 responses to a sound stimulus are likely to be context-specific, both in terms of the social context  
112 of the animal and the context of the source stimulus tested (signal-to-noise level, proximity of the  
113 source, novelty of the source). Therefore, we used a multivariate analysis to test for an effect of  
114 categorical factors such as social context and the presence of other cohorts such as singing  
115 whales (the social environment) and continuous variables such as received signal-to-noise level,  
116 proximity to the source vessel and background noise levels (the external environment) on the  
117 behavioural response to each stimulus type.

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## MATERIALS AND METHODS

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### Study site

122 Initial experiments were carried out in September/October 2004 during the humpback whale  
123 south-ward migration. Further experiments were carried out in 2008 during the same two  
124 months. The study site was located at Peregrine Beach, which is 150 km north of Brisbane, on the  
125 east coast of Australia (26°29'S, 153°06'E) and about 800km south of the potential breeding  
126 grounds in the Great Barrier Reef (Smith et al., 2012). Humpback whales passing Peregrine  
127 Beach are migrating from the breeding grounds further north and show a range of behaviours  
128 typical of breeding grounds (for example singing, forming competitive groups, frequent joining  
129 and splitting of groups, meandering and variation in swim speed and direction, nursing and other  
130 maternal behaviours due to numerous new born calves) while moving in a general southwards  
131 direction. A fixed array of hydrophones was moored offshore for acoustic data collection. Each  
132 hydrophone was suspended from a buoy which transmitted the acoustic data to a base station on  
133 shore. Buoys 1-3 were 1.5 km from the beach, parallel to the shoreline and approximately 0.7 km  
134 apart. Buoys 4 and 5 extended seaward from buoy 2 in a line perpendicular to the shore and were  
135 approximately 0.5km apart. Buoys 1 - 3 were always operational and were usually adequate to  
136 fix the positions of vocalising whales (using Ishmael software, Mellinger 2001). This was

137 supplemented with buoys 4 and 5 for many observations. Visual survey teams were based on an  
138 elevated survey point, Emu Mountain (73m), which was adjacent to the coast. From this vantage  
139 point, visual observations were possible out to 15 km from the survey point. For further  
140 information on the study site set-up and calibration of the acoustic array see Noad et al., 2004;  
141 Dunlop et al., 2007 and 2008; Smith et al., 2008. Visual data collection involved two platforms  
142 of observation; ‘*ad lib* sampling’ and ‘focal follow’.

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### **Visual platform of observation**

145 Land-based behavioural observations were collected daily (7am to 5pm, weather permitting). A  
146 theodolite (Leica TM 1100) was connected to a notebook computer running Cyclopes software  
147 (E. Kniest, Univ. Newcastle, Australia) and used to track and observe passing whales. In this  
148 study, the sample unit was a group of whales, defined as those whales surfacing within 4 body  
149 lengths (about 50 m) of each other. When whales are travelling, their surfacing intervals are  
150 usually several hundred metres apart, much larger than the spacing of the whales from each other  
151 within a group and far less than the spacing between groups. Group sizes usually comprise one to  
152 three individuals. Cyclopes records the positions of whales from the theodolite elevation and  
153 azimuth in real time. Fixes were annotated with observed behaviours and group compositions out  
154 to a 10 km limit. Two observers with binoculars were responsible for keeping track of all visible  
155 groups in the area as ‘*ad lib*’ observations (including the target group during an experiment) and  
156 directing the theodolite operator to groups to be fixed. Data from the visual observers included  
157 bearing and distance from Emu Mountain, group composition, group behaviours (blow, breach,  
158 pectoral flipper slap, tail slap, splitting apart of a group, joining together of two groups, no blow  
159 rise or surfacing, peduncle slap, inverted tail slap, inverted pectoral flipper slap and head lunge  
160 being the majority observed) and direction of travel. These were recorded by the Cyclopes  
161 operator (as ‘additional observations’ made using binocular bearing and reticule readings).

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### **Focal follow platform of observation**

164 The focal follow method of observation was introduced in the 2008 experiment. A dedicated  
165 focal follow team was situated slightly apart from the *ad lib* sampling team to avoid confusion,

166 but within audible range to allow some communication between teams. This team consisted of a  
167 theodolite operator and a Cyclopes data recorder. Once a suitable group was targeted for an  
168 experiment by base station, the focal follow team concentrated only on this group for the  
169 duration of the experiment where all visible behaviours were recorded.

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### 171 **Digital recording tag platform of observation**

172 A Dtag (non-invasive, digital acoustic recording tags with depth and orientation sensors, with  
173 acoustic sampling rate 64kHz and sensor sampling rate 5Hz, Johnson and Tyack, 2003) was  
174 deployed onto a mother within a female-calf group during one of the ‘social sound’ experiments.  
175 The tag was attached to the back of the whale as she surfaced in front of a specially-equipped  
176 boat, using a long pole attached to the bow. The tag was attached by suction cups and pre-  
177 programmed to detach after four hours. It contained a hydrophone and three-axis accelerometers  
178 and magnetometers to measure pitch, roll and heading (Johnson and Tyack, 2003). An estimated  
179 3D dead-reckoned track including the dive profile can be derived using Dtag data and an  
180 estimate of travel speed (Miller et al., 2009). The Dtag hydrophone provided a high-quality  
181 recording of the sound field at the whale.

182

### 183 **Exposure stimuli**

184 A J11 acoustic projector was used as the underwater loudspeaker. It was suspended 10 m below  
185 a small boat which was allowed to drift. A hydrophone was suspended to the same depth from  
186 the other end of the boat to measure the J11 source level (by correcting for the propagation loss  
187 between the J11 and the hydrophone assuming spherical spreading). The ‘social sound’ stimulus  
188 consisted of a 20 min sequence of social vocalisations compiled from a variety of social sounds  
189 recorded using a Dtag deployed previously onto a female-calf-escort group passing through the  
190 site. The escort was probably a male as groups with two or more adults and a calf generally  
191 consist of an adult female, calf and one or more male escorts (Baker and Herman 1984; Tyack  
192 and Whitehead, 1983). A collection of different social sounds was spliced together to make up a  
193 recording of 204 s duration. This was repeated to make up the 20 min stimulus. We decided to

194 use only one recording of social sounds as the goal of the study was to look for difference in  
195 response to a recording of ‘natural’ conspecific sounds (which, based on previous work, we  
196 assumed would produce a reaction) compared to an unnatural ‘tone’ sound (following the design  
197 of Mobley et al., 1988). We assumed that using different recordings of social sounds would  
198 produce highly variable reactions (dependent on the sound types as well as the social context of  
199 the recorded group) and therefore, to reduce the potential variability in the reaction, used only  
200 one recording. However, using only one social sound stimulus does limit any conclusions that  
201 can be made about the observed response to social sounds as well as the function of these  
202 sounds. To negate external validity issues and make more generalised conclusions on any  
203 differences in response to ‘tones’ versus ‘social sounds’, it would have been better to repeat the  
204 study using a different set of social sounds. The tone stimulus consisted of sequence with a tone  
205 swept in frequency from 2 kHz to 2.1 kHz over a period of 1.5 s, repeated every 8 s for 20 min.  
206 Source levels varied from 148 to 153 dB re 1  $\mu$ Pa at 1 m rms for both stimuli (similar to source  
207 levels of humpback whale social vocalizations, unpublished data). Stimuli were recorded on a  
208 CD and played through an amplifier into the J11. Also recorded on a CD was a silent control  
209 consisting of a 20 min recording with no signal input.

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### Experimental design

212 This experiment followed a typical ‘BDA’ (before, during, after) design. The ‘B’ period  
213 consisted of a pre-exposure (stimulus off) control, the ‘D’ period was a period in which the  
214 stimulus was turned on, followed by a post-exposure (stimulus off) ‘A’ period. Each period  
215 lasted for 20 minutes. Exposure treatments were one of three; a silent control, a recording of  
216 conspecific social vocalisations or the artificially-generated 2 kHz tone. To increase the sample  
217 size of the control treatment, groups which migrated within 2 km of a moored vessel (the  
218 research boat or a similar sized vessel) were also included in this ‘control’ category. Therefore  
219 not all ‘control’ treatments involved a J11 being deployed in the water playing ‘silence’.

220 Baseline groups migrating through the study area, selected randomly, were focally  
221 followed for at least one hour during times when no experiments were underway. We also  
222 selected a number of *ad lib* sampled, baseline groups for analysis based on the following



223 selection criteria: 1) they had to be visually tracked within the study site for at least one hour and  
224 2) they did not move within 2 km of a stationary vessel during the hour specified for analysis.  
225 This comprised the ‘baseline’ dataset.

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### **Movement response variables**

228 Movement response variables (measures of how the group travelled through the study site) such  
229 as speed, course and distance travelled between each surfacing were calculated by examining the  
230 difference in position between each theodolite fix. A measure of how erratic the group course  
231 was determined by the difference in course between successive fixes. The total distance travelled  
232 within each period (taking into account all changes in course) was calculated by summing all  
233 distances between consecutive surfacing events for that period.

234 Only one theodolite fix was chosen (usually the first fix on the group within a surface  
235 interval after a deep dive) to represent each group surfacing. Generally animals within each  
236 group were less than 50 m apart therefore this tracking method provided the best representation  
237 of group movement through the study area. If surfacing events were missed within experimental  
238 periods (in the *ad lib* sampling dataset), the assumption was made that groups travelled in a  
239 straight line and at constant speed between the two consecutive surfacing events. The mean of all  
240 measurements of course travelled (magnetic bearing), variation in course travelled, and speed  
241 were calculated for each 20 minute experimental period. The ‘course made good’ for each period  
242 was estimated by using two fixes: the one at the start of the experimental (BDA) period and the  
243 one at the end, and calculated as the bearing of the second fix relative to the first.

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### **Behavioural response variables**

246 The behavioural response variables consisted of measures of diving and surface behaviour. Dive  
247 profile incorporates “surfacing” dives (the short and shallow dives that occur during respiration  
248 bouts) and “long dives” in which the group disappear for a longer period of time. A “long dive”  
249 is defined as the time from when the last group member disappears to when the first group  
250 member re-appears and the “surface interval” is defined as the time spent on surface between

251 long dives which incorporated all “surfacing dives”. Discriminating between “long” and  
252 “surfacing” dives can be problematic. Typical humpback whale dive pattern tends to be a  
253 number of short respiration dives followed by a longer dive (usually lasting three to five  
254 minutes). Focal follow data were used to differentiate between shallow respiration dives and long  
255 dives as the majority of surface behaviours from each target group should have been recorded  
256 and timing of these events should be relatively accurate. The time between each successive  
257 sighting (dive time) was measured within each group and the log transformed time (due to non-  
258 normality) was plotted as a histogram. This gave a bimodal histogram; one peak corresponding  
259 to peak respiration dive times and one peak corresponding to long dive peak times. We used a  
260 probability density function in the histogram as a guide to determine the two peaks in the dive  
261 time dataset as well as an appropriate cut-off time between respiration and long dives (estimated  
262 as the trough between the two peaks). This provided a separation value of 60 seconds. Dive times  
263 of less than 60 seconds were designated ‘short’ respiration dives and dive times longer than 60  
264 seconds were designated ‘long dives’. The peak respiration dive time was found to be ten  
265 seconds (times ranged from 2 to 58 seconds). The peak long dive time was found to be three  
266 minutes (ranging from 60 seconds to 18 minutes). Inspection of the final long dive dataset  
267 showed that 18 minutes was an outlier (it may have been two long dives), therefore we omitted  
268 this point, leaving the range of long dive times to be between 60 seconds and 11 minutes. The  
269 number of long dives and surface intervals (which included all respiration dives) and the mean  
270 durations of these dive profile behaviours were calculated for each experimental period.

271 Surface intervals were classified as either ‘blow only’ (no animal within the group was  
272 surface active during the surface interval) or ‘surface active’ (one or more animals within the  
273 group were surface active during the surface interval, in other words, breaching, pectoral  
274 slapping or tail slapping behaviour was observed). The number of each type of surface interval  
275 was counted for each experimental period.

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### **Social variables**

278 Whale groups were divided into five different categories based on typical composition of groups  
279 observed during the southern migration (Table 1); lone animals (which may or may not have

280 been singing during the experiment), female-calf groups, adult pairs, female-calf-escort groups  
281 (the escort may or may not have been singing during the experiment) and groups with more than  
282 three adults (female-calf-multiple escorts or groups of three or four adults). However, due to the  
283 small sample size of each cohort, groups were divided into ‘female and calf’ groups (containing  
284 a female and no adult male) and ‘lone’ (many of them were singers and therefore males) and  
285 multiple (all other cohorts). It is likely that the presence of an escort, or number of escorts, in a  
286 group, including a mature female, will have a significant effect on group behaviour compared to  
287 a group containing only a mature female, with or without a calf. Female associations are thought  
288 to be rare (Brown and Corkeron, 1995; Clapham, 2000) and humpback interactions involving  
289 groups with two or more adults and a calf generally consisted of an adult female, calf and one or  
290 more male escorts (Baker and Herman 1984; Tyack and Whitehead, 1983). The group  
291 composition of all other groups in the study area and the distance of each group from the target  
292 group were noted throughout the experiment. For this analysis, only the presence of the closest  
293 group (the ‘nearest neighbour’), the mean distance of the nearest neighbour from the target group  
294 during each experimental period, and the mean distance of the nearest singer from the target  
295 group during each experimental period (estimated using acoustic positions overlaid on top of  
296 visual positions) were considered as social factors. We also noted if a group joined the target  
297 group or the target group split into two smaller groups within each experimental period.

298 Insert table 1 here

299 **Table 1. The sample size of different measured cohorts for the two visual platforms of**  
300 **observation**

301

### 302 **The environment**

303 Wind speed was measured using a weather station placed on the roof of the base station. The  
304 mean wind speed was calculated for each experimental period.

305 In the study area, sounds from singing whales were frequent components of the  
306 underwater noise environment, though small recreational vessels were often audible as they  
307 traversed the area. During this experiment, the majority of the samples had little interference

308 from vessel noise and therefore background noise levels (without singers) was mainly typical  
309 ambient noise (Cato, 1997), mostly due to noise from sea surface motion (wind-dependent noise)  
310 and snapping shrimps. Traffic noise, the noise from distant shipping, is significant further off  
311 shore, but the shallow water approaches to the site would have limited this contribution. In many  
312 cases, noise measurements could be made without significant contribution from singing  
313 humpback whales. When song made significant contributions to the noise, the noise in the  
314 absence of song was estimated from the periods in between identifiable song units. To do this, a  
315 recording was displayed as a wave form (Adobe Audition) and song units were deleted leaving  
316 only the time periods between song units. A 20 second noise sample was obtained in this way.  
317 Song units were usually separated by 1 – 3 s and the song fades out as the singer comes to the  
318 surface to breathe. This may have contained undetectable song units, but these would not have  
319 made a significant contribution to the estimate of wind-dependent background noise levels.  
320 During exposure, the noise was estimated in the same way by deleting the periods when the  
321 stimuli were present. A 20 second noise sample was taken from each hydrophone in the array  
322 every 10 minutes, starting 10 minutes before the start of the experiment and ending 10 minutes  
323 after the finish of the experiment. The noise in each 20 second sample was measured in one-third  
324 octave bands levels in the range of and the system calibration applied to obtain levels in dB re  
325 1 $\mu$ Pa. One-third octave bands represent the logarithmic increase in frequency range of auditory  
326 filters in the mammalian ear (Fletcher, 1940) and in humpback vocalisations most sound energy  
327 of the fundamental frequency is contained within a one-third octave band, making this an  
328 appropriate filter. The total background noise level was calculated by summing the mean square  
329 pressure for each one-third octave band for the frequency band of interest (as indicated below)  
330 and converting this to total broadband noise level (dB re 1 $\mu$ Pa). Mean broadband noise levels for  
331 each experimental period were then calculated from all samples taken from all hydrophones.

332 Background noise levels (excluding contributions from singers) at the array were  
333 assumed to be similar to those at each humpback whale group, since it was predominantly wind-  
334 dependent noise and wind speed was generally uniform throughout the study site (snapping  
335 shrimp noise did not contribute significantly in the frequency band of interest). This was not the  
336 case for noise from nearby singers, which was dependent on the distance of the singer from the  
337 receiver. Therefore, analysed groups were also categorised according to the social environment:  
338 ‘none’ (no audible singers present); ‘close singer proximity’ (the nearest singer was within 2 km

339 of the group, or became part of the group, such as a mother and calf being joined by a singing  
340 escort), ‘medium singer proximity’ (the nearest singer was between 2 and 5 km from the target  
341 group) and ‘far singer proximity’ (the nearest singer was more than 5 km from the group).

342

### 343 **Received levels and signal to noise ratios**

344 All received levels of each stimulus were measured in one-third octave bands from recordings  
345 made on the fixed array using SpectraPLUS 5.0 (Sound Technology Inc.). Three ‘tones’ were  
346 selected for measurement in first 10 minutes and 3 ‘tones’ in the second 10 minutes of exposure.  
347 The sound pressure levels at the array for each ‘tone’ sound were measured (dB *re.* 1μPa) in the  
348 2000 Hz one-third octave. For the social sounds, one of the highest level sound types was chosen  
349 for measurement. Six samples were measured in one-third octave bands from 200 to 400 Hz  
350 (centre frequencies) which contained most of the energy.

351 These measured levels have contributions from both the signal and the background noise.  
352 In order to obtain a true measurement of the received signal level, the contribution of background  
353 was removed. The noise levels measured just before and after exposure were used as the noise  
354 sample to estimate the noise level *NL*. To obtain the received signal level *RL*, the levels  
355 measured during the stimulus and noise levels were converted to mean square pressures and the  
356 noise mean square pressure was subtracted from the measured mean square pressure during the  
357 stimulus for each one-third octave band

$$\begin{aligned} 358 \quad \langle p_s^2 \rangle &= \langle p_m^2 \rangle - \langle p_n^2 \rangle \\ 359 \quad RL &= 10 \log(\langle p_s^2 \rangle) \\ 360 \quad NL &= 10 \log(\langle p_n^2 \rangle) \end{aligned}$$

361

362 where  $\langle p_s^2 \rangle$  is the mean square pressure for the signal,  $\langle p_m^2 \rangle$  is the measure mean square  
363 pressure during exposure and  $\langle p_n^2 \rangle$  is the measured mean square pressure of the noise. The  
364 resulting one-third octave band signal mean square pressures were summed and then converted  
365 to decibels ( $10 \log(\text{summed mean square pressure})$ ) to give the received signal level. Ambient  
366 noise levels at a whale groups could be assumed to be similar to those at the array, since the  
367 noise is predominantly wind dependent. Signal levels received by a whale group would, in

368 general, differ from those at the array because of the differences in distance from the source and  
369 thus transmission loss. The signal level received by the group was therefore determined by  
370 correcting for the difference in transmission loss between the source to the array and the source  
371 to the group.

372 Transmission loss was measured using the noise generated by a noisy boat as the source.  
373 The boat conducted runs along lines radiating from the array, from distances of 100 m out to  
374 about 10 km from the array. Regression lines were fitted to the data as a function of the  
375 logarithm of the distance. The results were in the form of relative loss over the distance of  
376 measurement of the form  $TL = a + b \log(x)$  where  $b$  is the slope of the regression line,  $x$  is  
377 distance and  $a$  is a constant. The received level at the group could then be determined from the  
378 received level at the array by  $RL_g = RL_a + b \log(x_a - x_g)$ , where  $RL_g$  and  $RL_a$  are the received  
379 levels at the group and the array respectively, and  $x_g$  and  $x_a$  are the distances from the playback  
380 source of the group and the array respectively. For most frequencies,  $b$  varied with distance but  
381 could be well approximated by two values, one applying to distances less than and the other  
382 greater than a cross over value.

383 For received levels at the whale group that are close to noise levels, signal audibility or  
384 detectability is likely to change with varying background noise levels as well as absolute  
385 received level, so may influence the response. We therefore included signal to noise ratio at the  
386 group as an indicator of audibility as an exposure metric, estimated as

$$387 \quad SNR_g = SL_g - NL_g$$

388 where subscript  $g$  refers to the value at the group, and  $SL_g$  is the signal level at the group.  
389 Measurements for each term were made in the following frequency bands: 2 kHz one-third  
390 octave (1782 – 2245 Hz) for tones and over the 200 – 400 Hz one-third octaves(177 – 446 Hz)  
391 for the social sounds. Note that it is possible for estimates of  $SNR_g$  to be negative if the distance  
392 from the source to the group is significantly larger than from the source to the array.

393 The received level of each stimulus at whale groups varied over a range of 40 dB while  
394 the ambient noise varied over a range of 30 dB. It is possible that some of the lower received  
395 levels were masked by the ambient noise background and thus not heard by the whales. Masked  
396 thresholds of audibility have not been measured for humpback or any other species of baleen

397 whale. However, they have been measured for a range of terrestrial and marine mammal taxa and  
398 there is a broad consistency of results. While the extent to which this information can be applied  
399 to humpback whales is limited, it does at least give an indication of where the signals may be  
400 below the masking threshold and thus inaudible.

401 One measure of masked threshold is the critical ratio which is the difference (in decibels)  
402 between the level of a tone at the threshold of audibility and the spectrum level of white masking  
403 noise at the same frequency (Richardson et al., 1995). This is close to the situation in the  
404 masking of the playback tones by ambient noise. Masking of a tone is considered to be caused by  
405 a limited bandwidth of the noise, typically less than 20% of the tone frequency at 2 kHz, and  
406 over this band the ambient noise is a reasonable approximation to white noise. Critical ratios  
407 measurements for various species are summarised by Richardson et al. (1995) and Southall et al.  
408 (2007). The value at 2 kHz ranges from 19 to 26 dB across several species of pinnipeds and is 19  
409 dB for the beluga, 20 dB for humans and 25 dB for cats. These results provide the best  
410 information we have to infer where the playback of tones might be masked by the ambient noise.  
411 Our measurements of SNR for the tones used the noise level in the one-third octave band at  
412 2,000 Hz, i.e. over the band 1782 – 2245 Hz, a bandwidth of 450 Hz. Noise levels in this band  
413 will be  $10 \log(463) = 26.7$  dB higher than the spectrum level, so that *SNR* using the one-third  
414 octave band for noise will be 26.7 dB lower than using the noise spectrum level. The range of  
415 critical ratios of 19 – 26 dB are thus equivalent to *SNRs* using the one-third octave band for noise  
416 of  $-7.7$  to  $-0.7$  dB, an average of  $-4.2$  dB. The analysis of the ‘tones’ experiment was therefore  
417 conducted using a subset of the data limited to  $SNR \geq -4$  dB, to exclude data that might have  
418 been inaudible, as well as using the full data set.

419 Critical ratios are generally measured for tonal signals and there does not appear to be  
420 measurements applicable to signals like the social sounds. The social sound type chosen for the  
421 analysis has most energy extending across three adjacent one-third octaves (centre frequencies  
422 200 – 400 Hz, i.e. from 177 to 446 Hz) and we measured the *SNR* for both the signal and the  
423 noise in this band. If the masking frequency band is wider than the signal band, as it is for tones,  
424 the threshold of audibility would occur for  $SNR > 0$  dB (signal and noise measured in the same  
425 band). However, the social sound used is harmonic, and for any harmonic, the masking  
426 bandwidth may be significantly less than this, i.e. closer to the masking band for a tone. This

427 would suggest a threshold of audibility significantly at a *SNR* of significantly less than 0 dB for  
428 the way we measured *SNR*. In the analysis, a subset of data which excluded  $SNR < 0$  dB at the  
429 start of the ‘during’ phase was used to exclude playback that might have been inaudible. As it  
430 happened, the highest *SNR* experienced by the whale groups during exposure exceeded 6 dB (as  
431 groups approached the source vessel) for all included groups, so it seems unlikely that any in this  
432 reduced dataset were not audible, at least for some part of the exposure.

433

434

### Statistical Analysis

435 All analyses were generated using the statistical software package ‘R’ (R Foundation for  
436 Statistical Computing). To test for sampling bias between BDA periods, in other words to test if  
437 there was a more concentrated effort in the ‘D’ period, the (normalised) mean number of  
438 observations between experimental periods was compared in both the ‘focal follow’ and ‘*ad lib*’  
439 data. No sampling bias was apparent. A measure of group visibility was compared between  
440 experimental periods to test there was any bias in group sightability due to increased sighting  
441 effort, increased time spent on the surface or increase in surface active behaviours making the  
442 group more visible and less likely to be missed. The measure of group visibility used was the  
443 total amount of time per BDA period that groups were sighted on the surface (or in a shallow  
444 surfacing dive) expressed as a percentage of the total time of each experimental period. These  
445 percentages were compared between periods and no significant difference was found. As a  
446 result, all observations were used in the dataset.

447 The mean (+ standard deviation) of each response variable (course travelled, change in  
448 course travelled, speed travelled, number of deep dives, number of surface intervals, length of  
449 deep dives, length of surface interval number of ‘blow only’ surface intervals, number of  
450 ‘surface active’ surface intervals, course-made-good and distance travelled) was calculated per  
451 experimental period for each humpback whale group. Linear mixed effects models were fitted to  
452 each response variable which included the random effect of ‘group’ (and associated variance).  
453 Standard statistical models assume independence of errors, but when measurements are taken  
454 from the same group, they are correlated. Mixed-effects models account for interdependence in  
455 multiple observations within individuals as they assume the data within groups (in this case, each



456 vocalising group) are dependent among the observations and model the covariance structure  
457 introduced by grouping the data. The included random effect estimates the distribution of the  
458 means as a standard deviation of the differences of the factor-level means around an overall  
459 mean, instead of estimating a mean for every single factor level. To test the effect of stimulus  
460 exposure on behavioural measures, linear mixed-effects models (using the lme4 package, Bates  
461 et al., 2011) were used which included stimulus type, experimental period, environmental and  
462 social variables and measures of received level and signal-to-noise. ‘Group ID’ was included as a  
463 random factor. Models including different terms (null and predictor variables) were compared  
464 using Akaike Information Criterion scores and checked for significant ( $p < 0.05$ ) improvement  
465 using the maximum likelihood ratio (LR) test, where the probability distribution of the test  
466 statistic is a chi-squared distribution and the degrees of freedom equals  $df_1 - df_2$  (where  $df_1$  and  
467  $df_2$  are the degrees of freedom for the two models being compared). Mixed fixed effects models  
468 can be problematic as the distribution of the fixed effects is uncertain under the null hypothesis  
469 and the denominator degrees of freedom for tests are difficult to determine (Bates, personal  
470 communication). Therefore p-values were generated using the Markov Chain Monte Carlo  
471 (MCMC) method using the ‘language R’ package. Residuals of each model were checked for  
472 homoscedasticity and errors were checked for normality. Within model  $t$  values with associated  
473 p-values are also reported for specific comparisons.

474

## 475 RESULTS

476

### Sample size

477 In 2008, 15 experiments were carried out; 8 using the social sound stimulus, 6 using the tones  
478 stimulus and 1 silent control. A further 6 groups were used as controls. All focally followed  
479 groups were from the 2008 experiment and only 1 group was focally followed per experiment. In  
480 2004, 16 experiments were carried out; 7 using social sounds, 7 using the tones stimulus and 2  
481 using a silent control. All groups in 2004 were sampled ‘*ad lib*’ (as much data on each group in  
482 the area was collected without focussing on one specific group) and multiple groups were  
483 sampled during each experiment. A further 19 groups were selected as baseline groups from the

484 two years. *Ad lib* sampled groups were also used in 2008. Table 2 presents the sample size of  
485 groups used for the analysis combining both 2004 and 2008 datasets.

486 Insert table 2 here

487 The experiment was carried out on southerly migrating groups (in a population of over 10,000  
488 animals) therefore it is highly unlikely that any group was repeatedly sampled. If the group split  
489 into two separate groups ( $n = 8$ ), only one of those groups was used (the one which appeared first  
490 after the split).

491 All focal follow samples can be considered independent as only one group was focally  
492 followed during each experiment. All baseline samples were also independent (one sample per  
493 day). Of the *ad lib* sampled groups exposed to either social sounds or tones, 28 groups were  
494 multiple samples, in other words, during any exposure experiment, up to three groups may have  
495 been used for the analysis. In 2008, one of these groups would have been also focally followed.  
496 In 2004, all groups were *ad lib* sampled. If groups do not interact with each other in such a way  
497 that the response to the stimulus is influenced by this interaction, then they can be considered as  
498 independent samples (Miller et al., 2009). We minimised the potential for non-independent  
499 sampling by ensuring the following criteria was met. No groups that were simultaneously used in  
500 the analysis interacted with each other (in other words, joined together) and none of these groups  
501 came within 3 km of each other (average distance apart was 5755 m, range 3000 – 10,000 m).  
502 We used a 3 km limit as the most likely interaction between groups would have been mediated  
503 acoustically and it is difficult to hear social sounds on the array from groups beyond 3 km. This  
504 minimises the risk that the groups were somehow influencing each other's behaviour. To further  
505 check this, we looked for social sounds on the acoustic recordings made during each trial and  
506 found that no sampled group that was also vocalising was within 4 km of any other  
507 simultaneously sampled group.

508 We also accounted for the effect of the 'nearest neighbour' group (not usually another  
509 sampled group) to determine if nearby groups had any influence on the behavioural response  
510 parameters. While socially vocalising groups are unlikely to be heard more than a few kilometres  
511 away, singing whales are audible over distances of tens of kilometres and therefore could  
512 potentially affect the behaviour of any group within audible range. In the analysis we also

513 accounted for the presence of the nearest singing whale as a fixed effect (assuming the nearest  
514 singer is more likely to have an influence on the behaviour of the group compared to more  
515 distant singers).

516

517

### **Dtag**

518 Only one experiment was carried out using a Dtag. The tagged animal (the female from a  
519 female-calf group) changed dive behaviour to shorter, shallower dives during the time the social  
520 sound stimulus was played and did not return to pre-exposure dive behaviour after exposure (Fig.  
521 1). The animal also changed direction, from consistently travelling at a mean of 225 degrees  
522 (south westerly direction) to head directly west (inshore), then north. After the experiment had  
523 finished, the group slowly returned to a southerly course. This group was also tracked from the  
524 visual station (though was lost during exposure, probably due to the change in dive behaviour  
525 resulting in the animals becoming very difficult to track). From the dead-reckoned track, the  
526 distance from the source vessel at the start of exposure was estimated (using received levels  
527 measured at the array and then estimated at the group) to be 880 m (signal level *RL* of 101 dB re  
528 1  $\mu$ Pa and *SNR* of 8 dB) and the distance from the vessel when the group initially changed course  
529 was 660 m (signal level *RL* of 105 dB re 1  $\mu$ Pa and *SNR* of 13 dB).

530 Insert figure 1 here

531

532

### **Visual observation data**

533 A total of 15 groups were both *ad lib* sampled and focally followed at the same time from the  
534 two different platforms of observation. Each response measurement for each platform of  
535 observation was averaged over each experimental period. A mixed effect model was used to test  
536 if there was any difference in the any of the response measurements between the two platforms  
537 of observation where ‘platform’ (*ad lib* or focal follow) was included as a fixed effect and group  
538 ID as the random effect.

539 Insert table 3 here

540 Movement response variables (course travelled, variation in course travelled) and a two of the  
541 behavioural response variables; the number of surface intervals and number of ‘blow only’  
542 surface intervals were comparable between the two visual survey platforms. However,  
543 behavioural measures such as ‘long’ dive times and mean surface interval times were found to be  
544 significantly different. This suggests that all of the surface intervals are being captured in both  
545 the focal follow data and *ad lib* sampling data, however the timing of behaviours such as the long  
546 dive times and surface interval times were significantly different due to the *ad lib* sampling team  
547 missing a number of group surfacing behaviours (as shown by the difference in the number of  
548 observations per experimental period for each of the data platforms).

549 To increase the experimental power (by increasing the sample size) and allow the  
550 incorporation of other factors into the analysis model, we pooled the data from both platforms of  
551 observation (using focal data from groups which were both *ad lib* sampled and focally followed)  
552 when testing all movement variables and when testing numbers of behavioural events, but not  
553 when testing the timing of events. Only five groups were exposed to ‘silence’ therefore we  
554 pooled these data with baseline groups (after first comparing response variables between ‘non-  
555 exposed’ and ‘silent’ groups and finding no significant difference). These groups will hereafter  
556 be referred to as ‘baseline’ groups.

557

### 558 **The response to stimulus and experimental period**

559 The following analysis includes only groups in which we assumed the stimulus was audible at  
560 some stage during exposure (reduced dataset) and all ‘baseline’ groups.

561 The course travelled by groups (n = 53 groups) was dependent on the stimulus type  
562 combined with the experimental period (LR  $\chi^2_8 = 31.7$ , p = 0.0002) and results from this model  
563 suggest that groups exposed to ‘tones’ generally travelled on a more south-easterly (offshore)  
564 course during exposure (change in course estimated at  $-20^\circ$  relative to the before phase of  
565 baseline groups, SE = 13.6, t = -4.6, p = 0.001) and after exposure (change in course estimated  
566 at  $-12^\circ$ , SE = 13.6, t = -4.8, p = 0.0006 relative to baseline groups) compared to baseline groups  
567 (whose course was estimated at  $177^\circ$  (SE = 9.0)). Groups exposed to the ‘social sounds’  
568 recording and baseline groups tended to migrate in a south-south-west direction, following the

569 coastline (there was no significant difference in travel direction). However, some groups visibly  
570 changed direction when exposed to the ‘social sounds’ stimulus, though usually returned to their  
571 previous course at some point during exposure. Looking just at the focal follows (n = 8), some  
572 groups obviously changed course and approached the boat to within 100 m (one single animal,  
573 one female-calf-escort group and one pair) whereas other groups (for example, the tagged female  
574 from the female-calf group) moved inshore and away from the vessel at some stage during the  
575 playback of social sounds. In one instance, a singer stopped singing and moved away from the  
576 vessel, whereas, in two instances, a single animal split from a group and started singing in close  
577 proximity to the vessel. Therefore we found a highly variable but not prolonged response in  
578 terms of the change in course travelled in groups exposed to our recording of ‘social sounds’,  
579 whereas response to ‘tones’ was a consistent and prolonged change in course to a more offshore  
580 direction.

581 The (normalised) number of surface intervals per 20 minutes was found to be  
582 significantly dependent on the experimental period combined with the stimulus type (LR  $\chi^2_8 =$   
583 32.2,  $p < 0.0001$ ; reduced ‘audible’ dataset) as was mean ‘long’ dive time (LR  $\chi^2_8 = 32.6$ ,  $p$   
584  $< 0.0001$ ; focal follow dataset). Fig. 2 illustrates the changes in dive time (focally followed  
585 groups; n = 20) and number of surface intervals per experimental period (n = 53) during the  
586 experiment for baseline and exposed groups. Groups exposed to ‘tones’ displayed a greater  
587 number (estimated at 1.5 surface intervals per experimental period) of surface intervals during  
588 exposure (t = 3.7,  $p = 0.0001$ ) compared to baseline groups (which surfaced about 3 to 4 times  
589 per experimental period) and a decrease (estimated at 106 seconds) in dive time (t = -2.2,  $p =$   
590 0.03) compared to baseline groups. The number of ‘blow only’ number of ‘surface active’  
591 surface intervals and the length of the surface interval were not found to be significant response  
592 variables.

593

594

### **The effect of environmental and social variables**

595 Environmental variables such as ‘wind speed’ or ‘background noise levels’ and social variables,  
596 such as the ‘number of groups in the study area’, ‘social composition of the nearest neighbour’ or

597 'distance of the closest neighbour', were not significant predictor variables in any response  
598 model.

599 We added in the 'social composition of the groups' (lone animals and lone singing  
600 whales were categorised together as 'lone animals', female-calf pairs formed their own social  
601 category and adult pairs, female-calf-escort(s) and groups with more than two adults were  
602 categorised together as 'multiple adult groups') to the course travelled response model (which  
603 included the term stimulus only) and found a significant (LR  $\chi^2_6 = 17.7$ ,  $p = 0.006$ ) improvement  
604 in this model. Female-calf groups, in response to 'social sounds', tended to take a much more  
605 westerly (inshore) course compared to 'multiple adult' groups ( $t = -3.1$ ,  $p = 0.003$ ). The response  
606 to 'tones' in terms of course travelled was similar within each group social composition for all  
607 datasets.

608 There was also a significant (LR  $\chi^2_6 = 28.7$ ,  $p = 0.0001$ ) improvement in the number of  
609 surface intervals response model. This was due to the differences in dive behaviour between the  
610 social categories. 'Lone animals' in general tended to surface significantly less often compared  
611 to female-calf pairs ( $t = -2.8$ ,  $p = 0.03$ ) and 'multiple adult' groups ( $t = -5.1$ ,  $p = 0.0001$ ).  
612 However, although most groups responded to 'tones' by increasing the number of surface  
613 intervals, the response to 'social sounds' was again highly variable. Some groups increased the  
614 number of surface intervals and others decreased the number of surface intervals during  
615 exposure, but no significant trend with social category was found. However, sample size for each  
616 social category was quite small.

617

### 618 **The effect of source proximity, received signal levels and received SNR variables**

619 The following analysis includes only groups exposed to either stimulus ( $n = 37$ ) for the pooled  
620 'ad lib' plus focal-follow dataset (testing course and number of surface intervals) and 14 for the  
621 focally followed groups (testing 'long' dive time) to test the effect of proximity of the group to  
622 source, received signal level ( $RL$ ) and received signal-to-noise level ( $SNR$ ) at the start of  
623 exposure on each response variable. To test which of the exposure metrics (proximity to source,  
624  $RL$  or  $SNR$ ) best predicted the response we compared four different models for each response  
625 variable within the two different datasets; the full dataset (including probably 'inaudible')

626 experiments) and the ‘audible’ dataset (including only those which we assume are audible as  
627 defined by the previous criteria). The following four models were compared:

- 628 1. Model including stimulus and experimental period only,
- 629 2. Model including stimulus, experimental period and proximity,
- 630 3. Model including stimulus, experimental period and *RL* and,
- 631 4. Model including stimulus, experimental period and *SNR* as predictors.

632 Insert table 4 here

633 The inclusion of *SNR* as the exposure metric significantly improved the response model for  
634 course travelled, though only in the full dataset. The best exposure metric to predict the response  
635 in terms of the number of surface intervals was both *RL* or *SNR* (full dataset) and *SNR* in the  
636 ‘audible’ dataset. For long dive time (using only focal follow data which we assume all are  
637 audible) the best exposure metric was proximity to the source (Table 4).

638 Groups changed their course to a more easterly direction during ( $t = -2.2$ ,  $p = 0.02$ ) and  
639 after ( $t = -2.7$ ,  $p = 0.009$ ) exposure to ‘tones’ as the received *SNR* of the signal increased at the  
640 start of exposure (Fig. 3). *SNRs* ranged from -22 to 15 dB at the start of exposure and the  
641 proximity to the source at the start of exposure ranged from 300 m to 8.8 km in these groups.  
642 Though we suspect the ‘tones’ were only audible from about -8 dB (at a distance of about 3.5 km  
643 depending on the background noise). The received signal levels of the ‘social sounds’ stimulus  
644 ranged from 72 to 98 dB re 1 $\mu$ Pa, *SNRs* ranged from -23 to 21 dB and the proximity of the group  
645 at the start of exposure ranged from 440 m to 8 km but groups did not respond to this stimulus in  
646 terms of a consistent change in course and therefore it was not possible to assess the effect of any  
647 exposure metrics.

648 Groups, when exposed to ‘tones’ also increased the number of surface intervals as the  
649 received *SNR* increased at the start of exposure ( $t = 2.1$ ,  $p = 0.02$ , Fig. 3) and the *SNR* was found  
650 to be the ‘best’ exposure metric for predicting this response for all datasets. An increase in the  
651 *SNR* at the start of exposure also resulted in a decreased number of surfacings post exposure ( $t =$   
652  $-2.2$ ,  $p = 0.03$ ). Groups tended to surface less often during exposure to ‘social sounds’ compared  
653 to groups exposed to ‘tones’, however, there was no real trend with *SNR* in these groups

654 (probably due to the variation in reaction). In other words, the relationship between the response  
655 variable and the *SNR* at the start of exposure was found only in groups exposed to ‘tones’.

656 The long dive time response was significantly related all three exposure metrics though  
657 the proximity of the group at the start of exposure was the best predictor of the response (Table  
658 4). However, these focally followed groups were always within 2 km from the source at the  
659 beginning of the exposure phase (proximity ranged from 300 m to 2 km, *RL* ranged from 84 to  
660 112 dB re 1 $\mu$ Pa and *SNR* ranged from 2 to 14 dB). The proximity to the source vessel had an  
661 effect in the post-exposure phase, where groups exposed to ‘tones’ displayed a decrease in long  
662 dive time with decreased proximity to the source and groups exposed to ‘social sounds’  
663 displayed an increase in long dive time with decreased proximity to the source ( $t = 1.8$ ,  $p = 0.05$ ).

664 Insert figure 3 here

## 665 DISCUSSION

666 Out of all tested response variables, three (course travelled, the number of surface intervals and  
667 long dive times) were found to change significantly in response to three exposure metrics:  
668 proximity, the received signal level (*RL*) and the signal to noise ratio (*SNR*) at the group. An  
669 easterly change in course (away from the coast) was found to occur during and after exposure in  
670 response to ‘tones’. These groups also tended to spend more time close to the surface (by  
671 increasing the number of surface intervals and decreasing dive time) during exposure. The  
672 magnitude of the change in course and dive behaviour was related to the proximity, *RL* and the  
673 *SNR* of the stimulus at the start of exposure. Groups exposed to our recording of social sounds  
674 did not significantly change their direction of migration, though we did find short-term changes  
675 in travel direction. Different social groups reacted quite differently to this stimulus; female-calf  
676 groups tended to move inshore and spend more time near the surface. Other social groups  
677 approached the source vessel but returned to their original travel direction at some point during  
678 exposure. This paper presents evidence that migrating humpback whales differ in their  
679 behavioural response when presented with a recording of conspecific social sounds compared to  
680 artificial tones, and this change in behaviour was influenced by other factors: the social group,  
681 the proximity of the group to the source vessel and the initial ‘dose’ (as measured by the start  
682 signal-to-noise ratio and received signal level).



683 A change of course was most evident in groups exposed to ‘tones’, where groups moved  
684 away from the source vessel and offshore at some point during exposure, indicative of an  
685 avoidance reaction to this stimulus. In comparison, many groups (mainly those thought to  
686 contain a male because one was a singer or an escort with a female and calf) exposed to ‘social’  
687 sounds first approached the source vessel, then at some point resumed their previous course, or  
688 continued along their path towards the source vessel during exposure. Both previous behavioural  
689 response studies in humpback whales using conspecific social sounds found that the social  
690 composition of the group was an important factor in determining the response. Tyack (1983)  
691 found that singing males stopped singing when either song or social sounds were played and the  
692 majority of them ‘charged’ the boat when exposed to social sounds. However, females with  
693 calves and large groups tended to move away from the boat during exposure to these sounds.  
694 Mobley (et al., 1988) found rapid approach responses in singletons and adult pairs but no  
695 approaches by females with a calf. Although our sample size (with focally followed groups) was  
696 small, we found similar results, with some single animals and adult pairs approaching the boat,  
697 whilst some females with calves evidently changed course to avoid the source vessel (though  
698 they tended to move inshore). This avoidance reaction (in terms of a change in the direction of  
699 travel during exposure) was very clear in the single tagged group. However, this study only used  
700 one recording of social sounds and therefore inferring the function of these sounds based on the  
701 observed behavioural reactions goes beyond the scope of the study. Although the sample size of  
702 this study, in terms of determining the social effects, was limited, it demonstrates the complexity  
703 of behavioural responses to stimuli and the need to measure as many other factors as possible  
704 (and generate a large sample size) in order to tease out such complex interactions. It would be  
705 beneficial to repeat the study with a different set of social sounds to negate external validity  
706 issues with only using one stimulus (allowing us to make more generalised conclusions on the  
707 difference in response to ‘tones’ compared to ‘social sounds’). These experiments could also be  
708 targeted towards testing the function of specific sounds by using a number of different recordings  
709 from various cohorts to determine if there are consistent avoidance and attraction responses to  
710 each combination of vocal signals.

711 In this study we found diving and surfacing behaviour also significantly changed with  
712 exposure to both test stimuli. Previous studies assessing the behavioural response of humpbacks  
713 to an M-sequence sound (Frankel and Clark, 1998) and a recording of a full scale Acoustic

714 Thermometry Ocean Climate (ATOC) sound source signal (Frankel and Clark, 2003) found  
715 responses such as increases in time between surfacing events and a greater distance travelled  
716 underwater. In other words, they found exposed humpback whales tended to spend more time  
717 underwater and travel further compared to baseline groups. In this study we found that groups  
718 consistently increased the number of surface intervals (and consequently decreased the dive time  
719 and therefore time spent at depth) in response to ‘tones’. This may indicate an avoidance reaction  
720 to our signal, but that avoidance reaction differs to that found by Frankel and Clark (2003). We  
721 found that female-calf groups tended to respond to ‘social sounds’ in a similar way and their  
722 change in dive behaviour to more frequent yet brief surfacing events. This may also be a way of  
723 females with calves avoiding what was perceived by them as a nearby group that might contain a  
724 male.

725         The Frankel and Clark experiments included group composition, the presence of nearby  
726 vessels and the received level as additional predictor variables. Most cetacean behavioural  
727 response studies to date have considered only the received level (Southall et al., 2007). However,  
728 the relative level of the signal compared with the background noise (*SNR*), or the signal excess  
729 above masked hearing thresholds, may be significant predictors of behavioural response, and  
730 may under certain conditions (such as when the receiver is at greater distances from the source  
731 and received levels are close to background noise) be a better predictor than received sound  
732 pressure level. To that end we found the *SNR* to be a better predictor of behaviour change  
733 response (in terms of course travelled) than received level and proximity to the source when  
734 using the full dataset (where groups ranged from 300 m to 8.8 km from the source). The change  
735 in dive behaviour (measured by the increase in the number of surface intervals) in response to  
736 ‘tones’ was also highly related to the *SNR* at the start of exposure. We could only measure long  
737 dive time using focal follow data (where groups were within 2 km from the source) and, using  
738 this dataset, did not find that *SNR* was the best predictor term. Rather proximity to the source  
739 was. Results of behavioural response experiments are often used to inform management of the  
740 effects of noise on marine mammals. This study shows that care must be taken when choosing  
741 which exposure metric (proximity to the source, received level or *SNR*) to use when predicting  
742 dose-response relationships as results could be highly dependent on the range of data chosen as  
743 well as the response variable.

744           The relationship between signal to noise ratios and masked auditory detection thresholds  
745 of signals against noise is complex. It seems likely that most experiments in this study would  
746 have been audible, but, given the variability of ocean noise, it is possible that some of the full  
747 data set may not have been and some only intermittently so. However, the subset of data should  
748 have excluded most samples where the experiment was inaudible and so long as a whale can hear  
749 a sound, there is the potential for a behavioural response. Higher signal to noise ratios might be  
750 more likely to attract a listener's attention and it is possible that *SNR* is used to judge signal level  
751 and thus proximity of the source. Hence, it might be expected that *SNR* would be an important  
752 exposure metric to dictate the response. On the other hand, the dose-response relationship may  
753 be lost when using only high *SNR* experiments. Therefore, including experiments with low  
754 received signal levels may help to determine the threshold of response and provide some clue as  
755 to the auditory sensitivity of these animals. Whether responses to low level signals have longer  
756 term significance is, of course, a different question.

757           This study is one of the more comprehensive behavioural response studies that have been  
758 carried out on a large whale species. Sources of pseudoreplication were considered (a limitation  
759 of the study being that only one recording of 'social sounds'). We used two different stimuli and  
760 applied a statistical analysis that accounts for individual variation as well as include  
761 environmental and social factors in the analysis. We did, however, have problems with sample  
762 size. A power analysis (Dunlop et al., 2012) found that the sample size, using only focal follow  
763 data, was insufficient to confidently detect a significant change in behaviour. However,  
764 combining focal data with *ad lib* data improved the power to 0.9. Testing the effect of social  
765 context remained problematic due to the large number of social contexts therefore future studies  
766 should focus on achieving a more robust sample size per social group using the focal follow  
767 methodology, or focusing on a small number of social group types. These experiments show that  
768 sound exposure generates a measurable behavioural response, but different exposure metrics  
769 should be considered, and this will be useful in future experiments aiming to test the hearing  
770 range of humpback whales as well as testing the function of many different types of social  
771 sounds.

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## FIGURE LEGENDS

**Fig. 1. Graph showing the dive profile (metres) (a) and direction (degrees from true north) (b) of a tagged mother from a female-calf group exposed to ‘social sounds’.**

**Fig. 2. Mean ( $\pm$  SEM) number of surface intervals per experimental period (n = 53) and dive time (in focally followed groups, n = 20) during the experiment for baseline groups and groups exposed to ‘social sounds’ and ‘tones’. Data points are slightly offset along the experimental period axis for clarity.**

**Fig. 3. Illustrating the course travelled (a), number of surfacing events (b) and during exposure of humpback whale groups to ‘tones’ as a function of the received level (triangles) and received signal-to-noise ratio (circles) at the start of the exposure period.**

## TABLE LEGENDS

**Table 1.** The sample size of different measured cohorts for the two visual platforms of observation

**Table 2.** Table illustrating the number of groups used in the BRS analysis for each platform of observation and each exposure.

**Table 3.** Estimated difference response measures (including standard error, t value, MCMC estimation of difference and p value) comparing the two sampling methodologies, *ad lib* and focal follow, on 15 groups sampled using both methodologies simultaneously (15 groups, 84 observations). Focal follow measures were used as the ‘baseline’ with which to compare the difference in *ad lib* measures.

**Table 4.** Comparison of the four different response models for course travelled and number of surface intervals (including model degrees of freedom, AIC,  $\chi^2$ ,  $\chi^2$  degrees of freedom and P values. NS designates that the model is not significantly improved from the previous model. Bold designates the ‘best’ model in terms of the lowest AIC score (lowest residual deviance).

	Focally followed	<i>Ad lib</i> sampling
Singletons	0	13 (includes 8 singers)
Female-calf	6	11 (1 tagged)
Female, calf and escort	6	11 (includes 1 singing escort)
Adult pairs	4	8 (including 2 singer/non-singer pairs)
Plus three adults	4	4 (adult trios and female-calf-escorts)

Platform of observation	Sample size			
	None	Silence	Social sounds	Tones
DTAG	0	0	1	0
Focal follow	6	0	8	6
<i>Ad lib</i> sampling	19	5	11	12

Response measure (per experimental period)		Estimate	SE	t value	MCMC mean	p-value
Course travelled (degrees)	Intercept (focal)	170.30	6.06			
	<i>Ad lib</i>	2.00	6.40	0.31	2.01	NS
Variation in course travelled (degrees)	Intercept (focal)	2.92	0.15			
	<i>Ad lib</i>	-0.07	0.16	-0.41	-0.07	NS
Speed (km/h)	Intercept (focal)	5.48	0.34			
	<i>Ad lib</i>	-0.29	0.28	-0.41	-0.28	NS
'Long' dive time (s)	Intercept (focal)	261.54	14.47			
	<i>Ad lib</i>	-31.35	15.48	-0.41	-35.34	0.03
Number of surfacing intervals	Intercept (focal)	3.33	0.27			
	<i>Ad lib</i>	-0.12	0.26	-0.46	-0.12	NS
Surface interval time (s)	Intercept (focal)	116.85	17.45			
	<i>Ad lib</i>	-51.82	19.63	-2.64	-50.58	0.01
No of 'blow only' surface intervals	Intercept (focal)	1.97	0.26			
	<i>Ad lib</i>	0.59	0.31	1.93	0.59	NS
No of 'surface active' surface intervals	Intercept (focal)	0.34	1.96			
	<i>Ad lib</i>	-0.71	0.25	-2.84	-0.71	0.005
No of observations	Intercept (focal)	11.33	1.46			
	<i>Ad lib</i>	-5.34	1.16	-4.33	-2.56	0.0001

<b>Course Travelled (n = 37, full data)</b>						
		<i>Df</i>	AIC	$\chi^2$	$\chi^2_{df}$	<i>P-value</i>
stimulus* experimental period		8	1167			
stimulus* experimental period* proximity	1 v 2	14	1166	12.5	6	=0.05
stimulus* experimental period* <i>RL</i>	2 v 3	14	1167	0	0	NS
<b>stimulus* experimental period* <i>SNR</i></b>	<b>3 v 4</b>	<b>14</b>	<b>1163</b>	<b>4.2</b>	<b>0</b>	<b>&lt;0.0001</b>
<b>Course Travelled (n = 23, ‘audible’ data)</b>						
stimulus* experimental period		8	716			
stimulus* experimental period* proximity	1 v 2	14	718	9.9	6	NS
stimulus* experimental period* <i>RL</i>	2 v 3	14	715	3.1	0	NS
stimulus* experimental period* <i>SNR</i>	3 v 4	14	723	0	0	NS
<b>Number of surface intervals (n = 37, full data)</b>						
stimulus* experimental period		8	-98			
stimulus* experimental period* proximity	1 v 2	14	-110	23.6	6	0.0006
stimulus* experimental period* <i>RL</i>	<b>2 v 3</b>	<b>14</b>	<b>-120</b>	<b>10.2</b>	<b>0</b>	<b>&lt;0.0001</b>
<b>stimulus* experimental period* <i>SNR</i></b>	<b>3 v 4</b>	<b>14</b>	<b>-120</b>	<b>0</b>	<b>0</b>	<b>NS</b>
<b>Number of surface intervals (n = 23, ‘audible’ data)</b>						
stimulus* experimental period		11	-65			
stimulus* experimental period* proximity	1 v 2	14	-61	8.3	3	NS
stimulus* experimental period* <i>RL</i>	2 v 3	14	-63	1.6	0	NS
<b>stimulus* experimental period* <i>SNR</i></b>	<b>3 v 4</b>	<b>14</b>	<b>-78</b>	<b>15.9</b>	<b>0</b>	<b>&lt;0.0001</b>
<b>Long dive time (n = 14, focal follow data)</b>						
stimulus* experimental period		11	633			
<b>stimulus* experimental period* proximity</b>	<b>1 v 2</b>	<b>14</b>	<b>435</b>	<b>203.6</b>	<b>3</b>	<b>&lt;0.0001</b>
stimulus* experimental period* <i>RL</i>	2 v 3	14	440	0	0	NS
stimulus* experimental period* <i>SNR</i>	3 v 4	14	443	0	0	NS







