APPLICATION FOR A WAIVER OF THE MARINE MAMMAL PROTECTION ACT TAKE MORATORIUM TO EXERCISE GRAY WHALE HUNTING RIGHTS SECURED IN THE TREATY OF NEAH BAY

February 11, 2005

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Table of Contents

Executive Summary

This document constitutes the application of the Makah Indian Tribe (the "Tribe") under Section 101(a)(3) of the Marine Mammal Protection Act (MMPA), 16 U.S.C. § 1371(a)(3), for a waiver of the moratorium on the taking of marine mammals which would allow the Tribe to conduct a Treaty ceremonial and subsistence (C&S) harvest of up to 20 gray whales from the Eastern North Pacific (ENP) stock in any five-year period, with a maximum of five whales per year. The proposed waiver would be subject to permanent regulations adopted by the Secretary of Commerce under Section 103 of the MMPA, 16 U.S.C. § 1373, which would authorize the National Oceanic and Atmospheric Administration (NOAA) to issue the Tribe a renewable whaling permit of up to five years in duration under Section 104 of the MMPA, 16 U.S.C. § 1374, provided that the Tribe enacts, implements, and enforces Tribal regulations which meet minimum standards necessary to conserve the ENP stock, avoid local depletion, and ensure a safe and humane hunt. These standards will include:

- Limits on the total number of gray whales that may be struck in a calendar year;
- Time and area restrictions designed to avoid any intentional harvest of gray whales comprising the Pacific Coast Feeding Aggregation (PCFA);
- Monitoring and adaptive management measures designed to ensure that any incidental harvest of gray whales from the PCFA remains below an annual allowable bycatch level (ABL) that will be conservatively established by applying the MMPA's potential biological removal (PBR) methodology to a conservative abundance estimate which is based on the number of gray whales that exhibit inter-annual site fidelity to the Oregon to Southern Vancouver Island (ORSVI) survey area;
- Measures that will ensure that the hunt is as humane as practicable consistent with the continued use of traditional hunting methods; and
- Measures to protect public safety.

The Makah Tribe has at least a 1,500-year-old whaling tradition and secured an express right to take whales under Article IV of the 1855 Treaty of Neah Bay. The Tribe's Treaty whaling rights have not been abrogated by the MMPA or any other federal statute. Under well-established case law, these rights are subject to restriction only where necessary to prevent demonstrable harm to a particular stock or species of whales.

Nevertheless, in *Anderson v. Evans*, 371 F.3d 475 (9th Cir. 2004), the Ninth Circuit Court of Appeals decided that the Tribe must obtain a waiver of the MMPA's take moratorium before it may exercise its Treaty whaling rights. The Tribe strongly disagrees with the Court's holding, but is filing this application to provide a legal framework that will allow for long-term exercise of its Treaty whaling rights consistent with the conservation needs of the gray whale. Approval of this waiver request is needed to meet the Tribe's cultural and subsistence needs and to fulfill the

United States government's Treaty and trust obligations to the Tribe.

The population of Eastern North Pacific stock of gray whales is at its historic levels and within its optimum sustainable population (OSP). After accounting for the Makah whale hunt, the total human-caused mortality, which includes aboriginal subsistence harvest by native groups in Russia, will be just over a third of the stock's PBR level of 366 whales. The Scientific Committee of the IWC provided management advice in 2002 that a take of up to 463 whales per year is sustainable for at least the medium term (~30 years). This level of harvest is over 350 percent higher than the average annual joint US-Russian quota of 124 whales per year. Because there is no likelihood that the Makah whale hunt will cause the Eastern North Pacific stock to fall below OSP in the foreseeable future, the Tribe's waiver request is well within the Tribe's rights under the Treaty of Neah Bay and is consistent with the policies and requirements of the MMPA.

For the purposes of this application, the Pacific Coast Feeding Aggregation (PCFA) is defined as any whale found in NOAA's photo-identification database which has been observed south of Alaska from June 1 through November 30 in any year. The PCFA is not a discrete stock of whales for the purposes of the MMPA. Nevertheless, the Tribe has agreed to safeguards that will prevent any intentional harvest of gray whales that exhibit inter-annual site fidelity to the Pacific coast south of Alaska. The Tribe will allow whale hunting only during established gray whale migration periods (December 1 through May 31) and prohibit hunting in gray whale feeding grounds in the Strait of Juan de Fuca.

To minimize the risk of incidental harvest of whales from the PCFA and ensure that gray whales remain a functioning element of the ecosystem, the Tribe in consultation with NOAA will compare photographs of all landed whales with NOAA's photo-identification database for the PCFA. The Tribe will suspend the hunt in a calendar year if necessary to prevent the harvest of whales found in the PCFA database from exceeding an annual allowable bycatch level (ABL). The ABL will be calculated by applying the MMPA's PBR methodology to a conservative abundance estimate based on the number of gray whales that are seen in more than one year in the Oregon-Southern Vancouver Island (ORSVI) survey area between June 1 and November 30.

NOAA should approve the Tribe's request for a waiver and adopt regulations that permit the Tribe to exercise its treaty rights in the manner specified in this application. The proposed waiver is necessary for the United States government to fulfill its legal obligations to the Tribe under the Treaty of Neah Bay, will not disadvantage the ENP stock of gray whales, and will be consistent with the purposes and policies of the MMPA.

Definitions.

Allowable Bycatch Level (ABL): the number of whales from the PCFA that may be taken incidental to a hunt directed at the migratory portion of the ENP stock of gray whales. The ABL is calculated using the MMPA's PBR approach but the minimum population estimate is calculated from the number of previously seen whales in the Oregon-Southern Vancouver Island (ORSVI) survey area.

Harassment: any act of pursuit, torment, or annoyance which— (i) has the potential to injure a marine mammal or marine mammal stock in the wild (referred to as Level A harassment); or (ii) has the potential to disturb a marine mammal or marine mammal stock in the wild by causing disruption of behavorial patterns, including, but not limited to, migration, breathing, nursing, breeding, feeding, or sheltering (referred to as Level B harassment). 16 U.S.C. § 1362(18).

Humane Killing: that method of taking which involves the least possible degree of pain and suffering practicable to the mammal involved. 16 U.S.C. § 1362(4).

Optimum Sustainable Population (OSP): is defined as "with respect to any population stock, the number of animals which will result in the maximum productivity of the population or the species, keeping in mind the carrying capacity of the habitat and the health of the ecosystem of which they form a constituent element." 16 U.S.C. § 1362(9). NOAA has quantified OSP as a population size which ranges between a stock's maximum net productivity level (MNPL) and its carrying capacity (K). *See* 50 C.F.R. § 216.3.

Oregon-Southern Vancouver Island (ORSVI) survey area: the gray whale survey region from Oregon to Southern Vancouver Island for which abundance estimates of returning whales are used to develop the allowable bycatch level (ABL). This area was identified in Calambokidis et al. (2004) as the appropriate range to evaluate abundance estimates for the purposes of management of a Makah whale harvest and is based on gray whale interchange rates to survey areas adjacent to the Makah U&A.

Pacific Coast Feeding Aggregation (PCFA): any ENP gray whale found in the photo-identification database maintained by NOAA's National Marine Mammal Laboratory (NMML) which has been observed south of Alaska from June 1 through November 30 in any year.

Potential Biological Removal (PBR): the maximum number of animals, not including natural mortalities, that may be removed from a marine mammal stock while allowing that stock to reach or maintain its optimum sustainable population 16 U.S.C. § 1362(20). A total level of human-caused mortality that is less than the PBR is considered sustainable and consistent with the MMPA's goal of managing marine mammal stocks to achieve their OSP level. Under 16 U.S.C. § 1362(2), the PBR for a particular marine mammals stock is calculated by taking the product of the following factors: the minimum population of the stock (N_{min}); one-half the maximum theoretical or estimated net productivity rate of the stock at a small population size (R_{max}); and a recovery factor (F_r) between 0.1 and 1.0.

Strike: means any blow or blows delivered to a whale by a harpoon, rifle or other weapon which may result in death to a whale. A harpoon blow counts as a strike if the harpoon is embedded in the whale. Any rifle shot which hits a whale counts as a strike. For the purpose of this request, multiple strikes on a single whale count as a single strike.

Take: as applied to the number of whales that may be harvested, "take" is defined in accordance with the regulations of the International Whaling Commission, "to flag, buoy or make fast to a whale catcher." For all other purposes, "take" is defined according to the definition in the MMPA, which means to harass, hunt, capture, or kill, or attempt to harass, hunt capture, or kill any marine mammal. 16 U.S.C. § 1362(13).

Acronyms.

ABL	Allowable Bycatch Level
C&S	Ceremonial and Subsistence
CV	Coefficient of Variation
ENP	Eastern North Pacific
F_r	Recovery factor
ICRW	International Convention on the Regulation of Whaling
IWC	International Whaling Commission
K	Carrying capacity
km	Kilometers
m	Meters
MMPA	Marine Mammal Protection Act
MNPL	Maximum Net Productivity Level
MRT	Minimum Residency Tenure
MSY	Maximum Sustained Yield
MSYL	Maximum Sustained Yield Level
n	Sample size
N	Population estimate
N_{min}	Minimum population estimate
NEPA	National Environmental Policy Act
NMML	National Marine Mammal Laboratory
NOAA	National Oceanic and Atmospheric Administration

ORSVI	Oregon-Southern Vancouver Island
OSP	Optimum Sustainable Population
PBR	Potential Biological Removal
PCFA	Pacific Coast Feeding Aggregation
R_{max}	Maximum theoretical or estimated net productivity rate of a stock at small population size
SARs	Stock Assessment Reports
U&A	Makah Usual and Accustomed grounds and stations
WCA	Whaling Convention Act

I. Request for Waiver and Proposed Regulations.

This document constitutes the application of the Makah Indian Tribe (the "Tribe") under Section 101(a)(3) of the Marine Mammal Protection Act (MMPA), 16 U.S.C. § 1371(a)(3), for a waiver of the moratorium on the taking of marine mammals which would allow the Tribe to conduct a Treaty ceremonial and subsistence (C&S) harvest of up to 20 gray whales from the Eastern North Pacific (ENP) stock in any five-year period, with a maximum of five whales per year. The proposed waiver would be subject to permanent regulations adopted by the Secretary of Commerce under Section 103 of the MMPA, 16 U.S.C. § 1373, which would authorize the National Oceanic and Atmospheric Administration (NOAA) to issue the Tribe a renewable whaling permit of up to five years in duration under Section 104 of the MMPA, 16 U.S.C. § 1374, provided that the Tribe enacts, implements, and enforces Tribal regulations which meet minimum standards necessary to conserve the ENP stock, to avoid local depletion, and to ensure a safe and humane hunt. The term of the initial permit should coincide with the current aboriginal subsistence quota for gray whales approved by the International Whaling Commission (IWC), which runs though 2007. Future permits would be issued in synchrony with IWC aboriginal quotas, which are currently set at five-year intervals.

As discussed in greater detail in Parts II and III of this application, the Makah Tribe has at least a 1,500-year-old whaling tradition and secured an express right to take whales under Article IV of the 1855 Treaty of Neah Bay. The Tribe's Treaty whaling rights have not been abrogated by the MMPA or any other federal statute. Under well-established case law, these rights are subject to restriction only where necessary to prevent demonstrable harm to a particular stock or species of whales.

Nevertheless, in *Anderson v. Evans*, 371 F.3d 475 (9th Cir. 2004), the Ninth Circuit Court of Appeals decided that the Tribe must obtain a waiver of the MMPA's take moratorium before it may exercise its Treaty whaling rights. The Tribe strongly disagrees with the Court's holding but is filing this application to provide a legal framework that will allow for long-term exercise of its treaty whaling rights consistent with the conservation needs of the gray whale. Approval of this waiver request is needed to meet the Tribe's cultural and subsistence needs and to fulfill the United States government's Treaty and trust obligations to the Tribe.

The Tribe proposes to manage the whale hunt under Tribal regulations which meet the following minimum standards:

A. Number of Gray Whales that May Be Taken.

The Tribe's regulations will limit the number of gray whales that may be "taken," as that term is defined in IWC regulations, to no more than five in any calendar year, and to no more than 20 in any five-year period.[1] In addition, Tribal regulations will limit the number of gray whales that may be "struck," a more inclusive term that encompasses all whales that are "taken," to no

[1] Under the IWC Schedule, the term "take" means to flag, buoy or make fast to a whale catcher.

more than seven in any calendar year.[2] The Tribe's regulations will limit the number of struck and lost whales to no more than three in any calendar year. The number of gray whale takes and strikes allowed by Tribal regulation will be subject to reduction if necessary to meet the international treaty obligations of the United States under the International Convention for the Regulation of Whaling (ICRW) or to prevent the abundance of the ENP stock from falling below its optimum sustainable population level (OSP). Tribal regulations will not allow the taking of any other species of whales except gray whales.

B. Age, Size, and Sex of Gray Whales that May Be Taken.

Tribal regulations will prohibit the striking of a whale calf, or any whale accompanied by a calf.

C. Season When Gray Whales May Be Taken.

The Tribe's regulations will prohibit the striking of a gray whale between June 1 and November 30 of any calendar year. The purpose of this restriction is to prevent the intentional harvest of whales that may be part of the Pacific Coast Feeding Aggregation (PCFA).

D. Manner and Location in which Gray Whales May Be Taken.

The Tribe's regulations will prohibit the striking of a gray whale outside of the Tribe's usual and accustomed (U&A) grounds as adjudicated in *United States v. Washington*, 626 F.Supp. 1405, 1467 (W.D. Wash. 1985). The Tribal regulations will also prohibit the striking of a gray whale within the Strait of Juan de Fuca. Hunting will only occur in the waters of the Pacific Ocean bounded by the following line: a line beginning at the northwestern tip of Cape Flattery running to the Tatoosh Island Lighthouse; from the Tatoosh Island Lighthouse to the buoy adjacent to Duntze Rock; from the buoy adjacent to Duntze Rock following a straight line to Bonilla Point on Vancouver Island but stopping at the Exclusive Economic Zone (EEZ); tracking the EEZ boundary westward to 125° 44'00" longitude; south along 125° 44'00" longitude to 48° 02'15" latitude; east along 48° 02'15" latitude to shore; and then track the shoreline northward to point of origin at Cape Flattery.

To further reduce the risk of local depletion, Tribal regulations will provide for detailed photographic monitoring of all landed whales. As soon as practicable after a successful hunt, in consultation with scientists from NOAA's National Marine Mammal Laboratory (NMML) the Tribe will compare photographs of landed whales with the NMML photo-identification catalog for the Pacific Coast Feeding Aggregation (PCFA), which includes any gray whale that has been photographed south of Alaska between June 1 and November 30 in any year. The Tribe will cease hunting in a calendar year when photographic analysis indicates that suspension of the hunt

[2] For the purposes of this request, the term "strike" means any blow or blows delivered to a whale by a harpoon, rifle or other weapon which may result in death to a whale. A harpoon blow counts as a strike if the harpoon is embedded in the whale. Any rifle shot which hits a whale counts as a strike. (Makah Tribal Council 2001).

is necessary to prevent the number of harvested whales from the PCFA catalog from exceeding an annual allowable bycatch level (ABL) for that year. The ABL will be calculated by applying the MMPA's PBR methodology to a conservative abundance estimate based on the number of gray whales that exhibit site fidelity (i.e., seen in more than one year) in the Oregon to Southern Vancouver Island (ORSVI) survey area between June 1 and November 30.

The Tribe's regulations will also include measures that will ensure that the hunt is conducted in the most humane manner practicable consistent with the Tribe's goal of providing opportunities for a traditional ceremonial and subsistence hunt. To this end, all whales will be harpooned with a toggle-point harpoon with floats attached before being dispatched with a .50 caliber rifle shot to the central nervous system (brain and upper spinal cord). During the 1999 hunt these methods resulted in a time to death of approximately 8 minutes. The Tribe anticipates that the time to death will improve as its hunters gain additional experience.

To address concerns about impacts to nesting seabirds, no whale may be struck within 200 yards of Tatoosh Island or White Rock during the month of May. The Tribal regulations will also include measures to ensure that the hunt is conducted in a manner which is at least as protective of public safety as the measures provided for in the Tribe's 2001 Gray Whale Management Plan (Makah Tribal Council 2001).[3] Further management measures to address public safety and possible impacts to other species may be developed based on the outcome of NOAA's National Environmental Policy Act (NEPA) review of the Tribe's request.

E. Other requirements.

The Tribe's regulations will restrict the use of whale products to local consumption and ceremonial purposes in accordance with section 102(f) of the MMPA. 16 U.S.C. § 1372(f). No whale products will be sold or offered for sale, except that traditional handicrafts (including artwork) made from non-edible whale products may be sold or offered for sale within the United States. The Tribe requests a limited waiver from the MMPA's prohibition on the sale of marine mammal products for the purposes of selling such traditional handcrafts. The requested waiver would be similar to, but more restrictive than, the exemption for Alaska native handicrafts provided in Section 101(b)(2) of the MMPA, 16 U.S.C. § 1371(b)(2).

The Tribe's regulations will include a permit system which provides that no Tribal member may engage in whaling except under the control of a whaling captain who is in possession of a valid whaling permit issued by the Makah Tribal Council. Whaling permits issued by the Council must incorporate and require compliance with all of the requirements of the Tribe's regulations.

Tribal regulations will provide for a training and certification process for all members who

[3] These measures authorized the discharge of firearms when whaling only when the shooter was within 30 feet of the target area of the whale and the shooter's field of view was clear of all persons, vessels and other objects that could result in injury or loss of human life. The measures also set minimum visibility standards for the hunt. (Makah Tribal Council 2001).

participate in whaling.

Tribal regulations will offer accommodations for a NOAA Fisheries observer during all hunts, including providing the designated observer from NOAA Fisheries with at least 24 hours notice of the issuance of any whaling permit unless the observer is already present on the Makah Reservation. The regulations will also allow NOAA Fisheries to collect specimen material from landed whales, including ovaries, ear plugs, baleen plates, stomach contents, and other tissue samples.

Tribal regulations will include provisions for Tribal monitoring of all hunts and annual reporting of all monitoring data to NOAA Fisheries. At a minimum, Tribal monitoring will include maintaining accurate records of the time, date, and location of all strikes; the body length, fluke width, and sex of all landed whales and any fetus found in a landed whale; and the time to death for all whales killed. As indicated previously, all landed whales will be photographed to allow comparison with the NMML photographic database compiled for the PCFA.

Tribal regulations will include provisions requiring Tribal enforcement of the regulations. The enforcement regulations shall include criminal sanctions, including fines and imprisonment, up to the limits imposed by the Indian Civil Rights Act.

II. Purpose of and Need for the Waiver Request.

The purpose of the Tribe's application for a waiver of the take moratorium is to obtain authorization under the MMPA for a Treaty C&S harvest of up to 20 gray whales in any five-year period from the Eastern North Pacific (ENP) stock, with a maximum of five gray whales per year. As decided by the Ninth Circuit Court of Appeals in *Anderson v. Evans*, 371 F.3d 475 (9th Cir. 2004), a waiver of the MMPA's take moratorium is necessary for the Tribe to exercise its express whaling rights under Article IV of the Treaty of Neah Bay. Approval of this request is needed to satisfy the United States government's obligations to the Tribe under the 1855 Treaty of Neah Bay and the federal trust responsibility, and to fulfill the Tribe's cultural and subsistence needs which are discussed below and in the attached need statement submitted to the IWC in 2002 (Appendix A; Renker 2002).

A. The Tribe's Cultural and Subsistence Needs.

As discussed in further detail in Appendix A, the Tribe has at least a 1,500-year whaling tradition. Whaling was central to the Tribe's way of life, providing a primary means of subsistence as well as essential social and cultural functions.[4] Whaling was so important to the Tribe that it expressly reserved whaling rights in the 1855 Treaty of Neah Bay. Although Makah whaling declined in the decades after the Treaty due to forces beyond the Tribe's control, the Makah people have never forgot their whaling traditions. Over the past two decades, the Tribe has begun to restore its language, songs and dances and many other cultural traditions. The resumption of whaling in the late 1990s has brought the Tribe significant cultural and social benefits as well as a badly needed subsistence resource. Approval of this waiver application, which seeks a harvest of up to five gray whales per year from the ENP stock, would enable the Tribe to continue its cultural renaissance and provide significant nutritional resources to an economically deprived community.

1. The Makah Tribe's Whaling Tradition.

The relationship between the Makah people and whaling is of great antiquity. The Ozette archeological site on the northern Washington coast contains evidence of some 1,500 years of continuous whaling. Archeological and ethnohistorical data demonstrate that the Makah hunted gray whales as well as other whale species. The number of whales taken by Makah whalers varied from year to year. Based on historic documents, it is estimated that Makah whalers averaged about 5.5 whales per year between 1889 through 1892, a time when the gray whale population had already been substantially reduced by non-Indian commercial whaling. Whaling for gray whales occurred during both the fall and spring migrations, with some hunts occurring 30 or more miles from shore.

The Makah hunted whales from giant canoes, approximately 36 feet long and more than 5

[4] The discussion in this section is taken from Renker (2002). Readers are directed to Appendix A for a list of references for this section.

feet wide, which were carved from a single cedar log. Other equipment included mussel-shell harpoons, sealskin floats, fathoms of line made from whale sinew and cedar, and a variety of knives. Whaling equipment and methods were constantly evolving. After contact with Euro-Americans, Makah whalers began to use metal harpoon heads at the ends of their traditional wood harpoons and accepted tows from steamers to and from the whaling grounds.

A whaling crew consisted of a chief, or "whaler," and seven men. The whaler owned the canoe and the whaling equipment and acted as the sole harpooner. Other crew members included a steersman, a man responsible for managing the lines and buoys, numerous paddlers, and a man who had the unique responsibility of diving into the water and fastening the whale's mouth shut after the whale was killed.

The whale was initially harpooned behind the front flipper. Once the first harpoon had been driven into the whale and the first set of floats attached, the whale was pursued and killed with a long wooden lance. The process of killing a whale could take up to three to four days. Once killed, the whaling crew had to tow the animal back to land, a process which could take another two days. Whales were butchered according to strict protocols, which identified the sequence of the butchering, the portions of the whale reserved for ceremonial use, and the portions to be distributed to the crew and other village inhabitants.

Positions on whaling crews were restricted to men who could withstand the rigors of intensive ritualized training, possessed the hereditary access to the position and its ritualized knowledge, or underwent a supernatural encounter which engendered the gift of whaling ability. All crew members undertook rigorous ceremonial and spiritual preparations prior to the hunt; the success of the hunt depended as much on the observance of rituals as the strength and skill of the whalers. The families of the whalers were also expected to observe rituals to ensure the safety and success of the hunters.

Whaling was the keystone of traditional Makah society. Makah society was mirrored in the structure of the whale hunt, including ceremonial preparation, the hunt itself, and the ultimate acts of butchering and distribution. Whalers, or headmen, were ranked at the top of the social pyramid. Whaling success translated into physical wealth and social prestige for the headman. Women married to whalers likewise dominated the top of the female status pyramid. Ceremonies to prepare whalers and their families for the hunt provided the Makah with a social framework that contributed to governmental, social, and spiritual stability.

In addition to its cultural and social benefits, whaling provided the Makah with an essential subsistence resource. Archeological studies show that as much as 85 percent of the Makah pre-contact diet could have been composed of whale meat, oil and other food products. Whale blubber and oil also provided an important source of trade goods. Whale products insured that the Makah enjoyed a high standard of living and a diversified economy.

2. The Treaty of Neah Bay.

In the early 19th century, as non-Indian traders and explorers entered the waters of the

Northwest, the Makah experienced increasing demand for whale products. The Makah expanded their trade in whale oil and other whale products in response to this demand, selling whale oil to the Hudson's Bay Company and other trading outfits.

In early 1855, the Makah were approached by the United States government, through Washington Territorial Governor Isaac Stevens, for the purpose of negotiating a treaty of land cession. From the government's perspective, the purpose of the treaty was to gain title to the region's rich lands and resources in order to make way for non-Indian settlement. While the Makah were willing to sell most of their lands to the United States, the Tribe insisted on retaining its rights to harvest the bountiful marine resources upon which it depended for its existence. To gain Makah acceptance of the treaty, Governor Stevens repeatedly insisted that the government did not intend to stop the Makah from whaling, sealing and fishing, but in fact would help them to develop these pursuits.

Much of the official record of the treaty negotiations reflects this dialogue. At the outset of the discussions, Governor Stevens proposed to buy Makah lands and establish a small reservation at the site of present-day Neah Bay. The first Makah chief to speak, Klachote, responded that the treaty must also protect his "right to fish, and take whales and get food when he liked." The next chief, Keh-tchook, seconded this demand. Governor Stevens acceded to the Makahs' demand, replying that "so far from wishing to stop their fisheries, he wished to send them oil kettles, and fishing apparatus." Governor Stevens reassured the Makah:

> I saw the Great Father a short time since and [he] sent me here to see you and give you his mind. The Whites are crowding in upon you and the Great Father wishes to give you your homes. He wants to buy your land and give you a fair price but leaving you enough to live on and raise your potatoes. He knows what whalers you are, how you go far to sea, to take whales. He will send you barrels in which to put your oil, kettles to try it out, lines and implements to fish with — . . . [T]his will be done if we sign it [the treaty]. If it is good I shall send it to the Great Father, and if he likes it he will send it back with his name. When it is agreed to it is a bargain.

Based on the government's assurances that their whaling rights would be protected, the Makah's agreed to sign the 1855 Treaty of Neah Bay, 12 Stat. 939 (Jan. 31, 1855) (Appendix B). The Treaty was ratified, without alterations, on March 8, 1859. From the Makah perspective, the critical clause of the treaty was Article IV, which provides:

> The right of taking fish *and of whaling* or sealing at usual and accustomed grounds and stations is further secured to said Indians in common with all citizens of the United States. . . [emphasis added].

Governor Stevens' promise of government assistance with their whaling, sealing and fishing industries was also a significant inducement to the Makah because it allowed for further expansion of the Tribe's existing whaling and fishing enterprises. Significantly, of all of the many Stevens Treaties -- and of all treaties between the United States and Indian tribes -- the Treaty of

Neah Bay is the only one which expressly secures tribal whaling rights.

3. The Decline of Makah Whaling.

Despite Governor Stevens' promises, the United States failed to provide support for Makah fishing, whaling and sealing. Government assistance emphasized agricultural implements rather than items that could have supported the active components of the Makah's maritime economy. Instead of whaling and fishing tools, the Makah received pitchforks, scythes, hoes and sickles. Since the Makah Reservation was unsuited to cultivation, the Makah converted the tines of the pitchforks into fish hooks, the scythes into blubber knifes, and the sickles into arrowheads.

Federal Indian policy in the late 19th century was devoted to changing the Makah and other Indians from self-sufficient hunter-gatherers into farmers, dependent on the government for tools and instruction. Indian policy was also designed to assimilate Indian people through an education system that prohibited use of Indian languages or the exercise of cultural rituals. Despite the Treaty of Neah Bay's recognition of whaling as an important facet of Makah life, the United States government chose not to support the Tribe's well-developed practice.

Indoctrination in government-run boarding schools also worked against traditional subsistence whaling, as did epidemics and government bans on ceremonial activities. Potlatches and secret societies were prohibited, disrupting the Makah system of proprietary rights over dances, songs, and other ceremonies. At the same time that government policy was aimed at converting the Makah to agriculturalists, Pacific whale populations were declining as a result of increased commercial whaling by non-Indians. In 1854, Captain Charles Scammon discovered the Mexican breeding grounds of the gray whale. Gray whale cows and calves were slaughtered in the breeding lagoons bringing about the decimation of the Eastern North Pacific gray whale stock over the next few decades.

During this time, whale hunting remained the symbolic heart of Makah culture but continued to diminish in frequency as it became cost-prohibitive. As whale populations declined, the Makah shifted their resources to pursue more lucrative seal hunting. By the 1890s, Makah schooners were hunting fur seals along the Washington coast and as far north as the Bering Sea.

In short, boarding-school indoctrination and government acculturation policies, combined with a series of devastating epidemics, drastically changed the delicate and complex social dynamic which had supported the traditional Makah whale hunt. These factors, especially when juxtaposed with the severe decline in whale populations, served to discourage the Makah from making the substantial investments needed to pursue traditional whaling.

4. The Tribe's Present Cultural and Subsistence Need for Whaling.

Despite the decline of whaling, the Makah Tribe's interest in retaining their whaling rights and traditions never dissipated. Families passed on whaling stories, traditions, and secrets. The Makah never stopped educating their children about their family whaling traditions. Public schools on the reservation have included whaling in their curricula since the 1960s, with

continuous efforts since 1981. Whaling designs and crests still decorate public buildings and private homes. The whaling displays in the Makah Tribe's museum have kept the tradition of whaling alive.

For the past three decades, the Makah have been engaged in a concerted effort to revive their cultural traditions. The Tribe believes that revival of these traditions is needed to combat the social disruption resulting from the rapid changes of the past century and a half. Teenage pregnancies, high school dropouts, substance abuse problems, and an increasing juvenile crime rate indicate that the Makah community is still in flux and that the enormous social disruption caused by epidemics, boarding schools, and federal acculturation policy is still not over. Entire social, cultural, subsistence, and ceremonial institutions were repressed, eradicated, or decimated; without substitution of structural equivalents.

To reverse these disturbing trends, the Makah have reinstituted numerous song, dance and artistic traditions and operated a program to restore the Makah language to spoken proficiency on the reservation. The Makah Cultural and Research Center has been instrumental in the revival of many cultural traditions. Given the centrality of whaling to the Tribe's culture, a revival of subsistence whaling is necessary for the Makah to complete this spiritual renaissance and repair the damage done to the Tribe's social structure during the years of forced assimilation. A recent survey showed that this view is supported by a majority of Makah households.[5]

Continuation and expansion of subsistence whaling will also help address the socioeconomic deprivation experienced by many tribal members. The seasonal unemployment rate on the Makah Reservation is 51 percent, with almost 49 percent of Makah households living in poverty and 59 percent living in substandard housing. According to the 2000 census, median household income on the reservation is approximately $24,000 compared with $46,000 for Washington state as a whole.

Both historically and today, the Makah have addressed economic deprivation by relying on the sea for subsistence. Currently, 85 percent of Makah households have someone in their household who fishes and 63 percent of these households list fishing as the major occupation in their home. Even households without a fisherman derive food, money, or other goods from a fisherman who is a relative or a friend. Fish is a medium of exchange on the reservation and all Makah households participate in reciprocal networks that involve fish at some level of exchange.

A majority of Makah households use traditional Makah foods at least once a week. These include such unique traditional foods as fermented salmon eggs, smoked fish heads and backbones, halibut cheeks and gills, and dried fish. According to a recent analysis, the Makah's annual per capita consumption of fish is 126 pounds, some eight times higher than for the average American. While seafood comprises 55 percent of the Makah diet, it represents only 7 percent of the diet of the average American.

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[5] According to the 2000 census, there are 1356 Makahs living in 471 households on the Reservation. Another 1,117 Makahs live off the Reservation.

Information regarding the Tribe's successful whale hunt in 1999 illustrates the potential for wide-ranging cultural and subsistence benefits from whaling. Thirty-nine percent of households indicated that they participated in whaling-related ceremonial activities, 30 percent of households have cooked whale meat, and 81 percent of Tribal members reported having eaten whale products. An overwhelming number of community members were present when the first whale was landed at Neah Bay in 1999 and 80 percent attended the Tribal celebration of the first whale hunt. Most Makah surveyed felt that the restoration of whaling had improved social and cultural conditions on the Reservation. These data demonstrate that the Makah are fully capable of restoring subsistence whaling to a central place in their culture, economy, and way of life.

B. The Tribe's Recent Efforts to Exercise Its Whaling Rights.

Gray whales were first given international protection from commercial whaling in 1937. By 1993, NOAA determined that the Eastern North Pacific (ENP) stock of gray whales had recovered to near its estimated original population size. 58 Fed. Reg. 3121 (Jan. 7, 1993). NOAA removed the ENP stock from its list of endangered and threatened species on June 16, 1994. 59 Fed. Reg. 21,094.

Once NOAA determined that the protections of the Endangered Species Act were no longer necessary, the Tribe notified NOAA that it wished to reinitiate a ceremonial and subsistence gray whale hunt. Although the Tribe had an express treaty right, the Tribe chose to move forward in cooperation with the United States government and seek an aboriginal subsistence whaling quota from the IWC. In 1996, NOAA agreed to seek IWC approval of a quota of five gray whales per year for the Tribe. The Tribe agreed in turn that if the IWC granted the quota, the Tribe would use the whales only for subsistence purposes and would cooperatively manage the hunt with the Federal government. The United States presented the Tribe's quota request to the IWC at its 1996 meeting but the IWC failed to approve the proposal.

In 1997, NOAA entered into a new agreement with the Makah Tribe. To address public concerns about so-called "resident" whales, the new agreement provided that whaling would occur only in the "open waters of the Pacific Ocean." NOAA also published an environmental assessment (EA) which concluded that the Makah whaling proposal would result in no significant environmental impacts.

At the 1997 IWC meeting, the Tribe's quota request was included as part of a joint United States-Russian proposal for a block quota of 620 whales over the five year period from 1998 through 2002. The United States and Russia explained to the IWC that 20 whales from this joint quota would be made available to the Makah Tribe subject to a cap of five whales per year. On October 23, 1997, the IWC approved the joint quota request by consensus. The IWC renewed the joint quota for another five years (2003-2007) at its 2002 meeting.

After the IWC approved the quota, the Makah Tribe adopted a gray whale management plan that included measures to ensure a humane hunt, such as requiring the use of a high-powered rifle, as well as training requirements, a permit system, and monitoring and enforcement

provisions. In 1998, NOAA published a domestic quota of five gray whales per year for the Makah Tribe. 63 Fed. Reg. 16,701 (Apr. 6, 1998). Tribal whalers began preparing for the hunt in 1998 but no hunting occurred until the spring of 1999. In May 1999, a Tribal whaling crew hunted on four occasions and struck one gray whale. Once struck, the whale was dispatched eight minutes later with a high-powered rifle. The whale was towed back to Neah Bay where ceremonies were held, the whale was butchered, and the meat and blubber were distributed and consumed throughout the community. No additional whale hunting occurred in 1999. Two crews hunted on at least seven different occasions during the spring of 2000 but no whales were struck or landed.

On June 9, 2000, a divided panel of the Ninth Circuit reversed an earlier district court decision and held that NOAA violated the National Environmental Policy Act by entering into an agreement with the Tribe committing the government to support the Tribe's whaling proposal before the government had completed an EA. *Metcalf v. Daley*, 214 F.3d 1135, 1145 & n.3 (9th Cir. 2000). The majority did not identify any specific deficiency in the government's environmental analysis. As a remedy, the Court ordered NOAA to "suspend implementation" of the cooperative agreement, and "prepare a new EA." *Id.* at 1146.

The Tribe suspended its hunt immediately after the Ninth Circuit's ruling. NOAA rescinded the cooperative agreement and began work on a new EA. In response to public comments, NOAA consulted with the Tribe and expressed concerns about the impact of the hunt on the Pacific Coast Feeding Aggregation (PCFA), a group of approximately 200 to 250 gray whales that forage in the summer along the Pacific coast rather than migrating to more northerly feeding grounds in the Bering Sea. Although NOAA found no scientific basis to treat the PCFA as a discrete stock of marine mammals, NOAA advised the Tribe that it intended to evaluate the impacts of the Tribe's hunt on the PCFA. The Tribe addressed these concerns by revising its Management Plan to limit the number of whales that could be struck outside of whale migration periods or in the Strait of Juan de Fuca to a maximum of five strikes during the years 2001 and 2002 combined (or 2.5 strikes per year) – the low end of the PBR limit for the PCFA calculated by NOAA in its 2001 EA (NMFS 2001). The Tribe also adopted additional measures in its revised Management Plan to address public concerns about the safety of the hunt (Makah Tribal Council 2001).

After the Tribe adopted its revised Management Plan, NOAA published a second EA which found that the Makah whale hunt, conducted in accordance with the revised Management Plan, would have no significant environmental impacts (NMFS 2001). After the publication of the second EA, NOAA and the Tribe negotiated a new cooperative agreement and on December 7, 2001, NOAA published a quota of five gray whales for the Makah Tribe for the year 2002. 66 Fed. Reg. 64,378 (Dec. 13, 2001).

The new EA and quota were challenged in *Anderson v. Evans*, 371 F.3d 475 (9th Cir. 2004). The United States District Court for the Western District of Washington upheld NOAA's issuance of the quota and the second EA. However, the Ninth Circuit Court of Appeals reversed. The Ninth Circuit held that, notwithstanding the Tribe's whaling rights under the Treaty of Neah Bay, the Secretary of Commerce must waive the MMPA moratorium on taking marine mammals

and a issue a permit under the MMPA before NOAA can authorize a tribal harvest of gray whales for ceremonial and subsistence purposes. In addition, the court held that NOAA should have prepared an Environmental Impact Statement (EIS) before authorizing a Makah gray whale quota because there were questions over the local impacts of the hunt on the gray whales that feed off of the Washington coast. The Court emphasized that it was *not* holding that the Tribe's treaty right to take whales had been abrogated, but only that NOAA must follow the MMPA waiver and/or permit process before permitting the Tribe to exercise that right. This waiver application is intended to address the requirements imposed by the *Anderson* decision.

III. Applicable Law.

A. Treaty of Neah Bay.

The Treaty of Neah Bay (Appendix B) is the only treaty between the United States and an Indian Tribe which expressly reserves the right to hunt marine mammals. Article IV of the Treaty of Neah Bay provides:

> The right of taking fish *and of whaling* or sealing at usual and accustomed grounds and stations is further secured to said Indians in common with all citizens of the United States. . .

12 Stat. at 939 (emphasis added).

The Tribe's whaling and sealing rights under the Treaty of Neah Bay have not been abrogated by the MMPA. "Absent explicit statutory language, [the Supreme Court] has been extremely reluctant to find congressional abrogation of treaty rights." *Washington v. Washington Commercial Passenger Fishing Vessel Ass'n*, 443 U.S. 658, 690 (1979). In order to abrogate Indian treaty rights, Congress must make its intention to abrogate those rights "clear and plain." *United States v. Dion*, 476 U.S. 734, 738-39 (1986). Thus, where a statute does not expressly abrogate Indian treaty rights, "[w]hat is essential is *clear evidence* that Congress *actually considered* the conflict between its intended action on the one hand and Indian treaty rights on the other, and *chose* to resolve that conflict by abrogating the treaty." *Id*. at 740 (emphasis added); *see also Minnesota v. Mille Lacs Band*, 526 U.S. 172, 202 (1999).

There is no evidence that Congress was even aware of the Makah Tribe's unique treaty right to take marine mammals when it enacted the MMPA, much less that it *chose* to abrogate those rights. On the contrary, neither the MMPA nor its legislative history even mention Indian treaty rights until Congress amended the MMPA in 1994. Far from abrogating those rights, the 1994 Amendments expressly preserved them. Section 14 of the 1994 Amendments provides: "Nothing in this Act including any amendments to the Marine Mammal Protection Act of 1972 made by this Act alters or is intended to alter any treaty between the United States and one or more Indian Tribes." Pub. L. 103-238, § 14 (Apr. 30, 1994); *see* Historical and Statutory Notes to 16 U.S.C. § 1361. Congress' stated intent in enacting this disclaimer was to "reaffirm that the MMPA does not in any way diminish or abrogate protected Indian treaty fishing or hunting rights." S. Rep. No. 220, 103rd Cong., 2nd Sess, 1994 USCCAN 514, 534. The language and legislative history of the MMPA thus evince absolutely *no* Congressional intent to abrogate the Tribe's Treaty right to take marine mammals.

It has been argued that the MMPA abrogates Indian treaty rights because it provides an exemption only for Alaska Natives but not other native groups. This argument misses the mark because Alaska Natives have no *treaty* rights to take marine mammals. The enactment of a special provision granting Native Alaskans special hunting rights cannot by negative implication abrogate the rights of other native groups that were already guaranteed such rights by treaty. In

United States v. Bresette, 761 F. Supp. 658, 663 (D. Minn. 1991), it was held that a similar Alaska Native exception in the Migratory Bird Treaty Act (MBTA) did *not* abrogate Indian *treaty* rights.[6]

Under well-established case law, the Tribe's unabrogated rights to take marine mammals are subject to regulation only where "necessary for conservation" of a particular marine mammal stock or species. *Washington v. Washington Passenger Fishing Vessel Assn.*, 443 U.S. 658, 682 (1979) ("treaty fishermen immune from all regulation save that required for conservation"); *Puyallup Tribe v. Department of Game*, 391 U.S. 392, 401 n.14 (1968) (power of the State to impose time and area restrictions on treaty right fishing is "measured by whether regulations are 'necessary' for the conservation of fish"); *Tulee v. Washington*, 315 U.S. 681, 684-85 (1942) (State may regulate the exercise of treaty fishing rights only if regulations are "necessary for the conservation of fish"). Federal courts have applied the conservation necessity principle to both state and federal regulations. *Anderson*, 371 F.3d at 497, n.21; *see also Midwater Trawlers Cooperative v. Dept. of Commerce*, 282 F.3d 710, 718-19 (9th Cir. 2002) (United States must employ conservation necessity principle when setting tribal fishing allocations); *United States v. Williams*, 898 F.2d 727, 730 & n.4 (9th Cir. 1990) ("government [has] the burden of establishing the conservation necessity of state *and federal* wildlife laws against members of tribes with hunting and fishing treaty rights").

The "conservation necessity" principle is not weakened by the "in common with" language in the Treaty. The purpose of that language was to secure access for non-Indians to the Tribe's usual and accustomed grounds, not to provide a basis for restricting the Tribe's hunting and fishing rights. *United States v. Washington*, 384 F. Supp. 312, 357 (W.D. Wash. 1974) (nothing to indicate that Tribe was "told that its existing fishing activities or tribal control over them would in any way be restricted or impaired by the treaty"), *aff'd*, 520 F.2d 676 (9th Cir. 1975), *cert. denied*, 423 U.S. 1086 (1976).

In the Indian treaty rights context, the term "conservation" is defined restrictively to mean "those measures which are reasonable and necessary to the *perpetuation of a particular run or species*." *Id.* at 342 (emphasis added). The *government* has the "burden of proof" in demonstrating a "conservation necessity" exists. *Id.* To carry its burden, the government must show that:

- a "specific statute or regulation is required to prevent demonstrable harm to the actual conservation of fish,"

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[6] The Bald Eagle Protection Act (BEPA) which was held to abrogate treaty rights in *United States v. Dion*, 476 U.S. 734, 740-43 (1986), is distinguishable from the MMPA. The BEPA contains a sweeping prohibition on the taking of eagles with a narrow exception allowing the Secretary of the Interior to issue permits allowing eagles to be taken "for the religious purposes of Indian tribes." *Dion*, 476 U.S. at 740, citing 16 U.S.C. § 668a. The legislative history of the BEPA clearly showed that Congress was aware of Indian on-reservation hunting of eagles, considered such hunting to be part of the problem calling for the legislation, and "expressly chose to set in place a regime in which the Secretary of the Interior had control over Indian hunting, rather than one in which Indian on-reservation hunting was unrestricted." *Dion*, 476 U.S. at 743. By contrast, the MMPA provides numerous exceptions to the moratorium on taking marine mammals and contains *no* provisions addressing Indian *treaty* harvests.

- "existing tribal regulation or enforcement is inadequate to prevent demonstrable harm to the actual conservation of fish," and,

- "the conservation required cannot be achieved to the full extent necessary . . . by other less restrictive means or methods."

Id. at 415. Since *United States v. Washington*, these standards have been accepted and applied as established law. *See Midwater Trawlers*, 282 F. 3d at 718-19; *Shoshone-Bannock Tribes v. Fish and Game Comm'n*, 42 F.3d 1278, 1283 (9th Cir. 1994); *Williams*, 898 F.2d at 730; *United States v. Oregon*, 718 F.2d 299, 304 (9th Cir. 1983); *United States v. Michigan*, 653 F.2d 277, 279 (6th Cir.), *cert. denied*, 454 U.S. 1124 (1981); *Lac Courte Oreilles Band v. Wisconsin*, 668 F. Supp. 1233, 1236, 1241 (W.D. Wis. 1987); *Mille Lacs Band v. Minnesota*, 952 F. Supp. 1362, 1380 (D. Minn.), *aff'd*, 124 F.3d 905 (8th Cir. 1997), *aff'd*, 526 U.S. 172 (1999).

In sum, the Treaty of Neah Bay has not been abrogated and provides the Makah Tribe with special whaling rights not shared by other United States citizens. NOAA may regulate the exercise of these rights only if it can demonstrate that its regulations are necessary for conservation. To satisfy the "conservation necessity" standard, federal regulations restricting the Tribe's whaling rights may be promulgated only where necessary to preserve a particular species or stock of whales and, taking existing Tribal regulations into consideration, where they are the least restrictive means available to achieve this purpose.

B. Federal Trust Responsibility.

Courts have long recognized that a "special relationship" exists between the United States and Indian tribes which provide the Constitutional basis for legislation, treaties, and Executive Orders that grant unique rights to Indian tribes. *Morton v. Mancari*, 417 U.S. 535, 551-53 (1974). This relationship imposes fiduciary duties upon the government to faithfully carry out treaty and other legal mandates enacted for the benefit of Indian tribes. *Seminole Nation v. United States*, 316 U.S. 286, 296-97 (1942) *Cherokee Nation v. Georgia*, 30 U.S. 1(5 Pet.) (1831); *see also* Chambers, *Judicial Enforcement of the Federal Trust Responsibility*, 27 Stan. L. Rev. 1213 (1975); Cohen, *Handbook of Federal Indian Law* 220-21 (1982 ed.). These fiduciary obligations are especially strict where they involve implementation of treaty provisions:

> In carrying out its treaty obligations with the Indian tribes, the Government is something more than a mere contracting party. Under a humane and self-imposed policy which has found expression in many acts of Congress and numerous decisions of [the Supreme] Court, it has charged itself with moral obligations of the highest responsibility and trust.

Seminole, 316 U.S. at 296-97.

The scope of the Federal trust relationship is broad and applies to all federal agencies. *Pyramid Lake Paiute Tribe v. United States Navy*, 898 F.2d 1410, 1420 (9th Cir. 1990); *Nance v.*

Environmental Protection Agency, 645 F.2d 701, 711 (9th Cir.), *cert. denied*, 454 U.S. 1081 (1981). The United States government has an obligation to protect tribal property, including Indian hunting and fishing rights. *Lincoln v. Vigil*, 508 U.S. 182, 194 (1993) ("The law is 'well established that the Government in its dealings with Indian tribal property acts in a fiduciary capacity.'") (quoting *United States v. Cherokee Nation*, 480 U.S. 700, 707 (1987)); *Pyramid Lake*, 898 F.2d at 1420. Federal agencies have a duty to "represent the Tribe's interests forcefully despite [their] other representative obligations."[7] *White Mountain Apache Tribe v. Hodel*, 784 F.2d 921, 925 (9th Cir.) *cert. denied*, 479 U.S. 1006 (1986).

The requirements of the general trust responsibility are enhanced by the language and negotiating history of the Treaty of Neah Bay. Article IV of the Treaty of Neah Bay "secures" to the Tribe the right of whaling at usual and accustomed grounds and stations. In the treaty negotiations, the Tribe was "invited by the white negotiators to rely and in fact did rely on the good faith of the United States to protect that right." *Fishing Vessel*, 443 U.S. at 667. The government's "promise that the treaties would protect [the Tribe's] source of food and commerce were crucial in obtaining the Indian's assent." *Id.* at 676. In short, NOAA has a special obligation to consider and protect the treaty whaling rights of the Makah Tribe when it considers the Tribe's request for a waiver from the MMPA take moratorium.

C. International Convention on the Regulation of Whaling.

The International Convention on the Regulation of Whaling (ICRW) was signed in 1946 to "provide for the proper conservation of whale stocks and thus make possible the orderly development of the whaling industry." 62 Stat. 1716 (Dec. 2, 1946). The ICRW establishes the IWC, which is composed of one member from each signatory government, whose primary function is to adopt whaling regulations known as the "Schedule." The Schedule and all amendments thereto are deemed to be part of the ICRW itself. Arts. I, III, V. Amendments to the Schedule may not allocate quotas to any group of whalers. Art. V, § 2.

The original Schedule prohibited the harvest of gray whales, "except when the meat and products of such whales are to be used exclusively for local consumption by the aborigines." 62 Stat. at 1723. Since the late 1970s, aboriginal subsistence whaling has been subject to quotas and other regulations adopted by the IWC. Paragraph 13 of the Schedule sets strict guidelines for the setting of aboriginal subsistence whaling quotas. For stocks at or above a maximum sustained yield level (MSYL), aboriginal subsistence catches are permitted so long as total removals do not exceed 90 per cent of maximum sustained yield (MSY). For stocks below the MSYL but above a

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[7] These trust obligations have been implemented in Secretarial Order No. 3206, issued June 5, 1997 and signed by the Secretaries of Interior and Commerce, which directs NOAA to carry out its responsibilities under the Endangered Species Act in a manner that harmonizes the Federal trust responsibility to tribes, tribal sovereignty, and NOAA's statutory missions, so as to avoid or minimize the potential for conflict and confrontation. Executive Order 13175, dated November 6, 2000, requires agency policy making to be guided by principles of respect for Indian treaty rights and responsibilities that arise from the unique legal relationship between the Federal Government and Indian tribal governments. On issues relating to treaty rights, the Executive Order directs each agency to explore and, where appropriate, use consensual mechanisms for developing regulations.

certain minimum level, aboriginal subsistence catches are permitted so long as they are set at levels which will allow whale stocks to move to the MSYL.[8]

In 2002, the IWC renewed the aboriginal subsistence gray whale quota for the Eastern North Pacific stock and authorized the taking of up to 620 gray whales between 2003 and 2007, with a maximum of 140 in any one year. By bilateral agreement between the United States and the Russian Federation, up to 20 whales may be taken by the Makah Tribe over the five year quota period, with a maximum of five whales in any one year. The IWC Schedule also prohibits the taking of a gray whale calf or a gray whale accompanied by a calf.

The United States has implemented the ICRW through the Whaling Convention Act (WCA). 16 U.S.C. §§ 916 *et seq.* Pursuant to the WCA, NOAA has adopted aboriginal subsistence whaling regulations which are set out at 50 C.F.R. Part 230. The regulations permit whaling captains designated by a Native American whaling organization which has been recognized by NOAA to engage in subsistence whaling in accordance with IWC quotas and regulations. 50 C.F.R. §§ 230.5, 230.6. NOAA has entered into three cooperative agreements with the Tribe (in 1996, 1997, and 2001) recognizing the Makah Tribal Council as a Native American whaling organization and permitting the Council to issue permits to whaling captains consistent with IWC quotas and regulations.

D. MMPA.

1. Policies and Purposes of the Act.

The MMPA was adopted in 1972 out of concern that "certain species and population stocks of marine mammals are, or may be, in danger of extinction or depletion as a result of man's activities." 16 U.S.C. § 1361(1). It is the goal of the MMPA that marine mammal "species and population stocks should not be permitted to diminish beyond the point at which they cease to be a significant functioning element in the ecosystem of which they are a part." *Id.* § 1361(2). Consistent with this major objective, species and population stocks "should not be permitted to diminish below their optimum sustainable population." *Id.* The MMPA defines the term "optimum sustainable population" to mean:

> with respect to any population stock, the number of animals which will result in the maximum productivity of the population or the species, keeping in mind the carrying capacity of the habitat and health of the ecosystem of which they form a constituent element.

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[8] Paragraph 10(a) of the Schedule defines a "Sustained Management Stock" (SMS) as any "stock which is not more than 10 per cent of Maximum Sustainable Yield (hereinafter referred to as MSY) stock level below MSY stock level, and not more than 20 per cent above that level; MSY being determined on the basis of the number of whales."

16 U.S.C. § 1362(9).

2. Waiver and Permit Requirements.

Section 101(a) of the MMPA imposes a moratorium on the taking of marine mammals, except under regulations and permits adopted by the Secretary of Commerce under the Act. 16 U.S.C. § 1371(a). However, the Secretary may waive the moratorium if he determines, "on the basis of the best scientific information available," in consultation with the Marine Mammal Commission, and "having due regard for the distribution, abundance, breeding habits and times and lines of migratory movements" of the animals in question, that a waiver is "compatible" with the MMPA. *Id.* § 1371(a)(3)(A). To waive the moratorium, the Secretary must also "be assured that the taking of such marine mammals is in accord with sound principles of resource protection and conservation as provided in the purposes and policies" of the Act. *Id.* A waiver of the moratorium requires the promulgation of regulations and in some cases may also require the issuance of permits. *Id.*

The process for adopting regulations authorizing the taking of marine mammals is set out in Section 103 of the MMPA, 16 U.S.C. § 1373. Such regulations must be promulgated "on the basis of the best scientific evidence available" and in consultation with the Marine Mammal Commission. 16 U.S.C. § 1373(a). The regulations must "insure that such taking will not be to the disadvantage of those species and population stocks, and will be consistent with the purposes and policies" of the Act. *Id.* In prescribing such regulations, the Secretary must give full consideration to all relevant factors, including the effect of such regulations on existing and future levels of marine mammal species and population stocks; the government's existing international treaty and agreement obligations; the marine ecosystem and related environmental considerations; the conservation, development and utilization of fishery resources; and the economic and technological feasibility of implementation. *Id.* § 1373(b).

MMPA take regulations may include restrictions on the number of animals which may be taken by permit in any calendar year; the age, size or sex of the animals which may be taken; the season or other time period within which animals may be taken; and the manner and locations in which animals may be taken. 16 U.S.C. § 1373(c). Any such regulations must be made "on the record after opportunity for an agency hearing on both the Secretary's determination to waive the moratorium . . . and on such regulations." *Id.* § 1373(d). In addition to other requirements imposed by law with respect to agency rulemaking, the Secretary must publish and make available to the public before or concurrent with the publication in the Federal Register of his intention to prescribe regulations a statement setting forth:

(1) the estimated existing levels of the species and population stocks of the marine mammal concerned;

(2) the expected impact of the proposed regulations on the optimum sustainable population of such species or population stock;

(3) the evidence before the Secretary upon which he proposes to base such

regulations; and

(4) any studies or recommendations made by or for the Secretary or the Marine Mammal Commission that relate to the establishment of such regulations.

Id. The process for issuing permits is set out in Section 104 of the MMPA, 16 U.S.C. § 1374. Any permit issued under Section 104 of MMPA must be consistent with the regulations promulgated under Section 103 and specify the number and kind of animals which are authorized to be taken, the location and manner in which they may be taken, the period during which the permit is valid, and any other terms and conditions deemed appropriate by the Secretary. *Id.* § 1374(b). To issue a permit, the Secretary must also determine that the proposed manner of taking will be humane.

3. The Potential Biological Removal (PBR) Approach to Achieving Optimum Sustainable Population Levels.

In 1994, Congress amended the MMPA to incorporate the potential biological removal (PBR) approach to measuring effects of marine mammal takes on the optimum sustainable population (OSP) of stocks and populations. The need for the PBR approach was brought on by the decision in *Kokechik Fishermen's Ass'n v. Secretary of Commerce*, 839 F.2d 795 (D.C. Cir. 1988), which held that NOAA could not issue a permit for the incidental taking of one marine mammal species in a commercial fishery where the fishing operation also incidentally took other species and insufficient information existed to determine the population status of those species.

Following *Kokechik*, Congress amended the MMPA to establish a five-year interim exemption from the Act's prohibition on taking marine mammals incidental to most U.S. commercial fishery operations, while directing NOAA to use the five-year period to collect data on marine mammal stocks and the extent of commercial fishery interactions with those stocks, and to develop a proposed regime to govern interactions between commercial fishing operations and marine mammals after the exemption expired.

NOAA issued its proposed regime along with a legislative environmental impact statement in November 1992. As explained by the House Committee which reported out the 1994 Amendments to the MMPA:

> The goal of the proposal – like the goal of the Act – was to have all marine mammal stocks reach their optimum sustainable population [OSP]. NMFS proposed that levels of incidental take quotas be determined based on the concept of "Potential Biological Removal" (PBR): the maximum number of animals, excluding natural mortalities, that may be removed from a population without affecting its ability to reach or maintain OSP.

H.R. Rep. No. 439, 103rd Cong., 2d Sess. (Mar. 21, 1994).

Congress enacted the PBR approach into law in the 1994 Amendments to the MMPA.

Pub. L. 103-238, 108 Stat. 544 (Apr. 30, 1994). The 1994 Amendments incorporate the following definition into Section 3 of the Act:

> The term "potential biological removal level" means the maximum number of animals, not including natural mortalities, that may be removed from a marine mammal stock while allowing that stock to reach or maintain its optimum sustainable population. The potential biological removal level is the product of the following factors:
>
> (A) The minimum population estimate of the stock.
>
> (B) One-half the maximum theoretical or estimated net productivity rate of the stock at a small population size.
>
> (C) A recovery factor of between 0.1 and 1.0.

16 U.S.C. § 1362(20).

The 1994 Amendments also required NOAA to produce stock assessment reports (SARs) for each marine mammal stock which occurs in waters under the jurisdiction of the United States. These SARs must be based on the best scientific information available and describe for each stock, *inter alia*, its geographic range, including any seasonal or temporal variation in its range; an estimate of the stock's minimum population size, its current and maximum net productivity rates and current population trend; an estimate of the annual human-caused mortality and serious injury of the stock by source; and an estimate of the potential biological removal level for the stock, describing the information used to calculate it, including the recovery factor. 16 U.S.C. § 1386(a). SARs must be revised at least once every three years.[9] *Id.* § 1386(c).

In accordance with the 1994 Amendments to the MMPA, NOAA currently evaluates all human-caused mortalities in relation to a stock's PBR level. The PBR approach is NOAA's established management strategy for achieving the primary goal of the MMPA, which is to prevent any marine mammal stock from being reduced below its OSP level.[10]

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[9] Congress addressed the issue of takings incidental to commercial fisheries by requiring the development of incidental take plans designed to reduce incidental takes of stocks below the PBR level. *See* 16 U.S.C § 1387(f). Subsistence harvests of marine mammals by Alaska Natives were not affected by the PBR calculations. *Id.* § 1386(e).

[10] NOAA's most recent stock assessment for the Eastern North Pacific stock of gray whales is for 2003 (Angliss and Lodge 2004). The stock assessment is available at: http://www.nmfs.noaa.gov/prot_res/readingrm/MMSARS/sar2003akfinal.pdf

IV. Life History and Population Status of the Eastern North Pacific Stock of Gray Whales.

A. General Life History and Distribution.

Gray whales (*Eschrictius robustus*) are baleen whales classified in the suborder Mysticeti and are the only species in the monotypic family Eschrichtiidae. The generic name, *Eschrichtius*, was given in recognition of Daniel Eschrict, a 19th century zoologist, and the specific name *robustus* is Latin for "oaken" or "strong." Gray whale nomenclature is further reviewed in Rice and Wolman (1971) and the fossil record and evolution of gray whales is described in Barnes and McLeod (1984).

Gray whales historically existed in both the Pacific and Atlantic Oceans. The Atlantic population was extirpated by the end of the 17th Century (Mead and Mitchell 1984). Gray whales in the Pacific Ocean are divided into two distinct stocks: the Eastern North Pacific gray whale stock (sometimes referred to as the Chukchi-California stock), which is fully recovered from exploitation by commercial whaling and migrates from the Bering and Chukchi Seas to Baja Mexico (Swartz 1986); and the critically depleted Western North Pacific stock (also referred to as the "Korean-Okhotsk" stock) which migrates along the east coast of Asia (Rice and Wolman 1971).

Gray whales are easily distinguished from other whales. Gray whales are gray in coloration and have patches of lice and barnacles, giving them a mottled appearance. They lack a dorsal fin. However, they have a dorsal hump which is followed by a series of knobs or "knuckles" which are distinctly visible as they arch. Adult gray whales are between 11 and 15 m in length, with females being larger than males.

B. Migration.

The Eastern North Pacific stock of gray whales feeds in the summer in the northern Bering and Chukchi Seas and winters off of Baja California, Mexico (Scammon 1874). Wintering gray whales are found within the lagoons and protected waters of the western Baja Peninsula and, to some extent, along the Mexican mainland and in the Gulf of California (Swartz et al. 2000). The northbound migration begins with newly pregnant females, adult males, anestrous females and immature whales of both sexes which leave the wintering grounds around mid- to late-February (Poole 1984) and begin to arrive in the Bering Sea from late-March through May (Braham 1984). Females with calves are the last to leave southern waters and depart between late-March and May (Swartz et al. 2000). Females with calves travel more slowly than whales without calves to accommodate nursing as well as the slower swimming speed of the calves (NMFS 2001). Cow-calf pairs enter the Bering Sea from May through June (Braham 1984).

The southbound migration also occurs in phases. Gray whales are moving out of the Bering Sea by late-November, beginning with near-term pregnant females and followed by oestrus females, mature males, and then juveniles of both sexes (Swartz et al. 2000). Gray whales

begin to arrive in the waters off Baja in late-December and reach highest densities by mid-February (Jones and Swartz 1984). The gray whale migration is approximately 10,000 km each way (Scammon 1874).

The timing of migration at certain points along the Pacific coast is more thoroughly presented in Pike (1962), Swartz (1986), Rugh et al. (1999), and Swartz et al. (2000). According to this data, southbound whales are present along the Washington coast beginning in early December, peaking around 5 January, and ending in the first week of February. Northbound whales are present from late-February into June (NMFS 2001).

On both the northbound and southbound migration, gray whales tend to follow the shoreline, although they also traverse larger expanses of open water. In Washington, northbound migrants averaged 11.9 km from shore (Green et al. 1995), while southbound migrants have been seen up to 47 km from shore (Shelden et al. 1999), with an average distance of 25.2 km from shore (Green et al. 1995). A hypothesis explaining why gray whales are farther offshore during the southbound migration in Washington is that gray whales may take a more direct route from central Vancouver Island to the mouth of the Columbia River, instead of taking the longer route following the coast line (Green et al. 1995). Also, gray whales may feed during the northward migration and therefore travel closer to the coast, while during the southbound migration they already have a positive energy balance when they depart from the Arctic feeding grounds.

C. Reproduction.

Both male and female gray whales become sexually mature between 5 and 11 years of age, with an average of 8 years (Rice and Wolman 1971). Mature females breed in two year cycles, producing a calf every other year (Swartz 1986). Breeding occurs during the southward migration, with a mean conception date of 5 December (Rice and Wolman 1971). Females that have not successfully bred may enter a second estrus phase approximately 40 days later (Rice and Wolman 1971). Gestation lasts 418 days (Rice 1983) with a median birth date of 27 January (Rice et al. 1981). Calves are approximately 4.57 m long at birth (Rice 1983). The sex ratio of calves is 1:1 (Jones and Swartz 1984; Rice and Wolman 1971). Gray whale calves wean in August (Rice and Wolman 1971).

D. Feeding Behavior and Prey.

Gray whales employ a variety of foraging methods including benthic suction, engulfing, and skimming and feed on a wide variety of prey (Nerini 1984). Nerini (1984) reviewed reports on gray whale stomach analyses and listed the presence of over 90 genera. Gray whales primarily feed on benthic invertebrates. In the Arctic, the most common prey item is benthic tube-dwelling amphipods which can be found at densities as high as 23,780 individuals per square meter (Nerini 1984). The benthic foraging behavior is disruptive to the benthos (Oliver and Slattery 1985) and may be considered a specialized type of niche construction (Odling-Smee et al. 1996). The gray whales' ability to use different foraging methods and their ability to prey upon a variety of species may account for their more rapid recovery from commercial whaling in comparison with other great whale species (Nerini 1984; Moore et al. 2001).

Gray whales do not feed significantly during their southbound migration (Perryman and Lynn 2002). Oliver et al. (1983) did not find compelling evidence of benthic feeding in the winter grounds. There are reports of mud plumes observed on the calving grounds (e.g., Norris et al. 1977), but for the most part, it appears that gray whales fast during the winter (Perryman and Lynn 2002) and can lose 11-29% of their weight between the south- and northbound migrations (Rice and Wolman 1971).

E. Natural and Human-Related Mortality.

Natural mortality of gray whales includes predation by killer whales (*Orcinus orca*) (Baldridge 1972; Goley and Straley 1994), disease, entrapment in ice (IWC 2003), starvation, and old age. NOAA Fisheries maintains a stranding database of marine mammals. The average number of gray whales reported as stranded between 1995 and 1998 was 38 per year (Angliss and Lodge 2004). In 1999 and 2000, the stranding rate increased to 273 and 355, respectively (Angliss and Lodge 2004). The actual cause of death for these stranded whales is largely unknown (IWC 2003). Since 2000, the stranding rate has returned to pre-1999 levels (Angliss and Lodge 2004).

Eastern North Pacific gray whales have been traditionally hunted by Eskimos and Chukotka Natives in the Arctic, and by several Tribes from the Aleutians to California (O'Leary 1984). Shore-based commercial whaling occurred in California and Baja California from about the mid-1800's to 1900 (Henderson 1984; Sayers 1984). Modern whaling from ocean-going vessels occurred from 1914 to 1946 and was pursued by the United States, Japan, Norway, and the Soviet Union (Reeves 1984). Gray whales were afforded some protection from commercial harvest by nations that were signatory to the 1937 International Agreement for the Regulation of Whaling and received more complete protection under the 1946 International Convention for the Regulation of Whaling (ICRW) (Reeves 1984). The ICRW banned all commercial harvest of gray whales while continuing to allow for aboriginal subsistence use. From 1959 until 1969, 316 gray whales were taken under scientific research permits issued by the United States Bureau of Commercial Fisheries (now called NOAA Fisheries) (Rice and Wolman 1971; Perryman and Lynn 2002).

Data on aboriginal subsistence gray whale harvest is available on the IWC website (http://www.iwcoffice.org/_documents/table_aboriginal.htm). The Soviet Union operated a large whale catcher ship on behalf of Chukotka Natives between 1967 and 1991, harvesting gray whales at an average rate of 165 gray whales per year from 1985 through 1991. After the collapse of the Soviet Union, aborigines in Chukotka resumed hunting using traditional methods from their own small craft, and averaged an annual harvest of 96 gray whales from 1994 through 2002. Aboriginal hunters in Alaska harvested one gray whale in 1985, two in 1986, one each in years 1988 and 1989, and two in 1995. The Makah Tribe harvested one gray whale in the spring of 1999. As indicated in Section III.C, in 2002, the IWC renewed the gray whale quota for the Eastern North Pacific stock and authorized the taking of up to 620 gray whales between 2003 and 2007, with a maximum of 140 in any one year. By bilateral agreement between the United States

and the Russian Federation, up to 20 whales may be taken by the Makah Tribe over the five year quota period, with a maximum of five whales in any one year (IWC 2002).

Aside from aboriginal harvest, other sources of human-related mortality and serious injury of gray whales include ship strikes (average of 1.2 gray whales per year) and incidental catch in commercial fisheries (average of 8.9 gray whales per year) (Angliss and Lodge 2004).

F. Abundance.

The Eastern North Pacific gray whale stock is considered to be one of the best studied cetacean populations in the world (Swartz 1986) largely because of the stock's close proximity to shore throughout its range. Because the stock migrates close to shore and has a predictable migration window, it is feasible to conduct shore-based sighting surveys to estimate abundance. Gray whales have been surveyed during their southbound migration at or near Granite Canyon, California since 1967 (Buckland and Breiwick 2002; Angliss and Lodge 2004). The raw count data is then transformed into an abundance estimate after accounting for the following factors: a correction for missed whales; a correction for whales passing during periods when no observers are present; differential sightability by observers, pod size, distance offshore, and environmental conditions; errors in pod size estimation; covariance within the corrections due to variable sightability by pod size; and a correction for a difference between diurnal and nocturnal travel rates (Hobbs and Rugh 1999; Rugh et al. 2003).

The population estimate used in the most recent NOAA Stock Assessment Report (Angliss and Lodge 2004) for Eastern North Pacific gray whales is 26,635 (CV = 10.06%; 95% log normal confidence interval = 21,878 to 32,427), which was based on the 1997/98 southbound migrant observation season (Hobbs and Rugh 1999). The population had an intrinsic growth rate of 2.5% (SE = 0.3%) from 1967/68 to 1995/96 (Buckland and Breiwick 2002), despite the annual removal of up to 165 whales by, or on behalf of, Russian natives. Similar abundance surveys were also conducted in the 2000/2001 and 2001/2002 seasons which resulted in abundance estimates of 18,761 (CV = 10%; 95% log-normal confidence interval = 15,249 to 22,812) and 17,414 (CV = 10.06%; 95% log-normal confidence interval = 14,322 to 21,174), respectively (Rugh et al. 2002). Rugh et al. (2003) recalculated the three most recent abundance estimates due to a new computer program for matching sightings and the use of an alternative observation station in 1998 (due to a storm washing out an access road to the usual observation station). The revised estimates are: 27,958 in 1997/98 (CV = 10.21%; 95% log-normal confidence interval = 22,901 to 34,131), 18,246 in 2000/01 (CV = 9.36%; 95% log-normal confidence interval = 15,195 to 21,910), and 16,848 in 2001/02 (CV = 9.49%; 95% log-normal confidence interval = 13,995 to 20,283). The corrected 2001/02 estimate reported in Rugh et al. (2003) is the most reliable and current abundance estimate for this stock, and will be used in the remainder of this document rather than the 1997/98 abundance estimate reported in the most recent NOAA Stock Assessment Report (Angliss and Lodge 2004).

Trends in gray whale calf production have been monitored using three methods: surveying for calves from shore and from aircraft in central California during the northbound migration (Perryman et al. 2002; Perryman et al. 2004); counting calves from shore at Granite

Canyon, California, during the southbound migration (Shelden and Rugh 2001); and conducting aerial and vessel surveys for calves in the breeding lagoons of Baja California (Urban et al. 2003). Calf production is used in modeling population dynamics of gray whales (Wade and Perryman 2002). Gray whale calf production has also been correlated with the distribution of seasonal ice in the Arctic (Perryman et al. 2002).

Wade and Perryman (2002) calculated the carrying capacity (K) for this stock to be approximately 22,000 gray whales. Therefore, the population likely surpassed its carrying capacity in the late 1990's when it reached an estimated abundance of almost 28,000 whales (Rugh et al. 2003). The increased stranding rate observed in 1999 and 2000 (Le Boeuf et al. 2000; Angliss and Lodge 2004), as well as the low calf production observed over this time period (Le Boeuf et al. 2000; Perryman et al. 2002) were probably symptoms of the fact that the Eastern North Pacific stock of gray whales had exceeded its carrying capacity. The stranding rate has returned to normal levels (Angliss and Lodge 2004) as has calf production. The 2004 calf production estimate was greater than any other recorded (Perryman et al. 2004). As noted by Perryman et al. (2004), the ENP population might actually be higher than the most recent abundance estimates because some animals may not have migrated as far south as Granite Canyon in 2000/01 or 2001/02 (Rugh et al. 2003).

G. Pacific Coast Feeding Aggregation.

Most gray whales from the Eastern North Pacific stock migrate north of the Aleutian chain to feed during the summer and fall. However, some gray whales do not make a full migration and have been observed from Kodiak, Alaska to California during non-migratory periods (Calambokidis et al. 2003). Whales in this group arrive and depart from their wintering grounds concurrently with the overall population that migrates to the Arctic (Calambokidis et al. 2002a). Pike (1962) referred to this group as "summer residents." Because the term "summer resident" is a misnomer, NMFS (2001) referred to this group as the Pacific Coast Feeding Aggregation (PCFA). For the purposes of this request, the "PCFA" is defined as any whale found in the photo-identification database maintained by NOAA's National Marine Mammal Laboratory (NMML) which has been observed south of Alaska from June 1 through November 30 in any year.

Photo-identification studies of gray whales in the PCFA have been undertaken since 1970 (Hatler and Darling 1974) using unique markings on the sides of the gray whale which are revealed as the whales arch (Darling 1984). Darling (1984) hypothesized that gray whales seen along the coast of British Columbia were apart of a larger 'northwest coast' group that numbered at least 100 animals. Calambokidis et al. (2002a) reported that there were approximately 180 gray whales in the PCFA based on a mark-recapture abundance estimate for 1998. Calambokidis et al. (2002b), using a similar approach, reported an abundance estimate for the PCFA of 322 gray whales for 2001; and reported approximately 270 gray whales for 2002 (Calambokidis et al. 2003) (both papers only use whales seen after June 1 because whales that are seen prior to that date are typically never seen again). Calambokidis et al. (2004) used a dataset from 1998-2003 from California to Northern Vancouver Island and whales observed after June 1 and used an open population model approach to derive an abundance estimate of 200 gray whales (CV = 10.3%) for

2003, with a 2003 estimate of 176 whales (CV = 11.6%) based strictly on whales that were seen in multiple years.

In addition to the utility of photo-identification for mark-recapture population analyses and abundance estimates, the ability to identify individual gray whales through photo-identification also provides an opportunity to assess movement, tenure, and site fidelity to the Pacific coast south of Alaska. Those gray whales from the PCFA that have longer interannual sighting histories also tend to be seen in multiple survey regions throughout the PCFA (Calambokidis et al. 2004). As an example of the wide-ranging movements made by PCFA whales, a single whale observed in Kodiak, Alaska in 2002 had previously been seen along the west coast of Vancouver Island in 1999, as early as 1995 in the Cape Caution, BC area, and as early as 1992 in the Clayoquot Sound, BC survey area (Calambokidis et al. 2003). Another whale observed off southern Vancouver Island on 6 July 2003 was later seen in Kodiak on 9 August 2003; corresponding to a direct route movement of 1,104 nautical miles in 34 days (Calambokidis et al. 2004)

Calambokidis et al. (2004) reported that the length of time a whale was observed within a season proved to be a valuable tool in understanding the overall dynamics of the PCFA. A minimum residency tenure (MRT), defined as the time between first and last dates photographed within a year, was calculated to examine the likelihood that a particular whale would be seen the following year. Sixty-eight percent of the whales with a MRT of one week or less were seen during July-September, well outside the migration time period. Whales with longer MRTs in their first year observed were more likely to return in subsequent years. The authors suggested that the mechanism for whales with longer MRTs, and thus higher probability of returning the following year, is likely related to the foraging success that they encounter during the previous year.

Calambokidis et al. (2004) noted that while it makes logical sense when comparing interchange rates of gray whales between survey regions south of the Aleutian Island chain that immediately adjacent survey areas show stronger interchange rates in comparison with interchange rates between survey areas further to the north or south of the site, these results also suggest that individual gray whales regularly return to particular feeding areas. Gray whales in the PCFA were most likely to be re-sighted in adjacent survey area, thus indicating fidelity to an area that is smaller than the PCFA region as a whole, but larger than a single survey region (Calambokidis et al. 2004). The area to the north of the Makah U&A (i.e., the Southern Vancouver Island survey area) as well as the survey area to the south of the Makah U&A (i.e., the Oregon survey area) exhibit the highest degree of interchange. Thus, the authors recommended combining these regions as the appropriate geographic range for assessing local impacts and establishing subquotas for the PCFA (Calambokidis et al. 2004). The three survey regions of Oregon, Northern Washington and the Strait of Juan de Fuca (Makah U&A), and Southern Vancouver Island make up the combined survey area are referred to in this document as the ORSVI survey area.

No genetic differences have been detected between the PCFA and the overall migratory population (Steeves et al. 2001). Steeves et al. (2001) reported that there was a male bias in the

PCFA of 1.7 to 1 (males to females; n = 16), although given the small sample size the bias was not considered to be statistically significant. Ramakrishnan et al. (2001) reported a statistically significant male bias in the PCFA of 1.8 to 1 (males to females; n = 45). The potential explanations of the observed sex bias is that either females are feeding elsewhere in the PCFA and are not being sampled by researchers or that the PCFA is not a separate, closed population (i.e., a population that is experiencing only internal recruitment) (Ramakrishnan et al. 2001). Lang et al. (2004) proposed that the reason for the high genetic diversity observed in samples collected during the summer from Western North Pacific gray whales was the dispersal of males from the Eastern North Pacific gray whale stock into Western North Pacific gray whale feeding grounds. Using both simulations and empirical evidence, Ramakrishnan et al. (2001) reject the hypothesis that the PCFA is a maternal genetic isolate and that both the number of haplotypes and the diversity of haplotypes found in the PCFA is greater than other baleen whale populations of similar size. The level of haplotypic diversity in the PCFA (0.93; Ramakrishnan et al. 2001) is comparable to the haplotypic diversity seen in the Eastern North Pacific stock of gray whales (0.95 ± 0.02; LeDuc et al. 2002).

Given the best available information, NOAA has managed the PCFA as part of the Eastern North Pacific stock of gray whales (Swartz et al. 2000; Angliss and Lodge 2004). The IWC recognizes the existence of a feeding aggregation of gray whales along the Pacific Coast south of Alaska, but likewise continues to manage the Eastern North Pacific stock of gray whales as a single stock (IWC 2000). However, to avoid local depletion of a feeding aggregation in which individuals show site fidelity to the region and thereby address the MMPA policy that gray whales remain a "significant functioning element of the ecosystem," 16 U.S.C. § 1361(2), the Tribe's waiver request contains management measures, including time and area restrictions and annual bycatch level (ABL) subquotas, designed to minimize impacts to those whales that exhibit inter-annual site fidelity to the Pacific coast south of Alaska.

V. Expected Impact Of The Requested Waiver.

A. Effects on the Eastern North Pacific Stock of Gray Whales.

One of the primary goals of the MMPA is to maintain marine mammal populations at or above an optimum sustainable population (OSP). 16 U.S.C. § 1361(2) and (6). OSP is defined as "with respect to any population stock, the number of animals which will result in the maximum productivity of the population or the species, keeping in mind the carrying capacity of the habitat and the health of the ecosystem of which they form a constituent element." 16 U.S.C. § 1362(9). NOAA has quantified OSP as a population size which ranges between a stock's maximum net productivity level (MNPL) and its carrying capacity (K). *See* 50 C.F.R. § 216.3.

Wade and Perryman (2002) completed an assessment of the Eastern North Pacific gray whale population that incorporated the time series from 1967/68 to 2001/02. They used four different scenarios using the abundance estimates as well as: (1) using all the calf estimates, (2) using none of the calf estimates, (3) using all of the calf estimates except the 1980 and 1981 estimates, and (4) using all of the calf estimates plus an assumed value in 2002 (which was not available at the time of the analysis), to estimate the carrying capacity to be 22,610 (90% CI = 19,830 to 28,470), 21,740 (90% CI = 19,480 to 35,430), 22,110 (90% CI = 19,840 to 26,880), and 22,590 (90% CI = 20,020 to 30,280), respectively for each scenario. For the purposes of the Tribe's waiver request, K will be expressed as a range between 21,740 and 22,610 animals (the lowest and highest values reported among the four scenarios).

Historically, MNPL has been expressed as a range of values (generally 50 to 70 percent of K) determined theoretically by estimating the stock size in relation to the pre-exploitation stock size, which would produce the maximum net increase in population. 42 Fed. Reg, 12,010 (Mar. 1, 1977). In 1977, the mid-point of this range, 60 percent of K, was used to determine whether dolphin stocks in the eastern tropical Pacific Ocean were depleted. 42 Fed. Reg. 64,548 (Dec. 27, 1977). In 1980, NOAA used the 60 percent value in the final rule to govern the taking of marine mammals as bycatch to commercial fishing operations. 45 Fed. Reg. 72,178 (Oct. 31, 1980). More recently, in its 2000 final rule to designate the Cook Inlet stock of beluga whales (*Delphinapterus leucas*) as depleted under the MMPA, NOAA used 60 percent of K as the value to calculate MNPL. 65 Fed. Reg. 34590 (May 31, 2000).

Using the upper and lower range of the values for carrying capacity in Wade and Perryman (2002) and assuming that MNPL = 0.6*K, the MNPL for the Eastern North Pacific stock of gray whales is between 13,044 and 13,566. Hence the OSP for the Eastern North Pacific Stock is a range between 13,044 and 22,610 animals. The most recent abundance estimate (i.e., from the 2001/02 southbound migration season) for the Eastern North Pacific stock of gray whales is 16,848 (CV = 9.49%; 95% log-normal confidence interval = 13,995 to 20,283) (Rugh et al. 2003). Therefore, the Eastern North Pacific gray whale stock is currently above MNPL and is within OSP. Using the abundance estimates reported in Wade and Perryman (2002) and Rugh et al. (2003), the Eastern North Pacific stock of gray whales has been consistently at or above MNPL since the 1979/80 abundance estimate, and it is important to note that during this time

period this stock has undergone sustained harvest by, or on behalf of, aboriginal groups. During the late 1990s, the stock probably exceeded the high end of the OSP range.

The IWC has likewise concluded that the ENP stock of gray whales remains a Sustained Management Stock. As indicated in Section III.C. above, the IWC manages whale stocks in relation to their maximum sustained yield level (MSYL), a concept which is analagous to the MMPA concept of MNPL (the difference being that MSYL considers the age and sex structure of the harvest). In 2002, the IWC Scientific Committee conducted a comprehensive assessment of gray whale stocks and concluded that there was essentially zero probability that the Eastern North Pacific stock was below its MSYL (Wade and Perryman 2002; IWC 2003).

As explained in greater detail in Section III.D.3 above, the 1994 amendments to the MMPA adopted the potential biological removal (PBR) approach for evaluating human-caused mortality to marine mammal stocks. The PBR is defined in the Act as "the maximum number of animals, not including natural mortalities, that may be removed from a marine mammal stock while allowing that stock to reach or maintain its optimum sustainable population" 16 U.S.C. § 1362(20). The advantage of managing marine mammals using the PBR approach is that it provides a mechanism for achieving the MMPA goal of managing stocks to reach an OSP level where multi-year population trend data is not available (Wade 1998). A total level of human-caused mortality that is less than the PBR is considered sustainable and consistent with the MMPA's goal of managing marine mammal stocks to achieve their OSP level.

Under 16 U.S.C. § 1362(2), the PBR for a particular marine mammals stock is calculated by taking the product of the following factors: the minimum population of the stock (N_{min}); one-half the maximum theoretical or estimated net productivity rate of the stock at a small population size (R_{max}); and a recovery factor (F_r) between 0.1 and 1.0. This relationship is expressed in Equation 1 below:

$$PBR = N_{min} * 0.5R_{max} * F_r \qquad (1)$$

The "minimum population estimate" refers to an "estimate of the number of animals in a stock that: (A) is based on the best available scientific information on abundance, incorporating the precision and variability associated with such information; and (B) provides reasonable assurance that the stock size is equal to or greater than the estimate" 16 U.S.C. § 1362(27). Wade and Angliss (1997) use the following equation (Equation 2) to calculate N_{min} from an abundance estimate:

$$N_{min} = N/\exp(0.842*[\ln(1+CV(N)^2)]^{½}) \qquad (2)$$

Wade and Angliss (1997) also provide recommendations on choosing the recovery factor, ranging from 0.1 to 1.0, to be used in different scenarios. A recovery factor of 0.1 is to be used as the default recovery factor when a stock is listed as an endangered species under the Endangered Species Act (ESA). A recovery factor of 0.5 should be used for stocks of an unknown status or for stocks that are listed as threatened under the ESA (or as depleted under the MMPA). A

recovery factor greater than 0.5, up to and including a value of 1.0, should be used: (1) when the stock is known to be within OSP; (2) the stock has an unknown status, but is increasing; or (3) when a stock is not listed under the ESA and is undergoing removals by aboriginal hunters.

Using the most recent available and corrected abundance estimate for the Eastern North Pacific stock of gray whales from the 2001/02 southbound migration season of 16,848 (CV = 9.49%; 95% log-normal confidence interval = 13,995 to 20,283) (Rugh et al. 2003), and inserting it into Equation 2, the N_{min} is calculated to be 15,557. While 0.04 is the default R_{max} value for cetaceans when there is inadequate information on life history parameters (Wade and Angliss 1997), NOAA's 2003 Stock Assessment Report for gray whales uses an R_{max} value of 0.047 for the Eastern Northern Pacific stock based on the extensive literature published on the stock's population dynamics (Angliss and Lodge 2004). This literature indicates that there is a 90% probability that the true value of R_{max} is greater than 0.047, a value based on the lower 10^{th} percentile of an estimate derived from an age- and sex-structured model (Wade 2002). The proper recovery factor to be used for this stock is 1.0, since the Eastern North Pacific stock of gray whales is not listed under the ESA and has been undergoing a steady or declining level of removals by aboriginal hunters (Wade and Angliss 1997; NMFS 2001; Angliss and Lodge 2004). Inserting the values for N_{min} of 15,557, the R_{max} of 0.047, and the F_r of 1.0 into Equation 1, the PBR for the Eastern North Pacific stock of gray whales is 366. This value is less than, but more current and accurate than, the PBR value of 575 whales reported in NOAA's 2003 Stock Assessment (Angliss and Lodge 2004) which was based on the uncorrected and outdated 1997/98 abundance estimate.

Angliss and Lodge (2004) estimate the annual average human-related mortality and serious injury of Eastern North Pacific gray whales is 107 animals. This annual average accounts for aboriginal harvest (97 gray whales; data from years 1996-2000), incidental bycatch in commercial fisheries (9 gray whales; data from 1990-2000), and ship strikes (1 gray whale; data from 1996-2000). This estimate of human-caused mortality is less than one-third of the calculated PBR for this stock (366 gray whales). Substituting the annual average Russian allocation of the IWC gray whale quota -- an average of 120 whales per year -- for the value of 97 (based on the conservative assumption that the average quota will be harvested each year), the estimated annual average human-related mortality and serious injury would increase to 130 gray whales (120 from aboriginal harvest; 9 from bycatch; 1 from ship strike). This hypothetical estimate of human-caused mortality is roughly one-third of the calculated PBR for this stock (366 whales).

Any additional human-caused mortality resulting from the Tribe's waiver request will be insignificant in relation to the PBR level for the Eastern North Pacific stock. The Tribe's waiver request includes a ceiling of seven strikes per year and 35 strikes over any five year period. Based on the worst case scenario that each whale that is struck but not landed will die (i.e., 0% chance of survival of struck and lost whales), the greatest estimated annual average human-related mortality would increase from 130 to 137 (127 mortalities resulting from harvest; 9 from bycatch; 1 from ship strike), which still provides a buffer of 229 gray whales between the total level of human-caused mortality and the PBR of 366 whales.

It is also important to note that the Scientific Committee of the IWC provided management advice in 2002 that a take of up to 463 whales per year (the lower of the 5th percentiles of Q_1) is sustainable for at least the medium term (~30 years) (IWC 2003). This level of take is over 350 percent higher than the average annual joint US-Russian quota of 124 whales per year as well as a conservative estimate of all human-caused mortality in a given year.

B. Effects on the Pacific Coast Feeding Aggregation.

For the purposes of this request, the PCFA is defined as any Eastern North Pacific gray whale found in the photo-identification database maintained by NOAA's National Marine Mammal Laboratory (NMML) which has been observed south of Alaska from June 1 through November 30 in any year. Although the PCFA is not a separate stock under the MMPA, the Tribe's waiver request is designed to prevent any depletion of whales that exhibit inter-annual site fidelity to the ORSVI gray whale management area and thereby assure that gray whales remain a "significant functioning element" of the local ecosystem. See 16 U.S.C. § 1361(2). The Tribe's waiver request would accomplish this goal by restricting the hunting season to the migration period (December 1 through May 31) and by prohibiting any hunting in the Strait of Juan de Fuca where gray whales are known to feed. Because no hunting of gray whales will be permitted between June 1 and November 30, and the hunt will not occur in the inside waters of the Strait of Juan de Fuca, those whales exhibiting inter-annual site fidelity to the Pacific coast south of Alaska will not be subject to any intentional harvest under the Tribe's request.

By themselves, these time and area restrictions should reduce impacts to levels that will eliminate any significant risk of local depletion. While gray whales that are from the PCFA may be present at certain times between December 1 through May 31 within the Pacific Ocean area of the Makah U&A and therefore might be subject to incidental harvest under the Tribe's waiver request, the proportion of PCFA whales that will be potentially subject to harvest will be significantly diluted by the much larger migrating population. Assuming that whales from the PCFA are randomly intermixed with the overall stock during the entire migration period and throughout the migration corridor, by dividing the most current abundance estimate of the PCFA of 200 whales (for year 2003; Calambokidis et al. 2004) by the most current abundance estimate for the stock of 16,848 (for season 2001/02; Rugh et al. 2003), there is only a 1.19% chance that any gray whale taken in a Makah whale hunt will be part of the PCFA.

Previous survey data suggests that whales from the PCFA are not randomly intermixed with the overall ENP stock during the latter part of spring migration, and that during the month of May as many as 13 percent of gray whales seen off the north Washington coast may be part of the PFCA (Calambokidis et al. 2000). Assuming a "worst case" scenario, if the Tribe strikes seven whales each year and every one of these whales is struck during the month of May, as many as five whales from the PCFA could be killed over a five-year period.

Accordingly, to provide an added margin of safety, the Tribe will take the following steps to ensure that the incidental take of whales from the PFCA will not reduce the number of whales that exhibit site fidelity to the Pacific coast south of Alaska:

First, as soon as practicable after a successful hunt and in consultation with NMML scientists, the Tribe will photograph the left and right flanks of all harvested whales and compare these photos with the NMML photographic catalog to determine if a harvested whale was part of the PCFA. Calambokidis et al. (1994) provide an example of a stranded gray whale successfully matched to a photographic catalog composed of live individuals. The NMML catalog includes all gray whales that have been photographed in surveys conducted south of Alaska from June 1 through November 30 of any year.

Second, the Tribe will cease hunting in a calendar year if, based on this photographic analysis, suspension of the hunt is necessary to prevent the number of whales harvested from the PCFA catalog from exceeding an annual allowable bycatch level (ABL) for that year. The ABL for the PCFA will be calculated by applying the MMPA's potential biological removal (PBR) methodology to a conservative estimate of the number of gray whales seen in more than one year in the Oregon-Southern Vancouver Island (ORSVI) gray whale survey area and is mathematically defined in Equation 3 below:

$$ABL = N_{min}(ORSVI) * 0.5R_{max} * F_r \quad (3)$$

These additional measures are highly conservative because the incidental harvest of gray whales from the PCFA photographic catalog, which now includes 477 individual whales observed south of Alaska from June 1 through November 30 from 1998-2003 (Calambokidis et al. 2004), is limited by an ABL derived from a much smaller subset of whales – those whales seen in more than one year within the ORSVI gray whale survey area. In addition, application of an ABL on an annual basis provides a further check against local impacts, because the PBR methodology normally permits averaging of human-caused mortality over a three-year time period (Wade and Angliss 1997).

Calambokidis et al. (2004) used an open population model to incorporate several years of photo-identification work from the PCFA to estimate abundance from California to northern Vancouver Island (200 gray whales; CV = 0.103). The authors further divided the overall PCFA abundance estimate to only consider whales that have been seen in previous years to estimate the abundance of whales that may exhibit inter-annual site fidelity to the overall feeding range of the PCFA (176 gray whales; CV = 0.116). The authors also analyzed the abundance of whales that may exhibit inter-annual site fidelity to the ORSVI gray whale management area (150 gray whales; CV = 0.137). This smaller management area was selected based on similar interchange rates between the survey regions and it includes and incorporates all of the Makah U&A. The authors then provide an abundance estimate that only considers whales seen in multiple years within the ORSVI region (122 gray whales; CV = 0.168). As stated in Calambokidis et al. (2004) "…it is both logical and reasonable to use ORSVI as the region for abundance estimation in setting quotas for a harvest of whales from the [Makah U&A] region."

NMFS (2001) used a closed population model, a recovery factor of 0.5 and 1.0, and two abundance estimates (one included observations in California, and the other did not) for the PCFA to calculate a range of PBR estimates for the entire PCFA which ranged from 2.5 to 6.0 animals

per year. The reason cited in NMFS (2001) for using a reduced recovery factor when it calculated the lower range for its PBR estimate for the PCFA was to take a conservative approach of treating the feeding aggregation as a separate management unit. Since that time, there have been new research studies released including an open population analysis using survey data collected from multiple years by Calambokidis et al. (2004) and a more recent genetic analysis (Ramakrishnan et al. 2001). Because the PCFA is part of the same ENP stock, the recovery factor should be the same as for the overall ENP stock. Unlike the proposal reviewed in NMFS (2001), the Tribe's current request takes a more conservative approach regarding impacts to the PCFA. The Tribe will not be conducting hunts from June 1 through November 30, thereby eliminating intentional harvest of whales from the PCFA, and the Tribe proposes using an abundance estimate, converted to an N_{min}, based on the number of returning whales to the ORSVI survey area to calculate an ABL to account for incidental harvest of PCFA whales during the migration period.

The applicable annual ABL will be calculated as follows. We use the 2003 abundance estimate that only considers whales seen in more than one year in the area from Oregon to southern Vancouver Island (122), the most conservative abundance estimate provided in Calambokidis et al. (2004), to calculate an N_{min} of 106 (using Equation 2). An R_{max} of 0.047 is used because the best available science shows that the PCFA is part of the Eastern North Pacific stock of gray whales (Swartz et al. 2000; Angliss and Lodge 2004). A recovery factor of 1.0 is used because: (1) the best available science shows that the PCFA is part of the Eastern North Pacific stock of gray whales (Swartz et al. 2000; Angliss and Lodge 2004), a recovered non-listed stock for which Angliss and Lodge (2004) use a recovery factor of 1.0; (2) the abundance estimates are calculated from an open population model which incorporate multiple years of survey effort; (3) the PCFA area south of Alaska for which the abundance estimate is based has been truncated to address local depletion around the Makah U&A (i.e., ORSVI); and (4) the abundance estimate is based only on whales seen in multiple years (i.e., whales potentially showing site fidelity to the region). Using Equation 3 and inserting an N_{min} of 106, an R_{max} of 0.047, and an F_r of 1.0, the resulting applicable annual ABL is calculated to be 2.49.

Under the Tribe's waiver request, the applicable ABL would be recalculated using the above methodology to reflect the most current survey data. The proposed calculation methodology is highly conservative. For comparison, if one used the 2003 abundance estimate for all of the whales seen in the PCFA (200 whales), which would be converted to an N_{min} of 184 whales (using Equation 2), the ABL would be 4.32 (using Equation 3). Nevertheless, the Tribe proposes to apply the ABL for the smaller ORSVI gray whale survey area and any harvested gray whale will be compared with the NMML photographic catalog for the entire PCFA, not just those whales seen in ORSVI.

In short, given the remote chances of harvesting a single PCFA whale (much less the chance of harvesting two) in the Pacific Ocean during the migration time period and the Tribe's commitment to cease hunting for the remainder of the calendar year to prevent an ABL for that year from being exceeded, the Tribe's overall harvest activities will not result in local depletion or prevent the gray whale from remaining a significant functioning element of the Washington coast ecosystem.

C. Effects on individual whales.

1. Lethal Takes.

A maximum of seven whales will be struck in any year. The Tribe is committed to making every effort to land a whale once it has been struck. During the Makah whaling seasons in 1999 and 2000, there were no whales that were struck and lost and in 1999, the one whale that was struck was landed (i.e., 100% efficiency). Efficiency is defined as the number of landed whales divided by the number struck (for the purpose of this discussion, there can be multiple strikes on an individual whale; but no more than seven different whales will be struck in any one calendar year).

The Alaska Eskimo Whaling Commission uses a qualitative assessment of the likelihood of survival of a bowhead whale (*Balaena mysticetus*) that has been struck and lost. Hunters report the chance of survival of struck and lost whales as being: "excellent" or "lived;" "good," "fair," or "probably lived;" "poor" or "probably died;" "died;" or "unknown" (Philo et al. 1993). Accurate accountability of struck and lost whales and assigning survival rates are important in determining IWC quotas and in modeling whale population dynamics (Suydam et al. 1995).

The Tribe's waiver request is based on the highly conservative assumption that all individual whales that are struck and lost will have a 0% chance of survival (in terms of considering the MMPA PBR approach). The Tribe will cease hunting activities when seven strikes occur in a calendar year, or when the take of photo-identified PCFA whales approaches the ABL, whichever comes first. Therefore, for the purposes of evaluating the Tribe's request, no more than seven whales per year could be killed. The Tribe's regulations will limit the number of struck and lost whales to no more than three in any calendar year. Under no circumstances will the Tribe allow a strike on a gray whale calf or a gray whale accompanied by a calf.

The hunt will be monitored by biologists from Makah Fisheries Management and from NOAA Fisheries and the Tribe anticipates a thorough, yet still qualitative, approach to assigning survival rates of struck and lost whales to the IWC and NOAA for the purposes of population modeling. If the Tribe were to have a struck and lost whale, the hunt would be evaluated by the Tribe, and the Tribe would implement any improvements as necessary.

In addition to working to minimize the likelihood of any struck and lost whales, the Tribe will take measures which are designed to provide the most humane hunt practicable consistent with the goal of also providing opportunity for Tribal members to engage in a traditional, culturally appropriate hunt. The MMPA defines "humane" in the context of taking a marine mammal as "that method of taking which involves the least possible degree of pain and suffering practicable to the mammal involved." 16 U.S.C. § 1362(4).

The Tribe proposes to use a toggle-pointed harpoon with line and floats attached to originally secure the whale, followed by shot(s) fired at the central nervous system (CNS) from a high caliber firearm to quickly and efficiently dispatch the whale (Ingling 1997). Any of the .50BMG firearm/ammunition combinations are considered more than adequate to humanely

dispatch a gray whale (Ingling 1997). The .50BMG caliber firearm is capable of shooting an Arizona Ammunition solid 570 grain bullet at 3,200 feet/second and generating 13,000 foot-pounds of energy (Ingling 1999). This firearm/cartridge combination can penetrate 240 inches of water, and after using a correction factor, can penetrate the equivalent of 133 inches of flesh. The largest width of a gray whale reported in Perryman and Lynn (2002) was less than 2.8 m (or 110 inches), in which case the .50BMG could create a wound channel completely through the width of the largest gray whale. The flesh covering the portion of the skull housing the brain is under 10 inches thick and the flesh covering the portion of the upper spinal cord is about 18 inches thick on a thirty foot gray whale (Ingling 1997). Considering the overwhelming firepower of a .50BMG caliber firearm, and the size of gray whales, this method is more than adequate to humanely dispatch a gray whale. The gray whale harvested by the Makah Tribe in 1999 expired 8 minutes after the initial harpoon strike (NMFS 2001).

2. Non-Lethal Takes.

In addition to lethal takes of gray whales, the Tribe's waiver request will result in "harassment" of gray whales as defined by the MMPA. The MMPA defines "harassment" to mean any act of pursuit, torment, or annoyance which— (i) has the potential to injure a marine mammal or marine mammal stock in the wild (referred to as Level A harassment); or (ii) has the potential to disturb a marine mammal or marine mammal stock in the wild by causing disruption of behavorial patterns, including, but not limited to, migration, breathing, nursing, breeding, feeding, or sheltering (referred to as Level B harassment). 16 U.S.C. § 1362(18).

Whales that are not killed in the hunt may be subject to "harassment" as a result of approaches and unsuccessful harpooning attempts that do not penetrate the whale's body and hence do not meet the definition of a "strike." Based on experience with whale hunts in 1999 and 2000, the Tribe estimates that there could be approximately 10 approaches and 4 unsuccessful harpoon attempts for every whale struck.

Approaches would be classified as Level B harassment and would be unlikely to result in any increased level of human-caused mortality to individual whales. Gray whales feed, migrate, breed, and calve close to shore, and therefore they encounter humans on vessels throughout their range. There is a major tourism industry that provides opportunities to watch gray whales on the winter breeding grounds in Mexico. Commercial and private whale watching occurs during the migration along the west coast of the United States and Canada. Gray whales encounter commercial fishing vessels in Bristol Bay, and small craft used by Chukotka natives and Alaska natives in the Arctic. Off the coast of Los Angeles, California during the whalewatching season, Rugh et al. (1999) reported that there can be eight to 12 boats following a single whale. The number of approaches incident to Makah whaling will be minor in comparison to these existing sources of harassment. Assuming an average pod size of approximately two animals during the migration period in the Pacific Northwest (Green et al. 1995), the number of whales subject to Level B harassment in a calendar year will not exceed 140**.**

Unsuccessful harpoon attempts would probably be classified as Level A harassment. However, because the harpoon would not penetrate the body of the whale on the attempt,

unsuccessful harpoon attempts would not result in any increase in human-caused mortality. NOAA (2001) concluded, based on their experience with biopsy darting research, that instances where a harpoon did not penetrate the whale would not likely have a significant adverse effect on whale behavior. Clapham and Mattila (1993) assessed behavior of humpback whales (*Megaptera novaeangliae*) in relation to both successful and unsuccessful biopsy attempts. Of the 427 missed biopsy attempts, 87.8% of the time the whales showed no reaction. Missed harpoon strikes would be analogous to missed biopsy attempts, where a projectile lands in the water nearby a whale, but does not cause contact. Clapham and Mattila (1993) reported that of the successfully biopsied whales (n = 565), 66.6% showed no detectable reaction or a low-level reaction (defined as a brief startle or a quick submergence, or both). Because a biopsy indicates a direct hit and therefore removal of a small piece of blubber and skin, for the purposes of assessing adverse effects, a biopsy would cause a more substantial effect than, for instance, a shaft of a harpoon bouncing off a whale. Accordingly, the Tribe does not believe that unsuccessful harpoon attempts (i.e., missed harpoon throws or the situation of a harpoon glancing off the animal) should be accounted for as a source of human-caused mortality for the purposes of applying the PBR methodology. In any event, no more than 28 gray whales will likely be subject to Level A harassment in any calendar year under this request.

D. Factors to be Considered in Prescribing Regulations.

This section provides an analysis of the five factors set out in Section 103(b) of the MMPA, 16 U.S.C. § 1373(b) which the Secretary must consider in prescribing regulations to implement the Tribe's waiver request.

1. Existing and Future Levels of Species and Stocks.

Section 103(b)(1) instructs the Secretary to consider "existing and future levels of marine mammal species and populations stocks." 16 U.S.C. § 1373(b)(1). The critically depleted Western North Pacific stock of gray whales which migrates along the east coast of Asia (Rice and Wolman 1971) will not be affected by this request. As shown above, the Eastern North Pacific stock of gray whales is currently within its OSP range. Even with the level of take proposed in this request, the stock is not likely to diminish below OSP within the foreseeable future. In 2002, the IWC's Scientific Committee estimated that a take of up to 463 whales per year would be sustainable over at least the medium term (~30 years) (IWC 2003). This level of take is substantially higher (by almost 350 percent) than the average annual joint US-Russian quota of 124 whales per year as well as a conservative estimate of all human-caused mortality in a given year. Any regulations promulgated to implement the Tribe's waiver request should provide for reduced strike limits or suspension of the hunt if necessary to prevent the abundance of the Eastern North Pacific stock of gray whales from falling below OSP.

2. Existing International Treaty and Agreement Obligations of the United States.

Section 103(b)(2) directs the Secretary to consider "existing international treaty and agreement obligations of the United States." 16 U.S.C. § 1373(b). The Tribe's request is

consistent with current IWC regulations which provide for an aboriginal subsistence quota of 620 gray whales between 2003 and 2007, with a maximum take of 140 gray whales in any one year. By bilateral agreement between the United States and the Russian Federation, up to 20 gray whales may be taken from this quota by the Makah Tribe over the five year period, with a maximum of five whales in any one year. The Tribe's request is also consistent with the IWC's prohibition against the taking of calves and whales accompanied by calves. The number of takes and strikes allowed under this request, as well as the time and manner of harvest, may be subject to reduction if necessary to meet the international treaty obligations of the United States under the International Convention for the Regulation of Whaling (ICRW).

3. The Marine Ecosystem and Related Environmental Considerations.

Section 103(b)(3) requires the Secretary to consider "the marine ecosystem and related environmental considerations." 16 U.S.C. § 1373(b)(3). As discussed above, the Tribe's request is designed to maintain the Eastern North Pacific stock of gray whales at or above an OSP level and to prevent any depletion of the abundance of gray whales along the Pacific coast south of Alaska and within the ORSVI survey area. These measures will ensure that Eastern North Pacific gray whales remain a functioning part of the ecosystem on multiple spatial scales: throughout the migration corridor; the Pacific coast south of Alaska; as well as the local region surrounding the Makah U&A.

In the past, concerns have been raised about the impact of the hunt on seabirds and the safety of the high-powered rifle. The Tribe believes that these concerns are greatly mitigated by its current request which prohibits hunting from June 1 and November 30 and within the Strait of Juan de Fuca. To address further concerns about the impacts of whaling on nesting seabirds, the Tribe proposes a restriction barring any gray whale from being struck within 200 yards of Tatoosh Island or White Rock during the month of May. The Tribe also intends to implement safety measures in their Tribal regulations which are no less protective of public safety than those provided for in its 2001 gray whale management plan (Makah Tribal Council 2001).[11] Further measures to address impacts to other species and public safety may be developed and implemented based on the outcome of the NEPA process.

4. Conservation, Development, and Utilization of Fishery Resources.

Section 103(b)(4) of the Act instructs the Secretary to consider "the conservation, development, and utilization of fishery resources." 16 U.S.C. § 1373(b)(4). No impacts to fisheries, either positive or negative, are expected to occur as a result of the Tribe's request.

5. Economic and Technological Feasibility of Implementation.

[11] These measures authorized the discharge of firearms when whaling only when the shooter was within 30 feet of the target area of the whale and the shooter's field of view was clear of all persons, vessels, and other objects that could result in injury or loss of human life. The measures also set minimum visibility standards for the hunt (Makah Tribal Council 2001).

Section 103(b)(5) of the Act instructs the Secretary to consider "the economic and technological feasibility of implementation." 16 U.S.C. § 1373(b)(5). The Tribe believes that its request will be entirely feasible to implement. The hunting methods called for in its request are not intended to be intensive, but have proven to be effective within the context of the Tribe's goal of providing opportunities for a traditional ceremonial and subsistence whale hunt.

The request should be quite feasible to implement from a management standpoint. The Tribe's waiver request is no more complex than numerous Treaty fisheries that the Tribe has managed in cooperation with NOAA Fisheries and the Washington Department of Fish and Wildlife over the past three decades. With one exception, the proposed management regime is very similar to that which the Tribe successfully implemented in 1999 and 2000. The one major addition is the photographic monitoring of the harvest to ensure that the ABL for the PCFA is not exceeded in any calendar year. The Tribe will have a qualified marine mammal biologist on staff who will administer these provisions in consultation with NMML biologists. In the event that the Tribe is unable or unwilling to effectively implement and enforce Tribal regulations, these requirements will be subject to direct enforcement by NOAA Fisheries enforcement personnel.

VI. Conclusion.

NOAA should approve the Tribe's request for a waiver and adopt regulations that permit the Tribe to exercise its treaty rights in the manner specified in this application. The proposed waiver is necessary for the United States government to fulfill its legal obligations to the Tribe under the Treaty of Neah Bay, will not disadvantage the Eastern North Pacific stock of gray whales, and will be consistent with the purposes and policies of the MMPA.

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VIII. Appendices

Appendix A:

RENKER, A. M. 2002. Whale hunting and the Makah Tribe: A Needs Statement. Report to Intl. Whal. Comm., IWC/54/AS2.

Appendix B:

Treaty of Neah Bay. 1855.

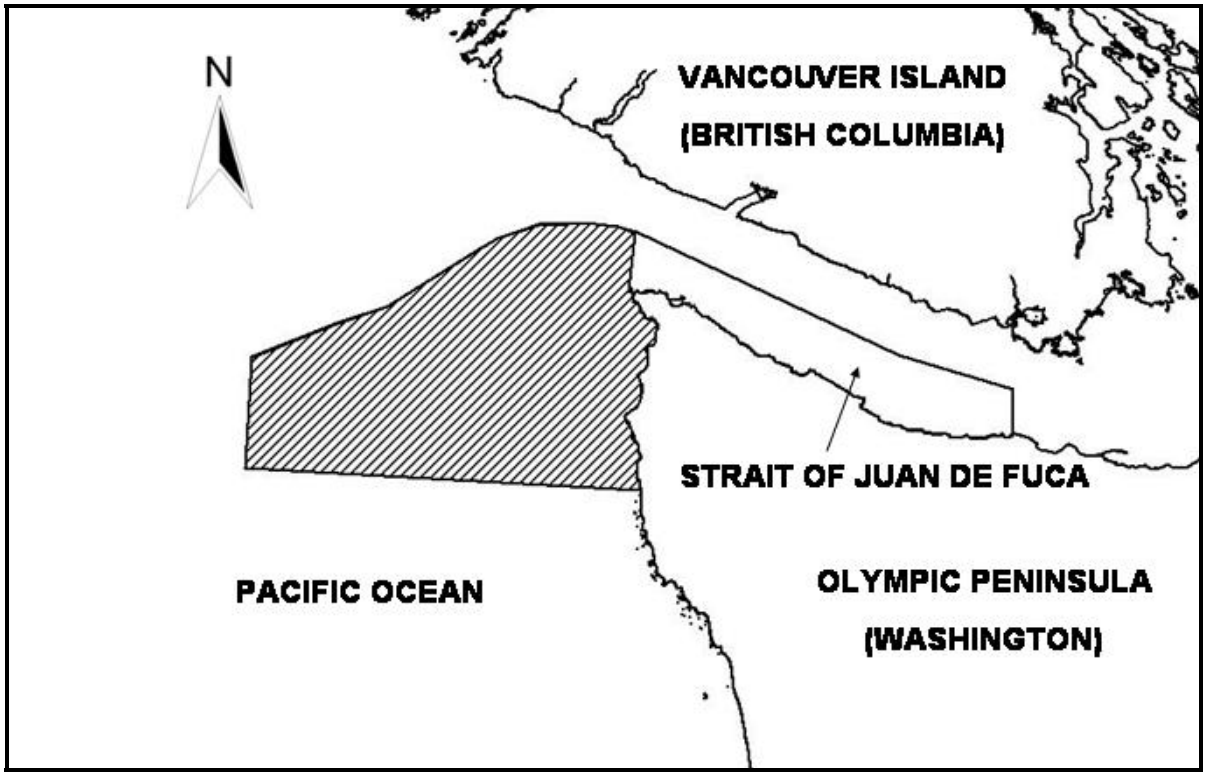

Figure 1. Map of Makah Usual and Accustomed Hunting and Fishing Area (U&A). Eastern North Pacific gray whale harvest by the Makah Tribe would occur in the Pacific Ocean denoted by filled area.