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Paper:

Wilson, R., Gómez-Laich, A., Sala, J., Dell'Omo, G., Holton, M. & Quintana, F. (2017). Long necks enhance and constrain foraging capacity in aquatic vertebrates. *Proceedings of the Royal Society B: Biological Sciences, 284* (1867), 20172072

http://dx.doi.org/10.1098/rspb.2017.2072

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PROCEEDINGS OF THE ROYAL SOCIETY B BIOLOGICAL SCIENCES

Long necks enhance and constrain foraging capacity in aquatic vertebrates

Journal:	Proceedings B
Manuscript ID	Draft
Article Type:	Research
Date Submitted by the Author:	n/a
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Subject:	Behaviour < BIOLOGY, Ecology < BIOLOGY, Evolution < BIOLOGY
Keywords:	diving birds, neck length, accelerometry, energy expenditure
Proceedings B category:	Behaviour

SCHOLARONE[™] Manuscripts

1	Long necks enhance and constrain foraging capacity in aquatic vertebrates
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20 Abstract

21 22

Highly specialised diving birds display substantial dichotomy in neck length 23 with, for example, cormorants and anhingas having extreme necks while penguins and 24 25 auks have minimized necks. We attached acceleration loggers to Imperial Cormorants 26 Phalacrocorax atriceps and Magellanic Penguins Spheniscus magellanicus, both 27 foraging in waters over the Patagonian shelf, to examine the difference in movement 28 between their respective heads and bodies in an attempt to explain this dichotomy. The 29 penguins had head and body attitudes and movements that broadly concurred 30 throughout all phases of their dives. In contrast, although the cormorants followed this pattern during the descent and ascent phases of dives, during the bottom (foraging) 31 phase of the dive, the head angle differed widely from that of the body and its 32 dynamism (measured using vectorial dynamic acceleration - VeDBA) was over 4 times 33 greater. A simple model indicated that having the head on an extended neck would 34 35 allow these cormorants to half the energy expenditure that they would expend if their body moved in the way their heads did. This apparently energy-saving solution is likely 36 37 to lead to greater heat loss though and would seem tenable in slow-swimming species since the loss of streamlining that it engenders would make it detrimental for fast-38 swimming taxa such as penguins. 39 40 41 42 Keywords: diving birds, neck length, accelerometry, energy expenditure

44 Introduction

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Most animal forms consist of a single, simple central body mass, from which 46 extensions, primarily limbs and heads, project [1]. Amongst vertebrates, the evolution 47 of limbs has facilitated travel [2, 3] with, terrestrially at least, longer limbs appearing to 48 confer greater speed [4]. The evolution of a head that operates independently of the 49 50 body, modulated by the neck, allows animals with long limbs, such as ungulates, to feed on the ground by lowering the head, rather than the whole body, to that level [5]. The 51 52 specific advantage of this is that the lesser mass of the head being moved up and down requires less energy for its changes in potential energy than would be necessary for the 53 whole body. But there are also animals with long necks that operate in the water, where 54 upthrust negates gravity-based potential energy changes anyway. Some birds, such as 55 56 cormorants (Phalacrocoracidae) and anhingas (Anhingidae), adhere to this body plan, in 57 contrast to other fish-eating taxa, like penguins (Spheniscidae) and auks (Alcidae), that 58 do not [6].

This divergence of strategies between cormorants and penguins is perplexing 59 because both families are homeothermic and forage in cold water. Given that water has 60 61 a much higher heat conductivity than air [7] and that long necks will increase the 62 surface area to volume ratio [8], cormorants should lose more energy as heat as a consequence. Clearly, they must offset this detriment with some advantage such as their 63 ability to 'grab prey underwater' [5, 6]. In fact, in a comprehensive review of the 64 evolution of long necks, Wilkinson and Ruxton [5] suggest that short-necked piscivores, 65 such as penguins and auks, operate in 'clear, surface oceanic waters' where 'predators 66 67 and prey can see each other from a long distance away' while long-necked species, such as cormorants, forage in 'murkier waters... where the predator will only see the prey at 68 69 very close range'. They conclude that poor visibility 'selects for a long neck, because it is easier to accelerate a small head than the whole body at such close-range'. 70

We examined this explanation by attaching accelerometers simultaneously to the heads and bodies of Magellanic penguins *Spheniscus magellanicus* and Imperial cormorants *Phalacrocorax atriceps*, both of which forage in the waters of the Patagonian Shelf. Our intent was to quantify differences in the head-based acceleration between the two species, and to examine the causes and consequences of the disparity in morphology.

78 Materials and Methods

79

80 Imperial cormorants and Magellanic penguins in Argentinian Patagonia both breed at the same time (October-February) [9, 10] and forage during daylight [11, 12] at 81 82 similar depths [12, 13]. Both show predominantly U-shaped dive profiles [13, 14] and 83 consecrate more time to all dive phases (descent, bottom phase and ascent) when diving to greater depths [12, 14, 15]. For a typical dive to 30 m, the Magellanic penguin 84 consecrates 30, 38 and 29 s to the descent, bottom and ascent phases, respectively [14], 85 while the equivalent figures for the Imperial cormorant are 22, 61 and 21 s, respectively 86 87 [15]. Although both species execute benthic and pelagic dives, Imperial cormorant 88 forage predominantly benthically [16] while Magellanic penguins do so pelagically [12]. Both species normally swallow multiple prey items underwater within each dive 89 90 [17, 18]. 91 During the early chick-rearing period between November 2014 and December 2015, 10 Imperial cormorants (5 each year) brooding chicks at Punta Leon, Argentina 92 93 (43°04'S, 64°29'W), and 8 Magellanic penguins brooding chicks at San Lorenzo, Argentina (42°04'S, 63°49'W) (6 in 2015 and 2 in 2016), were fitted with tri-axial, 94 95 orthogonal accelerometers set to record at 25 Hz. Each animal had a unit attached to the dorsal surface of its head and to the centre of the back using tape as described in Wilson 96 et al. [19]. Head tags (Technosmart, Rome, Italy) weighed 3 g (dimensions; 4 X 10 X 97 98 40 mm) while the back-mounted tags (Technosmart, Rome, Italy) weighed 6 g 99 (dimensions; 11 X 12 X 30 mm). In addition to acceleration, the back-mounted tags 100 recorded depth at 1 Hz. After tag attachment, birds were replaced on their nests and left 101 to go to sea for a single foraging trip after which the tags were retrieved. This work was granted approval by the Consejo Nacional de Investigaciones Científicas y Técnicas de 102 la República Argentina and the Organismo Provincial de Turismo. 103 Data were then examined to identify periods of diving and between 17 and 28 104 dives were selected from each penguin's data while between 10 and 13 dives were 105 106 selected from each cormorant (cormorants conduct fewer dives per foraging trip than penguins). All selected dives terminated between 40 and 60 m and corresponded to the 107 108 first part of the foraging trip of each animal. Each dive was then divided into the descent, bottom and ascent phases [see 20 for definition] (supplementary information) 109 and the corresponding acceleration data separated. These data were used to calculate the 110

111 'static' acceleration, by using a running mean of 2 s through each acceleration axis, as

112

recommended by Shepard et al. [21] from which (both head and body) posture can be

derived [22], and the dynamic acceleration, by subtracting the static acceleration from 113 114 the raw acceleration for each axis [21]. This assumes that the smoothing algorithm effectively isolates the gravity-dependent acceleration [22]. The vectorial sum of the 115 dynamic body acceleration (VeDBA), a powerful proxy for energy expenditure [23], was 116 calculated for both head- and body-mounted accelerometers. This is effectively 117 equivalent to another commonly used metric used as a proxy for energy expenditure, the 118 Overall Dynamic Body Acceleration (ODBA), where the dynamic acceleration 119 components are simply added [24]. 120 121 Raw acceleration data from the selected dives of both species were then treated following Wilson et al. [25], to be normalised and thereby sit on the surface of a sphere. 122 These data were then incorporated within spherical plots which show body and head 123 124 attitude with respect to gravity on the surface of a sphere [25]. Here, points on the North 125 pole of the sphere indicate horizontal orientation of the tag (and therefore either the body or the head), while points leading to the equator on one side show increasing head 126 pitched-down, with points leading to the equator on the other side show increasing head 127 pitched-up. The location of points on this spherical plot thus indicates bird body- or bird 128 129 head posture. However, large number of points at one location obscure each other, a 130 problem that can be dealt by dividing the surface of the sphere into facets and summing the total number of points within each facet [25]. These values can then be displayed as 131 132 spherical histograms, with single bars emanating from each facet, to visualize the time allocation adopted to head or body attitude. Such plots, however, do not show the 133 VeDBA allocation to body or head orientation. To do this, all the data within each facet 134 135 were separated into bins according to their VeDBA values and displayed in frequency distributions, represented by discs placed over spines emanating from the centre of the 136 137 sphere facets. Here, disc diameter represented the frequency count and disc width represented the width of the frequency bins. Lower values of *VeDBA* were located 138 closer to the sphere surface (for details see [25]). This allows allocation of movement-139 140 based power to be visualized as a function of head or body attitude. 141 As part of this study, the length of the outstretched neck of 10 Imperial cormorants was also measured. Specifically, the neck was extended for the 142 measurements in an attempt to simulate the position used by birds foraging underwater. 143 Neck diameter was also taken by using a measuring tape placed round the neck at its 144

145 mid-point.

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For each species and for each dive phase, the effect of depth and body part on 146 VeDBA was analysed using Linear Mixed Effect Models (LMM) fitted by maximum 147 148 likelihood (ML). In these analyses, depth and body part were set as fixed factors (because depth affects buoyancy in diving birds and thereby power to swim, and the 149 dynamism of the body [26]) while bird identity was set as a random factor. Due to the 150 fact that data was not normally distributed, we applied a log transformation. After 151 transformation, visual inspection of residual plots did not reveal obvious deviations 152 from homoscedasticity or normality. For the descent and ascent phase analyses, only 153 depths between 0 and 30 m were selected so as to preclude depths when the descent 154 155 angle might be levelling out in preparation for the bottom phase, while bottom phase analyses used dives terminating between the prescribed 40 and 60 m (see above). LMM 156 were performed using the function *lmer* from the package *lme4*. P-values were obtained 157 158 by likelihood tests of the full model with the effect in question against the model 159 without the effect in question. Models with progressively simplified fixed effects were compared using the anova function from the package stats. Equations showing the 160 relationship between body and head VedBA vs body and head ODBA (because much 161 energy expenditure data in the literature for cormorants is expressed in terms of ODBA) 162 163 were constructed with the significant parameters obtained from each mixed effect 164 model. LMM statistical analyses were performed using the open source statistical package R version 3.0.2 [27] with a level of significance of p < 0.05. 165 166

167 Results

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During much of the dives, most notably during descent and ascent, both headand body-mounted accelerometers showed very similar acceleration patterns over time for both species with the wingbeats (penguins) and foot kicks (cormorants) being clearly visible (Fig. 1). However, during the bottom phases of dives for both species, when most foraging occurs [13, 14], body and head acceleration patterns frequently uncoupled in the case of the cormorants (Fig. 1).

Using vectorial dynamic body acceleration (*VeDBA*) to quantify the dynamism of both head and body movement showed good concurrence in *VeDBA* for both body parts according to depth for descent and ascent phases of the dive (Fig. 2) in both penguins and cormorants (supplementary information), with head dynamism being marginally greater than body dynamism in both species (supplementary information).

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However, during the bottom (foraging) phase of the dives, patterns in body and head 180 dynamism differed between species. In penguins, the head and body movements were 181 182 similarly dynamic but there was a substantial difference between head and body dynamism in the cormorants at this time, with mean VeDBA head values being >4 times 183 higher than the body (supplementary information) (Fig. 2). 184 Closer examination of how posture and movement dynamism interacted for head 185 and body in penguins during the bottom phase of dives showed that penguins moved 186 their body mainly within a *ca*. $60\Box$ arc around the approximately horizontal (Fig. 3) and 187 this was broadly mirrored by the head, although there was some allocation to time 188 189 where the head was tilted back (Fig. 3). Both head and body had similar distributions of dynamism (via VeDBA [24]) to posture (Fig. 3). 190 By contrast, cormorants had a slightly downward-tilted body posture, 191 192 predominantly within an arc of *ca.* $30\Box$ (Fig. 4) and a head posture that was essentially 193 quadri-modal. Three of these modes had the head level or angled down, while one mode had the head completely inverted (Fig. 4). The much higher head- than body dynamism 194 was primarily manifest in three obvious modes in head pitch corresponding to; slightly 195 upward-angled, pointing directly down and over-inverted (Fig. 4). Neither penguin nor 196 197 cormorant rolled their heads appreciably at any time during the dives (Figs 3 & 4). 198 199 200 Discussion 201 202 203 Our results show the concurrence of head and body accelerations in both penguins and cormorants over the descent and ascent phases of the dive cycle (Fig.1). 204 205 This is expected because motion of the body, reacting to the drive forces of the propelling limbs [28], will transfer to extremities [29] with, normally, some attrition in 206 207 dynamism expected with extremity length when the extremity is passive [30]. We 208 suppose therefore, that the increase in VeDBA in the head movements compared to those of the body, in both species, is related to some degree of 'head bobbing', a common 209 phenomenon in birds, normally studied for walking and flying rather than swimming 210 211 [31, 32]. The concurrence between body and head movement is markedly different though, during the bottom, foraging phase. Here, Imperial cormorants had heads that 212 213 not only adopted a greater range of attitudes with respect to those of the body and did so 214 markedly more than Magellanic penguins, but they also exhibited much more dynamic

movements, as exemplified by the VeDBA data. Even though both penguins and 215 cormorants are probably purely visual predators [33, 34], the long necks of cormorants 216 217 would seem advantageous in effectively providing great head manoeuvrability as well as allowing birds to move their heads rapidly to scan around and under rocks and 218 capture prey that is visually detected at a short range [34]. Such behaviour has been 219 220 observed directly using body-mounted cameras [17]. Given that head manoeuvrability is likely to be a major asset conferred by a long 221 222 neck, it is appropriate to consider whether the different propulsion mechanisms used by the two species considered might confer differential body manoeuvrability. If so, this 223 224 might impact on the value of the neck for motility. Kato et al. [35] report that footpropelled cormorants have lower stroke rates than wing-propelled penguins, which 225 226 would tie in with the perceived higher energy costs of foot-propelled birds for 227 underwater swimming at a given speed and them therefore tending to swim slower [36]. 228 Thus, since turn radius decreases marginally with decreasing swim speed [37], cormorants may be expected to be slightly more manoeuvrable than penguins. Against 229 that, no advantage is expected from either party resulting from the body length versus 230 turn rate relationship [38] because both species are similar lengths, and both species 231 232 have inflexible trunks so no differential advantage is expected in that regard either [39]. 233 Overall, given that both cormorants and penguins are considered to be highly manoeuvrable [40, 41], we conclude that no substantive differences are expected 234 235 between them. We propose instead, that cormorants may save energy for their manoeuvres by 236

having a long neck because the amount of force used to make any movement is a 237 238 function of both acceleration and mass. Specifically, the lower mass of the head than the body means that the rapid movements of the head used to scan the environment and 239 240 capture prey [17] requires lesser absolute force than that if the whole body was 241 accelerated. We can allude to the differences that this might make in terms of energetics 242 by considering a simplistic model based on the relationship between force, mass and 243 acceleration and the use of dynamic body acceleration (DBA) as a proxy for energy 244 [28]. This relationship is based on the premise that animals must use energy to apply force (aside from gravitational effects) and incorporates a number of assumptions based 245 on three separate processes; that the ratio of mechanical to metabolic work is constant, 246 that the ratio of external to internal work is done constant, and that the ratio of inertial to 247 *de novo* mechanical work is constant [28]. The process also has to recognise that any 248

relationship between movement and dynamic body acceleration will be profoundly 249 250 affected by the mass of the body being moved and the medium in which movement is 251 conducted (water, air, etc). However, these provisos apart, the dynamism of movement 252 in general terms, derived from body-mounted tags measuring DBA, has been found to be a powerful (linear) proxy for energy expenditure for a range of species in disparate 253 taxa [e.g. 24, 42]. Since Force = Mass X Acceleration, where the mass is that of the 254 study animal, the implication is that some element of the energetic costs of moving the 255 head may be accessible by considering the head DBA and the mass of the head [cf. 28]. 256 Perhaps more realistically though, the costs of moving the body in a similar manner to 257 258 that of the head can provide a very rough estimate of the costs that cormorants would incur if they had no neck and had to move their body to achieve a similar effect. 259 Gomez-Laich et al. [43] report a relationship between power (P, W/kg) and DBA, where 260 261 their dynamic acceleration is measured in terms of ODBA, of;

262

263
$$P = 41.31ODBA_{body} + 12.09$$

264

Given the relationship between VeDBA and ODBA (see results above), this 265 266 would normally imply mean power costs of about 16 W/kg for birds searching along the bottom from our data using normal body-mounted tags. Using the same approach to 267 268 convert the head data, however, implies that if the body moved in the same way as the 269 head, it would incur power costs of 29 W/kg, an increase by a factor of almost 2, an 270 indication of the energetic advantages of having a long neck. Such reduced costs have 271 clear value for a diving bird which should benefit from any measures that reduce 272 oxygen consumption and therefore increase dive duration and, potentially, dive depth. The lack of any substantive difference in penguin head and body VeDBA means that a 273 comparable scenario for the penguins should make no difference in the energetics. 274

Why then, should there be a difference in neck length and strategy between thecormorant and the penguin? Power (*P*) for speed in fluid media is given by;

277

278 $P = 0.5 \rho v^3 C d A$

279

where ρ is the density of the medium, v is the velocity, Cd is the drag coefficient and Ais the cross-sectional area of the body at its widest point. Penguins have a much lower drag coefficient ($Cd \approx 0.03$ [44]) than cormorants ($Cd \approx 0.14$ [45]), possibly because the 283 long neck of cormorants gives them a non-optimal shape [46]. Consequently, changes in 284 the streamlining due to, for example, a non-aligned head, should tend to result in a 285 proportionately greater variation in Cd in penguins than cormorants, with knock-on 286 consequences for energy expenditure. This would be exacerbated by speed; penguins travel more than twice as fast as cormorants (with foraging speeds of *ca.* 2 m/s [47] 287 compared to ca. 0.8 m/s [48, 49]) and, since the power term depends on the cube of the 288 velocity, this provides reason enough for penguins to move their head minimally. 289 The energy savings made by the cormorant by having a long mobile neck are 290 likely to be partly tempered by heat loss though [cf. 8, 50, 51]. If we use the work of 291 Walsberg and King [52], in which the surface area of a bird (S, cm^2) is given by;

292 293

294 $S = 10 M^{0.667}$

295

296 and where *M* is the mass (g), we can approximate the surface area of an Imperial cormorant weighing a mean of 2.25 kg [53] to be 0.17 m^2 . Our measurements of the 297 cormorant neck indicate a surface area of 0.017 m^2 (supplementary information) so that 298 the cormorant's extended neck constitutes about 10% of the total body surface area. 299 300 Accordingly, we would expect heat loss underwater would be roughly that proportion of 301 the whole. There thus appears a clear energetic disadvantage to aquatic homeotherms 302 having long necks. However, the extent of this disadvantage should depend on how long 303 the animal is exposed to the cold water. Here too, there are substantial differences 304 between penguins and cormorants; Magellanic penguin foraging trips last between 29 305 and 64 h during breeding [54] but these birds are entirely aquatic during 4 months of the 306 winter while Imperial cormorants undertake foraging trips consisting of only about 6 h 307 during breeding [13], and do not have a pelagic phase during the non-breeding season 308 [11].

There is thus an emerging pattern which explains why slow-moving, temporarily aquatic, homeotherms (such as cormorants) can benefit from an elongated neck while faster, substantially (or completely) aquatic homeotherms, such as penguins and dolphins, may not.

313

314

315 Conclusion

317	We therefore conclude that long necks can be highly advantageous to
318	homeotherms foraging in cold water because they increase search capacity while
319	minimizing energy expenditure, ultimately helping minimize time spent in a thermally
320	challenging environment. However, benefits decrease as travel speed increases, which
321	may explain why high speed aquatic homeotherms have short necks and predominantly
322	immobile heads. This speed versus head reach and dynamism framework should help
323	understand the morphology of a suite of animals with variable length necks according to
324	the way they forage, a particularly intractable example being plesiosaurs [5, 55].
325	
326	Data accessibility
327	
328	Data are available from Swansea University's College of Science T-drive on request to
329	the corresponding author.
330	
331	Authors' contributions
332	
333	The study was conceived by R.P.W, F.Q. and G.D.O. The work was performed by
334	R.P.W, F.Q., A.G-L., J.E.S. and G.D.O. The data were analysed by M.H., R.P.W. and
335	A.G-L. The manuscript was written by all authors.
336	
337	Competing interests
338	
339	We have no competing interests
340	
341	Funding
342	
343	This study was funded by the Consejo Nacional de Investigaciones Científicas y
344	Técnicas de la República Argentina (CONICET), the Agencia Nacional de Promoción
345	Científica y Tecnológica (grant number: PICT-2013-1229) (to FQ, AGL and JES) and
346	the Santander Bank (to RPW). The visualisations in this work were possible due to a
347	generous donation made by the Royal Society/Wolfson Laboratory fund.
348	
349	Acknowledgments
350	

351	We are grateful to the Conservation Agency from the Chubut Province, Argentina for	
352	the permits to work in the protected area, and the Instituto de Biología de Organismos	
353	Marinos (IBIOMAR-CONICET) for institutional and logistical support.	
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497 Figure captions

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Figure 1. Examples of (heave) acceleration data attained from head mounted (grey lines) and body mounted (black lines) accelerometers deployed on penguins and cormorants during the three main dive phases (descent, bottom and ascent). Note that flipper and leg beats are apparent, and coupled, in signals from both body parts for all examples except during the bottom phase for the cormorant. These swimming signals are strongest when the birds have to work more against upthrust (descent> bottom> ascent)

Figure 2. Box-whisker plots of the head (grey) and body (black) dynamism (*VeDBA*) for

507 penguins (upper graphs) and cormorants (lower graphs) according to dive phase and

depth (the bottom phases of dives from both species were selected to be approximately

similar depths (40- 60 m)). Note the substantial difference in head dynamism between

the cormorants and the penguins during the primary hunting phases of dives during the

bottom phase. The box shows the 25-75 percentile while crosses show the 1% and 99%

512 percentiles.

513 Figure 3. Spherical plots showing the time allocation of head (top, left-hand sphere) and

body to attitude (top, right-hand sphere) of Magellanic penguins foraging during the

515 bottom phase of their dives. The length of each histogram represents time. The line

516 drawings are to help interpretation, with the arrows displaying the head and body

517 positions during time modes (indicated by the red columns). The two lower spheres

show the distribution of *VeDBA* frequencies (representing dynamism - discs farthest

519 from the sphere surface indicate highest dynamism) to attitude with each facet

normalized to give 100% (max values are 1 g for both spheres and facets containing less

521 than 5% of the data are not shown).

522 Figure 4. Spherical plots showing the time allocation of head (top, left-hand sphere) and

523 body to attitude (top, right-hand sphere) of Imperial cormorants foraging during the

- 524 bottom phase of their dives. The length of each histogram represents time. The line
- 525 drawings are to help interpretation, with the arrows displaying the head and body
- 526 positions during time modes (indicated by the red or orange columns). The two lower
- spheres show the distribution of *VeDBA* frequencies to attitude with each facet

- normalized to give 100% (max values are 2 g for both spheres and facets containing less
- than 5% of the data are not shown).

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Examples of (heave) acceleration data attained from head mounted (grey lines) and body mounted (black lines) accelerometers deployed on penguins and cormorants during the three main dive phases (descent, bottom and ascent). Note that flipper and leg beats are apparent, and coupled, in signals from both body parts for all examples except during the bottom phase for the cormorant. These swimming signals are strongest when the birds have to work more against upthrust (descent> bottom> ascent)

190x254mm (96 x 96 DPI)



Box-whisker plots of the head (grey) and body (black) dynamism (VeDBA) for penguins (upper graphs) and cormorants (lower graphs) according to dive phase and depth (the bottom phases of dives from both species were selected to be approximately similar depths (40- 60 m)). Note the substantial difference in head dynamism between the cormorants and the penguins during the primary hunting phases of dives during the bottom phase. The box shows the 25-75 percentile while crosses show the 1% and 99% percentiles.

205x195mm (300 x 300 DPI)



Spherical plots showing the time allocation of head (top, left-hand sphere) and body to attitude (top, righthand sphere) of Magellanic penguins foraging during the bottom phase of their dives. The length of each histogram represents time. The line drawings are to help interpretation, with the arrows displaying the head and body positions during time modes (indicated by the red columns). The two lower spheres show the distribution of VeDBA frequencies (representing dynamism - discs farthest from the sphere surface indicate highest dynamism) to attitude with each facet normalized to give 100% (max values are 1 g for both spheres and facets containing less than 5% of the data are not shown).

254x190mm (96 x 96 DPI)



Spherical plots showing the time allocation of head (top, left-hand sphere) and body to attitude (top, righthand sphere) of Imperial cormorants foraging during the bottom phase of their dives. The length of each histogram represents time. The line drawings are to help interpretation, with the arrows displaying the head and body positions during time modes (indicated by the red or orange columns). The two lower spheres show the distribution of VeDBA frequencies to attitude with each facet normalized to give 100% (max values are 2 g for both spheres and facets containing less than 5% of the data are not shown).

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