Identification of over One Thousand Individual Wild Humpback Whales using Fluke Photos

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Abstract: Identifying individual humpback whales by photographs of their tails is valuable for understanding the ecology of wild whales. We have about 10,000 photos of 1,850 identified whales taken in the sea area around Okinawa over a 30-year period. The identification process on this large scale of numbers is difficult not only for the human eye but also for machine vision, as the numbers of photographs per individual whale are very low. About 30% of the whales have only a single photograph, and 80% have fewer than five. In addition, the shapes of the tails and the black and white patterns on them are vague, and these change readily with the whale's slightest movement and changing photo-shooting conditions. We propose a practical method for identifying a humpback whale by accurate segmentation of the fluke region using a combination of deep neural networking and GrabCut. Then useful features for identifying each individual whale are extracted by both histograms of image features and wavelet transform of the trailing edge. The test results for 323 photos show the correct individuals are ranked within the top 30 for 89% of the photos, and at the same time for 76% of photos ranked at the top.

1 INTRODUCTION

Humpback whale identification is very important in terms of ecological research and conservation efforts (Dawbin, W. H., 1966). Research shows that the sea area of the Okinawa Islands in Japan is one of the breeding areas of humpback whales in the western North Pacific Ocean. They migrate to this area from December to April every year (Uchida, 1997; Kobayashi et al., 2016) from feeding grounds such as Russia and the Bering Sea near the Arctic, about 7000 km from Okinawa (Titova, 2018).

Humpback whales lift and show their tail fin, known as the fluke, when they dive from the surface to the depths. In terms of their identification, usually two features of the ventral side of the flukes are observed (Katona, 1979). One is the overall shape of the black and white pattern, including small patterns such as linear scars and roundish traces of barnacles. The other feature is the jagged shape of the trailing edge, which is believed to vary from whale to whale.

Currently most humpback whale researchers identify each whale by their own eyes and by memory, carefully observing whale photographs, comparing the two features with those of registered whales. Identifying individual whales is thus a timeconsuming process. For example, the Okinawa Churashima Foundation has about 10,000 photographs of 1,850 individual whales. In order to complete identification of about 450 photos from every new season, two researchers have to work on the identification process for more than six months.

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Therefore, automatic identification by computer vision is highly desirable.

However, there are some difficulties in the computer-based identification process using fluke photographs. Figure 1 shows the typical shape of a fluke. This is a life-size replica of a humpback whale's tail fin exhibited in the Okinawa Ocean Expo Park. It has the form of a dynamic and complex 3D structure with uneven curves. Therefore, when it is rendered in a 2D photograph, the shape changes diversely with slight changes of the shooting angle. In addition, the structure of the tail fin itself is so flexible that it changes greatly in accordance with the whale's slightest movement.

As is characteristic of sea animals, the tail fin does not have sharp, distinct edges, neither in structure nor in the black and white pattern. In addition, they are susceptible to the effects of water and sunshine, which reduces the effectiveness of edge-detectionbased graphical analytics tools, which are among the most powerful analytical tools of graphic processing. These characteristics of tail fin images make both feature extraction and augmentation difficult in the pattern-matching process.

In addition, the number of photographs of each individual whale is very low. This is because we can rarely take photographs of a whale tail fin upright and in front of the camera from a distance close enough to obtain a good-sized image in sharp focus. For example, the number of good photographs taken in a season by whale researchers of the Okinawa Churashima Foundation is only about 450, even though they conduct the surveys over approximately 50 to 80 days during a survey season. Of the whales photographed, 79% have fewer than five photographs, and 31% have only a single photograph. This results in a shortage of learning data in the machine learning process. All of the above makes computer-based automatic identification of wild humpback whales difficult.

The surface of the tail fins has a dark grey-based color which is very similar to the color of the sea on a cloudy day. This makes it difficult to distinguish tail fins from the background sea. In comparison with artificial constructions, the shape is complex, flexible, and unclear, and the surface is susceptible to the effects of water as well.

The purpose of our research is to improve the identification process by automatically listing candidate whales from a ledger of records of previously identified whales.

We propose a practical method for computational whale identification. For that, we use a combination of rough detection of deep learning and precise segmentation of image processing. First, the tail fin of a whale is roughly marked with a u-net model. With the mark, GrabCut can register the precise shape of the tail (Tang, 2013). Then the jagged line on the edge of the tail can be extracted as a feature vector. In parallel we also use the bag-of-features (BoF) method to compensate for cases where precise trailing-edge detection is difficult (Nowak, 2006). The test results of 323 photos show 76% of photos attained the highest score for accurate identification, with 89% of the photos ranked in the top 30.

2 RELATED WORKS

Humpback whale identification by photographs of tail fins has been attempted since the 1980s, first by the human eye. After that followed research work taking a graphic approach using computers. Recently, a deep neural networking approach has been applied in a Kaggle contest of whale identification. The related works are described in detail in the following.

Katona et al. (1979) suggested that variations in the shape of flukes, scars, and black and white patterns can be used to identify individual humpback whales. These patterns are those on the ventral side of the tail fins which appear to us when the whale dives into the sea.

Friday et al. (2000) statistically investigated the relation between the quality of the photographs and distinctiveness in the identification process by the human eye.

In terms of computer vision, Mizroch et al. divided the tail fin into fourteen segmentations and classified whales by the combination of which segments are black and which are white. However, this is thought to be insufficient for distinguishing over thousands of whales, because the classification methods are too coarse, using only fourteen sections in each tail fin and with only the information of each section being black or white.

Jablons et al. (2016) took another approach, using the curvature of the trailing edge as an identifier. They calculated the curvature along the trailing edge and used it as feature of each whale. However, such rough curve fitting is not capable of assuring largescale identification.

In terms of the deep neural networking (DNN) approach, Bogucki et al. used convolutional neural networks to identify the region of interest on a right whale image; to rotate, crop, and create standardized photographs of uniform size and orientation; and then to identify the correct individual whale by a matching algorithm, as it is done in face recognition (Bogucki, 2019).

Kaggle.com hosted the humpback whale identification challenge in 2019 (Kaggle, 2019). The winner applied metric learning, which compensates for the disadvantage of DNN requiring large amounts of data for learning by using distance from the correct answer as an input in the learning process (Siomes, 2020). The winner used the whole tail as learning data, which means the major feature was the black and white pattern. However, from our experience, the trailing edge is more useful for identification than the black and white pattern because 30% of the whales in our whale record have an entirely black or white tail, without any pattern. The Kaggle dataset is different from that of our target. The dataset in the Kaggle challenge comprises 25,000 photographs in total, with 10,000 of those (40%) being 'new individual', with no passed record. The required answering format is to list five probable candidate whales including 'new individual' as one of the correct answers. Less than 30% of our dataset are 'new individuals', and the list of candidate whales up to 30 is required without 'new individual' as the answer. In addition, the photographs vary in quality. The photographs in the Kaggle challenge include many low-quality photographs taken by amateurs. Some of these were taken from a long distance. In addition, many of the tail fins are not photographed from the front or are not upright. Such a dataset is difficult to treat by an image-processing approach based on precise pixellevel graphical information of shape, size, edge, etc. We, however, have high-quality photographs taken by trained whale researchers. Therefore, we can take another approach, as described in the next section.

3 PROPOSED METHOD

Our dataset consists of 5,891 photographs, with 1,564 identified whales. Among them, 31% of the whales have only a single shot, and 79% have fewer than five photos, as described in detail in Section 4. However, these photographs were taken by trained whale researchers who selected the best photo of the day for each whale. Still, the photographs are not always taken from the front of an upright fluke and in good focus, because all the photos were taken on the sea under a variety of shooting conditions dictated by the weather, waves, distance, and shooting angle.

We chose an image processing-based approach for the main feature extraction method because the quality of the photographs is good enough for such an approach. In terms of the deep learning approach, the number of photographs is insufficient to achieve good accuracy. In addition, augmentation for an artificially increasing dataset is difficult because the shape of the fluke is of a complex 3D nature, and it changes drastically along with the whale's slightest movements, as shown in Fig 1.



Figure 1: Life-size model of the fluke of a humpback whale.

However, an image processing method in general needs precise information on the pixel level. It is difficult to extract such precise information from photographs of wild whale flukes which have a flexible shape and an obscure grey-based dark color similar to that of the sea.

Therefore, we propose an identification method composed mainly of three functional blocks, as shown in Fig. 2.



Figure 2: Proposed whale identification process.

A fluke is segmented in two steps from an input photograph. After that, two kinds of feature vector of the fluke are extracted using two image-processingbased methods. Then the score and ranking are calculated by comparing feature vectors with those of previously identified whales in a ledger.

Deep Learning in the first block is suitable for treating complex 3D shapes and the dark grey-based color of flukes in the sea. The uncertainty of shape and color which is inherent in handling marine life has been reduced in the first block. This allows the use of image processing techniques that require accurate graphical information in the second block, in which two image processing-based methods can extract the feature vector of each fluke in terms of black/white pattern and shape.

To extract features from black/white patterns, we used a 'bag-of-features' (BoF) method, as derived from the 'bag-of-words' representation used in textual information retrieval. To extract features from shapes we used a wavelet transform. Then in the third block, those features of each fluke were corrected and weighted along with the shape and angle of the fluke in each photo. After that, the distance from that of each whale in the ledger photo was obtained as a score. The candidate whales are ranked from 1 to 30 using the score representing similarity.

3.1 Segmentation

The first functional block ('Segmentation' in Fig. 2) consisted of three steps, as shown in Fig. 3. Original input photographs sometimes include two or more flukes in the same photograph. Also, some photographs of the whales do not show the fluke. In the first step, photographs are classified using DNN. For the detection of flukes in the original photographs, we used the YOLO model (Redmon, 2016), which detects objects in a photo and classifies the detected objects into 'fluke' or 'not a fluke' (e.g., fin, ship, bird) simultaneously. Then the detected fluke is trimmed based on its bounding box. Actually, in our case the first step, fluke detection and trimming, is not necessary because we have already prepared and trimmed the fluke photographs manually. The accuracy of the trimming process needs to be evaluated at another time.

In the second step of the segmentation, a rough mask of each fluke is extracted through the use of a deep learning model called U-net (Ronneberger 2015). The model takes trimmed images as input and produces corresponding mask images as output by learning features of the foreground: the fluke and background features such as the sea, waves, and splashes. As shown in Fig. 4, the U-net model has an encoder-decoder network structure. The encoder consists of three sets of two convolution layers and one pooling layer, and it computes dimensionreduced features. The decoder consists of three sets of one upsampling and two convolution layers. The upsampling layer performs a max unpooling method to upsample features. The up-sampled features are concatenated with the higher resolution features to restore the global location information while preserving local features.



Figure 3: Segmentation Process.



Figure 4: A network structure of U-net for the fluke segmentation mask.

Then in the third step, precise segmentation of flukes can be performed by an image processing approach called GrabCut. The mask created in the second step is utilized to roughly indicate whether an area is included in foreground or background during the GrabCut process. Without the mask, GrabCut makes some mistakes in segmentation when the middle of the fluke is submerged, or when a background wave appears like a structure, as shown in Fig. 5. A GrabCut with a mask image generated by U-net successfully performs segmentation in better clarity when compared with those of a GrabCut without the mask.



Figure 5: Segmentation by GrabCut with/without mask.

3.2 Feature Extraction

Two different feature extraction methods of the fluke are proposed. One treats whole fluke area and the other the trailing edge only.

3.2.1 Features in Black and White Patterns

As shown in Fig. 1, the tail of a whale is basically dark grey. However, many whales have black and white patterns on the ventral side. Approximately 65% of the whales in our dataset have such a black and white pattern. There are two types of black and white patterns: One is a large, dull mottled pattern that covers at least ten percent of the fluke, and the other is a small, relatively clear pattern, such as a linear scar or a roundish trace of barnacles. Of these, the latter is conspicuous, so it is useful for identifying whales with the human eye. It is also valuable in that it can be used even if only part of the fluke is visible. On the other hand, these small patterns sometimes change over time and, in some cases, enlarge with age. In addition, since the shape of the tail is complex and flexible, the relative position of the patterns, which is very important information for identification by human eyes, varies drastically from photograph to photograph, even for the same whale, as shown in Fig. 6. The upper photograph shows a fluke at a more

upright angle, in better focus. However, the whale capriciously bent the left edge of its fluke. Then the relative position of the four small black round patterns looks different in the two photographs, as do each of the individual shapes. Changes in shape and position like this cause is major problems in extracting features by image processing.



Figure 6: Small group of patterns of the same whale that appears different from different angles and positions.

We then focused on the relatively large black and white patterns, which are very different from artificial patterns. They are too unclear for us to obtain precise graphical information such as size, length, direction, or edge, as shown in Fig. 7. Therefore, edgedetection-based image processing methods for the large black and white patterns are not as practical as they are for artificial patterns.



Figure 7: Large area black and white pattern. The pattern is too unclear to extract precise graphical information.

We modified Mizroch's approach, which divides a fluke into 14 complex areas and determines each area as black or white. In our way the tail was simply divided into six patches by dividing the horizontal length by one-sixth. Instead of determining whether each patch is white or black, each patch was characterized using the bag-of-features (BoF) method.

BoF is a method, analogous to 'bag of words', which is used in natural language processing. A sentence is characterized by the categories of words it contains and the number of words in each category. To adapt it to image processing, 'word' is replaced by a key point extracted by feature point extraction methods, for example 'SIFT' (Lowe, 2004), or 'AKAZE' (Alcantarillaand, 2013). Figure 8 shows how the concrete process of feature extraction for a fluke using BoF. First, all the key points extracted from 2,301 photographs that have qualified as good quality are classified into 15 classes using K-means. Then we counted the number of key points in each class for each patch of the target whale. Fifteen sets of numbers for each of the six patches were defined as the features of the photograph. The key point consisted of 1 x 128 elements.

3.2.2 Features in the Trailing Edge

In our dataset, over 35% of the whales have no pattern, so we cannot extract features using a black and white pattern. Feature extraction was thus performed using the shape of the trailing edge, as described in Katonas (1979) and Jablons (2016). These whale researchers used the edge of the fluke, called the trailing edge, as one identifier. There are large curves and fine jagged edges along the trailing edge, as shown in Fig. 1. Both of them are shaped like waves, but, they are not periodic structures. In addition, some of them have large notches caused by injury.



Figure 8: Feature extraction from black and white pattern by the 'Bag-of-Features' with six patches in a fluke.

The (x, y) coordinates of the trailing edge are extracted by using binarization. We attempted curve

fitting by polynomial approximation and Fourier series expansion, but we did not find enough coincidence among those photographs of the same whale. Therefore, we propose using wavelet transform as a base method of feature extraction of the trailing edge. Wavelet transform can capture important features in images with curves well, especially specific information such as sharp edges and corners, and express them succinctly (Moghaddam, 2005). The wavelet transform is shown in the formula:

$$w(a,b) = a^{-\frac{1}{2}} \int_{-\infty}^{\infty} f(x) \overline{\psi_{a,b}(x)} \, dx$$

In general it uses a certain pulse waveform such as a Step or Gaussian as mother function Ψ to acquire the correlation strength, while sweeping the position and the pulse width of the mother function Ψ . The results are visualized by a two-dimensional plot.

The difference between wavelet transform retrieved from photographs of the same whale and a different whale are shown in Fig. 9 as an example of a typical case. First, we divided the trailing edge into a right side and a left side at the centre, which we defined as the lowest point in the middle of the fluke. For each side, the coordinates of the edge curve were obtained, as shown in Fig. 9. Then the wavelet transform was performed on this curve using the Mexican hat function, shown in the formula below as a mother wavelet function.

$$\psi(\mathbf{x}) = \frac{2}{\sqrt{3}}\pi^{-\frac{1}{4}}(1-x^2)e^{-\frac{1}{2}x^2}$$

The result is shown at the bottom of Fig. 9. There are 300 x 19 plots for each half of a fluke as the extracted feature. The horizontal axis represents the centre position of the mother wavelet's pulse, the vertical axis represents the pulse width, and the dark black plot indicates strong correlation. The bottom of Fig. 9 shows a fine jagged shape along the whole edge and large dents at both ends. The 2D plots show differences between those of the same whale and the other whale.

3.3 Identification

Using the features extracted in Section 3.2, the identified whales are registered in a ledger. All the registered whales have at least one photograph. For each photograph, there are two groups of extracted features, BoF and wavelet transform, as described in Sec. 3.2. There are six features of BoF for six parts of a fluke and two feature vectors of wavelet transform of the left and right parts of the trailing edge. Some



Figure 9: Feature extraction from jagged trailing edge using wavelet transform.

photographs are not equipped with all eight elements, because feature extraction may not be possible when the fluke is on too much of an incline, is behind water or strongly bent, or the front is not showing. Therefore, if a photograph to be identified and the ledger of the same whale do not have the same elemental feature, the identification fails. For example, if the photograph to be identified only shows the left side of the fluke while the ledger of the same whale only shows the right side of the fluke, the whale cannot be listed even if the photograph is of exactly the same whale.

The identification process is performed separately for the features of the BoF and wavelet transform. As for the BoF method, the distance between the feature vectors obtained from the photo to be identified and the ledger are calculated for each of the six patches. Then they are summed with appropriate weights as a base of similarity score. As for the wavelet transform method, vector distance is also calculated for both the left half and the right half, but it is not summed up because not all the photos have both a left and a right side. Then the highest score among them is utilized as a representative similarity score of the candidate whale in the ledger. Finally, three lists are created, ranked by BoF, wavelet transfer, and a combination of the two.

4 EVALUATION

Among the 10,000 photos in our possession, there are 5,891 digitalized photographs of 1,564 whales taken from 2007 to 2015. First the entire data set was

examined in terms of the number of photographs per individual whale, as shown in Fig. 10. About 30% of the whales have only a single photograph, and about 70% have fewer than four. The ledger is created using 5,724 photos with all the feature vectors extracted in advance. Then photographs taken in 2016 are used to evaluate the proposed identification system. The identification process and the results expressed in numbers are shown in Fig. 11. Among the 475 photographs of 2016, 458 qualified for the identification process. The remaining 31 were excluded because only part of the fluke is visible. We define the word 'coverage' as the percentage of photographs among all those available that can be analyzed by this systems. Thus the coverage is 96%. Among them, 135 photographs are of whales without ledgers, that is, 'new individuals'. We excluded them from the following evaluation. Excluding those 135 photographs, the remaining 323 were subject to examining the accuracy of the system. Among them, for 246 photographs the correct whales are ranked at the top. We term this as 'accuracy', and here the accuracy was 76%. As well, among the 323 photographs, for 288 photographs the correct whales are listed within the top 30. We call this the 'list-up rate', and here it was 89%.

By using deep learning as pre-processing of the image processing method, the coverage indicating how many of the provided photos will be subject to analysis improves from 89.0% to 96.4%. This includes the improvement of covering photographs in which the middle of the fluke is submerged in water, as shown in Fig. 5. The improvement in numbers is low because our dataset consists of photographs pre-

selected by whale researchers. Nonetheless, it is effective to use deep learning that can make flexible judgments on the complexity and flexibility of shapes and patterns of marine life photos.

Figure 12 shows how many photographs are in each rank, from 1st to 30th. Our proposal has made it possible to identify whales very accurately on the top of the list for about 76% of the pictures. However, the remaining 24% have been placed in various ranks without regard to any particular tendency. Investigating individual cases where the identification did not precisely indicate the correct whale as a top candidate, we found a few patterns that result in identification error. In many cases, the photograph of the object to be identified and the photograph in the ledger differed in the shooting angle of the fluke, and the way the tail stands out of the water. For example, all the photos in the ledger are of tails, taken upright from the front, but a photo to be identified might be from the right side, where the tail is inclined just before diving into the water. This is because the shape of a fluke is very complex, as shown in Fig. 1. Thus the trailing edge taken in the photograph differs by shooting angle and the angle of the fluke. Another pattern of identification error results from the small halation at the edge preventing extraction of graphical information of the trailing edge. Photographs in poor focus are also inappropriate for extracting accurate graphical information.

Because our identification does not include 'new individual' as a candidate, the list coverage is very important. There are 10-30% of unregistered 'new individuals' discovered every year. If the list coverage is 100%, when a target whale is not matched with all the whales listed, the whale researcher can identify it as a 'new individual' without further identification. However, if the list coverage is less than 100%, the researcher must manually examine all the rest in the ledger, 1,850 registered whales.



Figure 10: Distribution of number of photos per whale.



Figure 11: Test coverage and accuracy evaluation.

The list coverage and the accuracy can both be increased by having various types of photos in the ledger. The list coverage for the photographs in which the correct whale has one to four photos in the ledger is 78%, while those with five to eight photos is 99%. Also, the accuracy for those with one to four photos is 64%, while for those with five to eight photos it is 89%. However, this does not indicate that the list coverage and the accuracy directly depend on the number of photos in the ledger. The varying conditions of the photos tend to be included with the increase in number of the ledger photos in general. As a result, a variety of photographs to be identified can be matched under any photo-shooting conditions.

5 FEATURE EXTRACTION COMPARISON

We compared the two feature extraction methods described in Section 3.2. The methods used are BoF for the whole fluke area, and wavelet transform for the trailing edge only. The number of photographs ranked from 1st to 30th and out of 30 for each method is shown in Fig. 13 and 14, respectively. It is clear that only the BoF method is unsuccessful for identification. We found that the number of feature points is very small for those patches with a nearly all-black or a nearly all-white pattern. It makes no difference whether the pattern is white-based or black-based, because the feature points are exactly the same in a black-and-white photograph or its inverted version. Those two points explain why the BoF method does not work well.

Identification using the trailing edge, however, works very well. It is amazing that we are able to identify more than 1,000 whales with the curve shown in the middle of Fig. 9 alone. Even so, as mentioned above, the shape of the edge changes greatly depending on the movement of the whale and the shooting angle. In addition, the extraction of the trailing edge curve must be performed precisely. The 2-step segmentation of mask-creation by deep learning and segmentation by GrabCut is highly effective for this purpose, as mentioned in Section 3.1.

6 FUTURE WORKS

So far, we have been unable to identify "new individuals" when photos show a whale that is not registered in the ledger. This is because similarity scores are not accurate enough to determine whether a whale is new or not. The score is greatly affected by how the fluke appears in a photograph (i.e., depending on the weather conditions or the whale's position in the photo). For example, a photograph with an unclear focus shows low scores for all the photos of whales, even photos of the same whale. A whale can be identified by rank, that is, by relative score. However, the absolute score might be low.

We believe that it is necessary to quantify how similarity scores vary depending on the photography conditions and the whale's position in the photo. However, it is quite difficult to evaluate the relation using only wild whale photographs because they do not meet the various requirements for quantitative evaluation using various metrics.



Figure 12: Number of photographs ranked from 1^{st} to 30^{th} using both methods.

One idea for future work is to create a 3D Computer Graphic (CG) model of a real fluke that will enable fluke flexibility and photography from a variety of angles. Then we would be able to precisely evaluate how much similarity scores are affected by those conditions, which, in turn, would enable us to make them enough accurate to identify "new individuals".



Figure 13: Number of photographs ranked from 1st to 30th using black and white patterns.



Figure 14: Number of photographs ranked from 1st to 30th using the trailing edge.

7 CONCLUSIONS

As whales are wild marine fauna, identification of individuals using photographs of the fluke is necessary for their investigation and conservation. However, the following problems have arisen: Since there are few opportunities to shoot from the front when the tail is upright, the number of photos per whale is low. Even in our relatively good dataset, about 30% of the whales have only a single photograph, and 70% have fewer than four. Also, because the 3D shape of a fluke is complex, if the shooting angle is off or the tail is tilted, the shape will change significantly in the photograph. Furthermore, the tail is flexible and changes to its shape greatly depend on how the whale's power is applied. In terms of the black and white pattern on the fluke, it can be highly unclear, and the image will change considerably depending on how wet the fluke is and how the sun is shining on it. Therefore, the following method was proposed: First, pre-processing was performed using deep learning for treating the uncertainty of shape and pattern of the fluke. Identification was then performed using precise image processing methods that are thought to be tolerant compared to other image processing methods. The first method is to extract features of large black and white patterns using BoF. The other method is to extract features from the trailing edge using wavelet transform. Then the score was calculated by combining the results of both methods and ranking each photograph subjected to identification. As a result, 76% were correctly ranked in 1st place, and 89% were ranked within 1st to 30th place.

This result shows that these are very useful tools for whale researchers in identifying whales using fluke photographs. Although each algorithm is not new, we have shown that it is possible to identify whales well by combining them well.

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