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2 *Articles*

3 **Physical, Physiological, and Reproductive Effects on Adult Fall Chinook Salmon Due to**  
4 **Passage Through a Novel Fish Transport System**

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12

13 **Abstract**

14 Movement past hydroelectric dams and related in-river structures has important  
15 implications for habitat connectivity and population persistence in migratory fish. A major  
16 problem is that many of these structures lack effective fish passage facilities, which can fragment  
17 spawning and rearing areas and negatively impact recruitment. While traditional fish passage  
18 facilities (e.g., ladders, trap and haul) can effectively enable fish to pass over barriers, their  
19 capital or operational costs can be significant. We evaluated the utility of a novel transport  
20 device that utilizes a flexible tube with differential internal air pressure to pass fish around in-  
21 river barriers. A total of  $N = 147$  adult fall Chinook salmon (*Oncorhynchus tshawytscha*) nearing  
22 maturation were apportioned to three treatments and a control group. In two of the treatments,  
23 adult fall Chinook salmon were transported through the device via two lengths of tube (12 or 77  
24 m) and their injury, stress, and immune system responses and reproductive function were  
25 compared to a third treatment where fish were moved by a standard trap and haul method and  
26 also to a control group. We observed no significant differences among the treatment or control  
27 groups in post-treatment adult survival, injury or stress. Indicators of immune system response  
28 and reproductive readiness were also not significantly different among the four groups. Egg  
29 survival was significantly different among the groups, with the highest survival in the eggs from  
30 females transported 77 m and lowest in the control group; the differences were highly variable  
31 within groups and not consistent with the duration of treatment or degree of handling. Taken  
32 together, the results suggest the device did not injure or alter normal physiological functioning of  
33 adult fall Chinook salmon nearing maturation and may provide an effective method for  
34 transporting such fish around in-river barriers during their spawning migration.

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36 **Keywords:** Whooshh, transport, in-stream barriers, hydropower

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## Introduction

57         Adult Pacific salmon (*Oncorhynchus* spp.) are often assisted in their upstream migration  
58 over instream barriers through the use of active transport methods such as trap and haul  
59 techniques. Trap and haul involves capturing fish in a device such as a fish trap and then moving  
60 them by hand or other means to a tank on a vehicle which is then used to haul the tank and fish  
61 around the barrier where the fish are released to continue their upstream migration. While  
62 commonly used by fisheries management agencies, trap and haul techniques can have significant  
63 impacts to individual fish due to handling and confinement. For example, Keefer et al. (2010)  
64 noted that among other factors, handling stress associated with a trap and haul facility on the  
65 Willamette River, Oregon, may have contributed to high pre-spawning mortality rates in adult  
66 spring Chinook Salmon (*O. tshawytscha*) out-planted above barrier dams. Further, trap and haul  
67 is not typically operated continuously which can substantially delay upstream migration.  
68 Sockeye salmon (*O. nerka*) were delayed a median of 0.4 to 8.7 days at a trapping facility on the  
69 Wenatchee River, Washington, and the facility may have precluded 8% to 38% of the return  
70 (2,387 to 21,090 adults) from reaching upstream spawning areas (Murauskas et al. 2014). The  
71 development of a cost-effective and adaptable system as an alternative to trap and haul for  
72 moving fish could have substantial benefits for affected fish populations. Ideally, such a system  
73 should minimize stress and injury and have no long-term impact on survival, growth, or  
74 reproduction.

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       The Whooshh Fish Transport System (WFTS) has been developed by Whooshh  
Innovations LLC, Seattle, Washington, as an alternative to trapping and hauling fish around

77 instream barriers. The system is highly portable and consists of a flexible transport conduit  
78 (hereafter tube) that utilizes differential internal air pressure to move fish. Widespread adoption  
79 of this technology, however, has been hindered because of limited evaluations on how the WFTS  
80 could impact fish health, particularly for populations of conservation interest. A major concern  
81 for application of the WFTS for migrating adult salmon is that fish are de-watered during  
82 transport through the system, which can potentially cause epithelial injury, increase stress and  
83 impair behavioral and endocrine functions that are important for reproductive success (Goetz  
84 1983; Schreck et al. 2001). Mesa et al. (2013) evaluated a prototype of the WFTS to assess the  
85 physiological responses in hatchery adult rainbow trout (*O. mykiss*) and showed that mean  
86 plasma cortisol, glucose, and lactate did not differ between controls and fish transported 15 m  
87 through the WFTS. In addition, none of the fish showed signs of injuries such as descaling,  
88 abrasions or loss of mucous (Mesa et al. 2013). The authors noted, however, that important  
89 questions for widespread acceptance of the device would be to explore the transport  
90 effectiveness as well as the short term (injury) and long term (reproductive viability of  
91 gametes) effects on fish moved over longer distances of tens to hundreds of meters (Mesa et al.  
92 2013).

93         Improvements in the design of the WFTS since the original study (e.g., optimizing  
94 internal pressure configuration) have allowed for transport of fish over longer distances (~ 80 m),  
95 but the effects on physiological responses and injury at these distances have not been examined.  
96 In addition, the WFTS has not been compared to traditional active transport techniques, such as  
97 trap and haul. In this study, we compared the effects of transport distance within the WFTS  
98 against standard trap and haul methods on survival to spawning, injury to epithelial tissue,

99 general stress, immune response, reproductive readiness and gamete survival in adult hatchery  
100 fall Chinook salmon.

## 101 **Methods**

### 102 **Fish collection and sorting**

103 Male and female adult fall Chinook salmon in a pre-spawning condition were collected  
104 from the volunteer trap at Priest Rapids Hatchery on October 27-31, 2014. Priest Rapids  
105 Hatchery is owned by the Public Utility District of Grant County and operated by the  
106 Washington Department of Fish and Wildlife (WDFW). The hatchery is located in eastern  
107 Washington State at approximately river kilometer (rkm) 639 on the Columbia River. Fish  
108 collected in the trap are predominantly of hatchery origin and only hatchery origin fish were used  
109 in this study. After capture at the trap, the salmon were loaded into fish transport trucks using an  
110 Archimedes pump, driven approximately 0.8 km, and transferred by pipe into a concrete raceway  
111 measuring 30 m long, 3 m wide, and 1 m deep. Fish were prevented from jumping out of the  
112 raceway by a combination of cyclone fencing and plastic netting that extended vertically along  
113 both the sides and ends of the raceway. The raceway was supplied with water from the  
114 Columbia River that ranged between 14 and 15.5°C during the study, with a turnover rate of  
115 approximately once every 1 hour.

116 Prior to treatment, the salmon were crowded into a confined area and individual fish were  
117 netted from the raceway into a buffered anesthetic solution (100 mg/L MS-222) where they were  
118 held until they reached stage 4 anesthesia (loss of equilibrium; Summerfelt and Smith 1990).  
119 Once fish were anesthetized, their fork length (FL), wet weight, and maximum circumference  
120 were measured and recorded. A preliminary assessment of the external condition of the fish was

121 also conducted to document eye or nose damage, and any abrasions, lacerations, cuts, or scars on  
122 the body. Fish of the appropriate size and condition were tagged with a passive integrated  
123 transponder (PIT) tag injected into the dorsal sinus to identify individual fish throughout the  
124 study. Following tagging, fish were returned to the raceway to recover from anesthesia.

## 125 **Experimental treatment**

126 The movement of fish was conducted November 4-6, 2014. Adult fall Chinook salmon  
127 were randomly assigned to one of four groups which consisted of a control and three treatments  
128 (Table 1). Control fish ( $N = 36$ ) were netted from the holding raceway into anesthesia (35 ppm  
129 AQUI-S 20E, AQUI-S New Zealand LTD, New Zealand). Once fish reached stage 2 anesthesia  
130 (Summerfelt and Smith 1990) they were either examined for macroscopic injuries using  
131 fluorescein ( $N = 12$ ) or placed in the holding raceway to recover ( $N = 24$ ). Rubber mesh carry  
132 totes were used to transfer fish among the anesthesia and fluorescein dye stations and the  
133 raceway.

134 Fish used in the WFTS treatment groups were randomly lifted by hand from the raceway,  
135 scanned for a PIT tag and placed into the WFTS one at a time, in groups of 3 to 5; fish were not  
136 anesthetized when they transported through the tube. The WFTS consisted of an accelerator  
137 (pump-house), pump, generator, hanger system, and two lengths of tubing (12 m, hereafter  
138 WFTS-12, or 77 m, hereafter WFTS-77) that could be interchanged with the accelerator  
139 depending on the treatment (Figure 1A). The diameters of both the WFTS-12 and WFTS-77  
140 tubes were sized for salmon approximately 7-14 kg in mass (maximum circumference = 48-60  
141 cm); proper tube diameter relative to the fish circumference ensures optimal system pressures are  
142 created to move fish through the tube. The accelerator of the WFTS was placed in the end of the  
143 raceway where the fish were crowded. The opening to the accelerator was positioned so that fish

144 could be moved directly from the water by hand into the accelerator where they were transported  
145 through the WFTS-12 or WFTS-77 tube into a separate raceway filled to a water depth of  
146 approximately 1 m. While the slope for both tubes was essentially zero (i.e., flat with no  
147 elevation gain), the layout of the two tubes was different. The 12-m tube went straight from the  
148 fish holding raceway to the fish exit raceway while the 77-m tube followed a racetrack  
149 configuration with four corners (Figure 1B). After exiting the WFTS, the salmon were crowded,  
150 netted, and placed into an anesthetic bath (35 ppm Aqui-S 20E) where they were either examined  
151 for macroscopic injuries using fluorescein or returned to the holding raceway. A total of  $N = 36$   
152 and  $N = 39$  adult salmon were sent through the WFTS-12 and WFTS-77, respectively (Table 1).

153 Salmon used for the trap and haul treatment ( $N = 36$ ; Table 1) were crowded in the  
154 raceway and individually placed into a tote (volume = 850 L) using a polypropylene transfer  
155 sleeve; fish were not anesthetized when they were placed into the tote. The tote with fish ( $N = 6$ -  
156 11) was then lifted with a fork lift and poured into the holding tank of the fish transport truck.  
157 Fish were held in the truck for 30 to 45 min after which they were transferred by pipe into a  
158 raceway, crowded, and then netted into an anesthetic bath (35 ppm Aqui-S 20E). Once fish  
159 reached stage 2 anesthesia (Summerfelt and Smith 1990) they were either examined for  
160 macroscopic injuries using fluorescein ( $N = 10$ ) or placed in the holding raceway to recover ( $N =$   
161 26).

## 162 **Epithelial damage detection**

163 Fluorescein dye (Fluorescein, Disodium Salt; Aldon Corp., Avon, New York) was used  
164 on a subsample of fish to assess latent injuries to epithelial tissue (Table 1). Fluorescein binds to  
165 hemoglobin where epithelial damage has occurred and can be detected with ultraviolet (UV)  
166 light to quantify the amount of injury (Colotelo and Cooke 2011). Following treatment,

167 anesthetized fish (35 ppm Aqui-S 20E) were placed in a 0.2 mg/mL solution of aerated  
168 fluorescein for 6 min. They were then transferred to an aerated anesthetic rinse bath (35 ppm  
169 Aqui-S 20E) for 6 min. After the rinse bath, fish were photographed on both sides under 254 nm  
170 UV light using a digital SLR Nikon D200 camera (Nikon Inc., Millville, New York). Fresh  
171 water was flushed over the gills during photography.

172         Photographs were evaluated using Image-J software (<http://rsb.info.nih.gov/ij/>), January  
173 2015; National Institute of Health, Bethesda, Maryland), which was used to preview the images,  
174 perform contrast adjustments, and determine the number of pixels that represented the entire area  
175 of the fish. To provide a systematic and repeatable means of measuring injured regions, we  
176 developed an automated image classification algorithm to isolate pixels exhibiting a fluorescein  
177 signature. The damaged tissue pixel classification algorithm was implemented using Python  
178 open-source scripting language. The algorithm proceeded in a step-wise fashion to: (1) calculate  
179 summary pixel statistics of the approximate amount of damaged tissue (e.g. minor or major), (2)  
180 select a threshold based on this determination, (3) isolate and refine the damage pixels, and (4)  
181 compute the proportion of damage for each image. Images from fish that experienced extensive  
182 damage exhibited a bimodal pixel distribution and were ideally suited for classification via the  
183 Otsu threshold (Otsu 1975). Images of fish that experienced minor damage were not bimodal  
184 and were classified using the median Otsu threshold calculated from the extensive damage image  
185 set. The proportion of epithelial damage on each side of the fish was calculated by dividing the  
186 total number of fluorescein-stained pixels by the total number of pixels encompassed by the fish.  
187 The proportion of epithelial damage for the left and right sides were then summed and used for  
188 statistical analysis (Colotelo and Cooke 2011).

189 **Stress, reproductive readiness and immune response**

190 Cortisol and vitellogenin (Vtg) were measured in plasma and immunoglobulin M (*IgM*)  
191 and interleukin-1 beta (*IL1-β*) gene expression were measured in spleen tissue collected from  
192 adult female fall Chinook salmon at the time of spawning (November 7-8, 2014). Blood samples  
193 were collected from the caudal vasculature of anesthetized salmon (35 ppm Aqui-S 20E) using a  
194 4 mL vacutainer containing sodium heparin and a 21-gauge needle. Following blood sampling,  
195 the fish were euthanized to collect spleen tissue samples. Blood samples were placed on ice and  
196 spleen samples in RNA later® (Ambion Inc., Foster City, California) for transport to the lab.  
197 Upon arrival, the blood samples were centrifuged at 3,000 rpm for 15 min to separate the plasma  
198 and stored at -80°C until analysis.

199 Plasma cortisol concentrations were measured from un-extracted female plasma using  
200 competitive plasma cortisol expression enzyme immunoassay (EIA) following manufacturer's  
201 protocol (Cayman Chemical Company, Ann Arbor, Michigan). Plasma Vtg was measured using  
202 an EIA following manufacturer's protocol (Biosense Laboratories, Bergen, Norway).  
203 Differential expression of *IgM* and *IL1-β* in spleen ribonucleic acid (RNA) was determined  
204 using semi-quantitative polymerase chain reaction (qPCR; Freeman et al. 1999). Total RNA was  
205 isolated from spleen tissue (Ambion TriReagent, Austin, Texas), and relative concentrations  
206 were determined by ultraviolet spectrophotometry (GENE SYS 10). Complementary DNA  
207 (cDNA) to the spleen RNA template was prepared using a High Capacity cDNA Reverse  
208 Transcription Kit and a GeneAMP® PCR system 9700 (Applied Biosystems, Foster City,  
209 California). Primers for amplification were designed using PrimerQuest (IDT, Coralville, Iowa)  
210 (*IL1-β*: F 5' AGCAGGGTTCAGCAGTACATCACA 3', R 5'  
211 ATCAGGACCCAGCACTTGTTCTCA 3'; *IgM heavy chain*: F 5'

212 GTGACCCTGACTTGCTACGTCAAA 3', R 5' GCTCATCGTTAACAAGCCAAGCCA 3')  
213 using Chinook salmon sequence. Briefly, 1 µg of total spleen RNA was reverse transcribed with  
214 50 µM random hexamers. One tenth of the cDNA was used for each PCR reaction along with a  
215 SYBR® green master mix and 2 pmol of primers. Reagents and protocols for primer  
216 construction were from Applied Biosystems. Cycling was carried out with 40 cycles of 95°C for  
217 20 s, 60°C for 20 s, and 72°C for 10 s. Each gene assay included a standard curve of gel  
218 purified, template-specific cDNA, in serial dilutions for setting the cycle threshold. The cDNA  
219 expression levels for all samples were normalized to expression levels for 18S, using Ambion's  
220 Quantum RNA™ primers. DNA targets (*IL1-β* and *IgM*) were previously confirmed by  
221 comparing DNA sequences (sequencing performed by Agencourt, Danvers, Massachusetts) with  
222 known fish sequences for identity using the BLAST algorithm (NCBI, NIH). The resulting DNA  
223 sequence information was compared with known sequences for identity using BLAST (basic  
224 local alignment search tool) algorithm (<http://blast.ncbi.nlm.nih.gov/>, October 2012) and both  
225 target sequences were confirmed with >98% nucleotide match to other salmonid species.

## 226 **Gamete viability**

227 Males and females that were sexually mature at the time of post-treatment blood  
228 sampling were euthanized and stripped of eggs and sperm, which were placed in coolers on ice  
229 and returned to the Aquatic Research Laboratory (ARL) at the Pacific Northwest National  
230 Laboratory (PNNL), Richland, Washington. At the ARL, eggs and sperm from individual fish  
231 were mixed 1:1 within treatment groups to form a total of  $N = 37$  full sib families. The fertilized  
232 eggs were divided into three sub-samples per family (approximately 100 eggs per sub-sample)  
233 and randomly assigned to a stack, tray and cell in vertical flow incubators. The incubation trays  
234 were modified with perforated PVC sheet to create 12 individual cells per tray and  $N = 144$  total

235 cells ( $N = 2$  stacks with  $N = 5$  or  $7$  trays per stack and  $N = 12$  cells per tray). Fertilized eggs were  
236 held in incubation trays at  $\sim 10^{\circ}\text{C}$  until they reached the eyed egg stage (December 17, 2014, or  
237 approximately 40 days post-fertilization), at which time the number of live and dead eggs were  
238 counted to determine survival.

## 239 **Data analysis**

240 Differences among groups in post-treatment adult survival to spawning were determined  
241 by Chi-square analysis (Zar 1984). The average embryo survival to the eyed stage (subsamples  
242 were averaged per family) and proportion of adult salmon that experienced epithelial injury were  
243 both assessed by one-way analysis of variance (ANOVA) after arcsine transformations to meet  
244 the assumptions for normality and equal variances. Plasma cortisol and Vtg were also analyzed  
245 by ANOVA after  $\log_{10}$  transformation to meet these assumptions. *IL1- $\beta$*  and *IgM* values did not  
246 meet the assumptions for normality and equal variances after  $\log_{10}$  transformation and were  
247 tested by Kruskal-Wallis analysis of variance by ranks. All analyses used  $P = 0.05$  as a level of  
248 significance.

## 249 **Results**

### 250 **Adult survival**

251 The proportion of fish alive at the time of spawning ranged from 0.67 for the control  
252 group to 0.81 for trap and haul (Figure 2). The proportion that survived to spawning for the  
253 WFTS-12 and WFTS-77 was 0.69 and 0.77, respectively. On the day of treatment, two fish in  
254 each of the control, WFTS-12, and WFTS-77 groups died. Throughout the remainder of the  
255 study, mortality rates ranged from 0 to 7 individuals per treatment group per day. There was no  
256 significant difference in the survival of adults among treatment groups ( $\chi^2 = 2.5$ ,  $df = 3$ ,  $P =$

257 0.48). Overall, travel time through the 12 m transport tube was 3 to 4 s, whereas, transport  
258 through the 77 m transport tube occurred in a mean time of 13 s (range: 10-17 s).

### 259 **Epithelial damage detection**

260 In general, the proportion of fish from all groups that suffered damage to epithelial tissue  
261 was low but was variable. The mean ( $\pm$  standard deviation) proportion of injury from the  
262 WFTS-12 ( $0.18 \pm 0.11$ ) and WFTS-77 ( $0.14 \pm 0.17$ ) groups was nearly twice as high as the mean  
263 values measured in the control ( $0.08 \pm 0.08$ ) and trap and haul ( $0.10 \pm 0.04$ ) groups. However,  
264 there was considerable variation within the two groups sent through the WFTS (Figure 3). As  
265 such, there was no significant difference in the measured proportions of epithelial damage among  
266 groups ( $F = 2.14$ ,  $df = 3, 38$ ,  $P = 0.11$ ).

### 267 **Stress, reproductive readiness and immune response**

268 The mean ( $\pm$  standard deviation) plasma cortisol concentration in the control group  
269 ( $3,554.9 \pm 1,468.7$  ng/ml) was 20 to 30% higher than the trap and haul ( $2,542.4 \pm 2,264.2$  ng/ml),  
270 WFTS-12 ( $2,451.0 \pm 1,339.2$  ng/ml), and WFTS-77 ( $2,827.8 \pm 2,239.7$  ng/ml) but varied widely  
271 within all groups (Figure 4) and there were no significant differences among the groups ( $F =$   
272  $1.05$ ,  $df = 3, 37$ ,  $P = 0.38$ ). The mean ( $\pm$  standard deviation) plasma Vtg concentrations in the  
273 WFTS-12 ( $1.6 \pm 1.9$  mg/ml), WFTS-77 ( $1.5 \pm 1.3$  mg/ml), and trap and haul ( $1.2 \pm 1.1$  mg/ml)  
274 groups were more than double that of the control group ( $0.6 \pm 0.3$  mg/ml); however, there were  
275 no significant differences ( $F = 1.62$ ,  $df = 3, 59$ ,  $P = 0.19$ ) among the groups, in part because of  
276 the large amount of variability observed across the groups (Figure 5). There was also  
277 considerable variability in values for *IL1- $\beta$*  and *IgM* (Figure 6). The mean ( $\pm$  standard deviation)  
278 relative gene expression for *IL1- $\beta$*  ranged from  $0.003 \pm 0.01$  for WFTS-77 to  $1.7 \pm 6.1$  for

279 control fish and did not differ among the experimental groups ( $\chi^2 = 3.20$ ,  $df = 3$ ,  $P = 0.36$ ). The  
280 mean ( $\pm$  standard deviation) values for *IgM* ranged from  $0.03 \pm 0.09$  for the WFTS-77 to  $13.8 \pm$   
281  $27.4$  for the WFTS-12 and also did not differ among treatments ( $\chi^2 = 4.15$ ,  $df = 3$ ,  $P = 0.24$ ).

## 282 **Gamete viability**

283 The mean proportion of eggs surviving to the eyed stage within the four groups were  
284 significantly different from one another ( $F = 4.09$ ,  $df = 3, 33$ ,  $P = 0.01$ ). The mean ( $\pm$  standard  
285 deviation) values ranged from  $0.28 \pm 0.16$  for the control fish to  $0.77 \pm 0.31$  for the WFTS-77.  
286 The variation within all the groups was high and in some cases ( $N = 2$ ) survival for individual  
287 families was equal to zero (Figure 7).

## 288 **Discussion**

289 Taken together, our evaluation indicates that the WFTS moved pre-spawning adult fall  
290 Chinook salmon quickly and effectively, regardless of the transport distances included in this  
291 study (12 or 77 m). The measured physical and physiological effects of transport through the  
292 WFTS were not significantly different than those measured in fish exposed to minimal handling  
293 (control) or to standard trap and haul procedures. Egg survival was significantly different among  
294 the groups, with the highest survival in the eggs from females transported 77 m and lowest in the  
295 control group. These survival rates, however, were not consistent with the duration of treatment  
296 or degree of handling and did not reveal latent effects on offspring survival after transport  
297 through the WFTS. Some of our results, however, were highly variable, which may relate to the  
298 fact that the fish used in this study are from a single population sampled over a few days when  
299 they were reproductively mature and nearing a state of post-spawning death.

300 **Adult survival**

301 Overall, the proportion of adult fall Chinook salmon alive at the end of the study that  
302 passed through the WFTS-12 (0.69) and WFTS-77 (0.77) were comparable to that of the control  
303 (0.67) and trap and haul (0.81) treatment groups. These survival rates are lower than previous  
304 research on the WFTS, e.g., Mesa et al. (2013) reported no injuries or mortalities of adult  
305 rainbow trout that traversed 15 m through an earlier version of the WFTS. Differences in the  
306 sexual maturity of fish in this study may account for the lower survival rates compared to  
307 previous tests with the WFTS. The adult fall Chinook salmon used in the current study were  
308 sexually mature at the time of testing. In comparison, the rainbow trout used by Mesa et al.  
309 (2013) were not sexually mature at the time of testing and did not have the added stress  
310 associated with semelparity which may have contributed to the higher survival rates (Donaldson  
311 and Fagerlund 1968).

312 Overall, the survival rates of adult fall Chinook salmon observed in the current study are  
313 comparable to previous investigations into the effects of trap and haul. For example, Keefer et  
314 al. (2010) found that total pre-spawning mortality for adult spring Chinook salmon that were  
315 captured, transported, and out-planted above barrier dams in the Willamette River, Oregon, was  
316 48%, ranging from 0% to 93% for individual release groups with mortality rates strongly  
317 correlated with fish condition and water temperature. Comparatively, Al-Chokhachy et al.  
318 (2014) reported survival rates of 98.3% to 100% for a variety of anadromous salmonid species;  
319 however, specific information on the individual fish characteristics and environmental conditions  
320 encompassed in this analysis is unknown.

321 **Epithelial damage detection**

322 Adult fall Chinook salmon that were transported through the WFTS in this study did not  
323 have significantly different proportions of epithelial damage when compared with fish that were  
324 handled using standard trap and haul procedures, or those that served as controls. The epithelial  
325 layer of fish serves as an important barrier to pathogens, ultraviolet light, and desiccation  
326 (Sheppard 1994). Damage to this layer may weaken the barrier, increasing the susceptibility of  
327 fish to infections (Ventura and Grizzle 1987; Svendsen and Bøgwald 1997; Van West 2006).  
328 For example, *Saprolegnia* spp., one of the most notable pathogens for adult salmon, infects its  
329 fish hosts via damage to the epithelial layer, beginning around the head or fins. These infections  
330 can then spread quickly over the entire body of the fish, ultimately resulting in mortality (Van  
331 West 2006). Due to the advanced state of maturation of fish included in this study and  
332 *Saprolegnia* spp. infections on some individuals prior to testing, it is unknown how the epithelial  
333 damage detected post-treatment may have influenced the infection and mortality rates. However,  
334 similar rates in mortality and epithelial damage among treatments suggest that transport through  
335 the WFTS did not increase the susceptibility of infection for adult fall Chinook salmon.

336 **Stress, reproduction readiness, and immune response**

337 We evaluated the expression of two genes that represent the potential for innate and  
338 adaptive immune responses and could be compared between treatments for differential  
339 expression. Immunoglobulin M (*IgM*) is an antibody produced by B cells in response to antigen  
340 exposure and general activation of the adaptive immune system. Interleukin-1 beta (*IL1-β*) is a  
341 cytokine protein involved in rapid response to inflammation that could result from injury (Zhu et  
342 al. 2013). Tissue immune gene expression may provide information regarding physiological  
343 response to injury that requires tissue repair (Whyte 2007), such as abrasions or cuts that might

344 occur during transport through the WFTS or by netting and handling during the trap and haul  
345 procedure, and response to secondary infections. We found no significant differences in immune  
346 gene expression among the treatment and control groups, which is consistent with there being no  
347 significant difference in the average proportion of epithelial damage among treatment groups in  
348 this study. In general, the proportions of injured fish were low ( $\leq 0.16$ ), which is surprising  
349 given their advanced state of maturation where even minor injuries can rapidly lead to  
350 widespread fungal (e.g. *Saprolegnia*) infestation and tissue necrosis (Van West 2006). The lack  
351 of an immune system response may indicate a lack of injuries sufficient to stimulate an  
352 inflammatory response (*IL1- $\beta$* ), or may be a result of the high levels of cortisol suppressing the  
353 immune response due to senescence (Wendelaar Bonga 1997; Tort 2011). It is also important to  
354 note that the adaptive immune response marker was measured two to three days post-treatment  
355 and the upregulation of antibodies in fish, such as *IgM*, has been demonstrated to occur more  
356 than three days post exposure to antigens as a result of infections or inflammation (Magnadottir  
357 2010).

358 Plasma cortisol, a steroid hormone released into the blood stream in response to stress  
359 (Barton 2002), was measured in females as an indicator of the stress associated with the WFTS  
360 and trap and haul treatments. Similar to results found by Mesa et al. (2013) for rainbow trout,  
361 there were no significant differences seen in plasma cortisol among treatments. However,  
362 plasma cortisol levels measured in this study were approximately 100 times higher than those  
363 reported by Mesa et al. (2013) 0 to 24 hours post-treatment for rainbow trout and roughly 10  
364 times higher than those reported for migrating sockeye and pink (*O. gorbuscha*) salmon (Cook et  
365 al. 2011; Flores et al. 2012). It is possible that these elevated cortisol levels may be a result of  
366 Chinook salmon approaching senescence because cortisol is known to increase during the period

367 of sexual maturation, spawning and death in salmonids (Donaldson and Fagerlund 1968;  
368 Kubokawa et al. 1999; Jefferies et al. 2011; Baker and Vynne 2014). In addition, cortisol has  
369 been shown to be negatively correlated with fitness for pink salmon when measured on the  
370 spawning grounds (Cook et al. 2011). Further, Mesa et al. (2013) examined the effects of the  
371 WFTS on rainbow trout, an iteroparous species, whereas semelparous fish, such as Chinook  
372 salmon like those in this study, have been found to have higher cortisol concentrations which is  
373 thought to facilitate post-spawning death (Barry et al. 2001). Finally, the fish in this study were  
374 not anesthetized prior to transport treatment, which also may have contributed to the elevated  
375 levels of cortisol. In contrast, Mesa et al. (2013) anesthetized the adult rainbow trout before  
376 transport. They suggested that because anesthesia is a common practice at many fish sorting  
377 facilities, this method would provide an effective test of the device. This is probably not the case  
378 at facilities that handle or pass large numbers of fish in a short time period and we were  
379 interested in determining how non-anesthetized fish would respond to WFTS transport in such  
380 applications.

381 Plasma Vtg is a yolk precursor lipoprotein that is synthesized in the liver and transported  
382 by the blood to developing eggs where it is cleaved into phosvitin and lipovittelin (high in  
383 omega-3 phospholipids) that serve as food for developing embryos (Wiegand 1996). Plasma Vtg  
384 levels decline as the fish approaches reproductive maturity and the eggs are fully developed and  
385 ready for fertilization (Ueda et al. 1984). Stress during certain stages of maturation has been  
386 found to delay or accelerate the maturation process (as reviewed by Schreck et al. 2001). Similar  
387 plasma Vtg concentrations among the groups studied here may be an indication that all fish were  
388 at a similar maturation level and that stress encountered from handling and/or treatment did not  
389 have an effect on accelerating or delaying the maturation process.

390 **Gamete viability**

391 Gamete survival differed significantly among treatment and control fish, but it is not clear  
392 if these differences were biologically meaningful. The highest survival was observed in the  
393 WFTS-77 and trap and haul treatments, which seems counterintuitive because these two  
394 treatments involved the greatest amount of handling or time that the salmon were dewatered.  
395 One explanation is for the counterintuitive result is that we collected gametes from only 6 – 11  
396 pairs of spawners from each group. Clearly, larger sample sizes would have added additional  
397 statistical power to our study in order to detect meaningful differences had they existed. Another  
398 explanation is related to the excessive amount of handling of the fish that was required to  
399 complete the study. Additional handling or dewatering time could potentially elevate stress  
400 levels for these treatment groups, and although there were no significant differences in cortisol  
401 levels among the treatment groups, the highest mean ( $\pm$  standard deviation) concentrations  
402 occurred in the control fish ( $3,555 \pm 1,469$  ng/ml ), while the lowest concentrations were found  
403 in the WFTS-12 group ( $2,451 \pm 1,339$  ng/ml ). Increased maternal stress prior to spawning can  
404 lead to higher levels of cortisol in freshly ovulated eggs, but the effects on embryo viability are  
405 equivocal (Campbell et al. 1992; Stratholt et al. 1997; Eriksen et al. 2006). For example, both  
406 Campbell et al. (1992) and Eriksen et al. (2006) reported lower survival rates for progeny from  
407 stressed rainbow trout and Atlantic salmon (*Salmo salar*), respectively, compared to unstressed  
408 adult fish, whereas Stratholt et al. (1997) found no difference in embryo survival for coho  
409 salmon (*O. kisutch*) from stressed and unstressed adults despite the fact that cortisol  
410 concentrations were significantly higher in the eggs from stressed females.

411 Increased levels of cortisol can also affect gamete quality by mediating other endocrine  
412 pathways such as estradiol (Pottinger and Pickering 1990) and Vtg (Ding et al. 1993; Campbell

413 et al. 1994). We did not measure estradiol in this study, and although the differences were not  
414 significant, the mean ( $\pm$  standard deviation) plasma Vtg concentrations in the control fish ( $0.63 \pm$   
415  $0.34$  mg/ml) were less than half of those found in the other treatment groups ( $\leq 1.21 \pm 1.07$   
416 mg/ml). Whether this reflects stress related suppression of Vtg or the fact that this group of fish  
417 was at a more advanced state of maturation is unclear because the effects of stress on synthesis  
418 of Vtg are highly variable (Ding et al. 1993, 1994; Campbell et al. 1994; Lethimonier et al. 2000;  
419 Berg et al. 2004; Schwindt et al. 2007). However, if these lower levels of Vtg in the control fish  
420 were indicative of more advanced maturation, it could partly explain the lower egg survival in  
421 this group because the dates the fish were spawned did not necessarily coincide with the time of  
422 optimum ripeness and free release of gametes, but were also influenced by the timing of study,  
423 which was water temperature dependent, i.e., the salmon were not captured until the river water  
424 fell below  $15^{\circ}\text{C}$  to reduce the likelihood of pre-spawning mortality.

#### 425 **Future research**

426         Currently the WFTS is being proposed as an alternative to traditional fish passage routes  
427 over hydropower dams (e.g., fish ladders, elevators or trap and haul). The development of a  
428 cost-effective and adaptable system to facilitate upstream passage at hydropower structures could  
429 have substantial benefits for affected fish populations and potentially expand opportunities for  
430 new hydropower systems globally. Ideally, such a system should minimize stress and injury for  
431 fish and have no long-term impact on survival, growth, or reproduction. The results of this  
432 study, combined with the earlier work of Mesa et al. (2013), suggest the WFTS is a promising  
433 fish passage alternative and the two studies provide a baseline upon which to conduct future  
434 research. Additional topics that deserve attention include disease transmission, the practicality of  
435 the WFTS in reducing the amount and duration of handling, and a determination of whether

436 additional physiological stress and injury occurs to fish if they are transported in the WFTS over  
437 elevations and inclines that are necessary to pass fish upstream over moderate to high head dams.

438         The transmission of disease as fish pass through the WFTS has been raised as a potential  
439 issue by management agencies (Dale Bambrick, National Marine Fisheries Service, personal  
440 communication with DRG, May 14, 2014) but has not been studied to date. Run-of-river fish  
441 may carry pathogens and deposit them in the tube due to the direct contact during passage. Fish  
442 with compromised immune systems or damaged epithelial layers, whether due to transport or  
443 previous injuries, may be more prone to infections which can have sub-lethal and lethal  
444 consequences (Cooke and Sneddon 2007). For example, senescent adult salmon may be more  
445 susceptible to disease transfer as they depress natural immune defense mechanisms as energy  
446 stores are catabolized to fuel reproduction (Mommsen et al. 1999; Carruth et al. 2000). Future  
447 research should consider rates of disease transmission and options for cleaning or disinfecting  
448 the conduit to minimize disease transmission.

449         Volitional entry and the ability of the WFTS to pass multiple species of varied sizes may  
450 enable the benefits of the WFTS to provide a lower cost alternative to traditional fish ladders  
451 while reducing the labor associated with trap and haul efforts. A volitional entry system has  
452 been incorporated into a WFTS used at Roza Dam on the Yakima River, Washington, and at  
453 Buckley Dam on the White River, Washington. Although Whooshh Innovations has indicated  
454 they are working on a system to identify, sort and pass a variety of fish sizes and species  
455 (Vincent Bryan, CEO, Whooshh Innovations, personal communication with DRG, April 27,  
456 2015), to our knowledge such a system has not been tested. This will be important for  
457 widespread adoption because passage systems deployed in natural river settings may be required  
458 to handle a variety of sizes of fish (both within and among species). For example, in the

459 Columbia River basin adult Chinook salmon, sockeye salmon, and steelhead (*O. mykiss*) may all  
460 be migrating upstream at the same time and range widely in size and body shape.

461 Although our evaluation was conducted on a WFTS with no elevation gain (i.e. 0° angle),  
462 the system has successfully demonstrated the ability to move fish over a change in elevation of  
463 approximately 100 m and a maximum incline of around 40° (  
464 <http://www.whooshh.com/specifications1.html>, May 2016). Rainbow trout were safely  
465 transported through a WFTS set at a 45° angle over about 3 m (Mesa et al. 2013). To our  
466 knowledge, however, no other studies have assessed physiological response of fish to passing  
467 vertical changes in elevation of 100 m or inclines of 40 to 45°. Further study on the  
468 physiological effects on fish transported over elevations differences approaching 100 m may be  
469 warranted if there will be an application to passing fish over hydropower dams.

#### 470 **Archived Material**

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476

477 Table A1. The results of a fall Chinook salmon (*Oncorhynchus tshawytscha*) passage and  
478 handling study conducted in November, 2014, at the Priest Rapids Salmon Hatchery, Mattawa,  
479 Washington. Each adult salmon was given a Passive Integrated Transponder (PIT) tag with a  
480 unique identification code (column: PIT tag number). Their gender was determined (column:

481 Sex with M = male and F = female). Fork length was measured in cm (column: Length), body  
482 circumference was measured in cm (column: Circumference), and body weight taken in kg  
483 (column: Weight). Fish were divided into one of four treatment groups (column: Treatment) –  
484 Whoosh Fish Transport System (WFTS) 77 m tube (WFTS-77), WFTS 12 m tube (WFTS-12),  
485 trap and haul (T&H), or control. Treatment dates (column: Treatment date) ranged from  
486 November 4-6, 2014 and mortality dates (column: Mortality date) ranged from November 4-11,  
487 2014. The following information was collected on a subset of fish – column: Spleen *IL1-β*  
488 normalized with 18s (n = 65); column: Spleen *IgM* normalized with 18s (n = 65); column:  
489 Cortisol concentration (ng/mL) (n = 41); column: Day 3 vitellogenin concentration (mg/mL) (n =  
490 63); and column: Percent epithelial injury (%) (n = 42). In all columns, NR represents no data  
491 were recorded. Available from the Dryad Digital Repository:  
492 <http://dx.doi.org/10.5061/dryad.4g1n8>

493 Table A2. The gamete survival results from a study on the effects of passage and handling  
494 conducted in 2014 with adult fall chinook salmon (*Oncorhynchus tshawytscha*) that were  
495 captured at Priest Rapids Salmon Hatchery, Mattawa, Washington. Each fish was given a  
496 Passive Integrated Transponder (PIT) tag with a unique identification code (column: PIT tag  
497 number). Fish were divided into one of four treatment groups (column: Treatment) – Whoosh  
498 Fish Transport System (WFTS) 77 m tube (WFTS-77), WFTS 12 m tube (WFTS-12), trap and  
499 haul (T&H), or control. Their gender was determined (column: Sex with M = male and F =  
500 female). One female's eggs were fertilized with sperm from one male (column: Pair number) for  
501 a total of 37 pairings (i.e., sib family). The fertilized eggs were divided into three sub-samples  
502 per family (approximately 100 eggs per sub-sample) and randomly assigned to a stack, tray and  
503 cell in vertical flow incubators. Fertilized eggs were held in incubation trays at ~10°C until they

504 reached the eyed egg stage (December 17, 2014, or approximately 40 days post-fertilization), at  
505 which time the number of live and dead eggs were counted to determine gamete survival by cell  
506 (columns labeled 1<sup>st</sup> cell survival, 2<sup>nd</sup> cell survival, and 3<sup>rd</sup> cell survival, all percentages). Data  
507 analysis was done on the average embryo survival to the eyed stage (subsamples were averaged  
508 per sib family) (column: Average survival %). Available from the Dryad Digital Repository:  
509 <http://dx.doi.org/10.5061/dryad.4g1n8>

510 Reference A1: Chokhachy R, Sorel M, Beauchamp D, Clark C, Lowery E. 2014. Development  
511 of new information to inform fish passage decisions at the Yale and Merwin Hydro projects on  
512 the Lewis River: a review of existing data to anadromous fish reintroduction, collection and  
513 transport of anadromous fish above hydropower/dam facilities. Annual Report Prepared for  
514 PacifiCorp, Portland, OR. Available from the Dryad Digital Repository:  
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516

517

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537

538

**Tables**

539 Table 1. The sample sizes from a study on the effects of passage and handling conducted in  
 540 November, 2014, with adult fall chinook salmon (*Oncorhynchus tshawytscha*) that were captured  
 541 at Priest Rapids Salmon Hatchery, Mattawa, Washington. The sample sizes of adult fall  
 542 Chinook salmon are shown for the four groups (control, 12 m transport tube [WFTS-12], 77 m  
 543 transport tube [WFTS-77], and trap and haul) that were assessed for epithelial damage using  
 544 fluorescein dye, cortisol, vitellogenin (Vtg), immunoglobulin M (IgM), interleukin-1 beta (IL1- $\beta$ ),  
 545 and gamete viability through the eyed egg stage.

Treatment	Total	Epithelial damage	Cortisol	Vtg	IgM	IL1- $\beta$	Gamete viability
<i>Control</i>							
Males	13	5			3	3	10
Females	23	7	8	11	10	10	10
Total	36	12	8	11	13	13	10 pairs
<i>WFTS-12</i>							
Males	12	5			4	4	6
Females	24	5	9	15	13	13	6
Total	36	10	9	15	17	17	6 pairs
<i>WFTS-77</i>							
Males	14	5			3	3	10
Females	25	5	15	19	17	17	10
Total	39	10	15	19	20	20	10 pairs
<i>Trap and haul</i>							
Males	15	5			3	3	11
Females	21	5	9	18	12	12	11
Total	36	10	9	18	15	15	11 pairs

546

547

548

### Figure Captions

549           Figure 1. The results of a fall Chinook salmon (*Oncorhynchus tshawytscha*) passage and  
550 handling study conducted in November, 2014, at the Priest Rapids Salmon Hatchery, Mattawa,  
551 Washington. Photo of the entrance to the Whooshh Fish Transport System. The accelerator  
552 (pump-house) is suspended on supports placed within the raceway where the fish were held. The  
553 two interchangeable transport tubes measured 12 m and 77 m.

554           Figure 2. The results of a fall Chinook salmon (*Oncorhynchus tshawytscha*) passage and  
555 handling study conducted in November, 2014, at the Priest Rapids Salmon Hatchery, Mattawa,  
556 Washington. The cumulative adult fall Chinook salmon survival measured from the day of  
557 treatment (TD) until spawning (TD+3). Study groups were control, 12 m transport tube (WFTS-  
558 12), 77 m transport tube (WFTS-77), and trap and haul (T & H).

559           Figure 3. The results of a fall Chinook salmon (*Oncorhynchus tshawytscha*) passage and  
560 handling study conducted in November, 2014, at the Priest Rapids Salmon Hatchery, Mattawa,  
561 Washington. Comparison of the proportion of epithelial damage measured for each adult fall  
562 Chinook salmon among the four groups including control, 12 m transport tube (WFTS-12), 77 m  
563 transport tube (WFTS-77), and trap and haul (T & H). The horizontal line through the middle of  
564 each box represents the median; the lower and upper boundaries of the box are the 25<sup>th</sup> and 75<sup>th</sup>  
565 percentiles; the whiskers represent the 10<sup>th</sup> and 90<sup>th</sup> percentiles; and the circles represent the 5<sup>th</sup>  
566 and 95<sup>th</sup> percentile.

567           Figure 4. The results of a fall Chinook salmon (*Oncorhynchus tshawytscha*) passage and  
568 handling study conducted in November, 2014, at the Priest Rapids Salmon Hatchery, Mattawa,  
569 Washington. Comparison of the plasma cortisol concentration (ng/ml) among the four groups of

570 adult fall Chinook salmon including control, 12 m transport tube (WFTS-12), 77 m transport  
571 tube (WFTS-77), and trap and haul (T & H). The horizontal line through the middle of each box  
572 represents the median; the lower and upper boundaries of the box are the 25<sup>th</sup> and 75<sup>th</sup>  
573 percentiles; the whiskers represent the 10<sup>th</sup> and 90<sup>th</sup> percentiles; and the circles represent the 5<sup>th</sup>  
574 and 95<sup>th</sup> percentile.

575 Figure 5. The results of a fall Chinook salmon (*Oncorhynchus tshawytscha*) passage and  
576 handling study conducted in November, 2014, at the Priest Rapids Salmon Hatchery, Mattawa,  
577 Washington. Plasma vitellogenin concentration (mg/ml) for the each of the groups of adult fall  
578 Chinook salmon including control, 12 m transport tube (WFTS-12), 77 m transport tube (WFTS-  
579 77), and trap and haul (T & H). The horizontal line through the middle of each box represents  
580 the median; the lower and upper boundaries of the box are the 25<sup>th</sup> and 75<sup>th</sup> percentiles; the  
581 whiskers represent the 10<sup>th</sup> and 90<sup>th</sup> percentiles; and the circles represent the 5<sup>th</sup> and 95<sup>th</sup>  
582 percentile.

583 Figure 6. The results of a fall Chinook salmon (*Oncorhynchus tshawytscha*) passage and  
584 handling study conducted in November, 2014, at the Priest Rapids Salmon Hatchery, Mattawa,  
585 Washington. The mean ( $\pm$  standard deviation) relative gene expression for *IL1- $\beta$*  and *IgM*  
586 normalized with 18S for each of the groups of adult fall Chinook salmon including control, 12 m  
587 transport tube (WFTS-12), 77 m transport tube (WFTS-77), and trap and haul (T & H).

588 Figure 7. The results of a fall Chinook salmon (*Oncorhynchus tshawytscha*) passage and  
589 handling study conducted in November, 2014, at the Priest Rapids Salmon Hatchery, Mattawa,  
590 Washington. Proportion of fall Chinook salmon eggs surviving to the eyed stage for each group  
591 including control, 12 m transport tube (WFTS-12), 77 m transport tube (WFTS-77), and trap and  
592 haul (T & H). Values were based on the average survival of the three replicates for each mating

593 pair. The horizontal line through the middle of each box represents the median; the lower and  
594 upper boundaries of the box are the 25<sup>th</sup> and 75<sup>th</sup> percentiles; the whiskers represent the 10<sup>th</sup> and  
595 90<sup>th</sup> percentiles; and the circles represent the 5<sup>th</sup> and 95<sup>th</sup> percentile.

596

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