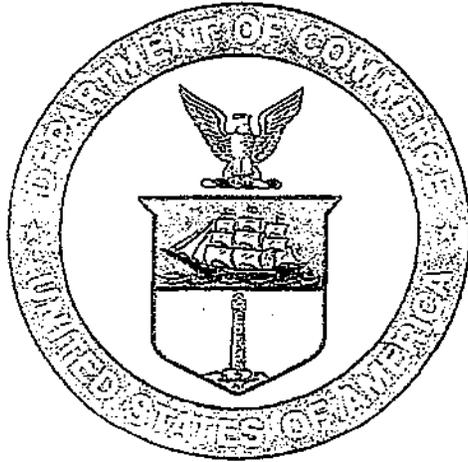


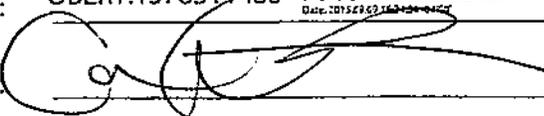
U.S. Department of Commerce
NOAA



Privacy Impact Assessment
for the
Seattle Local Area Network (LAN)

NOAA4600

Reviewed by: SWISHER.DONALD.R
OBERT.1376511460, Bureau Privacy Officer or Designee

Approved by: , DOC Chief Privacy Officer

Date approved: 10/5/15

Digitally signed by
SWISHER.DONALD.R OBERT.1376511460
DN: c=US, o=U.S. Government, ou=DoD, ou=DOC,
ou=DTMBA,
cn=SWISHER.DONALD.R OBERT.1376511460
Date: 2015.09.23 16:24:00 -0400

**U.S. Department of Commerce Privacy Impact Assessment
National Oceanic and Atmospheric Administration
Seattle, WA Local Area Network**

Unique Project Identifier: 006-48-01-14-02-3305-00

Introduction: System Description

West Coast Groundfish Observer Program (WCGOP) Database and Observer Logistics Database (ObsLog)

The WCGOP Database and the Observer Logistics Database (Obslog) systems are used, respectively, to store data collected by fishery observers used in fisheries management and stock assessments, and to track observer training, assignments, incidents, safety checklists, debriefing, observer provider contracts and observer-specific details.

The WCGOP Database collects information on fishing operations such as fishing gear used and locations of fishing activities. Catch and bycatch information is also collected as well as vessel information such as permit and documentation numbers and information regarding potential violations. Vessel and permit owner information such as name, address, phone number, vessel length and type and operator names are collected and stored from the Washington, Oregon and California Departments of Fish and Wildlife and from NOAA's West Coast Regional Office's permit lists in order to place observers on vessels as specified in the federal register and the Magnuson Stevens Fishery Conservation and Management Act. The U.S. Coast Guard is provided information on vessels selected for coverage for their boarding operations.

All information stored in the system is directly entered by NMFS observer program staff or observers. Observer program staff and other applicable NMFS staff have direct access through confidentiality agreements.

ObsLog collects information on potential observer candidates in order to determine if they meet eligibility requirements to serve as a fisheries observer. Name, address, college transcripts, statement of disclosure of a criminal record, potential conflicts of interest, and a physician's note stating the observer passed a physical are collected and stored only as paper copies in a locked cabinet in the observer program office; training history and certification and endorsement expirations are stored in ObsLog. ObsLog is also used to request debriefing meetings with observers via their providers.

Vessel safety checklists and reports/incidents from observers or observer providers regarding potential violations or observer injuries are also stored in ObsLog. Thus, these documents are available to observer providers, National Marine Fisheries Service's Office of Law Enforcement, and the United States Coast Guard. Observers themselves have access only to WCGOP.

Information about observer training or briefing needs generated by the database is accessible to observer staff and their providers. Currently there is no information sharing between observer

providers, but there are plans to share vessel safety checklists once a data sharing agreement is in place. The NOAA Office of Law Enforcement (OLE) accesses safety checklists and observer statements.

Legal authorities to collect PII and/or BII for WCGOP and ObsLog:

Magnuson Stevens Fishery Conservation and Management Act (MSA); Marine Mammal Protection Act; Endangered Species Act; and 50 CFR 660.16 Groundfish observer program.

Economic Data Collection (EDC) Database

The economic benefits of the West Coast groundfish trawl fishery and their distribution are likely to change under trawl rationalization. To monitor these changes, the rationalization program includes a mandatory economic data collection program. Using data collected from fishing industry members, the EDC program will monitor whether the goals of the Catch Share Program have been met. The EDC program will also help meet the requirements of the MSA for catch share evaluation.

The EDC requests data on costs, revenue, ownership, and employment and this information is used to study the economic impacts of the West Coast Trawl Groundfish Catch Share Program on affected harvesters, processors, and communities, as well as net benefits to the nation.

Each report also includes the following: the name, title, telephone number, fax number, and e-mail address of the person completing the EDC; name and address of the owner or lessee of the plant or vessel; Federal fisheries permit number; Federal processor permit number; Coast Guard vessel registration number or state vessel registration number, federal license number, state buyer number, and an assigned internal individual identifier.

Records are collected from all owners, lessees, and charterers of a catcher vessel registered to a limited entry trawl endorsed permit at any time in 2011 and beyond; All owners, lessees, and charterers of a mothership vessel registered to an MS permit at any time in 2011 and beyond; all owners, lessees, and charterers of a catcher processor vessel registered to a C/P-endorsed limited entry trawl permit at any time in 2011 and beyond; all owners of a first receiver site license in 2011 and beyond; all owners and lessees of a shorebased processor (as defined under "processor" at § 660.11, for purposes of EDC) that received round or headed-and-gutted individual fishing quota species groundfish or whiting from a first receiver in 2011 and beyond.

EDC staff regularly access data contained in the system to analyze and report on the status of the West Coast Trawl Catch Share Program. The only people who have direct access to the EDC system are EDC staff, other economists within the Fishery Resource Analysis and Monitoring Division. NMFS permit office staff have access to certain fields, including company name, and the status of permittees' EDC submissions. Any other NOAA employee or contractor would not have direct access to the system, but if they are doing appropriate research they will be given access to the data necessary to perform their research. All publicly available data are aggregated so that no PII/BII information is provided.

Legal authorities to collect PII and/or BII for EDC:

MSA; 50 CFR 660.114, Trawl Fishery - Economic Data Collection Program.

This is a moderate level system.

Section 1: Information in the System

1.1 Indicate what personally identifiable information (PII)/business identifiable information (BII) is collected, maintained, or disseminated. Check all that apply.

Identifying Numbers (IN)			
a. Social Security		e. Alien Registration	
b. Taxpayer ID		f. Driver's License	
c. Employee ID		g. Passport	
d. File/Case ID		h. Credit Card	
		i. Financial Account	
		j. Financial Transaction	
		k. Vehicle Identifier	
		l. Employer ID Number	
m. Other identifying numbers (specify):			

General Personal Data (GPD)			
a. Name	X	g. Date of Birth	X
b. Maiden Name		h. Place of Birth	
c. Alias		i. Home Address	X
d. Gender		j. Telephone Number	X
e. Age		k. Email Address	X
f. Race/Ethnicity		l. Education	X
		m. Religion	
		n. Financial Information	X
		o. Medical Information	X
		p. Military Service	
		q. Physical Characteristics	
		r. Mother's Maiden Name	
s. Other general personal data (specify): Observers' emergency contact information (whom to contact in case of observer emergency)			

Work-Related Data (WRD)			
a. Occupation	X	d. Telephone Number	x
b. Job Title	X	e. Email Address	x
c. Work Address	X	f. Business Associates	
g. Salary			
h. Work History			
i. Other work-related data (specify): ObsLog: observer deployments, official observer statements (also called incident reports, affidavits). Sometimes when an observer witnesses a potential violation, OLE requests them to fill out a statement regarding the event, WCGOP: Vessel length and type; vessel safety checklist, Work related Performance (Training, Scores, Evaluations) EDC: costs, revenue, ownership, and employment.			

Distinguishing Features/Biometrics (DFB)			
a. Fingerprints		d. Photographs	x
b. Palm Prints		e. Scars, Marks, Tattoos	
c. Voice Recording/Signatures		f. Vascular Scan	
		g. DNA Profiles	
		h. Retina/Iris Scans	
		i. Dental Profile	
j. Other distinguishing features/biometrics (specify):			

System Administration/Audit Data (SAAD)			
a. User ID	X	c. Date/Time of Access	X
b. IP Address		d. Queries Run	
		e. ID Files Accessed	
		f. Contents of Files	
g. Other system administration/audit data (specify):			

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Other Information (specify)
Observer data is comprised of: vessel characteristics information (name, USCG #, # crew, captain name), fishing effort information (fishing locations, gear used, depth etc), catch information (species caught, retained and discard, species compositions), biological data (otoliths, lengths, tissue samples) and protected species information (takes, injuries, sightings, samples, specimen collection)
EDC: species catch information

1.2 Indicate sources of the PII/BII in the system. Check all that apply.

Directly from Individual about Whom the Information Pertains					
In Person	X	Hard Copy: Mail/Fax	X	Online	X
Telephone	X	Email			
Other (specify):					

Government Sources					
Within the Bureau	X	Other DOC Bureaus		Other Federal Agencies	X
State, Local, Tribal	X	Foreign			
Other (specify):					

Non-government Sources					
Public Organizations		Public Media, Internet		Private Sector	X
Commercial Data Brokers					
Other (specify):					

Section 2: Purpose of the System

2.1 Indicate why the PII/BII in the system is being collected, maintained, or disseminated. Check all that apply.

Purpose			
To determine eligibility	x	For administering human resources programs	
For administrative matters		To promote information sharing initiatives	
For litigation		For criminal law enforcement activities	x
For civil enforcement activities	x	For intelligence activities	
Other (specify): The EDC program will monitor whether the goals of the Catch Share Program have been met.			

Section 3: Use of the System

3.1 Provide an explanation of how the bureau will use the PII/BII to accomplish the checked purpose(s), e.g., to verify existing data. Describe why the PII/BII that is collected,

maintained, or disseminated is necessary to accomplish the checked purpose(s) and further the mission of the bureau and/or the Department. Indicate if the PII/BII identified in Section 1.1 of this document is in reference to a federal employee/contractor, member of public, foreign national, visitor or other (specify).

WCGOP Database: Information collected from vessels is used in fisheries management and stock assessments. Information collected by observers, including statements of fact from vessels in the fishery may also be used by law enforcement to investigate and prosecute potential violations or criminal activity. Information collected is from members of the public.

ObsLog: Information collected is used to determine eligibility of applicants wishing to be trained as a federal fishery observer. There are educational and other requirements specified in the federal register that must be met for a person to be eligible. ObsLog also serves as the access point to OLE and USCG to view statements of fact and other incidents. Statements of fact are stored in the WCGOP database, but are viewable in ObsLog via a database link. Information collected is from members of the public.

Economic Data Collection (EDC) Database: The EDC requests data on costs, revenue, ownership, and employment and this information is used to study the economic impacts of the West Coast Trawl Groundfish Catch Share Program on affected harvesters, processors, and communities, as well as net benefits to the nation. Information is collected so that EDC economists may evaluate the Catch Share Program. Aggregated data and analyses are compiled into a report and presented to the Pacific Fishery Management Council. Additional economic analyses may be conducted by other NMSF staff. Information collected is from members of the public.

Section 4: Information Sharing

4.1 Indicate with whom the bureau intends to share the PII/BII in the system and how the PII/BII will be shared.

Recipient	How Information will be Shared			
	Case-by-Case	Bulk Transfer	Direct Access	Other (specify)
Within the bureau	X		X	
DOC bureaus				
Federal agencies			X	
State, local, tribal gov't agencies				
Public				
Private sector			X	
Foreign governments				
Foreign entities				
Other (specify):				

The PII/BII will not be shared.

Section 5: Notice and Consent

5.1 Indicate whether individuals will be notified if their PII/BII is collected, maintained, or disseminated by the system. Check all that apply.

X	Yes, notice is provided pursuant to a system of records notice published in the Federal Register and discussed in Section 6.	
X	Yes, notice is provided by other means.	Specify how: ObsLog: observer application: Those submitting the information are informed on the observer provider company's application that it is a requirement for participating in the program. WCGOP and ObsLog observation information: Vessel captains/owners receive letters from the permit office explaining the requirements when they apply for permits or individual fishing quota accounts. EDC: Notification is provided on the economic data survey instrument.
	No, notice is not provided.	Specify why not:

5.2 Indicate whether and how individuals have an opportunity to decline to provide PII/BII.

X	Yes, individuals have an opportunity to decline to provide PII/BII.	Specify how: ObsLog observer application: Observer applicants may decline to provide the information by not completing the application, but they would be denied entry into the program. Eligibility to perform the duties of a federal fishery observer cannot be determined without providing PII. WCGOP and ObsLog observation information: Vessel captains/owners may decline to provide PII/BII verbally or in writing to observers or observer program staff, but participation in a fishery requires consent to carry an observer when directed to by the agency and to provide information requested by the observer. If the individual declines, the vessel will be fishing out of compliance with the regulations and would be in violation. EDC: The respondent may decline by not completing and submitting the required EDC form, but that may delay the completion of administrative actions such as permit renewal, vessel registration, license issuance, and quota transfers. Economic data collection is mandatory under the Catch Share Program, and thus participation in the EDC program is mandatory under the regulation 50 CFR 660.114.
	No, individuals do not have an opportunity to decline to provide PII/BII.	Specify why not:

5.3 Indicate whether and how individuals have an opportunity to consent to particular uses of their PII/BII.

X	Yes, individuals have an opportunity to consent to particular uses of their PII/BII.	<p>Specify how:</p> <p>ObsLog observer application: Consent to the use of applicant information for determination of eligibility for employment is implied by completion of the application.</p> <p>WCGOP Database and and ObsLog observation information: Vessel captains/owners may not consent to provide PII/BII (by not providing notification to observers of planned trips, or not allowing observers to board), but participation in a fishery requires consent to carry an observer when directed to by the agency and to provide information requested by the observer. Observer coverage of fisheries is required by regulation and to participate in the fishery, information must be collected for management uses, including stock assessments, and may also be used by law enforcement to investigate and prosecute potential violations or criminal activity. There are no other uses.</p> <p>EDC: Vessel owners or captains may decline to provide consent to the use of their data in economic analyses (this is the only use of the data) by not completing the form, but failure to comply may delay the completion of administrative actions such as permit renewal, vessel registration, license issuance, and quota transfers.</p>
	No, individuals do not have an opportunity to consent to particular uses of their PII/BII.	Specify why not:

5.4 Indicate whether and how individuals have an opportunity to review/update PII/BII pertaining to them.

X	Yes, individuals have an opportunity to review/update PII/BII pertaining to them.	<p>Specify how:</p> <p>ObsLog observer application: Observers are able to submit updates or requests to view the data, to their observer provider.</p> <p>WCGOP Database and and ObsLog observation information: Fisher information is collected from state or federal agencies where fishers submit the information in order to participate in the fishery. Fishers may contact WCGOP administration or permitting office by email or telephone to update their contact information.</p> <p>EDC: Individuals may request their original submissions of PII/BII from the federal office staff. They may update any PII/BII via phone, fax, or mail.</p>
	No, individuals do not have an opportunity to review/update PII/BII pertaining to them.	Specify why not:

Section 6: Administrative and Technological Controls

6.1 Indicate the administrative and technological controls for the system. Check all that apply.

X	All users signed a confidentiality agreement.
X	All users are subject to a Code of Conduct that includes the requirement for confidentiality.
X	Staff received training on privacy and confidentiality policies and practices.
X	Access to PII/BII is restricted to authorized personnel only.
X	The information is secured in accordance with FISMA requirements. Provide date of most recent Assessment and Authorization: <u>3/5/2015</u>
X	The Federal Information Processing Standard (FIPS) 199 security impact category for this system is a moderate or higher.
X	NIST 800-122 recommended security controls for protecting PII/BII are in place and functioning as intended; or have an approved Plan of Action and Milestones (POAM).
X	Contractors that have access to the system are subject to information security provisions in their contracts required by DOC policy.
	Other (specify):

Section 7: Privacy Act

7.1 Indicate whether a system of records is being created under the Privacy Act, 5 U.S.C. § 552a. (A new system of records notice (SORN) is required if the system is not covered by an existing SORN).

As per the Privacy Act of 1974, "the term 'system of records' means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual."

X	Yes, this system is covered by an existing system of records notice. Provide the system name and number: COMMERCE/NOAA-6, Fishermen's Statistical Data, COMMERCE/NOAA-15, Fisheries Observer Privacy Act System of Records, and COMMERCE/NOAA-23, Economic Data Collection Program for West Coast Groundfish Trawl Catch Share Program off the coast of Washington, Oregon, and California.
	Yes, a system of records notice has been submitted to the Department for approval.
	No, a system of records is not being created.

Section 8: Retention of Information

8.1 Indicate whether these records are covered by an approved records control schedule and monitored for compliance. Check all that apply.

X	There is an approved record control schedule. Provide the name of the record control schedule: 1502-02 Survey Operations Files and 1513-10 Observer Program Files
	No, there is not an approved record control schedule. Provide the stage in which the project is in developing and submitting a records control schedule:
X	Yes, retention is monitored for compliance to the schedule.

	No, retention is not monitored for compliance to the schedule. Provide explanation:
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