

**U.S. Department of Commerce
National Oceanic and Atmospheric Administration
(NOAA)**



**Privacy Impact Assessment
for the
Northwest Fisheries Science Center
NOAA4600**

Reviewed by: _____, Bureau Chief Privacy Officer
Mark Graff

- Concurrence of Senior Agency Official for Privacy/DOC Chief Privacy Officer
 Non-concurrence of Senior Agency Official for Privacy/DOC Chief Privacy Officer

Catrina D. Purvis

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Signature of Senior Agency Official for Privacy/DOC Chief Privacy Officer

Date

**U.S. Department of Commerce Privacy Impact Assessment
NOAA/Northwest Fisheries Science Center
NOAA4600**

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

Introduction: System Description

The NOAA4600 Information System supports the mission of the Northwest Fisheries Science Center (NWFSC). “Scientists at the NWFSC conduct leading-edge research and analyses that provide the foundation for management decisions to protect, recover, restore, and sustain ecosystems and living marine resources in the Pacific Northwest.” NWFSC researchers are dedicated to producing scientific products that will strengthen decision-making at all levels, enhance socio-economic benefits, support sustainable resource use, and conserve biological diversity.

The NWFSC supports 4 major science and research themes:

1. Ecosystem Approach to Management for the California Current Large Marine Ecosystem
2. Habitats to Support Sustainable Fisheries and Recovered Populations
3. Recovery, Rebuilding and Sustainability of Marine and Anadromous Species
4. Oceans and Human Health Key Roles:

The system provides current, relevant information to support science-based stewardship of natural resources. The primary mission of the NWFSC is to provide multi-disciplinary scientific and technical information to the West Coast Regional Office of NOAA Fisheries, other NOAA line offices, co-managers, stakeholders and other constituents to inform decision and policy-making processes.

The system also fosters scientific literacy and expertise. In order to achieve the national missions of NOAA, the NWFSC must ensure that Center research results reach the broader science, education, and public communities within the region and beyond. The Center has the additional responsibility to help train the next generation of fisheries scientists.

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.

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.

West Coast Groundfish Permits Program

In order to manage U.S. fisheries, the NOAA National Marine Fisheries Service (NMFS) requires the use of permits or registrations by participants in the United States. West Coast Region (WCR) established the Northwest Groundfish Permits Application to accept and maintain all Sustainable Fisheries permit applications, Individual Fisheries Quotas (IFQ) and related data. Information in the systems consists of contents of permit applications and related documents, such as permit transfers and percentage of ownership in a corporation.

The West Coast Groundfish Permits Business Process is owned by NOAA4500 West Coast Region. The IT Components and resources utilized by the West Coast Groundfish Permits Program reside within the NOAA4600 Information System as agreed upon by NOAA4500 and NOAA4600 Leadership.

NOAA4600 System Maintenance Information

PII and BII information contained within the NOAA4600 system boundary provide the System Owner, ISSO, and administrators with the identity and contact information of all authorized users of the system. This information is used, to reset passwords, notify users of outages, and support NOAA4600 COOP operations.

(a) a description of a typical transaction conducted on the system

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

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.

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.

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.

West Coast Groundfish Permits Program

A typical transaction is an initial or renewal permit application: the permit holder or applicant completes an application downloaded from the applicable NMFS Web site or obtained through the NPS, submits it to the applicable office by mail, along with any required supporting documentation and/or required fee payment, and receives a new permit once approved.

NOAA4600 System Maintenance Information

Employee and contractor work-related data is collected for use in NOAA4600 COOP Operations and Account Maintenance.

Information Sharing

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

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. The West Coast Observer Program shares non-sensitive, aggregated research data using maps via an interactive web interface to facilitate public access in compliance with the NOAA PARR (Public Access Research Results) directive.

Economic Data Collection (EDC) Database

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. The Economic Data Collection Program shares non-sensitive, aggregated research data using maps via an interactive web interface to facilitate public access in compliance with the NOAA PARR (Public Access Research Results) directive.

West Coast Groundfish Permits Program

Information is generally shared only within NMFS offices, in order to coordinate monitoring and management of sustainability of fisheries and protected resources. Sources of information include the permit applicant/holder, other NMFS offices, the U.S. Coast Guard, and State or Regional Marine Fisheries Commissions.

Information may also be disclosed:

- At the state or interstate level within the applicable Marine Fisheries Commission for the purpose of co-managing a fishery or for making determinations about eligibility for permits when state data are all or part of the basis for the permits.
- To the applicable regional or international fisheries management body for the purposes of identifying current permit owners and vessels pursuant to applicable statutes or regulations and/or conservation and management measures adopted by a regional or international fisheries management body, such as: the Food and Agriculture Organization of the United Nations, Commission for the Conservation of Antarctic Marine Living Resources, Inter-American Tropical Tuna Commission,

International Pacific Halibut Commission, and International Commission for the Conservation of Atlantic Tunas.

- To foreign governments with whose regulations U.S. fishermen must comply.
- To the public: NMFS may post non-sensitive permit holder, vessel-related, and/or Individual Fishing Quota (IFQ) information for the public, via Web sites and Web Services. Notice of this is given on permit applications. This information is considered part of the public domain.

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, these records or information contained therein may specifically be disclosed outside the Department of Commerce (Department). These records or information contained therein may specifically be disclosed as a routine use. The Department will, when so authorized, make the determination as to the relevancy of a record prior to its decision to disclose a document.

NOAA4600 System Maintenance Information

NOAA4600 does not share any of the Federal or Contractor employee information provided outside of NOAA.

(b) a citation of the legal authority to collect PII and/or BII

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

MSA; 50 CFR 660.114, Trawl fishery - economic data collection program.

West Coast Groundfish Permits Program

Applications for permits and registrations are collected from individuals under the authority of the Magnuson-Stevens Fishery Conservation and Management Act, the High Seas Fishing Compliance Act, the American Fisheries Act, the Tuna Conventions Act of 1950, the Atlantic Coastal Fisheries Cooperative Management Act, the Atlantic Tunas Convention Authorization Act, the Northern Pacific Halibut Act, the Antarctic Marine Living Resources Convention Act, the Western and Central Pacific Fisheries Convention Implementation Act (WCPFCIA; 16 U.S.C. 6901 et seq.), international fisheries regulations regarding U.S. Vessels Fishing in Colombian Treaty Waters, the Marine Mammal Protection Act, the Endangered Species Act and the Fur Seal Act. The authority for the mandatory collection of the Tax Identification Number is 31 U.S.C. 7701.

NOAA4600 System Maintenance Information

5 U.S.C. 301 authorizes the operations of an executive agency, including the creation, custodianship, maintenance and distribution of records.

The Federal Information Processing Standard (FIPS) 199 security impact category for the system is moderate.

Section 1: Status of the Information System

1.1 Indicate whether the information system is a new or existing system.

_____ This is a new information system.

_____ This is an existing information system with changes that create new privacy risks.

(Check all that apply.)

Changes That Create New Privacy Risks (CTCNPR)					
a. Conversions		d. Significant Merging		g. New Interagency Uses	
b. Anonymous to Non-Anonymous		e. New Public Access		h. Internal Flow or Collection	
c. Significant System Management Changes		f. Commercial Sources		i. Alteration in Character of Data	
j. Other changes that create new privacy risks (specify):					

This is an existing information system in which changes do not create new privacy risks.

Section 2: Information in the System

2.1 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. File/Case ID		i. Credit Card	
b. Taxpayer ID	X*	f. Driver's License		j. Financial Account	
c. Employer ID		g. Passport		k. Financial Transaction	X**
d. Employee ID		h. Alien Registration		l. Vehicle Identifier	
m. Other identifying numbers (specify): Captain's license, State and Federal Dealer Numbers (if applicable), permit or license numbers for Federal or state permit/licenses issued and start and end dates and other permit status codes, vessel name and registration number					
*Explanation for the need to collect, maintain, or disseminate the Social Security number, including truncated form: West Coast Ground Fish Permits: *Tax Identification Numbers (TIN) allow positive identification for cost recovery billing of IFQ holders and may be used if IFQ holder fails to pay cost recovery and there is a need for Treasury to carry out a debt collection.					
** West Coast Ground Fish Permits: check number, date and amount, for permit fees.					

General Personal Data (GPD)					
a. Name	X*	g. Date of Birth	X	m. Religion	
b. Maiden Name		h. Place of Birth		n. Financial Information	X
c. Alias		i. Home Address	X	o. Medical Information	
d. Gender		j. Telephone Number	X	p. Military Service	
e. Age		k. Email Address	X	q. Physical Characteristics	X
f. Race/Ethnicity		l. Education		r. Mother's Maiden Name	
s. Other general personal data (specify): West Coast Observer: Observers' emergency contact information (whom to contact in case of observer emergency) EDC: costs, revenue, ownership, and employment West Coast Groundfish Permits: *Permit applicant, permit holder, permit transferor/transferee, vessel owner, vessel operator, dealer applicant, dealer permit holder. Name of corporation, state and date of incorporation of business and articles of incorporation, marriage certificate, divorce decree, death certificate.					

Work-Related Data (WRD)					
a. Occupation	X	d. Telephone Number	X	g. Salary	X
b. Job Title	X	e. Email Address	X	h. Work History	
c. Work Address	X	f. Business Associates	X		
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. West Coast Groundfish Permits: Vessel name, vessel length overall					

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

* A photograph of each observer is taken at his/her first training session, and kept in his electronic folder ONLY, available only to observer program staff. This is a resource for staff to associate the name with the face, and to be used when identification is needed in an emergency.

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

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)					
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EDC: species catch information
West Coast Groundfish Permits: Species, aggregate catch data and statistics, quota share balance, quota pound balance, quota pound limits, listings of endorsements and designations (i.e., gear endorsement, size endorsement, sector endorsement, permit tier) associated with the permit, name of physical IFQ landing site, Exemptions (i.e., Owner on Board - Grandfathered Exemption, Owner on Board, as stated in code of federal regulations) and exemption status, contact persons. Catch/Observer Discard Data, Quota Share/Quota Pound Transfer Data, Business Operation Information (Business Processes, Procedures, Physical Maps)

2.2 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	X		
Other (specify):					

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

Non-government Sources					
Public Organizations		Private Sector	X*	Commercial Data Brokers	
Third Party Website or Application					
Other (specify): *State or Regional Marine Fisheries Commission's Data					

2.3 Indicate the technologies used that contain PII/BII in ways that have not been previously deployed. *(Check all that apply.)*

Technologies Used Containing PII/BII Not Previously Deployed (TUCPBNPD)					
Smart Cards		Biometrics			
Caller-ID		Personal Identity Verification (PIV) Cards			
Other (specify):					

X	There are not any technologies used that contain PII/BII in ways that have not been previously deployed.
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Section 3: System Supported Activities

3.1 Indicate IT system supported activities which raise privacy risks/concerns. *(Check all that apply.)*

Activities			
Audio recordings		Building entry readers	
Video surveillance		Electronic purchase transactions	
Other (specify):			

X	There are not any IT system supported activities which raise privacy risks/concerns.		
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Section 4: Purpose of the System

4.1 Indicate why the PII/BII in the IT system is being collected, maintained, or disseminated. *(Check all that apply.)*

Purpose			
To determine eligibility		For administering human resources programs	
For administrative matters	X	To promote information sharing initiatives	
For litigation	X	For criminal law enforcement activities	X
For civil enforcement activities	X	For intelligence activities	
To improve Federal services online		For employee or customer satisfaction	
For web measurement and customization technologies (single-session)		For web measurement and customization technologies (multi-session)	
Other (specify):			

Section 5: Use of the Information

5.1 In the context of functional areas (business processes, missions, operations, etc.) supported by the IT system, describe how the PII/BII that is collected, maintained, or disseminated will be used. Indicate if the PII/BII identified in Section 2.1 of this document is in reference to a federal employee/contractor, member of the public, foreign national, visitor or other (specify).

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

- **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.

West Coast Groundfish Permits Program

This information will allow NMFS to identify owners and holders of permits and non-permit registrations and vessel owners and operators, evaluate permit applications, and document agency actions relating to the issuance, renewal, transfer, revocation, suspension or modification of a permit or registration. Tax Identification Numbers (TIN) allow positive identification for cost recovery billing of IFQ holders and may be used if IFQ holder fails to pay cost recovery and there is a need for Treasury to carry out a debt collection..

NOAA4600 System Maintenance Information

Federal and Contractor Employee data:

- Names, addresses, and email addresses collected from employees and contractors are used to manage account information for access control to systems and web applications.
- Names and work email addresses of employees and contractors are used to direct the public to appropriate personnel within the organization.
- For emergency, disaster recovery, and continuity of operations, employee and contractor names, work and home emails and work and home telephone numbers are collected.

Section 6: Information Sharing and Access

6.1 Indicate with whom the bureau intends to share the PII/BII in the IT system and how the PII/BII will be shared. *(Check all that apply.)*

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

* West Coast Groundfish Permits Program

** West Coast Groundfish Observer Program, Economic Data Collection (EDC) Program, West Coast Groundfish Permits Program, NOAA4600 System Maintenance Information

*** Aggregated/Non-Sensitive Research Data - West Coast Groundfish Observer Program, Economic Data Collection (EDC) Program, West Coast Groundfish Permits Program

	The PII/BII in the system will not be shared.
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6.2 Indicate whether the IT system connects with or receives information from any other IT systems authorized to process PII and/or BII.

X	Yes, this IT system connects with or receives information from another IT system(s) authorized to process PII and/or BII. Provide the name of the IT system and describe the technical controls which prevent PII/BII leakage: NOAA4600 provides an authenticated web service that allows the Pacific States Marine Fisheries Commission (PSMFC) access over the HTTPS protocol. Both IFQ/Permits and EDC data are accessible by PSMFC via this interconnection.
	No, this IT system does not connect with or receive information from another IT system(s) authorized to process PII and/or BII.

6.3 Identify the class of users who will have access to the IT system and the PII/BII. *(Check all that apply.)*

Class of Users			
General Public	X*	Government Employees	X
Contractors	X		
Other (specify):			
*Observer: Members of the General Public are granted access to data with a signed Non-Disclosure Agreement			

Via the FRAM Data Warehouse Website; EDC: Members of the survey population are granted access to their own data within the system via the FRAM Data Warehouse Website

Section 7: Notice and Consent

7.1 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 9.	
X	<p>Yes, notice is provided by a Privacy Act statement and/or privacy policy. The Privacy Act statement and/or privacy policy can be found at: Observer (WSGOP) - https://nwcoa3.nwfsc.noaa.gov/obsprod/logon.display (Internet Explorer or Firefox are required to access the app and statement)</p> <p>- Observer Logistics (OBLOG) - https://www.webapps.nwfsc.noaa.gov/apex/ifu/f?p=505:LOGIN:33867079879006</p> <p>- Economic Data Collection (EDC) - https://www.webapps.nwfsc.noaa.gov/edc/Account/Login</p> <p>IFQ Privacy Act Statement link from: https://www.webapps.nwfsc.noaa.gov/ifu also available when user clicks the "Log In" button</p> <p>Permits Privacy Act Statement link from: https://www.webapps.nwfsc.noaa.gov/permits</p>	
X	Yes, notice is provided by other means.	<p>Specify how:</p> <p>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.</p> <p>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.</p> <p>EDC: Notification is provided on the economic data survey instrument.</p> <p>West Coast Groundfish Permits: Notice is provided on the permit or related application</p> <p>NOAA4600 System Maintenance Information: Information collected for employee/contractor emergency contact, and disaster recovery/continuity of operations is requested in writing. Information collected for account management is requested in writing or via email by the user's supervisor, at the time that the user requests an account on the information system.</p>
	No, notice is not provided.	Specify why not:

7.2 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.	<p>Specify how:</p> <p>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.</p> <p>WCGOP and ObsLog observation information: Vessel captains/owners may decline to provide PII/BII 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.</p> <p>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.</p> <p>West Coast Groundfish Permits: The personal information is collected when the individual completes the appropriate application. On application, the individual is advised that providing the information is voluntary, but that NMFS will not be able to issue a permit if the individual does not provide each item of information requested. The individual may choose to decline to provide the required personal information or to consent to the particular use of his/her personal information at that time.</p> <p>NOAA4600 System Maintenance Information: Employees may decline to provide PII /BII for emergency contact and disaster recovery by not filling in the PII/BII information;</p> <p>Employees may decline to provide account information by not applying for an account, but this may be required for their job duties.</p>
	No, individuals do not have an opportunity to decline to provide PII/BII.	Specify why not:

7.3 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</p>
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		<p>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> <p>West Coast Groundfish Permits: The individual may choose to decline to provide the required personal information or to consent to the particular use of his/her personal information at that time (see 7.2)</p> <p>NOAA4600 System Maintenance Information: Where specified in NOAA WFMO forms (http://www.wfm.noaa.gov/forms/noaa_forms.html), employees have the opportunity to consent to particular use of their PII/BII. Employee and contractor General Personal Data information is required for badging and emergency notifications but users may decline to provide COOP info. Employees and contractors are informed of the use of their data, and these data are not used for any other purpose</p>
	<p>No, individuals do not have an opportunity to consent to particular uses of their PII/BII.</p>	<p>Specify why not:</p>

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

<p>X</p>	<p>Yes, individuals have an opportunity to review/update PII/BII pertaining to them.</p>	<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</p>
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		<p>PII/BII via phone, fax, or mail.</p> <p>West Coast Groundfish Permits: When completing or renewing a permit application or supporting document, or by calling or emailing the applicable NMFS office at any time. Permits are completed online or by reviewing and updating a paper renewal application pre-filled by NMFS with their most recent information on the permit holder.</p> <p>NOAA4600 System Maintenance Information: Instructions for updating contact information fields are provided in the forms the customer fills out.</p> <p>NOAA Employees can update PII on an as needed basis through their supervisor for COOP and Emergency contact information.</p>
	No, individuals do not have an opportunity to review/update PII/BII pertaining to them.	Specify why not:

Section 8: Administrative and Technological Controls

8.1 Indicate the administrative and technological controls for the system. (*Check all that apply.*)

X	All users signed a confidentiality agreement or non-disclosure agreement.
X	All users are subject to a Code of Conduct that includes the requirement for confidentiality.
X	Staff (employees and contractors) received training on privacy and confidentiality policies and practices.
X	Access to the PII/BII is restricted to authorized personnel only.
X	Access to the PII/BII is being monitored, tracked, or recorded. Explanation: Databases containing PII/BII log successful and failed access attempts. Audit Logs are maintained locally and forwarded to the NOAA SOC.
X	The information is secured in accordance with FISMA requirements. Provide date of most recent Assessment and Authorization (A&A): <u> 4/23/2016 </u> <input type="checkbox"/> This is a new system. The A&A date will be provided when the A&A package is approved.
X	The Federal Information Processing Standard (FIPS) 199 security impact category for this system is a moderate or higher.
X	NIST Special Publication (SP) 800-122 and NIST SP 800-53 Revision 4 Appendix J recommended security and privacy 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.
X	Contracts with customers establish ownership rights over data including PII/BII.
X	Acceptance of liability for exposure of PII/BII is clearly defined in agreements with customers.
	Other (specify):

8.2 Provide a general description of the technologies used to protect PII/BII on the IT system.

NOAA4600 utilizes Data Resource Accounts, and Group Memberships allow authorized staff to access NOAA4600 Data which may contain PII or BII. Computer account types include, but, are not limited to, Domain Accounts, Email/LDAP Accounts, Unix Accounts, Intranet Accounts, and Local System Accounts. Group memberships are used to assign Security Access Levels to authorized Data Resource Accounts. NOAA4600 applies Least Privilege and Least Functionality principles when providing security clearance. Access Enforcement Mechanisms (Encryption-at-Rest for offline media, Encryption-in-Transit, Distributed Directory Services) are implemented to prevent malicious or accidental access by unauthorized persons.

Section 9: Privacy Act

9.1 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	<p>Yes, this system is covered by an existing system of records notice (SORN). Provide the SORN name and number (<i>list all that apply</i>):</p> <p>Fisheries Observer Databases:</p> <ul style="list-style-type: none"> - NOAA-6, Fishermen's Statistical Data - NOAA-15, Monitoring of National Marine Fisheries Service Observers <p>Economic Data Collection Program:</p> <ul style="list-style-type: none"> - COMMERCE/NOAA-23, West Coast Region Economic Data Reports, <p>West Coast Groundfish Permits:</p> <ul style="list-style-type: none"> - COMMERCE/NOAA -19, Permits and Registrations for United States Federally Regulated Fisheries, <p>NOAA4600 System Maintenance Information:</p> <ul style="list-style-type: none"> - Commerce/Department 18 - Employees Personnel Files Not Covered by Notices of Other Agencies
	Yes, a SORN has been submitted to the Department for approval on <u>(date)</u> .
	No, a SORN is not being created.

Section 10: Retention of Information

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

X	<p>There is an approved record control schedule. Provide the name of the record control schedule:</p> <p>Observer Databases:</p> <ul style="list-style-type: none"> - 1502-02 Survey Operations Files and - 1513-10 Observer Program Files <p>Economic Data Collection:</p> <ul style="list-style-type: none"> - All records are retained and disposed of in accordance with National Archives and Records Administration regulations (36 CFR Subchapter XII, Chapter B-Records Management); Departmental directives and comprehensive records schedules; NOAA Administrative Order 205-01; and the NMFS Records Disposition Schedule, Chapter 1500. <p>West Coast Groundfish Permits:</p> <ul style="list-style-type: none"> - NOAA 1504-11; NOAA 1514-01 <p>NOAA4600 System Maintenance Information:</p> <ul style="list-style-type: none"> - GRS 1: Civilian Personnel Records, - GRS 3.1 General Technology Management Records, Item 040: Information technology oversight and compliance records, - GRS 3.2 Information Systems Security Record, Items 030, 031: System access records, - NOAA Records Schedules 1406-01: In Situ and Remotely Sensed Environmental Data; 1406-02, Order Processing Information Systems, 1406-03, Metadata Management Database
	<p>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:</p>
X	Yes, retention is monitored for compliance to the schedule.
	No, retention is not monitored for compliance to the schedule. Provide explanation:

10.2 Indicate the disposal method of the PII/BII. *(Check all that apply.)*

Disposal			
Shredding	X	Overwriting	X
Degaussing		Deleting	X
Other (specify):			

Section 11: NIST Special Publication 800-122 PII Confidentiality Impact Levels

11.1 Indicate the potential impact that could result to the subject individuals and/or the organization if PII were inappropriately accessed, used, or disclosed.

	Low – the loss of confidentiality, integrity, or availability could be expected to have a limited adverse
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	effect on organizational operations, organizational assets, or individuals.
X	Moderate – the loss of confidentiality, integrity, or availability could be expected to have a serious adverse effect on organizational operations, organizational assets, or individuals.
	High – the loss of confidentiality, integrity, or availability could be expected to have a severe or catastrophic adverse effect on organizational operations, organizational assets, or individuals.

11.2 Indicate which factors were used to determine the above PII confidentiality impact levels. (Check all that apply.)

	Identifiability	Provide explanation:
X	Quantity of PII	Provide explanation: The Information collects and maintains records which may be perceived as sensitive or potentially damaging for individuals or business related to the West Coast Observer Program, Economic Data Collection Program and West Coast Groundfish Permits Programs.
X	Data Field Sensitivity	Provide explanation: The IFQ and Permits applications contains moderately sensitive PII and BII, such as name, address, Tax ID number, and ownership interest. The IFQ system also maintains unique Vessel Account Identification numbers and manages Vessel Account balances and deficit tracking. This type of information is considered privileged, and unauthorized disclosure is prohibited by the Magnuson-Stevens Act, the Privacy Act, and laws prohibiting disclosure or unauthorized access.
	Context of Use	Provide explanation:
X	Obligation to Protect Confidentiality	Provide explanation: MAGNUSON-STEVENSON FISHERY CONSERVATION & MGT. ACT SEC. 402. ø16 U.S.C. 1881aç INFORMATION COLLECTION.
	Access to and Location of PII	Provide explanation:
	Other:	Provide explanation:

Section 12: Analysis

12.1 Indicate whether the conduct of this PIA results in any required business process changes.

	Yes, the conduct of this PIA results in required business process changes. Explanation:
X	No, the conduct of this PIA does not result in any required business process changes.

12.2 Indicate whether the conduct of this PIA results in any required technology changes.

	Yes, the conduct of this PIA results in required technology changes. Explanation:
X	No, the conduct of this PIA does not result in any required technology changes.