

**U.S. Department of Commerce  
National Oceanic & Atmospheric Administration**



**Privacy Impact Assessment  
for the  
NOAA 4000  
Fisheries WAN and Enterprise Services**

Reviewed by: Mark Graff Bureau Chief Privacy Officer

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

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*Tahira Murphy* on behalf of Jennifer Goode 6/22/2022

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

**U.S. Department of Commerce Privacy Impact Assessment**  
**NOAA/NMFS/Fisheries WAN and Enterprise Services**

**Unique Project Identifier: NOAA 4000**

**Introduction: System Description**

*Provide a brief description of the information system.*

The National Marine Fisheries Service (NMFS) Headquarters WAN and Enterprise Services System (NOAA4000) is a General Support System (GSS); it comprises three cloud subsystems- Oracle Cloud Infrastructure (OCI), Google Cloud Platform (GCP), and the Appian Cloud Platform. The system hosts several applications that collect, store and/or disseminate information, on members of the public, including foreign national guests, and in some cases, NOAA staff and/or contractors. NOAA4000 has ingested the former NOAA4020 Science and Technology subsystem and all of its applications. Being that NOAA4000 is a GSS system the ingestion did not change or introduce any new support that NOAA400 already provides.

Address the following elements:

*(a) Whether it is a general support system, major application, or other type of system*

The NMFS Headquarters WAN and Enterprise Services System (NOAA4000) is a General Support System (GSS); it comprises three cloud platform subsystems- Oracle Cloud Infrastructure (OCI), Google Cloud Platform (GCP), and the Appian Cloud Platform. The system hosts several applications that collect, store and/or disseminate information, on members of the public, including foreign national guests, and in some cases, NOAA staff and/or contractors.

*(b) System location*

This system has two geographical locations: Ashburn, VA and Data Center in Seattle Washington.

*(c) Whether it is a standalone system or interconnects with other systems (identifying and describing any other systems to which it interconnects)*

The NMFS WAN NOAA4000 connects to the Seattle DR site via NWAVE NOAA0550 and have interconnections with the following entities:

1. US Coast Guard
2. Pacific States Marine Fisheries Commission
3. US Custom and Border Protection
4. Atlantic Coastal Fisheries Information Network (ACFIN)
5. Information Technology Center (ITC – NOAA1101)
6. 1901 NSOC
7. Department Of Justice (DOJ)
8. Naval Research Lab MDA
9. Other NOAA NMFS Systems:
  - a. NOAA4011 (NFPLRS)
  - b. NOAA4100 (GARFO)

- c. NOAA4200 (NEFSC)
- d. NOAA4300 (SERO)
- e. NOAA4400 (SEFSC)
- f. NOAA4500 (WCR)
- g. NOAA4600 (NWFSC)
- h. NOAA4700 (AKRO)
- i. NOAA4800 (AKFSC)
- j. NOAA4920 (PIRO)
- k. NOAA4930 (SWFSC)
- l. NOAA4960 (PIFSC)

The interconnections between NOAA4000 and the entities listed above are established through encrypted interfaces (VPN) or the Verizon MPLS (which is internal NMFS). Authentication methods are in place to validate authorized users. Virus and malicious code prevention is employed to protect the integrity of the software and the data.

*(d) The way the system operates to achieve the purpose(s) identified in Section 4*

NOAA4000 provides IT support by providing IT Infrastructure for Fisheries applications, providing enterprise security services, network connectivity (WAN/LAN), enterprise resource access (local/remote), database management, and enterprise IT helpdesk support. The NMFS WAN services are through N-WAVE.

*(e) How information in the system is retrieved by the user*

There are two primary ways users can retrieve information from NOAA4000. They have to be locally connected to the NOAA4000 network or via remote access through NMFS VPN, which is within the FISMA boundary of NOAA4000. Based on the application or support being offered; data can also be accessed via general internet.

*(f) How information is transmitted to and from the system*

NOAA4000 information is transmitted via Virtual Private Networks (VPNs), Internet, and dedicated network connections that makeup NMFS Verizon MPLS (WAN) network.

*(g) Any information sharing*

**SISP** - The Seafood Inspection Services Portal is a web-based application that captures information pertaining to the scheduling, tracking, and fee collections for seafood inspection activities. The SISP allows Seafood Inspection Program participants (Seafood Companies, Seafood Inspection Personnel, System Administrative Staff, NOAA Finance (Billing Data)) to create an account, to update company information including multiple locations, to request certificates, inspections and contracts, and to review and pay invoices. We collect the information under the authority of the **Agriculture and Marketing Act of 1946 and Fish & Wildlife Act of 1956**. Name, work email address, work address, and financial transaction are collected. We share the information with the private sector for invoicing and bill payment. **This application collects PII and BII.**

**EDMS** – The Electronic Document Management System is a Web-based content management application that serves as a secure repository to archive various artifacts throughout their development life cycle.

Authorized NMFS users (employees and contractors) can easily query this content management database, which has improved workflow. This application is a central resource for Habitat Division supervisors and staff for ongoing performance appraisal activity used to assist in completing required personnel related forms that contain names, job descriptions, and GS level. EDMS also contains various legal documents/case files that may include SSN/Tax ID numbers. Information in EDMS is housed behind the network firewall. The collection of such information is **authorized by 5 U.S.C. 1302. This application collects PII and BII.** EDMS has been decommissioned; however, residual data is still stored within NOAA4000 boundaries.

**VMS** - The National Vessel Monitoring System program provides near-real time fishing vessel monitoring, control and surveillance throughout the U.S. Exclusive Economic Zone (EEZ). Continuous 24/7/365 monitoring supports compliance with marine and fishing regulations regarding open and closed seasons, closed areas, international boundaries and obligations, and overfishing. The onboard-enhanced mobile transceiver units (EMTUs) send position location information to NMFS, which is stored in a database and displayed on an electronic surveillance software, which is currently vTrack. The information obtained through VMS is evidentiary in nature and used to prosecute violations of fishery regulations in administrative and civil proceedings. The overall authority for federal fishery management is the **Magnuson-Stevens Conservation and Management Act (16 U.S. Code 1801 et. Seq.)**. Names, home telephone numbers, home email addresses and addresses for vessel operators are collected. Fisheries share the information with the U.S. Coast Guard, many coastal states' marine enforcement offices, the Navy, Immigration and Customs Enforcement, NMFS science centers, and NMFS fishery managers. **This application collects BII.**

**TRIDENT** - is a cloud based, case management system which allows sworn law enforcement officers, special agents, and other staff seamless electronic collaboration with internal team members and external partners, and the development of case documentation by providing the ability to view/share incident data that documents enforcement activities such as patrols, investigations, compliance assistance and education and outreach.

The information is used to document and track patrols, investigations and other enforcement activities in which U.S. laws and regulations as well as violations of international agreements. Enforcement personnel develop domestic and international investigative case files that support prosecuting alleged violations; data and information from these files and data collected refers to businesses and members of the public. **This information is collected under the authority of the Magnuson-Stevens Fishery Conservation and Management Act (16 U.S. Code 1801 et. Seq.) and other laws under the purview of NOAA.**

The Trident solution is a FedRAMP platform as a service (PaaS), private cloud, web accessible development environment, enabling the use of MicroPact's infrastructure and middleware services. The system is integrated with the NOAA Office General Counsel system Justware. **This application collects PII and BII.**

**NRDA** - The Natural Resources Damage Assessment Database collects information about restoration projects suggested by the public in response to an incident, such as an oil spill. The public (which could include companies or other business entities) submits all restoration activity information. Statutes authorizing programs to cover collections of information from the public in the form of contact information for receipt of data generated by programs, **e.g. 15 U.S.C. 1151**, "to make the results of technological

research and development more readily available to industry and business, and to the general public.” Along with project information, the database collects individual contact information (name, organization, work email address, home address, and home phone number). Personal information is used internally and not disseminated. Organizational names are publicly accessible as the submitting organization or as project partners, or along with research information. **This application collects PII.**

**RCDB** - The Restoration and Conservation Database collects information related to fisheries habitat restoration projects implemented by the NOAA Office of Habitat Conservation. The Restoration Center often works with private companies and members of the public to implement projects and collects but does not disseminate contact information for individuals who have worked on the projects. Contact information includes name, work phone number, work email address, work address and organization name. An authorizing statute is **15 U.S.C. 1151**. Company names can be disseminated publicly and listed as “project partners” or “funding recipients” depending on their relationship to the project. Research information is also available to the public. **This application collects PII.**

**eAOP** - Electronic Annual Operating Plan application provides NMFS managers and employees with the ability to plan, monitor, and report on organizational and Program information. This includes planning and reporting of milestones and performance measures, arraying milestones by key subject areas, and assisting Programs managers and staff in producing Program Annual Operating Plans. Contact names and phone numbers PII (contact information) are included in the milestone and performance measure information. Only NMFS employees with password access, granted by the Database Administrator, may retrieve information from the system. The organization uses the information internally for assembling annual operating plans and for reporting strategic progress to NOAA and the Department of Commerce. **This application collects PII.**

**NPS** - National Permits System accept and maintain all Sustainable Fisheries permit applications and related data. Some of the West Coast and Pacific Islands Regions permits information is housed in NPS, as well as Antarctic Marine Living Resources and High Seas permits; the rest is in other NMFS FISMA systems and is addressed in their PIAs. Authorities that apply to this application and its data are:

**The Magnuson-Stevens Fishery Conservation and Management Act (16 USC 1801 et seq.)**

**The High Seas Fishing Compliance Act**

**The Tuna Conventions Act of 1950**

**The Antarctic Marine Living Resources Convention Act**

**The Western and Central Pacific Fisheries Convention Implementation Act (WCPFCIA; 16 U.S.C. 6901 et seq)**

**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**

**This application collects PII and BII.**

**eDiscovery** Application system is a web-based application used to simplify agency response to Freedom of Information Act (FOIA) requests, and aid in the processing Administrative Records (AR), and to a lesser extent, Congressional Inquiries and Legal Holds. The system serves as a single point for the collection, review, tagging, redaction and export of responsive records. NMFS offices share the information in order to coordinate monitoring and management of sustainability of fisheries and protected resources, as well as with the applicable State or Regional Marine Fisheries Commissions and International Organizations. Sources of information include the permit applicant/holder, other NMFS offices, the U.S. Coast Guard, and State or

Regional Marine Fisheries Commissions. **This application collects PII and BII.**

**TIPS** - Traceability Information Program for Seafood is a public facing, web based application. The TIPS application is used to establish registration, reporting and recordkeeping requirements for U.S. aquaculture producers of shrimp and abalone, two species subject to the Seafood Traceability Program, also known as the Seafood Import Monitoring Program (SIMP). Owners or operators of U.S. inland, coastal and marine commercial aquaculture facilities (“producers”) will be required to report information about production and entry into U.S. commerce of shrimp and abalone products. In addition, producers will be required to register with NMFS and retain records pertaining to the production of shrimp and abalone and entry of those products into U.S. commerce. This program serves as a domestic counterpart to the shrimp and abalone import requirements under SIMP. It also assists NMFS in verifying U.S. aquaculture shrimp and abalone were lawfully produced by providing information to trace each production event(s) to entry of the fish or fish products into U.S. commerce. **This application collects PII and BII.**

**ECO** - Environmental Consultation Organizer is a web-based, case management application on Appian PaaS using AWS to support NMFS consultations under the **Endangered Species Act (ESA) and under the Magnuson-Stevens Fishery Conservation and Management Act sections 305(b)(2) & 305(b)(4) Essential Fish Habitat (EFH)**. This is the database for documenting and tracking consultation status and key internal process requirements throughout the consultation including quality assurance review and status in meeting statutory timelines. ECO collects project lead’s name and business telephone number. Some fields are for internal use while some fields are available to the public through the public interface on the application. **This application collects PII.**

**FSD Loans** - Financial Services Division collects information from applicants for the following programs and purposes: The Fisheries Finance Program (FFP), credit information, personal identification including social security number, and tax returns. The information collected verify applicants for fisheries loans. Capital Construction Fund (CCF), personal identification including social security numbers and tax returns. The information collected verifies applicants for CCF accounts and projects. Fishermen's Contingency Fund (FCF), personal identification including social security numbers, and personal transaction information. The information is used to verify business losses and lost fishing gear for claims made by the fishermen. Information collected includes: Tax returns; Applicant’s name and address; The amount of financing applied for; The purpose of loans; An appraisal of the vessel or facility involved; Financial information including the last three tax returns (these are not stored electronically); A list of creditors and buyers with relevant credit terms; Identification of authorized representatives (accountant, attorney, insurance agent); Legal history (status regarding bankruptcy, litigation, delinquency on and Federal debt, etc.). Annual financial statements are required of all borrowers. These statements update the financial statement information presented with the original application. The financial statements are used to monitor the borrower’s financial condition and to trigger servicing actions if indicated. Loan applications are entered into the system from paper forms completed by the public, into an online application, which is managed by NMFS NOAA4000. Regional offices access the information in order to administer loans for applicants. The loan data is stored only in NOAA4000. **This application collects PII and BII.**

**UAS** - Unmanned Aircraft System is a standalone system used for civil and criminal enforcement activities and fisheries intelligence. The UAS collects pictures and videos of vehicles, vehicle tags, vessels, vessel IDs and persons. The information in the system will be retrieved either by live feed to an external hard drive, directly to the computer, or to a flash drive. A camera is mounted on the unmanned aerial system, which broadcasts the information to the person(s) on the ground. Some UAS use radio signals to transmit and receive the information. Some UAS have a multi-band wireless transmitter built in along with an antenna.

Depending on the UAS, the receiver of the information signals can be either the remote control unit, a computer, tablet or smartphone device. Some UAS use 4G / LTE networks to transmit the information. This consists of a camera module, a data module and a 4G / LTE modem. The only information sharing conducted by the system will be with state and federal partners such as the US Coast Guard and JEA partners. We collect information under the authority of Presidential Memorandum: Promoting Economic Competitiveness While Safeguarding Privacy, Civil Rights, and Civil Liberties in Domestic Use of Unmanned Aircraft Systems (Feb. 15, 2015). **This system collects PII/BII.**

**GCLD** - General Counsel Litigation Database - This is an application to assist NOAA's legal counsel manage and respond to various inquiries on NMFS/NOAA litigation from Congress, the White House, Fisheries councils, government agencies. **PII/BII is not collected.**

**MMHSRP** - Marine Mammal Health and Stranding Response Program The Marine Mammal Health and Stranding Response Program system is a centralized database that is accessible via a restricted web that collects and disseminate reference (Level A) data (i.e., genus, species, common name, etc.) on stranded marine mammals and tracks the animal's rehabilitation disposition when deemed non-releasable. The system is for the purpose of scientific research. Our users are federal agencies, their non-federal partners, private organizations (i.e., aquariums), researchers, and educational institutions. **PII/BII is not collected.**

**FWS - NMFS Federal Web Site** - The National Marine Fisheries Service Federal Web Service (NMFS FWS) is a public facing responsive web service implemented with a Drupal 8 instance provisioned on an Acquia Drupal PaaS multi-tier medium environment fronted by Akamai Kona Site Defender web application firewall (WAF) and Akamai Content Delivery Network edge caching services. This consolidation improves information architecture, web content, and search functions, as well as providing a responsive design to accommodate increasing number of customers using mobile devices. **PII/BII is not collected.**

**NATS** - The NMFS Agreement Tracking System (NATS) has been created to reduce the time and effort required to approve agreements by NMFS Financial Management Centers (FMCs) and Budget Execution Division (BEX) personnel. Additionally, NATS intends to reduce the amount of physical folders and paperwork that need to be printed for routing and approval. **This application collects BII.**

**GSDS** The primary purpose of the NMFS' Global Seafood Data System (GSDS) is to fulfill congressional directives to curtail the United States import and consumption of fisheries products that are a product of Illegal, Unreported and Unregulated (IUU) fishing. Information derived from this system will be used to direct NMFS personnel in the monitoring, management and enforcement of fisheries imports. The Seafood Import Monitoring Program (SIMP) will be the first of four NMFS trade-monitoring programs that GSDS will focus on.

GSDS will utilize data analytics, machine learning, and artificial intelligence to process fisheries trade data from various sources to structure data and create reports. This information will be utilized to establish a more comprehensive approach to counter the flow of IUU fishing products into the U.S. It will help NMFS to establish management measures, within the scope of other U.S. fisheries trade management roles, to provide a well-informed awareness and understanding in support of the initiative to assure legitimate trade and combat IUU fishing.

**ITDS - ST6 International Trade Data System** is used to support a number of NMFS offices/programs to monitor imports of fisheries products. Types of BII data collected are name of business, address, contact information, and product information. The data is collected by U.S. Customs and Border Protection (CBP) and provided to NMFS via SFTP for inclusion in the ITDS database. Reasons for the NMFS database:

- (1) The ITDS is an inter-agency, distributed system that allows businesses to submit trade data to a single agency (CBP). CBP then makes these data available to participating ITDS agencies via secure, system integration.
- (2) The NMFS component of the ITDS is an import monitoring system designed to improve the efficiency and accuracy of NMFS trade monitoring programs by utilizing the data and services provided by CBP via the national ITDS architecture. NMFS trade monitoring programs supported by the NMFS ITDS include the Antarctic Marine Living Resources (AMLR) program, the Highly Migratory Species (HMS) program, the Seafood Import Monitoring Program (SIMP), and the Tuna Tracking Verification Program (TTVP). The NMFS ITDS is also integrated with the NMFS National Permit System (NPS) to provide international trade permit data to NMFS trade monitoring programs and to CBP.

**The Marine Recreational Information Program (MRIP)** The Extract, Transform and Load (ETL) system is a tool to collect and process recreational saltwater fishing license and registration data from the Atlantic and Gulf of Mexico coastal states. This Data is inputted in the National Saltwater Angler Registry (NSAR). Types of PII collected include fishing license information, name, address, driver's license number, phone, email, and date of birth.

**The National Saltwater Angler Registry (NSAR)** system serves as a consolidated phone book of the nation's recreational saltwater anglers. NSAR data is used to furnish frames for the MRIP surveys. Types of PII collected include fishing license information, name, address, driver's license number, phone, email, and date of birth.

**The NOAA Fisheries Committee on Scientific Stature (NFCSS)** is a national-level performance Management Advisory Committee (PMAC) established to review the contributions, impact and stature of NOAA Fisheries Band IV and V non-supervisory research scientists. The NFCSS evaluates scientists whose primary responsibility is to conduct research and develop scientific products for resource management advice, other scientific advice, publications, and reports that represent new or more comprehensive understanding of a subject. The NFCSS members are Band V scientists, who are subject matter experts, from the regional science centers appointed to three-year terms by the respective regional Science Director. There is a website and database to manage and record the results of NFCSS member reviews conducted for the purpose of evaluating a scientist's credentials and contributions to allow them to be assigned to a higher pay Band without being a supervisor and to produce a standard report for the committee chair (OST Science Director). In 2014, OST upgraded the NFCSS website and database to enable password protected, role-based secure storage and retrieval of review package documents.

Access to the database is restricted to the OST Science Director, the six regional Deputy Science Directors, one Band V research scientist from each regional science center, the NOAA Fisheries HR Business Partner, and the NFCSS database administrator and is provided by the NFCSS database administrator only at the request of the NFCSS Chair. Information collected name, work contact information, letters of reference and curricula vitae, performance plan, science director memoranda and name of immediate supervisor. The administrator uploads copies of a memorandum from the NFCSS Chair to the Science Center director of staff being reviewed. The data (name, email, documents) for staff



being reviewed are entered by their Deputy Science Director. The review comments are entered by the NFCSS members.

**Protected Resources National Inventory of Marine Mammals (NIMM) System** - The National Inventory of Marine Mammals (NIMM) system maintains current and past data (it replaces previous inventory databases maintained by NMFS since the 1970s) on marine mammals under NMFS' jurisdiction (dolphins, porpoises, whales, seals, and sea lions) held in permanent captivity for public display. In addition, NIMM includes information on marine mammals held in permanent captivity for scientific research, enhancement, and national defense purposes. NIMM includes beached/stranded marine mammals only if they have been deemed non-releasable and cannot be returned to the wild. NIMM allows marine mammal Owners and Facilities to enter inventory data directly into the online system. NIMM will eventually provide the public with real-time access to the national inventory. **Does not collect BII.**

#### **NOAA Emergency Contact List**

The Emergency Contact List stores store contact information for ST staff and staff emergency contacts to be used in case of emergency. This is PII data.

**HawkEye 360 (HE360) Collection** - Radio Frequency (RF) Geo-location data buy to be delivered/stored and shared with US Coast Guard.

*(h) The specific programmatic authorities (statutes or Executive Orders) for collecting, maintaining, using, and disseminating the information*

Reorganization Plan No. 4 of 1970; 5 U.S.C. 301; 28 U.S.C. 533-535; 44 U.S.C. 3101; E.O. 10450; certain sections of Titles 15, 16, 18, and 22 of the United States Code; and relevant treaty, international convention, and/or agreements of which there are approximately 20 (Example: the International Convention for the Regulation of Whaling (TIAS 1849) cf. 16 U.S.C. 916).

Fish and Wildlife Act as amended (16 U.S.C. 742 et seq.).

Fishery Conservation and Management Act of 1976 as amended (16 U.S.C. 1852).

[5 U.S.C. 301](#), Departmental Regulations and [15 U.S.C. 1512](#), Powers and duties of Department

The Marine Mammal Protection Act, [16 U.S.C. 1361](#) et seq.; the Fur Seal Act, [16 U.S.C. 1151](#) et seq.; and the Endangered Species Act, [16 U.S.C. 1531](#) et seq. [For collection of the Tax Identifying Number (Employer Identification Number or Social Security Number), [31 U.S.C. 7701](#)].

National Marine Sanctuaries Amendments Act of 2000 ([Pub. L. 106-513](#) sec. 318). The Administrator of the National Oceanic and Atmospheric Administration (NOAA) is authorized by Section 4002 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act, [Public Law 110-69](#). This act establishes and administers educational programs such as the Educational Partnership Program (EPP) Graduate Sciences Program and EPP Undergraduate Scholarship Program, which enhances the understanding of ocean, coastal, Great Lakes, and atmospheric science. It benefits the public and other coastal stakeholders, including groups underrepresented in the ocean and atmospheric sciences and in policy careers.

Magnuson-Stevens Fishery Conservation and Management Act, as amended, [Public Law 109-479](#); [16 U.S.C. 1853](#); implemented at [50 CFR 679.50](#).

High Seas Fishing Compliance Act of 1995, 16 U.S.C 5501 et seq.; International Fisheries Regulations: Vessels of the United States Fishing in Colombian Treaty Waters, 50 CFR 300.120; the American Fisheries Act, Title II, Public Law No. 105-277; the Atlantic Coastal Fisheries Cooperative Management Act of 1993, 16 U.S.C. 5101-5108, as amended 1996; the Tuna Conventions Act of 1950,

16 U.S.C. 951-961; the Atlantic Tunas Convention Authorization Act, 16 U.S.C., Chapter 16A; the Northern Pacific Halibut Act of 1982, 16 U.S.C. 773 et seq. (Halibut Act); the Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431-2444; the Western and Central Pacific Fisheries Convention Implementation Act, 16 U.S.C. 6901 et seq. (WCPFCIA); the Dolphin Protection Consumer Information Act, 16 U.S.C. 1385; the Marine Mammal Protection Act, 16 U.S.C. 1361 et seq.; the Commerce, Justice, Science and Related Agencies Act, 2018, Division B, Section 539 (Pub. L. 115-141); and Taxpayer Identifying Number, 31 U.S.C. 7701.

Title XI of the Merchant Marine Act of 1936 as amended and codified, [46 U.S.C. 1177](#) and [46 U.S.C. 53701](#) et seq., and provisions of the Debt Collection Improvement Act as codified at [31 U.S.C. 7701](#).

28 U.S.C. 3101-3105, Debt Collection Act of 1982 (Pub. L. 97-365); 26 U.S.C. 6402(d); and 31 U.S.C. 3711.

Executive Orders 11478, 12065, Equal Employment Act of 1972

42 U.S.C. 3211; 31 U.S.C. 240; 15 U.S.C. 277 and 278e(b)

E.O. 12107, E.O. 13164, 41 U.S.C. 433(d); 5 U.S.C. 5379; 5 CFR Part 537; DAO 202-957; E.O. 12656; Federal Preparedness Circular Version Number: 01-2017 (FPC) 65, July 26, 1999; DAO 210-110; Executive Order 12564; Public Law 100-71, dated July 11, 1987.

Presidential Memorandum: Promoting Economic Competitiveness While Safeguarding Privacy, Civil Rights, and Civil Liberties in Domestic Use of Unmanned Aircraft Systems (Feb. 15, 2015); National Marine Sanctuaries Act, [16 U.S.C. 1431 et seq.](#); Marine Debris Act, [33 U.S.C. 1951 et seq.](#); Coast and Geodetic Survey Act, [33 U.S.C. 883a et seq.](#); Coastal Zone Management Act, [16 U.S.C. 1451 et seq.](#); Coral Reef Conservation Act, [16 U.S.C. 6401 et seq.](#); National Historic Preservation Act, [16 U.S.C. 470 et seq.](#); Ocean Pollution Act, [33 U.S.C. 2701 et seq.](#); Comprehensive Environmental Response, Compensation and Liability Act, [42 U.S.C. 9601 et seq.](#); Clean Water Act, [33 U.S.C. 1251](#); [47 CFR parts 80](#), 87, and 95.

FAA Modernization and Reform Act of 2012 ([Pub. L. 112-95](#)); the American Fisheries Act, Title II, [Public Law 105-277](#); the Tuna Conventions Act of 1950, [16 U.S.C. 951-961](#)

(i) *The Federal Information Processing Standards (FIPS) 199 security impact category for the system*  
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.)*

<b>Changes That Create New Privacy Risks (CTCNPR)</b>					
a. Conversions		d. Significant Merging	X	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):					
Applications previously contained within the NOAA4020 boundary were migrated to NOAA4000.					

This is an existing information system in which changes do not create new privacy risks, and there is not a SAOP approved Privacy Impact Assessment.

This is an existing information system in which changes do not create new privacy risks, and there is a SAOP approved Privacy Impact Assessment.

**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.)*

<b>Identifying Numbers (IN)</b>					
a. Social Security*	X	f. Driver's License	X	j. Financial Account	X
b. Taxpayer ID	X	g. Passport	X	k. Financial Transaction	X
c. Employer ID	X	h. Alien Registration		l. Vehicle Identifier	X
d. Employee ID	X	i. Credit Card		m. Medical Record	
e. File/Case ID	X				
n. Other identifying numbers (specify): Vessel Identifier					
*Explanation for the business need to collect, maintain, or disseminate the Social Security number, including truncated form:					
<ul style="list-style-type: none"> <li>• EDMS data contains some legal documents, which may include SSN.</li> <li>• NPS - Tax Identification Number is required on all permit applications other than research or exempted fishing permits, under the authority of 31 U.S.C. 7701. For purposes of administering the various NMFS fisheries permit and registration programs. A person shall be considered to be doing business with a Federal agency including, but not limited to, if the person is an applicant for, or recipient of, a federal license, permit, right-of way, grant, or benefit payment administered by the agency or insurance administered by the agency pursuant to subsection (c) (2) (B) of this statute.</li> </ul>					

- **VMS and Trident** collects Vessel ID Numbers, Permits for Federal or State permit/licenses issued and start and end dates and other permit
- **SISP/FDS Loan** collects credit, personal and SSN information for verification of financial information to determine qualifications for Fisheries Loans, Capital Construction Fund accounts and other projects.
- **NATS** collects budget information, business information, and all supporting documents needed to approve an agreement package.

<b>General Personal Data (GPD)</b>					
a. Name	X	h. Date of Birth	X	o. Financial Information	X
b. Maiden Name	X	i. Place of Birth	X	p. Medical Information	X
c. Alias	X	j. Home Address	X	q. Military Service	X
d. Gender	X	k. Telephone Number	X	r. Criminal Record	X
e. Age	X	l. Email Address	X	s. Marital Status	
f. Race/Ethnicity	X	m. Education		t. Mother's Maiden Name	
g. Citizenship	X	n. Religion			
u. Other general personal data (specify):					

<b>Work-Related Data (WRD)</b>					
a. Occupation	X	e. Work Email Address	X	i. Business Associates	
b. Job Title	X	f. Salary	X	j. Proprietary or Business Information	X
c. Work Address	X	g. Work History	X	k. Procurement/contracting records	X
d. Work Telephone Number	X	h. Employment Performance Ratings or other Performance Information	X		
l. Other work-related data (specify): Approved fishing licenses, type of fishing gear being used, vessel location (VMS, TRIDENT, eDiscovery); file/case id and information on the catch (TRIDENT); and sworn witness accounts.					
For NOAA Fisheries Committee on Scientific Stature Performance Plan Supervisor Justification Science Director Memoranda Letters of Reference Curriculum Vitae Position Description					

<b>Distinguishing Features/Biometrics (DFB)</b>					
a. Fingerprints		f. Scars, Marks, Tattoos	X	k. Signatures	X
b. Palm Prints		g. Hair Color		l. Vascular Scans	
c. Voice/Audio Recording	X	h. Eye Color		m. DNA Sample or Profile	
d. Video Recording	X	i. Height		n. Retina/Iris Scans	
e. Photographs	X	j. Weight		o. Dental Profile	
p. Other distinguishing features/biometrics (specify):					

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

<b>Other Information (specify)</b>
<ul style="list-style-type: none"> <li>● SISP – Products produced and seafood inspection data</li> <li>● TRIDENT / GCLD – Case files, Seized Property</li> <li>● NPS – 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;</li> <li>● Exemptions (i.e., Owner on Board – Grandfathered Exemption, Owner on Board, as stated code of federal regulations) and exemption status, contact persons, Business Operation Information (Business Processes, Procedures, Physical Maps).</li> <li>● UAS use by law enforcement for area safety surveillance, detection, &amp; avoidance while inspecting &amp; marking remote crime scene areas; crime scene reporting; will follow the NOAA Unmanned Aircraft Systems policy in regards to PII and BII collection</li> </ul>

2.2 Indicate sources of the PII/BII in the system. (Check all that apply.)

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

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

<b>Non-government Sources</b>					
Public Organizations	X	Private Sector	X	Commercial Data Brokers	X
Third Party Website or Application			X		
OpenFox – A SaaS that is run by contractor CPI in support of Criminal Justice Information Services (CJIS)					
Other (specify):					

2.3 Describe how the accuracy of the information in the system is ensured.

Most data is captured electronically through website page visits. Processes in the System Development Life Cycle (SDLC) ensure there are data integrity checks to ensure valid data is entered into the system.
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Database constraints include Primary and Foreign Keys, Referential Integrity Constraints and Check Constraints.

For in-person information provided to NMFS Law Enforcement, this is sworn testimony corroborated by observation and other information.

NOAA4000 utilizes enterprise-wide services to aid in security monitoring, vulnerability scanning, and secure baseline management. The system also uses a NOAA enterprise service application for audit log management.

The web applications used to collect information contain various front-end and back-end validations to check for accuracy. Data that are not collected directly from the subject of the information are run through various quality control procedures, including format and content validation and standardization. In some cases, data are reconciled against other data sets to check for data errors or updates.

In addition, various controls are in place to ensure that only those who are authorized and have a need to modify the data are able to so.

The general controls used to protect the PII involve controlled physical and logical access, role based access control, proper data segmentation and protection via encryption at rest and proper audit logging of events. Adequate media marking, transport, storage, incident monitoring, and response are also used.

The levels of implementation for these technologies meet the criteria required by NIST 800-53, Rev 4 under the following controls: Access Enforcement (AC-3), Separation of Duties (AC-5), Least Privilege (AC-6), Remote Access (AC-17), User-Based Collaboration and Information Sharing (AC-21), Auditable Events (AU-2), Audit Review, Analysis, and Reporting (AU-6), Identification and Authentication (Organizational Users) (IA-2), Media Access (MP-2), Media Marking (MP-3), Media Storage (MP-4), Media Transport (MP-5), Media Sanitization (MP-6), Transmission Confidentiality (SC-9), Protection of Information at Rest (SC-28), Information System Monitoring (SI-4).

In addition to following database CIS benchmarks and best practices, all Oracle tables that contain PII/BII data are stored in an encrypted table space.

2.4 Is the information covered by the Paperwork Reduction Act?

X	<p>Yes, the information is covered by the Paperwork Reduction Act. Provide the OMB control number and the agency number for the collection.</p> <ul style="list-style-type: none"> <li>● 0648-0012 FFP Loans</li> <li>● 0648-0040 Highly Migratory Species Dealer Reporting Family of Forms</li> <li>● 0648-0041 Capital Construction Fund Agreement, Certificate Family of Forms, and Deposit/withdrawal Report</li> <li>● 0648-0082 FCF - and NOAA forms 88-164 and 88-166</li> <li>● 0648-0178 Marine Mammal Health and Stranding Response Program</li> <li>● 0648-0204 West Coast Permit Family of Forms</li> <li>● 0648-0283 NOAA's Teacher at Sea Program</li> </ul>
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	<ul style="list-style-type: none"> <li>● 0648-0292 Reporting Requirements for Commercial Fisheries Authorization under Section 118 of the Marine Mammal Protection Act</li> <li>● 0648-0293 Application for Commercial Fisheries Authorization under Section 118 of the Marine Mammal Protection Act (MMPA)</li> <li>● 0648-0376 Buybacks - and includes all fee collection reports</li> <li>● 0648-0468 Protocol for Access to Tissue Specimen Samples from the National Marine Mammal Tissue Bank</li> <li>● 0648-0471 Highly Migratory Species (HMS) Scientific Research Permits, Exempted Fishing Permits, Letters of Acknowledgement, Display Permits, and Shark Research Fishery Permits</li> <li>● 0648-0479 National Estuary Inventory</li> <li>● 0648-0544 Southeast Region VMS and related requirements</li> <li>● 0648-0573 Expanded VMS Requirement for Pacific Groundfish Fishery</li> <li>● 0648-0771 Domestic shrimp and abalone reporting</li> <li>● 0648-0578 National Saltwater Angler Registry and State Exemption Program</li> <li>● 0648-0642 American Lobster Area 1 Trap Fishery Limited Entry Program</li> <li>● 0648-0380 Large Pelagic Fishing Survey</li> <li>● 0648-0018 Processed Products Family of Forms</li> <li>● 0648-0593 Observer Programs' Information That Can Be Gathered Only Through Questions</li> <li>● 0648-0709 For Hire Telephone Survey</li> <li>● 0648-0651 Fishery Products Subject to Trade Restrictions Pursuant to Certification Under the High Seas Driftnet Fishing (HSDF) moratorium Protection Act</li> <li>● 0648-0781 Marine Recreational Information Program Social Network Analysis Mail Survey</li> <li>● 0648-0659 Marine Recreational Information Program Access-Point Angler Intercept Survey</li> <li>● 0648-0335 Fisheries Certificate of Origin</li> <li>● 0648-0732 NMFS Implementation of International Trade Data System</li> <li>● 0648-0793 Marine Recreational Information Program Social Network In-person Survey (SNAIS)</li> </ul>
	No, the information is not covered by the Paperwork Reduction Act.

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

<b>Technologies Used Containing PII/BII Not Previously Deployed (TUCPBNPD)</b>			
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.)*

<b>Activities</b>			
Audio recordings		Building entry readers	
Video surveillance	X	Electronic purchase transactions	
Other (specify): UAS use by law enforcement for area safety surveillance, detection, & avoidance while inspecting & marking remote crime scene areas; crime scene reporting; will follow the NOAA Unmanned Aircraft Systems policy in regards to PII and BII collection. Also, HE360 RF Geo-location Data is being added.			
There are not any IT system supported activities which raise privacy risks/concerns.			

**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.)*

<b>Purpose</b>			
For a Computer Matching Program		For administering human resources programs	X
For administrative matters	X	To promote information sharing initiatives	X
For litigation	X	For criminal law enforcement activities	X
For civil enforcement activities	X	For intelligence activities	X
To improve Federal services online	X	For employee or customer satisfaction	X
For web measurement and customization technologies (single-session)	X	For web measurement and customization technologies (multi-session)	
Other (specify): UAS use by law enforcement for apex predator surveillance, detection, & avoidance for officer safety while inspecting, locating, & marking crime scene areas; crime scene report; will follow the NOAA Unmanned Aircraft Systems Privacy Policy for PII and BII collection. RF Geo-location data will assist with civil and criminal enforcement activities.  To maintain databases for tracking international seafood trading tracking, angler registration, for use in reviewing scientists' research products, and a Protected Resources marine mammal inventory.			

**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).

SISP is used to track seafood inspection activities and scheduling, and to generate invoices for payment. The data collected refers to members of the public.
VMS helps to ensure individual vessel compliance with regional and federal fishing regulations



through transmitted position reports at given intervals. The data is heavily used by fishery managers, as well. Vessel tracks, location and densities can be analyzed to indicate vessel location as well as trends and patterns of activity. VMS data is also used by the U.S. Coast Guard, coastal states' marine enforcement offices, the Navy, Immigration and Customs Enforcement, NMFS science centers, and NMFS fishery managers. VMS data is also used to enforce other federal laws and international treaties related to the prevention of overfishing: the High Seas Fishing Compliance Act, the American Fisheries Act, the Atlantic Coastal Fisheries Cooperative Management Act, the Atlantic Tunas Convention Authorization Act, the Northern Pacific Halibut Act and the Antarctic Marine Living Resources Convention Act. The data collected refers to members of the public.

**TRIDENT** information is used to (1) detect instances in which the U.S. fisheries laws as well as other U.S. laws have been violated; and (2) develop case files that support fining and/or prosecuting these violators. The case files support the collection of fines and/or the prosecution of these cases. The data collected refers to members of the public.

**NRDA** information will be used to manage information collected about restoration projects in response to incidents and to receive information form, and share information with the interested public. The data collected refer to members of the public.

**RCDB** information is used to manage information related to fisheries habitat restoration projects implemented by the NOAA Restoration Center. The data collected refers to members of the public.

**eAOP** provides NMFS managers and employees with the ability to plan, monitor, and report on agency programmatic performance. This includes planning and reporting of milestones and performance measures. Information included contains PII for some employees and contractors (names and phone numbers only) who are contacts for the milestones and performance measures. This information is used internally, as needed, to answer questions relating to progress on the milestones or performance measures.

**MMHSRP** provides the ability to track any mammals that die or are killed that come to shore (strand). The data is for scientific research and does not contain PII.

**GCLD** assists NOAA's legal counsel, manages and responds to various inquiries on NMFS/NOAA litigation from Congress, the White House, Fisheries councils, and government agencies. It includes names and phone numbers of legal counsel involved in a given case, all of which is public data. The other data entered into the database is public information regarding litigation involving NOAA.

**NPS** is used by NMFS to identify owners and holders of permits and non-permit registrations and vessel owners and operators for both civil and criminal enforcement activities, evaluate permit applications, and document agency actions relating to the issuance, renewal, transfer, revocation, suspension or modification of a permit or registration. NMFS may use lists of permit holders or registrants as sample frames for the conduct of surveys to collect information necessary to the administration of the applicable statutes. NMFS may post non-sensitive permit holders, vessel-related, and/or IFQ information for the public, via Web sites and Web Services, per notice given on permit applications. This information is considered part of the public domain. Tax Identification Numbers allow positive identification for cost recovery billing of IFQ holders. In addition, as stated in SORNs'-12 and 19 routine uses, a Tax Identification Number is required on all permit applications other than research or exempted fishing permits, under the authority 31 U.S.C. 7701. For purposes of administering the various NMFS fisheries permit and registration programs. A person shall be considered to be doing business with a Federal agency including, but not limited to, if the person is an applicant for, or recipient of, a Federal license, permit, right-of-

way, grant, or benefit payment administered by the agency or insurance administered by the agency pursuant to subsection (c) (2) (B) of this statute. All PII/BII are in reference to members of the public.

**eDiscovery Application** The information is used in the review process of FOIA requests and is redacted before it is released to the requestor. The application does not actually save the data; it only saves the metadata or pointers to the scanned document.

**TIPS** is used to establish registration for U.S. Aquaculture producers and report production and entry of shrimp and abalone into U.S. commerce. NOAA users will not have access to PII for registered users. BII/PII collected under TIPS is confidential.

**ECO** is used to document and track consultation status ECO collects project lead's name and phone.

**FSD Loans** collects loan application information from members of the public; this information is used to assess and monitor the loan applicant's financial condition.

**FWS** is a public facing collection of NMFS websites.

**UAS** PII/BII collected, maintained or disseminated will be used for civil enforcement investigations, criminal enforcement investigation, and intelligence to identify persons, fishing activity, vessels, vehicles, and fishing gear. For example, vessel or vehicle identifiers will be used to show the name of the vessel and the activity the vessel is conducting for compliance or if there is a violation detected, for an administrative court or a court of law.

**NATS** The NMFS Agreement Tracking System (NATS) has been created to reduce the time and effort required to approve agreements by NMFS Financial Management Centers (FMCs) and Budget Execution Division (BEX) personnel. Additionally, NATS intends to reduce the amount of physical folders and paperwork that need to be printed for routing and approval. This application collects BII.

#### **Emergency Contact List (ECL)**

The Emergency Contact List stores store contact information for ST staff and staff emergency contacts to be used in case of emergency. PII collected includes name, relationship, address, and phone. This information is collected from employees and contractors.

#### **International Trade Data System (ITDS)**

ST6 International Trade Data System (ITDS) is used to support a number of NMFS offices/programs to monitor imports of fisheries products. Types of BII data collected include name of business, address, contact information, and product information. The data is collected from U.S. Customs and Border Protection.

#### **MRIP ETL**

The Marine Recreational Information Program (MRIP) Extract, Transform and Load (ETL) system is a tool to collect and process recreational saltwater fishing license and registration data from Atlantic and Gulf of Mexico coastal states for inclusion in the National Saltwater Angler Registry (NSAR). Types of PII collected include fishing license information, name, address, driver's license number, phone, email, and date of birth of the angler. The MRIP ETL collects data from the NSAR, below.

#### **National Saltwater Angler Registry - NSAR**

The National Saltwater Angler Registry (NSAR) system serves as a consolidated phone book of the

nation's recreational saltwater anglers. NSAR data is used to furnish frames for the MRIP surveys. Types of PII collected include fishing license information, name, address, driver's license number, phone, email, and date of birth. The NSAR is only applicable to anglers ages 16 and older. The date of birth is used for validation of this requirement.

**NOAA Fisheries Committee on Scientific Stature. This is not an outside advisory committee.**

The NOAA Fisheries Committee on Scientific Stature (NFCSS) is a national-level Performance Management Advisory Committee (PMAC) established to review the contributions, impact and stature of NOAA Fisheries Band IV and V non-supervisory research scientists. The NFCSS evaluates scientists whose primary responsibility is to conduct research and develop scientific products for resource management advice, other scientific advice, publications, and reports that represent new or more comprehensive understanding of a subject. The NFCSS members are Band V scientists, who are subject matter experts, from the regional science centers appointed to three-year terms by the respective regional Science Director. There is a website and database to manage and record the results of NFCSS member reviews conducted for the purpose of evaluating a scientist's credentials and contributions to allow them to be assigned to a higher pay Band without being a supervisor and to produce a standard report for the committee chair (OST Science Director). In 2014, OST upgraded the NFCSS website and database to enable password protected, role based secure storage and retrieval of review package documents. Access to the database is restricted to the OST Science Director, the six regional Deputy Science Directors, one Band V research scientist from each regional science center, the NOAA Fisheries HR Business Partner, and the NFCSS database administrator and is provided by the NFCSS database administrator only at the request of the NFCSS Chair. Information collected is name, work contact information, letters of reference and curricula vitae, performance plan, science director memoranda and name of immediate supervisor. The administrator uploads copies of a memorandum from the NFCSS Chair to the Science Center director of staff being reviewed. The data (name, email, documents) for staff being reviewed are entered by their Deputy Science Director. The review comments are entered by the NFCSS members.

**Protected Resources National Inventory of Marine Mammals (NIMM) System.**

The National Inventory of Marine Mammals (NIMM) system maintains current and past data (it replaces previous inventory databases maintained by NMFS since the 1970s) on marine mammals under NMFS' jurisdiction (dolphins, porpoises, whales, seals, and sea lions) held in permanent captivity for public display. In addition, NIMM includes information on marine mammals held in permanent captivity for scientific research, enhancement, and national defense purposes. NIMM includes beached/stranded marine mammals only if they have been deemed non-releasable and cannot be returned to the wild. NIMM allows marine mammal Owners and Facilities to enter inventory data directly into the online system. NIMM will eventually provide the public with real-time access to the national inventory. System does not collect BII.

**HawkEye 360 Collection - Radio Frequency (RF) Geo-location data is a repository.**

- 5.2 Describe any potential threats to privacy, such as insider threat, as a result of the bureau's/operating unit's use of the information, and controls that the bureau/operating unit has put into place to ensure that the information is handled, retained, and disposed appropriately. (For example: mandatory training for system users regarding appropriate

handling of information, automatic purging of information in accordance with the retention schedule, etc.)

There is mandatory security awareness training for all system users. All data is encrypted and role-based, access control to data is restricted to authorized, authenticated, users. Potential threats include insider threat and an increased threat of attack considering the law enforcement material stored on the system. Controls for protection include the standard 2FA log in, VPN access for Clearwell, and statutory protections for Magnuson Stevens Act data.

NOAA4000 utilizes enterprise-wide services to aid in security monitoring, vulnerability scanning, and secure baseline management. The system also uses a NOAA enterprise service application for audit log management.

Dissemination of PII/BII is subject to controls in place to restrict access to only those who need access to the data. Everyone who does have access to the data must provide signed copies of the NOAA Administrative Order 216-100 Data Confidentiality form, including the Statement of Nondisclosure.

If the data is to be shared with an external organization (e.g., contracting company or university) then a representative of the external organization must complete the Agreement of Access form and each representative of the external organization who will be accessing the data will have to provide a signed Certificate.

There are also various controls in place to ensure that only those who are authorized and have a need to modify the data are able to so.

The general controls used to protect the PII involve controlled physical and logical access, role based access control, proper data segmentation and protection via encryption at rest and proper audit logging of events. Adequate media marking, transport and storage and incident monitoring and response are also used.

The levels of implementation for these technologies meet the criteria required by NIST 800-53, Rev 4 under the following controls: Access Enforcement (AC-3), Separation of Duties (AC-5), Least Privilege (AC-6), Remote Access (AC-17), User-Based Collaboration and Information Sharing (AC-21), Auditable Events (AU-2), Audit Review, Analysis, and Reporting (AU-6), Identification and Authentication (Organizational Users) (IA-2), Media Access (MP-2), Media Marking (MP-3), Media Storage (MP-4), Media Transport (MP-5), Media Sanitization (MP-6), Transmission Confidentiality (SC-9), Protection of Information at Rest (SC-28), Information System Monitoring (SI-4).

In addition to following database CIS benchmarks and best practices, all Oracle tables that contain PII/BII data are stored in an encrypted tablespace.

**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	X		X
Federal agencies	X*		X*
State, local, tribal gov't agencies	X	X	
Public	X		X
Private sector	X		X
Foreign governments	X		
Foreign entities			
Other (specify): FOIA Online			X

\* USCG, USCPB, and other agencies described in the Introduction have Information Sharing Agreements in place.

- SISP information is shared for invoicing and billing purposes.
- NPS: non-sensitive information may be posted on public web sites.
- Trident information will be shared with law enforcement.
- FDS Loans: Credit, Financial, and Tax information.

The PII/BII in the system will not be shared.
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6.2 Does the DOC bureau/operating unit place a limitation on re-dissemination of PII/BII shared with external agencies/entities?

X	Yes, the external agency/entity is required to verify with the DOC bureau/operating unit before re- dissemination of PII/BII.
	No, the external agency/entity is not required to verify with the DOC bureau/operating unit before re- dissemination of PII/BII.
	No, the bureau/operating unit does not share PII/BII with external agencies/entities.

6.3 Indicate whether the IT system connects with or receives information from any other IT systems authorized to process PII and/or BII.

X	<p>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:</p> <ul style="list-style-type: none"> <li>i) US Coast Guard</li> <li>ii) Pacific States Marine Fisheries Commission</li> <li>iii) US Custom and Border Protection</li> <li>iv) Atlantic Coastal Fisheries Information Network (ACFIN)</li> <li>v) Information Technology Center (ITC – NOAA1101)</li> <li>vi) 1901 NSOC</li> <li>vii) Department of Justice (DOJ)</li> <li>viii) Other NOAA NMFS Systems: <ul style="list-style-type: none"> <li>a. NOAA4011 (NFPLRS)</li> <li>b. NOAA4100 (GARFO)</li> <li>d. NOAA4200 (NEFSC)</li> </ul> </li> </ul>
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	<p>e. NOAA4300 (SERO)  f. NOAA4400 (SEFSC)  g. NOAA4500 (WCR)  h. NOAA4600 (NWFSC)  i. NOAA4700 (AKRO)  j. NOAA4800 (AKFSC)  k. NOAA4920 (PIRO)  l. NOAA4930 (SWFSC)  m. NOAA4960 (PIFSC)</p> <p>The interconnections between NOAA4000/VMS and the entities listed above is established through encrypted interfaces (VPN)... The connections on each end is located within controlled access facilities, guarded 24 hours a day. Authentication methods are in place to validate authorized users. Virus and malicious code prevention is employed to protect the integrity of the software and the data.</p>
	No, this IT system does not connect with or receive information from another IT system(s) authorized to process PII and/or BII.

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

<b>Class of Users</b>			
General Public	X*	Government Employees	X
Contractors	X		
Other (specify): * Individuals have access to their own sensitive PII when they log into applications; however, they only have access to non-sensitive public data. NIMM will eventually provide the public with real-time access to the national inventory.			

### **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:</p> <p><a href="https://www.fisheries.noaa.gov/national/fisheries-observers/privacy-act-statement">https://www.fisheries.noaa.gov/national/fisheries-observers/privacy-act-statement</a> (NMFS)  <a href="https://www.fisheries.noaa.gov/privacy-policy">https://www.fisheries.noaa.gov/privacy-policy</a> (SISP:eAOP:NPS:ECO:NATS)  <a href="https://www.noaa.gov/protecting-your-privacy">https://www.noaa.gov/protecting-your-privacy</a> (RCDB:GCLD)  <a href="https://www.noaa.gov/sites/default/files/legacy/document/2021/Mar/Signed_UAS_PrivacyPolicy.pdf">https://www.noaa.gov/sites/default/files/legacy/document/2021/Mar/Signed_UAS_PrivacyPolicy.pdf</a> (UAS)</p> <p><a href="https://www.st.nmfs.noaa.gov/nnri/">https://www.st.nmfs.noaa.gov/nnri/</a> NSAR  <a href="https://restorationdata.noaa.gov/submission/privacyAct.html">https://restorationdata.noaa.gov/submission/privacyAct.html</a> (NPS)</p>

<p>X</p>	<p>Yes, notice is provided by other means.</p>	<p>Specify how:</p> <p>VMS: Notice is provided in a user nondisclosure agreement. For any BII release, the affected fishermen would be notified via email.</p> <p>TRIDENT: Notification is provided face to face by OLE officers. Users have NDA agreements.</p> <p>FSD Loans: The FFP loan application contains the privacy statement.</p> <p>The ECL has a Privacy Act Statement: This information collection is voluntary. The purpose is to maintain an emergency contact list. The personally identifiable information will not be shared outside the S&amp;T.</p>
<p>X</p>	<p>No, notice is not provided.</p>	<p>Specify why not:</p> <p>The UAS is an actual drone that is operated remotely capturing images of location under surveillance. Therefore, no notice is provided to the individuals.</p> <p>ITDS: ITDS does not provide any notice because ITDS does not collect data from individuals and therefore there is no way to provide notice. Any notice provided would be provided when the data is collected by the U.S. Customs and Border Protection.</p> <p>RF Geo-location receives vessel radio frequency signals and does not collect information from individuals.</p>

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

<p>X</p>	<p>Yes, individuals have an opportunity to decline to provide PII/BII.</p>	<p>Specify how:</p> <p>SISP - The requestor may decline face to face or in writing, to provide information to the application owner but would not then receive the service/user account/be in compliance.</p> <p>VMS - The requestor may decline, face to face or in writing, to provide information in the account request form but would not then receive the service/user account/be in compliance.</p> <p>NRDA - The requestor may decline, face to face or in writing, to provide information to the application owner but would not then receive the service/user account/be in compliance.</p> <p>RCDB - The requestor may decline, face to face or in</p>
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		<p>writing, to provide information to the application owner but would not then receive the service/user account/be in compliance.</p> <p>NPS - The personal information is collected when the individual completes the appropriate application. On the application, the individual is advised 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 at that time, but will not be able to receive a permit.</p> <p>eAOP- Managers' contact information is part of the program information. However, if any individual objects to their information being posted, it will be removed upon written or verbal request.</p> <p>eDiscovery Application: The BII/PII is collected via email as part of conducting business. Not providing the information affects the ability to conduct business.</p> <p>TRIDENT: An individual may decline to provide voluntary information in the course of an investigation.</p> <p>TIPS: The applicant may decline, face to face or in writing, to provide information but would not then receive the service/user account/be in compliance.</p> <p>ECO: The project lead may decline, face to face or in writing, to provide information to the application owner but would not then receive the service/user account/be to manage projects.</p> <p>FSD Loans: The loan applicant may decline, face to face or in writing, to provide information but would not then receive the service/user account/be in compliance.</p> <p>ECL application, employees and contractors may decline to their supervisors in writing, but they may then not be notified in case of emergencies.</p> <p>NIMM: An individual can decline to be the responsible official or the primary contact.</p> <p>NSAR: The individual will not register if he wishes to decline.</p>
X	No, individuals do not have an opportunity to decline to provide PII/BII.	Specify why not: The UAS is an actual drone that is operated remotely capturing images of location under surveillance.



		<p>Individuals do not have the opportunity to decline to provide PII.</p> <p>TRIDENT: Individuals do not have the opportunity to decline to provide information collected through surveillance, pursuant to a warrant, court order, or other investigatory actions where consent is not possible within the constraints of properly investigating potential violations of Fisheries laws and regulations.</p> <p>ITDS: ITDS does not provide an opportunity to decline because ITDS does not collect data from individuals and therefore there is no way to provide the opportunity to decline. Any opportunity to decline would be provided when the data is collected by the U.S. Customs and Border Protection.</p> <p>MRIP ETL: No data collected directly by the system</p> <p>RF Geo-location receives vessel radio frequency signals and does not collect information from individuals.</p>
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7.3 Indicate whether and how individuals have an opportunity to consent to particular uses of their PII/BII.

<p>X</p>	<p>Yes, individuals have an opportunity to consent to particular uses of their PII/BII.</p>	<p>Specify how:</p> <p>There is only one purpose for each information collection. Those who provide information via Web pages have a link to the NOAA Privacy Policy, which states that provision of the information implies consent to the stated use(s). For provision of information in person, the purpose of the information is stated by the NOAA staff person.</p> <p>NPS - The individual consents by completion of the application. On the application, the individual is advised 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 at that time, but will not be able to receive a permit.</p> <p>eDiscovery Application: There is only one use of the PII/BII in this application. The BII/PII is collected via email as part of conducting business. By providing their PII via email, the individual is consenting to its use.</p> <p>TIPS: BII/PII collected as part of registration and conducting business. There is only one use for the information collected. By requesting an application, the applicant is consenting to provide the PII/BII to receive the service/user account to be in compliance.</p>
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		<p>FSD Loans: FP, consent for the specified use is implied by completing and signing the loan application. Notice is also provided in NOAA-21. Also, above the signature is this text: “The applicant certifies that: (1) they are a citizen of the United States (if a corporation, at least 75% of the stock must be held by U.S. citizens), and (2) all information in this application is true and correct to the best of the applicant's knowledge and belief“. Then the application is submitted to obtain a loan from the Fisheries Finance Program.</p> <p>SISP – The requestor has the opportunity to consent to specific uses of their PII/BII either face to face or in writing. However, failure to consent to all uses could negatively impact their ability to obtain services.</p> <p>VMS – There is only one use for the information collected. By installing a VMS unit, the individual is consenting to the use of their PII/BII to conduct business.</p> <p>NRDA – There is only one use for the individual’s contact information. By providing their contact information, the individual is consenting to receive research updates. If they decide they no longer want to receive these updates, they may request that their account be deleted.</p> <p>RCDB – There is only one use of the contact information. By providing their contact information, the individual is consenting to its use for the implementation of restoration projects.</p> <p>eAOP – There is only one use for the contact information in this application. Staff consent to the use of the contact information by including it in the planning documents.</p> <p>TRIDENT – An individual may voluntarily consent to particular uses of their PII during an investigation.</p> <p>ECO – By agreeing to serve as a project lead, the individual is consenting to the use of their PII for this one purpose. There is no other use of this information.</p> <p>For the ECL, emergency contact is the only use for the information.</p> <p>NSAR: Anglers may choose not to register. There is no option to register and opt out of the survey. An angler may decline respond to the survey if contacted.</p>
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<p>X</p>	<p>No, individuals do not have an opportunity to consent to particular uses of their PII/BII.</p>	<p>Specify why not: Specify why not:</p> <p>The UAS is an actual drone that is operated remotely capturing images of location under surveillance. Therefore, no notice is provided to the individuals.</p> <p>ITDS: ITDS does not provide an opportunity to consent to particular uses because ITDS does not collect data from individuals and therefore there is no way to provide the opportunity to consent to particular uses. Any opportunity to consent to particular uses would be provided when the data is collected by the U.S. Customs and Border Protection.</p> <p>MRIP ETL: No data collected directly by the system.</p> <p>RF Geo-location receives vessel radio frequency signals and does not collect information from individuals.</p>
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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>SISP: Users establish accounts and have access to their own profile.</p> <p>VMS: Users have limited access. Only users with a need to access the system as part of their duties and as approved by the appropriate authorizing official may directly access their data. Individuals with no access to the applicable database may request to review information and submit updates through secure means, with the person and office who collected their information originally.</p> <p>TRIDENT: Users may request to review information and submit updates through secure means, with the person and office who collected their information originally.</p> <p>NRDA: Users may request to review information and submit updates through secure means, with the person and office who collected their information originally.</p> <p>RCDB: Users may request to review information and submit updates through secure means, with the person and office who collected their information originally.</p> <p>NPS: Information may be reviewed/updated when completing or renewing a permit application or supporting documents, or by calling or emailing the applicable NMFS office at any time.</p>
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		<p>eAOP – Contact information may be reviewed and updated at any time by contacting the Program Manager.</p> <p>eDiscovery Application: The BII/PII is collected via email as part of conducting business.</p> <p>TIPS: Users establish accounts and have access to their own profile.</p> <p>ECO: Users establish accounts and have access to their own profile.</p> <p>FSD Loans: Users establish accounts and have access to their own profile.</p> <p>FWS: Users establish accounts and have access to their own profile.</p> <p>UAS – Individuals can seek to updated/delete their video image via a Privacy Act amendment request.</p> <p>ECL - users may log on to the application and update the information at any time.</p> <p>NIMM: Those with NIMM user accounts have accessrights to review and update their data.</p> <p>NSAR: Information may be updated at the time of registration renewal.</p>
X	<p>No, individuals do not have an opportunity to review/update PII/BII pertaining to them.</p>	<p>Specify why not:</p> <p>ITDS: ITDS does not provide an opportunity to review/update information because ITDS does not collect data from individuals and therefore there is no way to provide the opportunity to review/update information. Any opportunity to review/update information would be provided by the U.S. Customs and Border Protection.</p> <p>MRIP ETL: No data collected directly by the system</p>

**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.
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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. <b>Explanation:</b> Activities of users are tracked through audit logs and monitoring.
X	The information is secured in accordance with the Federal Information Security Modernization Act (FISMA) requirements. Provide date of most recent Assessment and Authorization (A&A): <u>03/15/2022</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 controls for protecting PII/BII are in place and functioning as intended; or have an approved Plan of Action and Milestones (POA&M).
X	A security assessment report has been reviewed for the information system and it has been determined that there are no additional privacy risks.
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 DOC ownership rights over data including PII/BII.
X	Acceptance of liability for exposure of PII/BII is clearly defined in agreements with customers.
X	Other (specify): All employees/contractors are required to sign a confidentiality agreement for VMS

8.2 Provide a general description of the technologies used to protect PII/BII on the IT system.  
(Include data encryption in transit and/or at rest, if applicable).

Encryption at rest - Data is encrypted (storage, laptops and backup media).  
Access management control - Only users with authorization may access the data.  
The activities of users are tracked through audit logs and monitoring.  
Transmission - certificate used to access the web interface.  
UMS files are shared via Google Drive (https :)  
Any files shared with non-NOAA federal recipients are shared via Kiteworks.

The levels of implementation for these technologies meet the criteria required by NIST 800-53, Rev 4 under the following controls:

Access Enforcement  
Separation of Duties  
Least Privilege  
Remote Access  
User-Based Collaboration and Information Sharing  
Auditable Events  
Audit Review, Analysis, and Reporting  
Identification and Authentication (Organizational Users)  
Media Access  
Media Marking  
Media Storage  
Media Transport  
Media Sanitization

Transmission Confidentiality  
 Protection of Information at Rest  
 Information System Monitoring

### **Section 9: Privacy Act**

9.1 Is the PII/BII searchable by a personal identifier (e.g., name or Social Security number)?

Yes, the PII/BII is searchable by a personal identifier.

No, the PII/BII is not searchable by a personal identifier.

9.2 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, number, and link. (<i>list all that apply</i>):</p> <p><a href="#">NOAA-5: Fisheries Law Enforcement Case Files</a></p> <p><a href="#">NOAA-6: Fishermen's Statistical Data</a></p> <p><a href="#">NOAA-11: Contact Information for Members of the Public Requesting or Providing Information Related to NOAA's Mission</a></p> <p><a href="#">NOAA-12: Marine Mammals, Endangered and Threatened Species, Permits and Authorizations Applicants</a></p> <p><a href="#">NOAA-14: Dr. Nancy Foster Scholarship Program; Office of Education, Educational Partnership Program (EPP); Ernest F. Hollings Undergraduate Scholarship Program and National Marine Fisheries Service Recruitment, Training, and Research Program</a></p> <p><a href="#">NOAA-15: Monitoring of National Marine Fisheries Service Observers</a></p> <p><a href="#">NOAA-16: Economic Data Reports for Alaska Federally Regulated Fisheries off the coast of Alaska</a></p> <p><a href="#">NOAA-19: Permits and Registrations for United States Federally Regulated Fisheries</a></p> <p><a href="#">NOAA-21: Financial Services Division</a></p> <p><a href="#">NOAA-23: Economic Data Collection (EDC) Program for West Coast Groundfish Trawl</a></p>
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	<p><b>Catch Share Program off the coast of Washington, Oregon, and California</b></p> <p>COMMERCE/DEPT-2: Accounts Receivable</p> <p>COMMERCE/<u>DEPT-5: Freedom of Information Act and Privacy Act Request Records</u></p> <p>COMMERCE/DEPT-13: Investigative and Security Records</p> <p>COMMERCE/<u>DEPT-14: Litigation, Claims, and Administrative Proceeding Records</u></p> <p>COMMERCE/<u>DEPT-18: Employees Personnel Files Not Covered by Notices of Other Agencies</u></p> <p>COMMERCE/<u>DEPT-29: Unmanned Aircraft Systems</u></p> <p>COMMERCE/DEPT-25: Access Control and Identity Management System</p>
	Yes, a SORN has been submitted to the Department for approval on <u>(date)</u> .
	No, this system is not a system of records and a SORN is not applicable.

### **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>Chapter 100 – General  Chapter 200 - Administrative and Housekeeping Records  Chapter 1500 - Fishery and Living Marine Resource Functional Files</p> <p>NFCSS: Chapter 300 Personnel ManagementFiles</p> <p>301-09 Supervisors' Personnel Files.</p> <p>Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF. These records are sometimes called supervisors' working files, unofficial personnel files (UPFs), and employee work folders or "drop" files.</p> <p>DAA-GRS-2017-0007-0012 (GRS 2.2, item 080) Supersedes NOAA Schedule Items: 303-22a (GRS 1, item 18a) 303-22b (GRS 1, item 18b)</p> <p><b>TEMPORARY.</b> Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.</p> <p>ECL: DAA-GRS- 2013-0006-003. Disposition instruction: Temporary. Destroy when business need ceases.</p>
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	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.
X	No, retention is not monitored for compliance to the schedule. Provide explanation:  VMS and TRIDENT records are not authorized for disposal and must be retained

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

<b>Disposal</b>			
Shredding	X	Overwriting	X
Degaussing	X	Deleting	X
Other (specify):			

### **Section 11: NIST Special Publication 800-122 PII Confidentiality Impact Level**

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. (The PII Confidentiality Impact Level is not the same, and does not have to be the same, as the Federal Information Processing Standards (FIPS) 199 security impact category.)

	Low – the loss of confidentiality, integrity, or availability could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals.
	Moderate – the loss of confidentiality, integrity, or availability could be expected to have a serious adverse effect on organizational operations, organizational assets, or individuals.
X	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 level. (Check all that apply.)

X	Identifiability	Provide explanation: The data collected is enough to identify an individual.
X	Quantity of PII	Provide explanation: There is a significant quantity of PII due to loan data.
X	Data Field Sensitivity	Provide explanation: Some of the data requested contains information such as SSN that could be exploited for financial gain (this includes permit and loan applications).
X	Context of Use	Provide explanation: Law enforcement and FOIA files
X	Obligation to Protect Confidentiality	Provide explanation: The Privacy Act of 1974 requires us to safeguard the collection, access, use, dissemination and storage of BII and PII. Magnuson-Stevens Fishery Conservation and Management Act, 16 U.S.C. 1801, Section 402b.



X	Access to and Location of PII	Provide explanation: Data is encrypted at rest and access is restricted.
X	Other:	Provide explanation: Public visibility/concerns about the potential collection of PII associated with UAS use.

**Section 12: Analysis**

12.1 Identify and evaluate any potential threats to privacy that exist in light of the information collected or the sources from which the information is collected. Also, describe the choices that the bureau/operating unit made with regard to the type or quantity of information collected and the sources providing the information in order to prevent or mitigate threats to privacy. (For example: If a decision was made to collect less data, include a discussion of this decision; if it is necessary to obtain information from sources other than the individual, explain why.)

The BII/PII is collected as part of conducting business. Data collected in each instance is housed behind the network firewall for the system in which the instance resides with endpoint protection in place. The data OLE collects, if used for evidence or investigation, will be stored according to the OLE policy in a secure location. The type of information collected will be used for law enforcement purposes and will not be accessible to the public.

We collect PII from states for including in the National Saltwater Angler Registry (NSAR). We collect the information from the states because it is more efficient, cost-effective, and less burdensome to the public than collecting the information from the individuals. There is some potential risk in collecting the data from the states, but this risk is greatly mitigated by the controls we have in place.

Submission is controlled via authenticated, role-based, access to a web application using secure socket layer (SSL) certificates or via secure file transfer protocol (SFTP) using private/public key pairs.

PII is encrypted at all time during transmission and while at rest.

12.2 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.

12.3 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.

## Privacy Act Statement

**Authority:** The collection of this information is authorized under the Magnuson-Stevens Fishery Conservation and Management Act, 16 U.S.C 1801 et seq., the High Seas Fishing Compliance Act, the Tuna Conventions Act of 1950, the Antarctic Marine Living Resources Convention Act, the Western and Central Pacific Fisheries Convention Implementation Act (WCPFCIA; 16 U.S.C. 6901 et seq), 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 (TIN) is 31 U.S.C. 7701.

**Purpose:** 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. Information on NOAA Fisheries permit applicants and renewing holders includes vessel owner contact information, date of birth, TIN and vessel descriptive information.

**Routine Uses:** The Department will use this information to determine permit eligibility and to identify fishery participants. Disclosure of this information is permitted under the Privacy Act of 1974 (5 U.S.C. Section 552a), to be shared within NMFS offices, in order to coordinate monitoring and management of sustainability of fisheries and protected resources, as well as with the applicable State or Regional Marine Fisheries Commissions and International Organizations. Disclosure of this information is also subject to all of the published routine uses as identified in the [Privacy Act System of Records Notice COMMERCE/NOAA-19](#), Permits and Registrations for the United States Federally Regulated Fisheries.

**Disclosure:** Furnishing this information is voluntary; however, failure to provide complete and accurate information will prevent the determination of eligibility for a permit.

## NOAA Privacy Act Statement

**Authority:** The collection of this information is authorized under 5 U.S.C. 552, the Freedom of information Act (FOIA), which allows for the full or partial disclosure of previously unreleased information and documents controlled by the United States government. Additional authorities: 15 C.F.R: Commerce and Foreign Trade, Part 4 - Disclosure of Government Information; Executive Order 13392, Improving Agency Disclosure of information; Executive Memo, Memorandum on Transparency and Open Government; and NOAA Administrative Order (205-14).

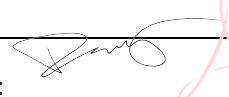
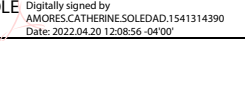
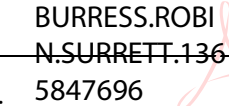
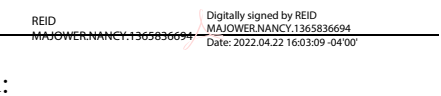
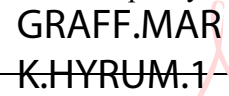
**Purpose:** NOAA collects the FOIA requestor's name and contact information as part of processing the FOIA request. In addition, contact information is collected from individuals working on a request, including administrators processing FOIA information for submission to FOIA Online, the Office of the General Counsel, the Department of Commerce, and to the Department of Justice if the FOIA case advances to litigation. Also included are administrators may also review materials for work on litigations and administrative records.

**Routine Uses:** NOAA will use this information as part of reviewing and processing the FOIA, administrative or litigation request. Disclosure of this information is permitted under the Privacy Act of 1974 (5 U.S.C. Section 552a) to be shared among NOAA staff for work-related purposes. Disclosure of this information is also subject to all of the published routine uses as identified in the Privacy Act System of Records Notices [Commerce/DEPT-5](#), Freedom of Information Act and Privacy Act Request Records, [Commerce/DEPT-14](#), Litigation, Claims, and Administrative Proceeding Records, and [Commerce/DEPT-25](#), Access Control and Identity Management System.

**Disclosure:** The FOIA requester's identity (name/organization) is recorded in NOAA's FOIA Logs, which are publicly available. NOAA also discloses all contact information with individuals working on a request, including the Office of the General Counsel, the Department of Commerce, and to the Department of Justice if the FOIA case advances to litigation. Failure to provide sufficient identifying information, including but not limited to PII, may result in the FOIA, administrative or litigation request not being processed, and/or for disclosures to be delayed due to inability to respond to the request through FOIAonline.

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## Points of Contact and Signatures

<p><b>Information System Security Officer or System Owner</b>  Name: Doug Brackett  Office: 3609  Phone: 301-427-8815  Email: Doug.Brackett@noaa.gov:</p> <p>I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.</p> <p>Signature:  Digitally signed by BRACKETT.DOUGLAS.HOWE.1 365899564 Date: 2022.04.18 12:08:34 -04'00'</p> <p>Date signed: _____</p>	<p><b>Information Technology Security Officer</b>  Name: Catherine Amores  Office: 3432  Phone: 301-427-8871  Email: Catherine.Amores@noaa.gov:</p> <p>I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.</p> <p>Signature:  Digitally signed by AMORES.CATHERINE.SOLE DAD.1541314390 Date: 2022.04.20 12:08:56 -04'00'</p> <p>Date signed: _____</p>
<p><b>Privacy Act Officer</b>  Name: Robin Burress  Office: NOAA OCIO  Phone: 828-271-4695  Email: Robin.Burress@noaa.gov</p> <p>I certify that the appropriate authorities and SORNs (if applicable) are cited in this PIA.</p> <p>Signature:  Digitally signed by BURRESS.ROBIN.SURRETT. 1365847696 Date: 2022.04.25 15:49:11 -04'00'</p> <p>Date signed: <u>5847696</u></p>	<p><b>Authorizing Official</b>  Name: Nancy Majower  Office: 3853  Phone: 301-427-8811  Email: Nancy.Majower@noaa.gov</p> <p>I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.</p> <p>Signature:  Digitally signed by REID MAJOWER.NANCY.1365836694 Date: 2022.04.22 16:03:09 -04'00'</p> <p>Date signed: _____</p>
<p><b>Bureau Chief Privacy Officer</b>  Name: Mark Graff  Office: NOAA OCIO  Phone: 301-628-5658  Email: Mark.Graff@noaa.gov</p> <p>I certify that the PII/BII processed in this IT system is necessary and this PIA ensures compliance with DOC policy to protect privacy.</p> <p>Signature:  Digitally signed by GRAFF.MARK.HYRU M.1514447892 Date: 2022.05.02 17:26:59 -04'00'</p> <p>Date signed: <u>514447892</u></p>	

**This page is for internal routing purposes and documentation of approvals. Upon final approval, this page must be removed prior to publication of the PIA.**