

**National Oceanic and Atmospheric Administration  
(NOAA)**

**Permits and Registrations for Fisheries under the  
Jurisdiction of the National Marine Fisheries Service  
(NMFS)**



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National Marine Fisheries Service (NMFS)**

**Privacy Impact Assessment Statement**

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# Permits and Registrations for Fisheries under the Jurisdiction of the National Marine Fisheries Service (NMFS) Privacy Impact Assessment Statement

**Project: Permits and Registrations for NMFS Commercial and Recreational Fisheries and Protected Resources**

**ID Number:** 006-48-01-14-02-3305-00

**OMB information collection control numbers:**

OMB Control No.	Title of Collection	NOAA Security System Number
0648-0013	Southeast Region Dealer Permit Family of Forms	NOAA4300
0648-0084	Basic Requirements for Special Exception Permits and Authorizations to Take, Import, and Export Marine Mammals and Endangered and Threatened Species and for Maintaining a Captive Marine Mammal Inventory Under the Marine Mammal Protection Act, the Fur Seal Act, and the Endangered Species Act	NOAA4800
0648-0151	Applications and Reporting Requirements for Small Take of Marine Mammals by Specified Activities Under the Marine Mammal Protection Act	NOAA4800
0648-0194	Antarctic Marine Living Resources Conservation and Management Measures	NOAA4020
0648-0202	Northeast Region Permit Family of Forms	NOAA4100
0648-0203	Northwest Region Permit Family of Forms	NOAA4800
0648-0204	Southwest Region Permit Family of Forms	NOAA4010
0648-0205	Southeast Region Permit Family of Forms	NOAA4300
0648-0206	Alaska Region Permit Family of Forms	NOAA4700
0648-0218	South Pacific Tuna Act Permit Applications	NOAA4010
0648-0229	Northeast Region Dealer Permit Family of Forms	NOAA4100
0648-0230	Permits for Incidental Taking of Endangered or Threatened Species	NOAA4800
0648-0272	Individual Fishing Quotas for Pacific Halibut and Sablefish in the Alaska Fisheries	NOAA4700
0648-0304	High Seas Fishing Permits	NOAA4020
0648-0309	Scientific Research, Exempted Fishing, and Exempted Activity Submissions	NOAA4800
0648-0316	Prohibited Species Donation Program	NOAA4700
0648-0327	Atlantic Highly Migratory Species Vessels Permits	NOAA4011
0648-0334	Alaska License Limitation Program for Groundfish, Crab, and Scallops	NOAA4700
0648-0345	Southeast Region Bycatch Reduction Device Certification Family of Forms	NOAA4300
0648-0387	International Dolphin Conservation Program	NOAA4010
0648-0393	American Fisheries Act: Vessel and Processor Permit Applications	NOAA4700
0648-0402	Application and Reports for Scientific Research and Enhancement Permits Under the Endangered Species Act	NOAA4800
0648-0463	Pacific Islands Region Coral Reef Ecosystems Permits	NOAA4010
0648-0490	Pacific Islands Region Permit Family of Forms	NOAA4010
0648-0495	Atlantic Highly Migratory Species Vessel Chartering Permits	NOAA4011
0648-0514	Alaska Region BSAI Crab Permits	NOAA4700
0648-0545	Alaska Rockfish Pilot Program	NOAA4700
0648-0551	Southeast Region Gulf of Mexico Red Snapper IFQ Program	NOAA4300
0648-0569	Alaska Individual Fishing Quota Temporary Transfers	NOAA4700

## **Project Description**

In order to manage U.S. fisheries, the [NOAA National Marine Fisheries Service](#) (NOAA Fisheries) requires the use of permits or registrations by participants in the United States. Applications for permits and registrations are collected from individuals under the authority of the Magnuson-Stevens Fisheries Conservation and Management Act; High Seas Fishing Compliance Act; American Fisheries Act; Atlantic Coastal Fisheries Cooperative Management Act; Atlantic Tunas Convention Authorization Act; Tuna Conventions Act of 1950, Northern Pacific Halibut Act; Antarctic Marine Living Resources Convention Act; Endangered Species Act; Marine Mammal Protection Act; International Fisheries Regulations regarding U.S. Vessels Fishing in Colombian Treaty Waters; and other international conventions and treaties to which the U.S. is a signatory.

NOAA Fisheries has established the National Permits System to accept and maintain all permit applications and related data. All regional and other program systems are either housed within this system, with mirror sites available at the region/program sites (Southwest Region and Pacific Islands Region) or are in the process of being linked with NPS.

### **1. What information is to be collected (e.g., nature and source)?**

All NOAA Fisheries Regions collect and maintain information needed to issue fisheries permits and registrations. There are six [NOAA Fisheries Regions](#): Northeast, Southeast, Northwest, Southwest, Alaska, and Pacific Islands. Each of these Regions issues fisheries permits and registrations programs.

Additionally, there are three NMFS Headquarters Offices that issue permits. The [Office of International Affairs](#) (IA) issues permits as part of its responsibility to administer international fisheries agreements. Under a 1982 international convention, IA issues Antarctic Marine Living Resources (AMRL) Trade Permits to protect and conserve the marine living resources in the waters surrounding Antarctica. IA also issues high seas fishing permits under the High Seas Fishing Compliance Act.

The [Office of Protected Resources](#) issues endangered species permits pursuant to Endangered Species Act and marine mammal permits under the Marine Mammal Protection Act.

The Office of Sustainable Fisheries, [Highly Migratory Species Division](#) issues Atlantic Highly Migratory Species Vessel Permits as part of its responsibility to manage highly migratory species.

Information collected and maintained by all the NMFS Regions and Headquarters Offices includes the name, contact information and date of birth for the applicant and other individuals (e.g., vessel owner) on the application; information about the vessel (e.g.,

identification numbers and physical characteristics); and current permit number, status, and expiration date.

*The Tax Identification Number (TIN), which may be either the Employer Identification Number (EIN) or a sole proprietor's Social Security Number (SSN), is required for all permits, under the authority of the Debt Collection Improvement Act, 31 U.S.C. 7701.*

Individual NMFS Regions and Headquarters Offices may require additional information from the applicant, e.g., photograph of applicant, depending upon specific regulatory or program requirements. The specific data elements collected by each are identified in the [Appendix](#).

## **2. Why is the information being collected (e.g., to determine eligibility)?**

This information is necessary to evaluate the qualifications of fisheries permit applicants, maintain a record of participants in the fisheries, and manage the fisheries in accordance with U.S. laws and international treaties and conventions.

## **3. What is the intended use of the information (e.g., to verify existing data)?**

This information will allow NMFS to identify owners and holders of permits and non-permit registrations and vessel owners and operators, evaluate permit applications, and document agency actions relating to the issuance, renewal, transfer, revocation, suspension or modification of a permit or registration.

## **4. With whom the information will be shared (e.g., another agency for a specified programmatic purpose)?**

A Privacy Act system of records notice (SORN), COMMERCE/NOAA #19, Permits and Registrations for United States Federally Regulated Fisheries, was published in the Federal Register on April 17, 2008 (73 FR 20914) and became effective on June 11, 2008 (73 FR 33065). COMMERCE/NOAA #12, Marine Mmmals, Endangered and Threatened Species, Permits and Exempted Applicants has been revised to include the collection of the TIN and date of birth, and the revision is under review at NMFS.

The SORNs provide, where applicable, that the records may be shared under the following circumstances:

- a. In the event that a system of records maintained by the Department of Commerce to carry out its functions indicates a violation or potential violation of law or contract, or the necessity to protect an interest of the Department of Commerce, the relevant records may be referred to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigation or prosecuting such violation or charged with enforcing or implementing the statute or contract, or rule, regulation or order issued pursuant thereto, or protecting the interest of the Department of Commerce.

A record may also be disclosed:

- b. In the course of presenting evidence to a court, magistrate or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
- c. To a Member of Congress submitting a request involving an individual when the individual has requested assistance from the Member with respect to the subject matter of the record.
- d. To the Department of Justice in connection with determining whether the Freedom of Information Act (5 U.S.C. 552) requires disclosure.
- e. To the Department of Treasury for the purpose of reporting and recouping delinquent debts owed the United States pursuant to the Debt Collection Improvement Act of 1996.
- f. To the Department of Homeland Security for the purposes of determining the admissibility of certain seafood imports into the United States.
- g. To a contractor of the Department of Commerce having need for the information in the performance of the contract.
- h. To approved persons at the state or interstate level within the applicable Marine Fisheries Commission for the purpose of co-managing a fishery or for making determinations about eligibility for permits when state data are all or part of the basis for the permits.
- i. To the applicable Fishery Management Council (Council) staff and contractors tasked with development of analyses to support Council decisions about Fishery Management Programs.
- j. To the applicable NMFS Observer Program for purposes of identifying current permit owners and vessels and making a random assignment of observers to vessels in a given fishing season.
- k. To the applicable Regional or International Fisheries Management Body for the purposes of identifying current permit owners and vessels pursuant to applicable statutes or regulations and/or conservation and management measures adopted by a Regional or International Fisheries Management Body; the Food and Agriculture Organization of the United Nations; Commission for the Conservation of Antarctic Marine Living Resources; Inter-American Tropical Tuna Commission; International Pacific Halibut Commission; and International Commission for the Conservation of Atlantic Tunas.
- l. To appropriate agencies, entities, and persons when: (1) it is suspected or confirmed that the security or confidentiality of information in the system of records has been compromised; (2) the Department has determined that, as a result of the suspected or confirmed compromise, there is a risk of harm to economic or property interests, identity theft or fraud, or harm to the security or integrity of this system or other systems or programs (whether maintained by the Department or another agency or entity) that rely upon the compromised information; and (3) the disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with the Department's efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm.

**5. What opportunities do individuals have to decline to provide information (i.e., where providing information is voluntary) or to consent to particular uses of the information (other than required or authorized uses), and how can individuals grant consent?**

The personal information is collected when the individual completes the appropriate application. Prior to completion of the application, the individual is advised that providing the information is voluntary. However, NMFS will not be able to issue a permit if the individual does not provide each item of information requested. The individual may choose to decline to provide the required personal information or to consent to the particular use of his/her personal information at that time.

**6. How will the information be secured (e.g., administrative and technological controls)?**

*Management Controls:*

Databases are located either at NOAA Headquarters in Silver Spring, Maryland, or in regional offices or science centers, in building with doors that are locked during and after business hours. Visitors to all buildings must register with security guards and be accompanied by a federal official at all times. Paper records are stored in locked file cabinets.

*Operational Controls:*

Electronic records are protected by a user identification/password. The user identification/password is issued to NMFS employees that have a need to access the system as part of their duties and as approved by the appropriate authorizing official.

*Technical Controls:*

All NMFS Permit systems are currently considered to have “adequate security”, through the Certification and Accreditation process, as defined in [OMB Circular A-130](#). Certification and Accreditation (C&A) is the process of formal assessment, testing (certification), and acceptance (accreditation) of system security controls that protect IT systems and data stored in and processed by those systems. It is a process that encompasses the system’s life cycle and ensures that the risk of operating a system is recognized, evaluated, and accepted.

**Information by region/program in response to the OMB requirement in Memoranda [M-06-16](#) and [M-07-16](#) that operating units must log all computer-readable data extracts from databases holding sensitive information and verify that each extract including sensitive data has been erased within 90 days or determine that its use is still required (see next page).**

## **National Permits System**

All regional and other program systems are either housed within this system, with mirror sites available at the region/program sites (currently Southwest Region and Pacific Islands Region) or are in the process of being linked with NPS.

The Certification and Accreditation (C&A) for this system is current and is in force. The C&A certifies that the system meets Department of Commerce Minimum IT Security Standards, and must be approved before the system can go into operation. Also, all related IT security plans are current.

The NMFS National Permits System (NPS) is an information system for administering and processing commercial fishing permits, housed in an Oracle database at the NMFS Office of the CIO (OCIO) in Silver Spring. Access to the NPS environment at the OCIO includes permit processing managers and staff from NMFS regional offices along with limited IT staff who are maintaining the system. Future plans will extend use access to law enforcement and other pertinent data users. When Permit processors complete online application forms (from paper forms mailed by the applicant) they are accessing or providing PII information as part of the online permit application processes.

Although the NPS system does not directly support a database extract by the end-users, information (name, address, masked/encrypted SSN) can be viewed online, in reports, and through a letter generator module. The reports and letter generator information can be saved outside of the NPS database.

A user's access to NPS information is limited, based on his/her role or set of privileges. Different areas of the system are restricted based on these privileges, and only users with the appropriate role/privilege can obtain access. For instance, the Data-User role cannot access the letter generator or view unmasked SSN.

Excluding the process of applying for a permit, the permit holder's SSN remains masked and encrypted. Other PII information such as name and address are used for several tasks such as generate letters to permit holders for sending pre-filled renewal form via postal mail. The users of the system are trained on the sensitivity of information they are handling.

NPS does not conduct any automated follow up to investigate if information has been destroyed. In many cases the information has been mailed to the applicant or filed. We will add a notice that says "Personally Identifiable information must be destroyed after 90 days if no longer needed" on the report and letter generator pages.

Certain users of the system are considered "Regional Administrators". They are responsible for creating and monitoring their users and their activities on this system.

The system is backed up every day and each transaction is recorded.

## **Northeast Region**

A C&A was completed for this system and is current and in force.

Data extracts are defined in this context as records of information that are downloaded or copied from a NMFS Northeast Regional Office (NERO) database system, such as the Electronic Document Management System (EDMS) or hard copy records of information that are accessed by NERO staff and maintained in electronic format outside of the originating system. Actions described here are limited to data extracts that contain personally identifiable information (PII) that is considered to be very sensitive in nature, such as SSNs, credit card and bank account numbers, medical information, and certain information from charges, complaints, or cases that are not yet filed in court.

NERO is attempting to reduce the number of data extracts that are subject to this requirement by reducing the amount of sensitive information, including sensitive PII, in its databases and by limiting users' ability to perform extracts from databases with sensitive information. NERO will also grant only authorized users access to the scanned and hard copy permit documents.

### ***Redaction***

NERO will use data scrubbing techniques to remove sensitive information from scanned documents before they are made accessible to authorized staff. Data scrubbing (redaction of PII) will remove sensitive information permanently from electronic scanned documents prior to posting on the NERO EDMS (Docushare). Docushare will be used as the primary method for data access of NERO records. Thus, data accessed through Docushare will not contain sensitive information. PII contained on the original hard copy documents will not be redacted and will thus remain unchanged. However, the hard copy documents will not be maintained on site and will be archived periodically with the National Archives and Records Administration (NARA).

Prior to redaction, Permit staff will have temporary access to electronic records that contain PII during the document conversion process (scanning). Unredacted electronic files will not be maintained on the NERO network longer than 90 days. Permit staff will perform all redaction and extracts containing sensitive information in a central and secure location so that other general users cannot directly access extracts containing PII. Once a document has been scanned, it will be reviewed for PII and if found, PII will be permanently redacted from the original scanned document. This redacted document will then be made available to the authorized users of the electronic permit files. Redaction responsibilities will be limited to one or two Permit staff.

There is a possibility that sensitive PII will be missed during the review and redaction process and will thus be accessible through the DocuShare system. To minimize the effects of this, users of the Docushare system will be required to sign a statement of non-disclosure which will contain rules about not downloading files to their computer and other devices and not disseminating electronic files. If PII is detected in the documents available through DocuShare, a system will be established to alert the Permit office of potential PII and procedures to fix the issue if necessary.



### ***Hard copy records***

There may be an infrequent need for NERO staff to access the official hard copy documents. When a data extract of a hard copy document is requested, the Permit office will maintain a log for requested and extracted hard copy records that contain sensitive PII. The log will include the date the data was extracted and removed from NARA archive box and provided to the requestor, a description of the data extracted, the purpose of the extract, the expected date of disposal or return, and the actual date of return or deletion. Requestors will conduct their review of the hard copy records within the Permit office domain and extracted hard copy records will not be physically removed from the Permit office when they are received from NARA. The Permit office will also ensure that any extract which is no longer needed is returned to NARA premises and that this activity is recorded on the log.

### **Alaska Region**

A C&A was completed for this system and is current and in force.

Data extracts are performed only on an infrequent basis, usually when formally requested by the State of Alaska or another federal government agency such as the Internal Revenue Service. When an extract must be generated, Restricted Access Management staff develops the extract routine and generates the data, provides the appropriate non-disclosure notices, and formally transmits the data to the requesting party. Currently, this logging process is entirely manual. In those cases where an extract that contains sensitive PII data is required, the extract is tracked via manual entry and a determination is made up front to verify the duration of the extracted data.

A notice is provided that the data on NMFS computers must be destroyed after 90 days if it is no longer required. The manual logs of who currently has extracted PII data are reviewed monthly.

### **Northwest Region**

A C&A was completed for this system and is current and in force.

No data extracts are made. Only the system administrator has the capability of extracting data, but there is currently no reason to do so. If the status changes, an update will be provided. The audit logs described above are reviewed by the system administrators daily, and are kept for at least one year.

### **Office of International Affairs**

A C&A was completed for this system and is current and in force.

Audits are conducted through the development of history tables. These tables track any changes occurring to the database objects at any given time, by whom, and what has been updated.

User access at the database level is manually checked by the system administrator daily. Since there is not a need to extract data, the automatic audit at the database level has not been activated.

### **Office of Protected Resources**

Sensitive information, i.e. TINs, will not be stored electronically, but in locked cabinets with access only by one staff member. Any extracts made for the purpose of submitting debt checks to the Treasury Department will be destroyed as soon as the information is transmitted.

### **Atlantic Highly Migratory Species**

A C&A was completed for this system and is current and in force.

The system performs exports of the entire database three times daily. Logging of these exports is reviewed weekly for unusual entries. The daily exports are currently posted to a File Transfer Protocol (FTP) site which NMFS in turn pulls down and then imports into their system. Development for a new method of posting and pulling these exports is underway and scheduled to be released in the upcoming months. Daily exports are programmatically overwritten, when downloading, by the next day's export, so no export is kept for more than 24 hours.

Additionally, all NOAA systems adhere to the standards in National Institute of Standards and Technology ([NIST](#)) computer security publications, including [NIST SP 800-18](#), Guide for Developing Security Plans for Federal Information Systems; [NIST SP 800-26](#), Security Self-Assessment Guide for Information Technology Systems; and [NIST SP 800-53](#), Recommended Security Controls for Federal Information Systems.

### **7. Is a system of records being created under the Privacy Act, 5 U.S.C. 552a?**

A Privacy Act system of records notice (SORN), COMMERCE/NOAA #19, Permits and Registrations for United States Federally Regulated Fisheries, was published in the Federal Register on April 17, 2008 (73 FR 20914) and became effective on June 11, 2008 (73 FR 33065). COMMERCE/NOAA #12, Marine Mammals, Endangered and Threatened Species, Permits and Exempted Applicants has been revised to include the collection of the TIN and date of birth, and the revision is under review at NMFS.

**8. Are these records covered by an approved records control schedule?**

Yes. Fishing Vessel Permit Files are covered in the [NOAA Records Disposition Handbook, item 1504-11](#). Chapter 1500 was approved by [NARA](#) in September 2006 under Job Nos. N1-370-06-2 and 3. Permit files for foreign vessels authorized to fish in the U.S. economic zone are destroyed 15 years after expiration or rejection of the permit application. For U.S. vessels fishing in the U.S. zone or foreign zones, the retention period is six years after expiration or rejection.

**Program Contact Person:**

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## **APPENDIX**

### **All Permits and Registrations**

The information collected and/or maintained by all NMFS Regions and Headquarters Offices includes, where applicable, the current permit number, permit status, type of permit applied for, name of applicant and other individuals on the application (vessel owner(s), owner's agent, operator, dealer, corporation members), Tax Identification Number (Employer Identification Number or Social Security Number), dates of birth, addresses, and telephone numbers (business, cellular, and/or fax), U.S. Coast Guard Certificate of Documentation number or state vessel registration number and date of expiration, name of corporation and articles and date of incorporation, and vessel name, function, and characteristics, including length, breadth, external markings, hull or superstructure color, gross and net tonnage, type of construction, fuel capacity and type, horsepower of engine and pump, and product storage facility.

Additional information is collected and/or maintained by individual regions and permit programs, as indicated below.

#### **Northeast Region**

For transferable permits: hair and eye color, height and weight, ID-sized photograph, medical records for resolution of permit dispute, enforcement actions, court and legal documents, and permit sanction notices files by General Counsel, credit card and or/checking account numbers, cancelled checks, tax returns; internal permit number specific to each limited entry permit, baseline specifications on limited entry permit; country, captain's license, State and Federal Dealer Numbers (if applicable), coast on which dealer does business, processing sector, facilities where fish received, vessel landing receipts and records, dealer purchase receipts, bills of sale; type of vessel registration, NMFS unique vessel ID, year vessel built, hailing port, hailing port state, principal port, principal state, vessel operations type (catching and/or processing: for at-sea processing permit), fish hold capacity, passenger capacity, VMS status, crew size; fishery type, fishery management plan and category, maximum days at sea, quota allocation and shares, regional fishery management organization, species or species code; type of gear, gear code and rank, buoy and trap/pot color, number of tags assigned to vessel, number of traps, dredge size and number.

#### **Southeast Region**

Fee payment information; business e-mail address, website, gender, hair and eye color, height and weight, ID-sized photograph, Dunn and Bradstreet Corporation Number, NMFS internal identification number, county, country, marriage certificate, divorce decree, death certificate, trust documents, probated will, enforcement actions, court and legal documents, and permit sanction notices files by General Counsel; name of vessel permit applicant if not owner, and relationship to owner, type of vessel ownership, captain's license, original permit, permit payment information, name of permit transferor

and number of permit before transfer, permit and vessel sale price (for permit transfers), date of permit transfer signature, notarized, sale and lease agreement with lease start and end dates if applicable, income or license qualifier for certain fisheries, Income Qualification Affidavit for income qualified fisheries; U.S. importer number, State and Federal dealer numbers (if applicable), plant name and operator; hull identification number, hailing port and hailing port state, year vessel built, location where vessel built, fish hold capacity, live well capacity, radio call sign, vessel communication types and numbers, crew size, passenger capacity; fishery type; quota shares, vessel landing receipts and records, bills of sale, processing facility where fish are received; gear type, species/gear endorsements, buoy/trap color code, number of traps, trap tag number series, trap dimensions, trap mesh size, designated fishing zone; aquaculture reports: site description, material deposited and harvested, value of material, Highly Migratory Species workshop certificate, informational telephone calls recorded with member of public's knowledge, for customer service evaluation and constituent statement records.

### **Northwest Region**

Fee payment information; business e-mail address, NMFS internal identification number, ownership rank if applicable; permit payment information, credit card and/or checking account numbers, canceled checks, tax returns; divorce decree, marriage certificate, city and state where married, death certificate, probated will, trust documents, medical records for emergency transfer of certain permits only, enforcement actions, court and legal documents, and permit sanction notices files by General Counsel; name of permit transferor and number of permit before transfer, period of permit lease, permit price; location where vessel built, fishery type, quota shares, species and gear endorsements; gear code, amount of landed fish or processed fish product, operation as mother ship with start and end date.

### **Southwest Region**

Business e-mail address, applicant's name and relationship to owner or owner manager if not owner or operator, country, Dunn and Bradstreet Corporation Number, other federal, state and commercial licenses held by operator, name of permit transferor and number of permit before transfer; type of vessel (commercial fishing, charter), vessel photograph, hull identification number, hailing port, hailing port state, principal port, principal port state, year vessel built, where vessel built, maximum vessel speed, fish hold capacity, processing equipment, passenger capacity, crew size, international radio call sign, Vessel Monitoring System (VMS) status, dolphin safety gear on board, previous vessel flag, previous vessel name and effective dates; species/gear endorsements, fishery type; type of fishing gear, gear code, fishing status (active or inactive), intent to make intentional purse seine sets on marine mammals, date, location, and provider of most recent tuna purse seine marine mammal skipper workshop.

## **Alaska Region**

Business e-mail address, country, NMFS internal identification number, citizenship, reference names, owner beneficiary, death certificate, marriage certificate, divorce decree, trust documents, probated will, medical information for emergency transfer of certain permits only, enforcement actions, court and legal documents, and permit sanction notices files by General Counsel, credit card and/or bank account numbers, canceled checks, tax returns; name of Alaska Native tribe; community of residence; fishery community organization, community governing body contact person, nonprofit name, community represented by nonprofit, cooperative representative; percent of ownership interest; permit restrictions, quota type, names of other quota holders if affiliated with any, cooperative member receiving quota against cap, names and relationship of permit transferor and transferee, transfer eligibility certificate, sector and region before transfer; relationship of transferor and transferee, reason for transfer, broker's name and fee, lien information (if applicable), quota transfer costs; permit financing source, permit fee, sale/lease agreement, period of lease, agreement to return shares (if applicable), for crab rationalization: affidavit that right of first refusal contracts were signed; number of units and pounds of fish transferred; applicable dealer license numbers, processing plant name and identification, operation type and operator; type of vessel registration, State of Alaska registration number, NMFS vessel identification number, hull identification number, hailing port and hailing port state, numbers of existing permits if applicable to current application, documentation of loss or destruction of a vessel, list of vessels in a vessel cooperative, vessel operations type in terms of catching and/or processing; species/gear endorsements for fisheries requiring vessel monitoring systems, fishery type, species or species code, fishery management plan, days at sea allocations, quota shares; type of fishing gear, gear code; vessel landing receipts and records, bills of sale, delivery receipts, dealer purchase receipts, processing sector and facility where fish are received, statement from processor that there is a market for rockfish received from applicant for entry level harvester permit.

## **Pacific Islands Region**

Photograph identification, citizenship, credit card and/or checking account numbers, cancelled checks, owner of checking account from which permit fees made, enforcement actions, court and legal documents, and permit sanction notices files by General Counsel; name of permit transferor and number of permit before transfer, International Maritime Organization number, NMFS vessel identification number, international radio call sign, year vessel built, location where vessel built; fishery type, percent of ownership interest, ownership and catch history as basis for exemption eligibility, days at sea allocations, quota shares; vessel landing receipts and records, dealer purchase receipts, bills of sale.

## **Office of International Affairs**

### *High Seas Fishing Permits*

Citizenship, internal identification number, percent/rank of ownership interest, hull identification number, type of vessel registration, year vessel built, where vessel built, fish hold capacity, hailing port, hailing port state, crew size, international radio call sign,

previous vessel flag, previous vessel name, fishery type, fishery management plan, regional fishery management organization, type of fishing gear, and gear code.

*Antarctic Marine Living Resources Trade Permits*

Nationality, type of vessel (commercial fishing, charter), where vessel built, year vessel built, fish hold capacity, International Maritime Organization number, if issued, vessel communication types and serial numbers, details of tamper-proof VMS elements, ice classification, processing equipment, international radio call sign, foreign vessel flag, previous vessel flag, previous vessel name, permit number of supporting foreign vessel, crew size, species code, and type of fishing gear.

**Office of Protected Species**

*Endangered Species and Marine Mammal Permits*

Qualifications and e-mail addresses of individuals listed on the applications and a description of proposed activities.

**Office of Sustainable Fisheries**

*Atlantic Highly Migratory Species Vessel Permits*

Business email, Website, Dunn and Bradstreet Corporation Number, percent/rank of ownership interest, lease start/end date, income or license qualifier for certain fisheries, U.S. Importer Number (dealers), state and federal Dealer Numbers if applicable, processing facility where fish are received, type of vessel registration, hull identification number, passenger capacity, crew size, hailing port, hailing port state, principal port, principal port state, fish hold capacity, year vessel built, fishery type, species or species code, type of fishing gear, and gear code.

**National Saltwater Angler Registry Program**

These categories only: name, TIN, address, telephone number, designation as owner or operator of for-hire vessel, vessel name and registration/documentation number and a statement of the region(s) in which the registrant fishes.