

National Marine Fisheries Service
Marine Mammals

Marine Mammal Public Display Permits

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Marine Mammal Public Display Permit Application

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Introduction

What is this application for?

- This application is for requesting a Marine Mammal Protection Act (MMPA) public display permit to take¹ or import National Marine Fisheries Service (NMFS) protected marine mammals, including:
 - Cetaceans (dolphins, porpoises, and whales)
 - Pinnipeds (seals and sea lions)
- Public display permits (http://www.nmfs.noaa.gov/pr/permits/publicdisplay_permit.htm) are required for:
 - capture of marine mammals from the wild in the United States
 - import of marine mammals into the United States

What is this application not for?

- Maintaining or receiving marine mammals **within** the United States for the purpose of public display (see http://www.nmfs.noaa.gov/pr/permits/public_display.htm)
- Exporting marine mammals for public display (see http://www.nmfs.noaa.gov/pr/permits/public_display.htm)
- Obtaining a non-releasable stranded marine mammal (see <http://www.nmfs.noaa.gov/pr/permits/nonreleasable.htm>)
- Taking or importing marine mammals listed as depleted under the MMPA or threatened or endangered under the ESA (species pages can be found at <http://www.nmfs.noaa.gov/pr/species/mammals/>)
- Obtaining CITES (Convention on International Trade in Endangered Species of Wild Fauna and Flora) permits (see www.fws.cites.org)

For information on applying for permits to conduct other types of activities (e.g., commercial or educational photography, scientific research, enhancement) involving the taking of marine mammals or endangered or threatened species under the MMPA or ESA, please see http://www.nmfs.noaa.gov/pr/permits/mmpa_permits.html.

¹ A take under the MMPA means to harass, hunt, capture, collect, or kill, or attempt to harass, hunt, capture, collect, or kill any marine mammal. This includes, without limitation, any of the following: the collection of dead animals, or parts thereof; the restraint or detention of a marine mammal, no matter how temporary; tagging a marine mammal; the negligent or intentional operation of an aircraft or vessel, or the doing of any other negligent or intentional act which results in disturbing or molesting a marine mammal; and feeding or attempting to feed a marine mammal in the wild.

When should I apply?

- Imports: at least 6 months before the import will begin (longer if animals to be imported were captured from the wild)
- Captures: at least 1 year before the captures will begin

What is the process for getting a permit?

1. Follow these instructions and contact the Permits and Conservation Division at 301-427-8401 with any questions.
2. Submit your application via APPS (<https://apps.nmfs.noaa.gov/>).
 - a. An assigned permit analyst will contact you and review the application.
3. Address any questions on the application. To facilitate processing, reference the application File No. in all correspondence.
 - a. Once complete, we will publish a notice in the *Federal Register*, which starts a mandatory 30-day public comment period.
 - b. Concurrently, we will send your application to the U.S. Marine Mammal Commission, the U.S. Department of Agriculture Animal and Plant Health Inspection Service, and subject matter experts in partner institutions and agencies for review.
4. Address any questions received during the comment period and consultation.
 - a. We will then draft the permit and supporting documentation (including National Environmental Policy Act analyses and documentation of MMPA issuance criteria), which will be reviewed by various NMFS offices including a legal review by General Counsel.
 - b. The Office Director will make a final decision.

Important information

- If you do not follow these instructions, your application will be withdrawn and you will be asked to resubmit a new application that includes the information required.
- If we request additional information and do not receive it within 60 days, we may withdraw your application.
- Your permit may only authorize what is in your application; therefore, it must be a stand-alone document that describes all proposed activities even when you reference previous permits or published literature.
- When a question does not apply (i.e., N/A), explain why.
- Your application should be free of grammatical errors and readable to a lay person.
- You are highly encouraged to contact us at 301-427-8401 with questions in advance of submitting your application.

How do I use APPS?

- Refer to [Chapter 2](#) (“How to Use the System”).
- When starting from your portfolio, click on the link of your file number under the File Number column to take you to the application.
- **Save your application every 20 minutes or you will lose information!**
- You do not have to complete an application in one session. Your application will remain in draft mode until you submit.
- An * means it is a required field.
- If you cut and paste from Word, special characters and formatting may be lost.
- Attachments cannot be larger than 10MB – contact us if you have larger files.

Questions?

- Contact the Permits and Conservation Division at 301-427-8401.

Application Instructions

Project Information

File Number

- This number is automatically generated and cannot be changed. To facilitate processing, reference this File No. in correspondence with our office.

****Project Title*** (up to 255 characters)

- Provide a concise title to include the activity, species, location, and purpose. For example:
 - *Import of four harbor seals from ABC Aquarium in Canada to XYZ Zoological Park for the purpose of public display*

****Project Status***

- The project status (New or Renewal) is automatically selected based on your answers in the pre-application guide (PAG). Do not change this field.

Previous Federal or State Permit #

- If applicable, enter your most recent and closely related NMFS permit number. Otherwise leave blank. State permit numbers are not applicable.

****Permits Requested***

- MMPA Public Display permit will be listed based on your answers in the PAG. If the option listed is incorrect, please call us at 301-427-8401 for assistance.
-

***Where Will the Activities Occur?**

- One or more general locations will be listed based on your answers in the PAG. If a location is incorrect, please call us at 301-427-8401 for assistance.

***Timeframe**

- Enter the desired start and end dates of the entire project in the following format: MM/DD/YYYY. The start date must not be prior to the date you submit the application and should be at least 6 months (imports) or 1 year (captures) after the date you submit. The end date must be within five years of the start date because permits are valid for a maximum of five years.

***Sampling Season/Project Duration** (up to 1,000 characters)

- For imports: when will the import occur?
- For wild captures: describe the field season(s) including the months and frequency of collections (i.e., when and how many times per year/how frequently will you conduct your activities?).

***Abstract** (up to 2,000 characters)

- Federal regulations require the following information be published in the *Federal Register* Notice of Receipt that initiates a mandatory 30-day public comment period:
 - Purpose
 - Target and non-target species (common and scientific names)
 - Proposed take activities (e.g., capture) or import
 - Numbers of animals to be taken or imported, by species, annually
 - Specific geographic locations of take or location from which animals will be imported
 - Requested duration of the permit (the maximum is five years)

Project Description

***Project Purpose: Hypothesis/Objectives and Justification** (up to 64,000 characters)

- Provide the following information required for maintaining marine mammals for public display purposes.
 - Description of the facility(ies) where the marine mammals to be imported or captured will be maintained. Indicate hours of operation and cost of admission. Attach copies of facility brochures or public notices advertising this information (on the Supplemental Information page).
 - Animal Welfare Act license or registration number issued by the U.S. Department of Agriculture's Animal Plant and Health Inspection Service (APHIS). Attach a copy on the Supplemental Information page.

- Specify the professionally recognized standards² of the public display community upon which the education or conservation program offered by the applicant is based.
- Describe the educational program and include educational materials as attachments (on the Supplemental Information page).

***Project Description** (up to 64,000 characters)

- **Your permit may only authorize what you describe in your application.**
- The **methods must match what is in the take table.**
 - There should be a narrative description for each Take Action³, Observe/Collect Method⁴ and Procedure⁵ in the take table, and the take numbers and procedures in the narrative must match the table.
 - Reference take table lines that correspond to the methods, as needed.
- **Figures and photographs** are useful to illustrate your methods. You can attach them on the Supplemental Information page.
- Cite **references** for the methods where applicable, but do not substitute a literature citation for a complete description of the methods.
- **Mitigation** measures that are standard protocols may be included in this section or in the Humane Take and Measures to Minimize Impacts section below.

² Standards for education and conservation programs developed and endorsed by the American Association of Zoos and Aquariums (AZA) and the Alliance of Marine Mammal Parks and Aquariums (Alliance), representing approximately 60% of the U.S. marine mammal public display community, were published in the Federal Register on October 6, 1994 (59 FR 50900). If applicable, these AZA/Alliance standards may be referenced as the standards on which your education or conservation program is based. However, please note that while these professionally recognized standards have been provided by the AZA and Alliance, they represent only one example of such standards. Other professionally recognized standards of the public display community may differ from this example. If your education or conservation program is based upon different professionally recognized standards of the public display community, please provide a copy of these standards.

³ The Take Action is a generalized overview of how animals will be taken. You may only have one Take Action for each Take Row. Examples: Capture/handle release; Harass.

⁴ The Observe/Collect Method is the method of observation (e.g., survey, vessel) or capture (e.g., net). Select only one observe/collect method per take table row.

⁵ Procedures are the individual activities you conduct on animals that have been captured/taken by a certain Take Action and Observe/Collect Method. Examples: sample, blood; external tagging.

- **Importing Marine Mammals into the United States**

1. Location including country of origin, ports of entry (<https://www.fws.gov/le/designated-ports.html>), and final destination.
2. Identify the exporting facility and a point of contact at that institution with contact information.
3. Describe the estimated time for transport including a breakdown of transport segments (e.g. ground transport, air transport, potential layovers).
4. Identify the animal(s)⁶ to be imported including animal identification, estimated or known age (estimated or known), size, sex, and reproductive condition. You must provide the animal's complete transport history (e.g. ISIS specimen report, statement from the shipping facility) including dates, the manner and circumstances of transport.
 - a. For wild-caught animal(s):
 - i. Describe how the animal was taken in the country of origin.
 - ii. Provide documentation that the take was legal in accordance with the country's laws.
 - b. For captive-born animals:
 - i. Provide documentation of the animal's birth.
 - ii. Identify the parents of the animal and provide documentation of their origin.
5. Submit a statement and, to the extent practicable, documentation concerning whether the marine mammal to be imported is presently being held in compliance with the laws of the country of exportation.
6. Provide a statement from the exporting facility whether marine mammals will be acquired to replace the marine mammals to be imported, or whether the proposed import will result in an increased demand for marine mammals.
7. Complete the transport information in the Take Table section (see below).
8. Describe any special care during transport, contingency plans, and quarantine protocols for the animals. Describe the acclimation plan for the animal(s) and how the animal(s) will be incorporated into your public display program. Describe the exhibit and the social group for this animal(s).

⁶ Permit holders may not import a marine mammal that is pregnant, lactating, or either unweaned or less than 8 months old, whichever comes later, unless the Office Director determines that such importation is necessary for the protection and welfare of the animal.

9. Submit a written certification from the attending veterinarian responsible for the animals during import that the methods of import and post-import care will be adequate to ensure the well-being of the animal(s).
 10. Describe any other transport alternatives, and explain why the proposed transport is considered humane.
 11. If the import is necessary for the protection or welfare of the marine mammals, discuss the circumstances involved and any alternatives considered.
- **Capturing Marine Mammals from the Wild**
 1. Give the dates (time frame) and locations of the proposed capture activity(ies); please be as specific as possible.
 2. Describe the animal(s) to be captured including the number, estimated or known age, size, sex, and reproductive condition of the marine mammals⁷.
 3. List any non-target species (NMFS and USFWS species) that may occur in the capture area, and therefore, may be taken (e.g., disturbed, harassed, or injured) incidentally during the course of your proposed activities. This includes marine mammals, reptiles, sea birds, sharks, etc., and any ESA-listed species (plant or animal).
 4. List the names and qualifications (CV or resume) of the personnel who will capture the animals.
 3. Provide a written certification from the attending veterinarian responsible for the animals during and immediately after capture that the methods of capture and post-capture care will be adequate to ensure the well-being of the animal(s).
 5. Give a detailed description of the manner of **capture**, including gear to be used. Describe the techniques and equipment to be used to approach, capture, and restrain; including any drugs or other substances to be used, including the name, dosage, and method of administration.
 6. Provide any alternatives to the proposed manner of capture, and explain why the proposed method is considered humane.
 5. Describe the method of transportation to **temporary holding** including the pen, tank, container, cage, cradle, or other device used post-capture. Describe any

⁷ Permit holders may not capture a marine mammal that is pregnant, lactating, or either unweaned or less than 8 months old, whichever comes later, unless the Office Director determines that such capture is necessary for the protection and welfare of the animal.

special care during transport, and the length of time required for the transfer from the capture site to temporary holding. Indicate how long the animals will be maintained at the temporary holding location.

6. Describe the method of transportation to the **receiving facility** (your institution) including the pen, tank, container, cage, cradle, or other device used post-capture. Describe any special care during transport, and the length of time required for the transfer and quarantine protocols for the animals. Describe the acclimation plan for the animal(s) and how the animal(s) will be incorporated into your public display program. Describe the exhibit and the social group for this animal(s).
7. If the subject species is currently maintained in captivity, explain why animals cannot be obtained from captive collections.
8. If any animal is determined to be unsuitable for captivity, give details regarding the specific protocol for return to the wild, including:
 - a. the maximum length of time the animals could be held;
 - b. description of post-release monitoring protocols;
 - c. prevention of disease transmission between released animals and the wild population;
 - d. assessment of the animals to forage and protect themselves from predators; and
 - e. desensitization of animal to eliminate behaviors that could prove detrimental to the released animals or the social structure of local populations.
9. **Non-target species and conspecifics:** Indicate the estimated number and type of non-target species that may be encountered during wild captures annually, and whether and how they may be incidentally harassed, captured, or otherwise affected. This includes but is not limited to conspecifics as well as other marine mammals and ESA-listed species such as sea birds and sea turtles.
 - a. Explain how you will avoid them or minimize impacts to them (e.g., not in area during time of study; would not approach closer than 100 meters; would halt operations until non-target species moved out of study area).
 - b. For ESA species designated by DPS, specify the DPSs that are likely to be encountered.
 - c. If takes to non-target conspecifics may occur, include these on separate rows in the Take Table to include incidental take (e.g., harassment or capture).

Project Supplemental Information

Attach a Supplemental Information File

- You may attach supplemental files here.

****Status of the Affected Species*** (up to 2,000 characters)

- MMPA-depleted and ESA-listed species cannot be captured or imported for public display purposes.

- Indicate the status of the species or stock under the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) - Appendix I, I, or III

Species information is available at the following web sites:

<http://www.nmfs.noaa.gov/pr/species/>

<http://www.fws.gov/>

<http://www.cites.org/>

***Lethal Take** (up to 2,000 characters)

- If authorization for serious injury⁸ or mortality⁹ (euthanasia/intentional¹⁰ or accidental/unintentional) is proposed:
 - What activities could result in mortality?
 - Justify the number of mortalities.
 - How is euthanasia decided, conducted, and who conducts it?
 - What are the protocols for necropsy and carcass disposal?
 - What are the protocols for disposition of dependent pups or calves if lactating females may die as a result of your actions?

***Anticipated Effects on Animals** (up to 64,000 characters)

- Using the **best available science** (i.e., literature citations or other cited data sources) and your experience (e.g., personal communication), discuss how each take action and procedure listed in the take table (e.g., tissue sampling, marking, and instrumentation) will affect target and non-target animals (short-term and long-term).
- Include such things as typical **behavioral and physiological responses**, worst-case responses, % of animals that normally respond, how long it takes for animals to recover, and the time it takes animals to recover from stress of import or capture.
- Also include an assessment of such things as:
 - condition of animals after import or capture and arrival to destination facility
 - recovery from sedation and handling
 - post-release behavior (immediate and long-term)
 - repopulating rookeries/haul outs after flushing
- For **novel procedures**, discuss the most likely anticipated responses based on literature from studies on other species, if available.

⁸ A serious injury is an injury that will more likely than not result in mortality.

⁹ Caused by the presence or actions of researchers including but not limited to deaths or serious injuries sustained during capture and handling, while attempting to avoid researchers or escape capture, or resulting from infections related to intrusive procedures such as sampling or tagging.

¹⁰ This includes unintentional euthanasia for humane reasons (e.g., due to serious injury during research).

- Briefly summarize any **mortalities** that have occurred during any previously permitted import or capture conducted by you using the same or similar techniques; include circumstances and cause of death.
- Discuss the anticipated **effects on the species or stock**, especially if mortalities or reproductive effects are possible. On what is your determination based?

**Humane¹¹ Take and Measures to Minimize Negative Effects* (up to 64,000 characters)

- **Humane determination:** Explain how you determined your methods involve the least possible degree of pain and suffering possible and why there are no feasible alternative methods to achieve your objectives.
- **Mitigation and monitoring:** You may include mitigation and monitoring protocols here, or in the Project Description section or Anticipated Effects section above. If included in another section, simply reference the section where the following information is found:
 - For each Take Action, Observe/Collect Method, and Procedure, describe your standard **mitigation to avoid or minimize the potential for adverse impacts** identified above.
 - Describe your short- and long-term **post-take or import monitoring** protocols.
 - If monitoring or mitigation is not feasible for specific procedures, species, situations, etc., explain why.
- **Coordination:** Describe how you collaborate or coordinate with other public display facilities or researchers in your action area. Who are they? Explain how this will occur and how it will minimize impacts. For example, will it involve sharing resources or timing captures to minimize disturbance, etc.?

Attach a References File

- If applicable, attach a **bibliography** of references cited in this application. Referenced materials must be made available upon request, as needed for evaluation of the application, or preparation of any necessary NEPA analyses.

**Resources Needed to Accomplish Objectives* (up to 2,000 characters and attach files if necessary)

- Explain how your expertise, facilities, and resources are adequate to accomplish your proposed objectives and activities.
- Attach copies of any relevant formal research proposals, contracts, grant awards, or letters of agreement that would demonstrate financial or logistical resources.

¹¹ Humane means using the method that involves the least possible degree of pain and suffering possible.

- Indicate the status of any other international, federal, state, or local authorizations you have applied for, secured, or will apply for.

Project Locations

- You will first describe where you plan to work. Then, for each location, you will use the Take Table to list the species you expect to encounter and the take procedures you will conduct.
- Add New Location: provide information about one (or more) study areas
 - General area (ocean basin)
 - State(s), as applicable.
- Enter Location Details, as applicable:
 - Waterbody: enter names of rivers, estuaries, bays, etc.
 - Latitude and longitude of your study area
 - River miles (Begin Mile and End Mile)
 - Limits of your study area (e.g., to the U.S. EEZ, to the edge of the continental shelf, to 50m depth)
 - Names of land masses where research will occur (e.g., islands, rookeries).
- Attach File: Attach a high quality map(s) with the correct scale that clearly shows the location of your proposed activity and any environmental aspects of interest. If possible, include a shapefile, Google Earth kmz/kml, or ASCII text file with lat/long data and the associated basic metadata with your electronic application submission.

Take Table

The take table represents the **estimated** number of animals you may take or import **annually** during your research.

The options that appear in the dropdown menus in the take table are based on the species group you indicated in the Pre-application Guide and the location that you have selected. If you are having difficulties, please first check that the previous fields were entered correctly.

Columns you will fill out in the take table:

- 1) **Select:** Leave this box blank unless you need to copy, move, or delete the line following the instructions above.
- 2) **Species:** Use the drop down list to select. Species are listed alphabetically by common name and/or category (e.g., dolphin, bottlenose). If the species you are looking for is not on the drop-down menu, double check your location (species are populated based on location). If you are still having problems, contact us at 301-427-8401.
- 3) **Listing Unit/Stock:** Select the applicable stock.

- 4) **Production/Origin:** Select from the drop-down list. Categories include Wild, Captive, Rehabilitation Facility, or All.
- 5) **Life Stage:** Select from the drop-down list. You may enter take information for more than one life stage (e.g., adult versus juvenile) on separate rows or select a combination of life stages for one take category. Include specified ages (including minimum mass/age of pups and calves) if they differ for each procedure in the Details column.
- 6) **Sex:** Select from the drop-down list. If your activity targets only one sex, indicate which. If it targets both and they can be targeted separately, enter separate rows for male and female; otherwise select Male and Female.
- 7) **Expected Take:** This represents a reasonable estimate of the maximum number of individuals you will take or import, annually. For wild captures, contact the Permits Division at 301-427-8401 for guidance.
- 8) **Takes Per Animal:** Estimate the number of times the same individual will be taken annually, if known.
- 9) **Take Action:** The “take action” is a generalized overview of how animals will be taken or imported. If more than one action is proposed, you must enter the takes on separate rows.
- 10) **Observe/Collect Method:** Select the method (e.g., import or capture). Select only one observe/collect method per row. If various methods will be used, you must provide take information in separate rows for each observe method.
- 11) **Procedures:** Provide specific information on the activities that will be conducted. A separate pop-up window will appear with a species-specific list of activities. Hold down the Control key to select all activities to be performed concurrently. Choose Other if your proposed activity is not listed. In the Details box (see below), briefly describe what the Other means.
- 12) **Transport:** If you chose transport as a Procedure, enter information about the transport.
 - a) **Mode(s) of transportation:** Describe the mode of transportation. Include a description of the vehicle or other platform used to transport animals.
 - b) **The name of the transportation company, if applicable, and the qualifications of the common carrier to transport live animals:** If a contractor or other entity will do the transportation, enter information in the box. Otherwise, click on N/A.
 - c) **Maximum length of time from capture to arrival at destination:** How long will the animals be in transport? Break down by each leg of the trip.
 - d) **Description of the container (e.g., cage, tank) used to hold the animal during transit:** Include the material of the container and its dimensions.

e) **Any special care procedures (e.g., moisture, medicines) to be administered during transport:** How will the animals be cared for during transport?

f) **A statement as to whether the animals will be accompanied by a veterinarian or some similarly qualified person:** If so, give the name, affiliation, contact information for each person.

g) **Destination:** Use the drop down list to select the destination. If your destination is not on the list, click on the “New Facility” button to add it. If the animals will be taken to a laboratory or aquarium, provide details of the location. If the animals will be released in another waterbody, provide details of the location.

h) **How will the animals be contained at the destination facility?:** Describe the containment system for the animals, quarantine procedures, and effluent treatment.

i) **The final disposition of the animals:** Describe, for example, whether the animal will be released or retained in permanent captivity.

13) **Begin Date:** Populated with the Begin Date you entered on the Project Information page. You may change the date to coincide with a specific project time shorter than the overall duration of the project. You cannot enter a date that is earlier than your original Begin Date.

14) **End Date:** Populated with the End Date you entered on the Project Information page. You may change the date to coincide with a specific project time shorter than the overall duration of the project. You cannot enter a date that is later than the End Date you previously entered.

15) **Details:** Enter up to 255 characters in this text box to provide details on each take table row. This is especially useful for clarifying age class, takes, and specific activities.

National Environmental Policy Act (NEPA) Considerations

In addition to providing information on effects to the target and non-target species in other sections of the application, provide information as requested below on potential environmental effects under NEPA. If you believe any of the criteria are “not applicable” you must explain why.

- 1) If your activities will involve equipment or techniques that are new, untested, or otherwise have unknown or uncertain impacts on the biological or physical environment, please describe the equipment and techniques and provide any information about the use of these in the natural environment. In addition, please discuss the degree to which they are likely to be adopted by others for similar activities or applied more broadly.
- 2) Describe the physical characteristics of your project location, including:
 - a. Whether you will be working in or near unique geographic areas including but not limited to Critical Habitat for endangered or threatened species, Essential Fish

Habitat, National Marine Sanctuaries, Marine Protected Areas, State or National Parks, Wilderness Areas, Wildlife Refuges, Wild and Scenic Rivers, etc.

- b. Next, discuss how your activities could impact the physical environment in those locations, such as by direct alteration of substrate during use of anchoring vessels or buoys, erecting blinds or other structures, or ingress and egress of researchers, and measures you will take to minimize these impacts.
 - c. Is there potential to cause direct or indirect physical, chemical or biological alterations of the waters or substrate, including loss of, or injury to, benthic organisms (e.g., sea grass, corals), prey species and their habitat, and other ecosystem components? Could your actions reduce the quality and/or quantity of Essential Fish Habitat? If so, please provide additional details below:
 - What is the degree of alteration (low, medium, high)?
 - Approximately how much area (square footage) of habitat/substrate (e.g., seafloor, estuary or river bed) will be disturbed?
- 3) Briefly describe important scientific, cultural, or historic resources (e.g., archeological resources, animals used for subsistence, sites listed in or eligible for listing in the National Register of Historic Places) in your project area and discuss measures you will take to ensure your work does not cause loss or destruction of such resources. If your activity will target animals in Alaska or Washington, discuss measures you will take to ensure your project does not adversely affect the availability (e.g., distribution, abundance) or suitability (e.g., food safety) of these animals for subsistence uses.
- 4) Discuss whether your project involves activities known or suspected of introducing or spreading invasive species, intentionally or not, (e.g., transporting animals or tissues, discharging ballast water, use of boats/equipment at multiple sites). Describe measures you would take to prevent the possible introduction or spread of non-indigenous or invasive species, including plants, animals, microbes, or other biological agents.

Project Contacts

As the person entering the application, you will automatically be assigned the following roles: **Applicant/Permit Holder**, **Principal Investigator**, and **Primary Contact**. See Chapter 2 for directions on how to change who is assigned to these roles, and the table below.

Project Contact	Must be named in the permit application	Able to make changes to application, request changes to the permit, and submit reports; will receive automatic emails from APPS.	Description of qualifications required
Applicant/Permit Holder	✓	✓	✓
Applicant or Responsible Party*	✓	✓	

Project Contact	Must be named in the permit application	Able to make changes to application, request changes to the permit, and submit reports; will receive automatic emails from APPS.	Description of qualifications required
Principal Investigator	✓	✓	✓
Primary Contact	✓	✓	
Co-Investigator	✓		✓

* The Applicant or Responsible Party may also be the PI or a CI if participating in the activities; therefore, the description of qualifications is required if they are listed as the PI or a CI.

To prevent duplicate entries, **you MUST ALWAYS SEARCH the database for the person before entering a new contact.** To facilitate the search, start with only putting the last name in APPS search box.

A project must have a **Responsible Party** if the Applicant/Permit Holder is an organization, institution, or agency. The Responsible Party or Applicant/Permit Holder is an official who has the legal authority to bind the organization, institution, or agency and is ultimately responsible for the activities of any individual operating under the authority of the permit.

The Primary Contact is the person who we should contact with questions or updates about the application. This may be the registrar or other person responsible for maintaining the marine mammal inventory records at the facility. Please include full name, title, and contact info for this person.

The **Principal Investigator (PI)** is the individual primarily responsible for the take or import, and any related activities conducted under the permit. There can only be one PI on a permit. The PI:

- must have qualifications, knowledge and experience relevant to the activities authorized by the permit
- must be on site during activities conducted under the permit unless a Co-Investigator is present to act in place of the PI
- may also be the Applicant/Permit Holder and Primary Contact.

Co-investigators (CIs) are individuals who are qualified and authorized to conduct or directly supervise activities conducted under a permit without the on-site supervision of the PI.

- You may add CIs to the application if the PI will not always be present during the permitted activities.
- CIs can also be added or removed once a permit has been issued.

Include a table listing the names of the PI and CIs, and the specific procedures they will oversee or conduct. **Attach the following table on the Supplemental Information page.**

Example Table Attachment: Personnel Roles

Name/Affiliation	Role	Activities
Researcher name, Affiliation, City, State	Principal Investigator, Co-investigator	Specific activities they will conduct under the permit and whether they are supervising
John Smith, Ph.D., Institution A, City, State	Principal Investigator and Authorized Recipient	Supervise and perform all activities under the permit
Jane Smith, Institution A, City, State	Co-investigator	Animal handler
Jane Doe, Ph.D., Institution A, City, State	Co-investigator	Oversee transport

Qualifications and Experience

Federal Regulations require that persons authorized as the PI or CIs have qualifications commensurate with their duties. In addition, the names of the PI and CIs are sent to the NOAA Office of Law Enforcement to determine if any violations of the MMPA or ESA and other environmental laws have occurred.

The permit applicant is therefore required to submit the following information about the qualifications and experience of the PI and all CIs to demonstrate they have qualifications commensurate with their duties as stipulated in the Personnel Table. **A CV or resume must be up to date and contain all relevant information below.** If sufficient experience is not provided, additional information will be required and the personnel will not be authorized to conduct the proposed activities unless sufficient experience is demonstrated.

- 1) **Contact information** - All documentation submitted will be publicly available. **DO NOT include personal information** (e.g., social security number, date of birth, nationality, or home phone/ address-unless it is also the business phone/address).
 - Name (first middle last)
 - Business phone, e-mail, and mailing address

- 2) **Relevant education and training**
 - Degree, major, name of institution, year received
 - Applicable certificates or licenses, year received
 - Other relevant training or certification, year received

- 3) **Relevant experience**
 - Job title, affiliation/location, and dates of relevant experience
 - Detailed description of when and how the individual obtained training and experience in the methods they will be conducting and/or supervising as outlined in the Personnel Table. This should include objective metrics such as:
 - The specific level of training received
 - The number of hours/months/years they have been performing the activities
 - Which and how many procedures they have performed successfully and on what species/age class

- Whether and to what extent they have performed the activities without supervision or supervised the proposed activities

Submit Application

See Chapter 2 for how to submit your application and check on its status.

Additional Information

Under section 104(c) of the MMPA, persons may be authorized to take or import marine mammals for public display purposes. Interested persons are required to submit an application in accordance with the Acts and the implementing regulations at 50 CFR part 216, subpart D. These instructions for applying for a research or enhancement permit are drawn from, but do not substitute for, the MMPA and MMPA regulations. These regulations are available at the following web site: <http://www.gpo.gov/>. MMPA section 104 is available at: <http://www.nmfs.noaa.gov/pr/pdfs/laws/mmpa104.pdf>. Under NEPA, Federal agencies must assess the effects of federal actions on the environment.

Paperwork Reduction Act Statement

The information requested in this application is required and is used to determine whether the activities described in the application are consistent with the purposes and policies of the Acts and their implementing regulations.

Public reporting burden for this collection of information is estimated to average 30 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Chief, Permits and Conservation Division, Office of Protected Resources, F/PR1, NOAA/National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910.

All permit documentation, including the application, permit and amendments, reports, inventory information, and any other associated documents are considered public information and as such, are subject to the Freedom of Information Act.

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

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