



PRIVACY THRESHOLD ANALYSIS (PTA)

This form serves as the official determination by the DHS Privacy Office to identify the privacy compliance requirements for all Departmental uses of personally identifiable information (PII).

A Privacy Threshold Analysis (PTA) serves as the document used to identify information technology (IT) systems, information collections/forms, technologies, rulemakings, programs, information sharing arrangements, or pilot projects that involve PII and other activities that otherwise impact the privacy of individuals as determined by the Chief Privacy Officer, pursuant to Section 222 of the Homeland Security Act, and to assess whether there is a need for additional Privacy Compliance Documentation. A PTA includes a general description of the IT system, information collection, form, technology, rulemaking, program, pilot project, information sharing arrangement, or other Department activity and describes what PII is collected (and from whom) and how that information is used and managed.

Please complete the attached Privacy Threshold Analysis and submit it to your component Privacy Office. After review by your component Privacy Officer the PTA is sent to the Department's Senior Director for Privacy Compliance for action. If you do not have a component Privacy Office, please send the PTA to the DHS Privacy Office:

Senior Director, Privacy Compliance
The Privacy Office
U.S. Department of Homeland Security
Washington, DC 20528
Tel: 202-343-1717

PIA@hq.dhs.gov

Upon receipt from your component Privacy Office, the DHS Privacy Office will review this form and assess whether any privacy compliance documentation is required. If compliance documentation is required – such as Privacy Impact Assessment (PIA), System of Records Notice (SORN), Privacy Act Statement, or Computer Matching Agreement (CMA) – the DHS Privacy Office or component Privacy Office will send you a copy of the relevant compliance template to complete and return.



Privacy Threshold Analysis (PTA)

Specialized Template for Information Collections (IC) and Forms

The Forms-PTA is a specialized template for Information Collections and Forms. This specialized PTA must accompany all Information Collections submitted as part of the Paperwork Reduction Act process (any instrument for collection (form, survey, questionnaire, etc.) from ten or more members of the public). Components may use this PTA to assess internal, component-specific forms as well.

Form Number: CG-706B/C

Form Title: Official Logbook

Component: U.S. Coast Guard (USCG) **Office:** Flag State Control (CG-CVC-4)

IF COVERED BY THE PAPERWORK REDUCTION ACT:

Collection Title: Official Logbook

OMB Control Number:	1625-0018	OMB Expiration Date:	January 31, 2024
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Collection status:	Extension	Date of last PTA (if applicable):	August 31, 2018
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PROJECT OR PROGRAM MANAGER

Name: CDR Michael Hjerstedt

Office:	CG-CVC-4	Title:	CG-CVC-4 Division Chief
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Phone:	202-372-1215	Email:	flagstatecontrol@uscg.mil
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COMPONENT INFORMATION COLLECTION/FORMS CONTACT

Name: A.L. Craig

Office:	CG-6P1	Title:	PRA Coordinator
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Phone:	202 475-3528	Email:	A.L.Craig@uscg.mil
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SPECIFIC IC/Forms PTA QUESTIONS

1. Purpose of the Information Collection or Form

- a. Describe the purpose of the information collection or form. *Please provide a general description of the project and its purpose, including how it supports the DHS mission, in a way a non-technical person could understand (you may use information from the Supporting Statement).*

If this is an updated PTA, please specifically describe what changes or upgrades are triggering the update to this PTA.

The U.S. Coast Guard (USCG) is renewing the Information Collection Request (ICR) titled, "1625-0018, Official Logbook." There have been no significant changes or revisions to this ICR since the last submission.

The Office of Commercial Vessel Compliance (CG-CVC) is located at Coast Guard (CG) Headquarters in Washington, D.C. CG-CVC develops & maintains policy and standards, for the prevention activities of the CG to achieve marine safety, security, and stewardship mission success. The Office of Commercial Vessel Compliance includes policy experts in domestic, foreign, and fishing vessels as well as merchant mariner credentialing.

Flag State Control (CG-CVC-4) is a division within CG-CVC and is responsible for establishing policy, procedures, and guidance, to ensure Recognized Organization (RO) services complies with International Maritime Organization (IMO) and CG requirements for U.S. Flag vessels.

The Official Logbook (CG-706B/C) is a legal document required for U.S. vessels on a voyage from a port in the United States to a foreign port; or vessels of at least 100 gross tons and on a voyage between a U.S. port on the Atlantic Ocean and a U.S. port on the Pacific Ocean. The requirement does not apply to a vessel on a voyage from a port in the U.S. to a port in Canada.

The CG uses CG-706B/C to verify vessel employment and wages for crewmembers and to certify compliance with laws and regulations concerning vessel operations and safety procedures (e.g., vessel's crew list/drills, inspections, watches, maintenance of watertight integrity of the ship, and operations conducted during the voyage).



CG-706 B/C includes vessel specific information (i.e., name of vessel, official number, port of registry, tonnage, nature of voyage, etc.) and the following **personally identifiable information (PII)**:

Name, Merchant Mariner Credential (MMC) number, and signature of the chief mate (or any other crewmember that witness logbook entries).

Name and MMC number of crew members.

- b. List the DHS (or Component) authorities to collect, store, and use this information. *If this information will be stored and used by a specific DHS component, list the component-specific authorities.*

The authorities for this collection are 46 U.S.C. §§11301, 11302, 11303, and 11304; 46 C.F.R. §§ 42.07-20; 46 C.F.R. subpart 35.07; 46 C.F.R. subpart 78.37; 46 C.F.R. subpart 97.35; 46 C.F.R. §§ 109.431-109.433; 46 C.F.R. §§ 122.280-122.282; 46 C.F.R. §§131.610-131.630; 46 C.F.R. § 169.841; 46 C.F.R. §185.280; 46 C.F.R. subpart 196.35-3; and 46 C.F.R. part 199 subpart B § 199.60-199.190.

2. Describe the IC/Form

a. Does this form collect any Personally Identifiable Information" (PII ¹)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. From which type(s) of individuals does this form collect information? (Check all that apply.)	<input checked="" type="checkbox"/> Members of the public <input checked="" type="checkbox"/> U.S. citizens or lawful permanent residents <input type="checkbox"/> Non-U.S. Persons <input type="checkbox"/> DHS Employees/Contractors (list Components) <input type="checkbox"/> Other federal employees or contractors
c. Who will complete and submit this form? (Check all that apply.)	<input type="checkbox"/> The record subject of the form (e.g., the individual applicant).

¹ Personally identifiable information means any information that permits the identity of an individual to be directly or indirectly inferred, including any other information which is linked or linkable to that individual regardless of whether the individual is a U.S. citizen, lawful permanent resident, visitor to the U.S., or employee or contractor to the Department.



	<p><input type="checkbox"/> Legal Representative (preparer, attorney, etc.).</p> <p><input type="checkbox"/> Business entity.</p> <p>If a business entity, is the only information collected business contact information?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Law enforcement.</p> <p><input type="checkbox"/> DHS employee/contractor.</p> <p><input checked="" type="checkbox"/> Other individual/entity/organization that is NOT the record subject. <i>Please describe.</i></p> <p>Pursuant to 46 U.S.C. § 11301, the master of the vessel shall make the entries in the official logbook. Pursuant to 46 U.S.C. § 11302, each entry made in the official logbook shall be signed by the master and signed and witnessed by the chief mate or another mariner aboard the vessel.</p>
d. How do individuals complete the form? <i>Check all that apply.</i>	<p><input checked="" type="checkbox"/> Paper.</p> <p><input type="checkbox"/> Electronic. (ex: fillable PDF)</p> <p><input type="checkbox"/> Online web form. (available and submitted via the internet)</p> <p><i>Provide link:</i></p>
e. What information will DHS collect on the form? <i>List all individual PII data elements on the form. If the form will collect information from more than one type of individual, please break down list of data elements collected by type of individual.</i>	
<p>CG-706 B/C includes vessel specific information (i.e., name of vessel, official number, port of registry, tonnage, nature of voyage, etc.) and the following PII:</p> <p>Name, Merchant Mariner Credential (MMC) number, and signature of the chief mate (or any other crewmember that witness logbook entries).</p> <p>Name and MMC number of crew members.</p>	



f. Does this form collect Social Security number (SSN) or other element that is stand-alone Sensitive Personally Identifiable Information (SPII)? <i>Check all that apply. No</i>	
<input type="checkbox"/> Social Security number <input type="checkbox"/> Alien Number (A-Number) <input type="checkbox"/> Tax Identification Number <input type="checkbox"/> Visa Number <input type="checkbox"/> Passport Number <input type="checkbox"/> Bank Account, Credit Card, or other financial account number <input type="checkbox"/> Other. <i>Please list:</i>	<input type="checkbox"/> DHS Electronic Data Interchange Personal Identifier (EDIPI) <input type="checkbox"/> Social Media Handle/ID <input type="checkbox"/> Known Traveler Number <input type="checkbox"/> Trusted Traveler Number (Global Entry, Pre-Check, etc.) <input type="checkbox"/> Driver's License Number <input type="checkbox"/> Biometrics
g. List the specific authority to collect SSN or these other SPII elements.	
N/A	
h. How will the SSN and SPII information be used? What is the purpose of the collection?	
N/A	
i. Is SSN necessary to carry out the functions of this form and/or fulfill requirements of the information collection? <i>Note: even if you are properly authorized to collect SSNs, you are required to use an alternative identifier. If there are technological, legal, or regulatory limitations to eliminating the SSN, privacy-enhancing alternatives should be taken, such as truncating the SSN.</i>	
N/A/	
j. Are individuals provided notice at the time of collection by DHS (<i>Does the records subject have notice of the collection or is</i>	<input checked="" type="checkbox"/> Yes. Please describe how notice is provided. A Privacy Notice will be posted on the CG-Form. <input type="checkbox"/> No.



<i>form filled out by third party)?</i>	
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3. How will DHS store the IC/form responses?

a. How will DHS store the original, completed IC/forms?	<input checked="" type="checkbox"/> Paper. Please describe. The Official Logbook is to be sent to the U.S. Coast Guard Sector Officer in Charge Marine Inspection (OCMI) at the nearest port to the vessel's place of discharge. In accordance with our records retention schedule, the OCMI shall transfer official logbook records to the nearest Federal Records Center (FRC) within six months after the last transaction. Records shall then be transferred to the National Archives and Records Administration (NARA) when 30 years old for permanent storage. <input type="checkbox"/> Electronic. Please describe the IT system that will store the data from the form. <input type="checkbox"/> Scanned forms (completed forms are scanned into an electronic repository). Please describe the electronic repository. Click here to enter text.
b. If electronic, how does DHS input the responses into the IT system? N/A	<input type="checkbox"/> Manually (data elements manually entered). Please describe. <input type="checkbox"/> Automatically. Please describe. Click here to enter text.
c. How would a user search the information submitted on the forms, <i>i.e.</i> , how is the	<input type="checkbox"/> By a unique identifier. ² <i>Please describe.</i> If information is retrieved by personal identifier, please submit a Privacy Act Statement with this PTA. <input checked="" type="checkbox"/> By a non-personal identifier. <i>Please describe.</i>

² Generally, a unique identifier is considered any type of "personally identifiable information," meaning any information that permits the identity of an individual to be directly or indirectly inferred, including any other information which is linked or linkable to that individual regardless of whether the individual is a U.S. citizen, lawful permanent resident, visitor to the U.S., or employee or contractor to the Department.



information retrieved?	The information is retrieved by vessel name and/or the vessel's official number.
d. What is the records retention schedule(s)? <i>Include the records schedule number.</i>	Official Logbook records are Permanent. Transfer records to a Federal Records Center (FRC) within six months after the last transaction. Records shall then be transferred to the National Archives and Records Administration (NARA) when 30 years old for permanent storage. Records Disposition Authority SF-115 NARA job Number NC1-26-80-4, item 237.
e. How do you ensure that records are disposed of or deleted in accordance with the retention schedule?	N/A - Records are permanent.
f. Is any of this information shared outside of the original program/office? <i>If yes, describe where (other offices or DHS components or external entities) and why. What are the authorities of the receiving party?</i>	
<input type="checkbox"/> Yes, information is shared with other DHS components or offices. Please describe. Click here to enter text. <input type="checkbox"/> Yes, information is shared <i>external</i> to DHS with other federal agencies, state/local partners, international partners, or non-governmental entities. Please describe. Click here to enter text. <input checked="" type="checkbox"/> No. Information on this form is not shared outside of the collecting office.	





Homeland
Security

Privacy Office
U.S. Department of Homeland Security
Washington, DC 20528
202-343-1717, pia@hq.dhs.gov
www.dhs.gov/privacy

Please include a copy of the referenced form and Privacy Act Statement (if applicable) with this PTA upon submission.



PRIVACY THRESHOLD REVIEW

(TO BE COMPLETED BY COMPONENT PRIVACY OFFICE)

Component Privacy Office Reviewer:	A.L. Craig
Date submitted to Component Privacy Office:	August 24, 2023
Concurrence from other Components involved (if applicable):	N/A
Date submitted to DHS Privacy Office:	September 7, 2023
Have you approved a Privacy Act Statement for this form? (<i>Only applicable if you have received a waiver from the DHS Chief Privacy Officer to approve component Privacy Act Statements.</i>)	<input type="checkbox"/> Yes. Please include it with this PTA submission. <input checked="" type="checkbox"/> No. Please describe why not. Information is not retrieve by a personal identifier. However, a Privacy Notice will be posted on the CG-Form.
Component Privacy Office Recommendation: <i>Please include recommendation below, including what existing privacy compliance documentation is available or new privacy compliance documentation is needed.</i>	
<p>The U.S. Coast Guard (USCG) is renewing the Information Collection Request (ICR) titled, "1625-0018, Official Logbook." There have been no significant changes or revisions to this ICR since the last submission.</p> <p>The Office of Commercial Vessel Compliance (CG-CVC) is located at Coast Guard (CG) Headquarters in Washington, D.C. CG-CVC develops & maintains policy and standards, for the prevention activities of the CG to achieve marine safety, security, and stewardship mission success. The Office of Commercial Vessel Compliance includes policy experts in domestic, foreign, and fishing vessels as well as merchant mariner credentialing.</p> <p>Flag State Control (CG-CVC-4) is a division within CG-CVC and is responsible for establishing policy, procedures, and guidance, to ensure Recognized Organization (RO) services complies with International Maritime Organization (IMO) and CG requirements for U.S. Flag vessels.</p>	



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Name and MMC number of crew members.

In accordance with NARA's record retention schedule: NC1-26-80-4, item 237, Official Logbook records are permanent and transferred to a Federal Records Center (FRC) within six months after the last transaction then transferred to NARA when 30 years old for permanent storage.

The Official Logbook (CG-706B/C) is privacy sensitive – coverage is provided by DHS/USCG/PIA-015 Merchant Mariner Licensing and Documentation System.



PRIVACY THRESHOLD ADJUDICATION

(TO BE COMPLETED BY THE DHS PRIVACY OFFICE)

DHS Privacy Office Reviewer:	Brian Pochatila
PCTS Workflow Number:	0015342
Date approved by DHS Privacy Office:	September 7, 2023
PTA Expiration Date	September 7, 2026
DHS Privacy Office Approver (if applicable):	Riley Dean

DESIGNATION

Privacy Sensitive IC or Form:	Yes If “no” PTA adjudication is complete.
Determination:	<input type="checkbox"/> PTA sufficient at this time. <input type="checkbox"/> Privacy compliance documentation determination in progress. <input type="checkbox"/> New information sharing arrangement is required. <input type="checkbox"/> DHS Policy for Computer-Readable Extracts Containing SPII applies. <input checked="" type="checkbox"/> Privacy Act Statement required. <input checked="" type="checkbox"/> Privacy Impact Assessment (PIA) required. <input type="checkbox"/> System of Records Notice (SORN) required. <input type="checkbox"/> Specialized training required. <input type="checkbox"/> Other. Click here to enter text.
Privacy Act Statement:	e(3) statement currently accurate. PN submitted and approved.
System PTA:	Choose an item. Click here to enter text.
PIA:	System covered by existing PIA If covered by existing PIA, please list: DHS/USCG/PIA-015 Merchant Mariner Licensing and Documentation System If a PIA update is required, please list: Click here to enter text.
SORN:	Choose an item. If covered by existing SORN, please list: Click here to enter text.



If a SORN update is required, please list: [Click here to enter text.](#)

DHS Privacy Office Comments:

Please describe rationale for privacy compliance determination above.

USCG is renewing the Information Collection Request (ICR) titled, "1625-0018, Official Logbook." There have been no significant changes or revisions to this ICR since the last submission. The Official Logbook (CG-706B/C) is a legal document required for U.S. vessels on a voyage from a port in the United States to a foreign port; or vessels of at least 100 gross tons and on a voyage between a U.S. port on the Atlantic Ocean and a U.S. port on the Pacific Ocean. The requirement does not apply to a vessel on a voyage from a port in the U.S. to a port in Canada.

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- Name and MMC number of crew members.

The DHS Privacy concurs that the Official Logbook (CG-706B/C) is privacy sensitive requiring PIA coverage. PIA coverage is provided by DHS/USCG/PIA-015 Merchant Mariner Licensing and Documentation System, which manages the issuance of credentials to Merchant Mariners and process merchant mariner applications; (2) produces merchant mariner credentials; (3) track merchant mariner credentials issued by the Coast Guard; (4) tracks the status of merchant mariners with respect to service, training, credentials, and qualifications, related to the operation of commercial vessels; (5) qualifies merchant mariners for benefits and services administered by other agencies; and (6) performs merchant mariner call-ups related to national security.

SORN coverage is not technically required as the information is collected and therefore not retrieved by a unique identifier. However, DHS/USCG-030 Merchant Seamen's Records does provide notice of this type of information collection.