



**U.S. Department of Commerce Privacy Impact Assessment**  
**NOAA/NMFS/Pacific Islands Fisheries Science Center (PIFSC)**

**Unique Project Identifier: NOAA4960**

**Introduction: System Description**

*Provide a brief description of the information system.*

The Pacific Islands Fisheries Science Center (PIFSC or Center) administers and conducts scientific research and monitoring programs that produce science to support the conservation and management of fisheries and living marine resources. This is achieved by conducting research on fisheries and ocean ecosystems and the communities that depend on them throughout the Pacific Islands region, and by dedicating efforts to the recovery and conservation of protected species. The Center is organized into four major divisions: the Operations, Management, and Information Division (OMI); Fisheries Research and Monitoring Division (FRMD); Protected Species Division (PSD); and Ecosystem Sciences Division (ESD). PIFSC continues to improve its science and operations through collaboration and integration across divisions, and increased communication, cooperation, and coordination with partners and stakeholders. Aligned with the NOAA Fisheries strategic initiatives and goals and scoped appropriately to fit into the Center's annual activities, the sections in the following pages fall within one or more of the Center's four strategic areas of focus: 1) Promote Sustainable Fisheries, 2) Conserve Protected Species, 3) Research to Support Ecosystem-based Fisheries Management (EBFM) and Living Marine Resource Management, 4) Organizational Excellence.

Address the following elements:

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

The NOAA Fisheries Pacific Islands Fisheries Science Center Local Area Network (LAN) functions as an overall General Support System (GSS).

*(b) System location*

PIFSC is located in Honolulu, Hawaii.

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

NOAA4960 interconnects for network transit purposes with NOAA1200, NOAA Corporate Services Local Area Network.

NOAA4960 interconnects with NOAA4920 to facilitate exchange of fisheries observer and logbook data.

PIFSC utilizes a WAN link to NOAA4000 to facilitate data interconnection between other systems within the bureau and access to various corporate services and sharing of electronic monitoring data.

NOAA4960 interconnects with NOAA4600, accessing bioinformatics applications.

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

The PIFSC servers and workstations are designed and configured to satisfy the complex scientific and general data process computer needs of fishery, ecologic, stock assessment, oceanographic and protected resources data as well as administrative data used for human resources, Federal budget, Federal property, procurement (pre-decisional documents), and safety information.

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

Information in the system is retrieved by users operating government furnished equipment such as desktops or laptops connected to the LAN or VPN. Users are required to have an account to access and retrieve information. Fishermen can request their own PII/BII and the information is shared with them via encrypted e-mail or hard copy.

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

Information is transmitted to and from the system by:

- Direct data entry
- Electronically transmitted by vessels at sea
- Data exchange via interconnected services to facilitate sharing of vessel logbook and longline observer data
- Hand-carried data on removable media gathered from research expeditions
- Use of Google G.Suite (E-mail, Google Docs)
- Use of Department of Commerce Kiteworks to transmit sensitive PII outside of NOAA
- Download of publicly available research data from various internet sources

*(g) Any information sharing*

With regard to the transmission of human resource related data, staff utilize the U.S. DOC Kiteworks Secure File Transfer service. Human resource data may also be shared using Google Workspace for NOAA recipients only. Human resource information is sent to NOAA Office of Human Capital Services (OHCS).

PII is shared with the Department of Commerce Western Region Security Office to process security clearances. Security clearances are transmitted to the DOC Office of Security staff located at the NOAA Seattle Campus with provided computers in the NOAA OCIO managed NOAA1200 FISMA system.

Human resources staff at PIFSC (within NOAA4960) provide PII data contained within the SECNAV form to NOAA Inouye Regional Center (IRC) personnel to facilitate building access. Foreign national employee and visitor/guest PII is gathered and shared with NOAA headquarters Foreign National Registration System on NOAA1101 to approve access.

Trip, effort, and catch information for the longline logbook electronic submissions is shared with the NOAA Fisheries Office of Science and Technology. The fisherman reported longline data includes vessel permit and name; departure/return dates and ports; set dates, times, and locations; retained/discarded fish counts; and any protected species interactions (if any).

Electronic monitoring data consisting of audio and video recordings of set hauls are shared with NOAA Fisheries WAN (NOAA4000).

Information may be shared within the bureau, with DOC bureaus and other Federal agencies in case of breach.

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

	<b>Programmatic Authorities (Introduction h.)</b>	<b>Type of Information Collected (Introduction h.)</b>	<b>Applicable SORNs (Section 9.2)</b>
1.	5 U.S.C. 1302, 2951, 3301, 3372, 4118, 5379, 8347  Executive Orders 9397, as amended by 13478, 9830, and 12107	Personnel Actions Including Training	OPM/GOVT-1
2.	44 U.S.C. 3101  Executive Orders 12107, 13164  41 U.S.C. 433(d)  5 U.S.C. 5379  5 CFR Part 537  Executive Order 12564  Public Law 100-71  Executive Order 11246  26 U.S.C. 3402	Personnel Actions Including Training	COMMERCE/DEPT-18
3.	31 U.S.C. 66a  44 U.S.C. 3101, 3309  Title 5 U.S.C.	Personnel Actions Including Training	COMMERCE/DEPT-1
4.	Electronic Signatures in Global and National Commerce Act, Public Law 106-229  5 U.S.C. 301	Badging & CAC Issuance	COMMERCE/DEPT-18
5.	Executive Order 12107	Employee Performance Info	OPM/GOVT-2

	5 U.S.C. Sections 1104, 3321, 4305, and 5405		
6.	Executive Order 12656	Emergency Preparedness/COOP	COMMERCE/DEPT-18
	Federal Preparedness Circular (FPC) 65, July 26, 1999		
7.	31 U.S.C. 66a	Credit Card & Financial Information	COMMERCE/DEPT-1
	44 U.S.C. 3101, 3309		
8.	Budget and Accounting Act of 1921	Travel Records	COMMERCE/DEPT-9
	Accounting and Auditing Act of 1950		
	Federal Claim Collection Act of 1966		
9.	5 U.S.C. 301	Visitor Logs & Permits for Facilities	COMMERCE/DEPT-6
	44 U.S.C. 3101		
10.	Executive Orders 10450, 11478	Security Investigations (Security Clearance actions)	COMMERCE/DEPT-13
	5 U.S.C. 7531-332		
	28 U.S.C. 533-535		
	Equal Employment Act of 1972		
11.	5 U.S.C. 301	Litigation	COMMERCE/DEPT-14
	28 U.S.C. 533-535 and 1346(b)		
	44 U.S.C. 3101		
12.	5 USC 301	System Administration/Audit Data (SAAD)	COMMERCE/DEPT-25
	Homeland Security Presidential Directive 12, Policy for a Common Identification Standard for Federal Employees and Contractors		
	Electronic Signatures in Global and National Commerce Act, Public Law 106-229		
	28 U.S.C. 533-535		
13.	Fish and Wildlife Act as amended (16 U.S.C. 742 et seq.)	Fishermen's Statistical Data	NOAA-6
	Fishery Conservation and Management Act of 1976 as amended (16 U.S.C. 1852)		

14.	Magnuson-Stevens Fishery Conservation and Management Act, 16 U.S.C. 1801 et seq.	Fisheries Permits & Registrations	NOAA-19
	High Seas Fishing Compliance Act of 1995, 16 U.S.C 5501 et seq.		
	International Fisheries Regulations: Vessels of the United States Fishing in Colombian Treaty Waters, 50 CFR 300.120		
	American Fisheries Act, Title II, Public Law No. 105-277		
	Atlantic Coastal Fisheries Cooperative Management Act of 1993, 16 U.S.C. 5101-5108, as amended 1996		
	Tuna Conventions Act of 1950, 16 U.S.C. 951-961		
	Atlantic Tunas Convention Authorization Act, 16 U.S.C., Chapter 16A		
	Northern Pacific Halibut Act of 1982, 16 U.S.C. 773 et seq.		
	Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431-2444		
	Western and Central Pacific Fisheries Convention Implementation Act, 16 U.S.C. 6901 et seq.		
	Dolphin Protection Consumer Information Act, 16 U.S.C. 1385		
	Marine Mammal Protection Act, 16 U.S.C. 1361 et seq		
	The Fur Seal Act of 1966, 16 U.S.C 1151		
	The Agriculture and Marketing Act of 1946, U.S.C 1621		
	The Fish and Wildlife Act of 1956, 16 U.S.C 742		
	Commerce, Justice, Science and Related Agencies Act, 2018, Division B, Section 539 (Pub. L. 115-141)		
	Taxpayer Identifying Number, 31 U.S.C. 7701		
15.	5 U.S.C. 552, Freedom of Information Act	FOIA & Privacy Act Requests	COMMERCE/DEPT-5
	5 U.S.C. 552a, Privacy Act of 1974 as amended		
	5 U.S.C. 301		
	44 U.S.C. 3101		
	Section 319 of the Public Health Service (PHS) Act (42 U.S.C. 247d)	Public Health Emergency Records of Employees, Visitors, and Other Individuals at Department Locations	COMMERCE/DEPT-31
	Coronavirus Aid, Relief, and Economic Security (CARES) Act, Public Law 116-136		
	Div. B., Title VIII, sec. 18115, 134 Stat. 574 (codified in 42 U.S.C. 247d note)		

	21 U.S.C. 360bbb-3		
	Rehabilitation Act, 29 U.S.C. 701 et. seq.		
	Americans with Disabilities Act of 1990, as amended, 102(d), 42 U.S.C. 12112(d)		
	29 CFR part 1602; 29 CFR part 1630		
	Medical Examinations for Fitness for Duty Requirements, including 5 CFR part 339		
	Workforce safety federal requirements, including the Occupational Safety and Health Act of 1970, Executive Order 12196, 5 U.S.C. 7902		
	29 U.S.C. chapter 15 ( e.g., 29 U.S.C. 668), 29 CFR part 1904, 29 CFR part 1910, and 29 CFR part 1960		
	Genetic Information Nondiscrimination Act of 2008, 42 U.S.C. 2000ff to ff-11, and 29 CFR part 1635		

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

The FIPS security impact category is **Moderate**.

**Section 1: Status of the Information System**

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

This is a new information system.

This is an existing information system with changes that create new privacy risks.  
(Check all that apply.)

<b>Changes That Create New Privacy Risks (CTCNPR)</b>			
a. Conversions		d. Significant Merging	g. New Interagency Uses
b. Anonymous to Non- Anonymous		e. New Public Access	h. Internal Flow or Collection
c. Significant System Management Changes		f. Commercial Sources	i. Alteration in Character of Data
j. Other changes that create new privacy risks (specify): Interconnection between NOAA4960 and NOAA4600 for access to bioinformatics applications. Also, NOAA4020 was merged into NOAA4000 so removed the NOAA4020 reference.			

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

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

**Section 2: Information in the System**

2.1 Indicate what personally identifiable information (PII)/business identifiable information (BII) is collected, maintained, or disseminated. (Check all that apply.)

<b>Identifying Numbers (IN)</b>					
a. Social Security*	X	f. Driver's License	X	j. Financial Account	X
b. Taxpayer ID		g. Passport	X	k. Financial Transaction	
c. Employer ID		h. Alien Registration	X	l. Vehicle Identifier	
d. Employee ID		i. Credit Card		m. Medical Record	
e. File/Case ID					
n. Other identifying numbers (specify):					
*Explanation for the business need to collect, maintain, or disseminate the Social Security number, including truncated form: PII (SSN, Driver's License, Passport #) for new federal hires, various forms pertaining to onboarding are scanned and transmitted via Kiteworks. Once transmitted, the information is deleted from the information system. Security onboarding forms are sent to the DOC WSRO via Kiteworks or Fedex. Employee onboarding forms are sent to the DOC OSE001 Enterprise Services Enabling Technology ServiceNow (ESET-SN) System via a submission link on their website.					

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

g. Citizenship	X	n. Religion		
u. Other general personal data (specify): * For federal employees, pay plan, occupational code, grade/level and state/rate for personnel actions. Sales costs in fishing logbooks.				

<b>Work-Related Data (WRD)</b>					
a. Occupation	X	e. Work Email Address	X	i. Business Associates	X
b. Job Title	X	f. Salary	X	j. Proprietary or Business Information	X
c. Work Address	X	g. Work History	X**	k. Procurement/contracting records	X
d. Work Telephone Number	X	h. Employment Performance Ratings or other Performance Information	X		
l. Other work-related data (specify): *Work History data is contained within resumes of applicants. Salary information is stored within employee onboarding documents.					

<b>Distinguishing Features/Biometrics (DFB)</b>					
a. Fingerprints	X*	f. Scars, Marks, Tattoos	X**	k. Signatures	X
b. Palm Prints		g. Hair Color	X	l. Vascular Scans	
c. Voice/Audio Recording	X***	h. Eye Color	X	m. DNA Sample or Profile	
d. Video Recording	X***	i. Height	X	n. Retina/Iris Scans	
e. Photographs	X	j. Weight	X	o. Dental Profile	
p. Other distinguishing features/biometrics (specify): *For onboarding personnel: These are recorded on a stand-alone station and retained only until receipt is confirmed by OSY. ** These may be on photographs of employees. *** Observer or camera on vessel recording video and audio monitoring bycatch.					

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

<b>Other Information (specify)</b>
Vessel permit and name; departure/return dates and ports; set dates, times, and locations; retained/discarded fish counts; and any protected species interactions.

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

<b>Directly from Individual about Whom the Information Pertains</b>					
In Person	X	Hard Copy: Mail/Fax	*X	Online	X
Telephone	X	Email	X		
Other (specify): *When SSNs are received via FedEx the information is contained within the FedEx packet, and no SSN information is visible outside of the box. The documents are then electronically submitted to WRSO and the documents are shredded and the electronic file deleted.					

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

Non-government Sources					
Public Organizations		Private Sector	X	Commercial Data Brokers	
Third Party Website or Application					
Other (specify):					

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

The PII is scanned and stored, not inputted. BII obtained by logbook is hand input via data entry or electronically transmitted. Once input, a series of quality control error checking processes ensure integrity of the data. Access to BII/PII is provided on a need to know basis and the principle of least privilege is applied.

2.4 Is the information covered by the Paperwork Reduction Act?

X	Yes, the information is covered by the Paperwork Reduction Act. Provide the OMB control number and the agency number for the collection. OMB Control No. 0648- 0214, -0218, -0360, -0441 -0456, -0462, -0463, -0490, -0577, -0612, -0635, -0649, -0664, -0755, 0607-1018, 3206-0160, 1510-0007, 3206-0173, 3206-0182.
	No, the information is not covered by the Paperwork Reduction Act.

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

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

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

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

apply.)

Activities			
Audio recordings	X	Building entry readers	
Video surveillance	X	Electronic purchase transactions	
Other (specify): Transmission of fishing vessel logbook data to the NOAA Fisheries Office of Science and Technology and WAN containing PII/BII from members of the public. Voice/audio recording and video recording onboard fishing vessels.			
There are not any IT system supported activities which raise privacy risks/concerns.			

#### **Section 4: Purpose of the System**

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

Purpose			
For a Computer Matching Program		For administering human resources programs	X
For administrative matters	X	To promote information sharing initiatives	
For litigation	X	For criminal law enforcement activities	X
For civil enforcement activities	X	For intelligence activities	
To improve Federal services online		For employee or customer satisfaction	
For web measurement and customization technologies (single-session)	X	For web measurement and customization technologies (multi-session)	
Other (specify): To facilitate vessel owner/operator access to electronic logbook data which is to be hosted by the NOAA Fisheries Office of Science and Technology. Electronic monitoring data is shared with NOAA Fisheries WAN as part of a pilot project with NOAA Fisheries WAN.			

#### **Section 5: Use of the Information**

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

- (a) PII is collected for both contractor and federal employee personnel designated to work with PIFSC. This is information collected for several administration and business functions for the PIFSC:
1. Recall and notifications for Contingency Plan (CP) Planning
  2. Incident Response Plan (IRP) and outage notification/escalation
  3. System Account Management process (i.e. Requesting accounts, approving accounts, terminating accounts etc.)
  4. Records of required classes and participants to ensure completion by applicable employees.

(b) A digital and hard copy of each federal employee's hiring package submitted to PIFSC is stored in a secured environment. This includes background checks, Employee Address CD-525, Declaration for Federal Employment OF-306, Health Benefits Election Form OPM SF-2809, Direct Deposit Sign-Up Form SF-1199A, Designation of Beneficiary SF-1152, Self-Identification of Handicap SF-256, Designation of Beneficiary - FERS SF-3102, Statement of Prior Service SF-144, Instructions for Employment Eligibility Verification Form I-9 (with copies of identification), and employee benefits. In some cases these forms are digitally scanned and transmitted within the bureau or inter-governmentally.

(c) For contractual purposes, the PIFSC LAN stores procurement and contract information, stored in a restricted area of the shared drive accessible only by authorized personnel.

(d) The PIFSC Office of Management and Information services specialists, aka the Departmental Sponsor/NOAA (DSN) under NOAA Administrative Order (NAO) 207-12, collects and maintains information from federal employees requiring federal passports, and visitors, volunteers and foreign nationals for permission to access federal facilities. See NAO 207-12

(<https://www.noaa.gov/organization/administration/nao-207-12-technology-controls-and-foreign-national-access>)

(e) Other PII and proprietary BII from fishermen's logbooks include:

1. Captain and vessel name
2. Permit number
3. Fishing locations
4. Fishing methods
5. Catch information
6. Sales costs

Collection of fisherman logbook data helps ensure accurate and timely records about the fishing activity of persons licensed to participate in fisheries under Federal regulations in the Pacific Islands Region. This information is maintained locally with PIFSC systems and is used for research and regulatory purposes (the latter may include civil and criminal law enforcement and possible litigation) with respect to the fisheries regulation in the Magnuson-Stevens Fishery Conservation and Management Act. Electronic logbook data collected is shared with the NOAA Fisheries Office of Science and Technology to facilitate online hosting and processing of logbook data for vessel owner/operators. This information is collected from members of the public.

Electronic monitoring data is shared with the NOAA Fisheries WAN as part of a pilot project to automate processing. NOAA-6 is being revised to add this new category of record and routine use.

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

To address insider threat and ensure information is handled, retained, and disposed appropriately, users are required to take IT privacy and security awareness and records management training annually.

Other mitigating controls include:

- User acknowledgement of policies, procedures and best practices
- Identification and authentication (multifactor, CAC) before accessing PII
- Least privilege network and systems configuration for systems hosting PII/BII
- Access control to PII through access control lists
- Separation of duties involving access to PII
- Enforcement of least privilege
- File system auditing, review, analysis and reporting
- Log aggregation
- Data loss prevention
- Incident response planning, testing and training
- Encryption of removable media, laptops and mobile devices
- Labeling of digital media to secure handling and distribution
- Sanitization of digital and non-digital media containing PII
- Use of encryption to securely transmit PII
- Encryption of data at rest
- Paper records are maintained in secured file cabinets in areas that are accessible only to authorized personnel of NOAA4960.
- PII/BII is stored on systems with security configuration checklists applied.
- System admins, developers, data users, scientists, administrative assistants and supervisors/managers have access to PII/BII on a need to know basis. Requests to access BII data are handled by a data steward.
- Personnel requiring access to BII are required to sign a non-disclosure agreement, at a minimum annually.
- Systems transmitting or receiving PII or BII to or from NOAA4960 are required to have an Interconnection Services Agreement.

**Section 6: Information Sharing and Access**

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

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

\*\* There is an MOU between NOAA Fisheries and State of Hawaii fisheries to share the data.

Foreign governments			
Foreign entities			
Other (specify):	X*		

\*Fishermen have access to their own PII. Information is shared via Kiteworks or hard copy.

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

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

\* Collected PII is only transmitted to the system of records it is meant to reside in.

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

X	<p>Yes, this IT system connects with or receives information from another IT system(s) authorized to process PII and/or BII.</p> <p>Provide the name of the IT system and describe the technical controls which prevent PII/BII leakage:  NOAA4960 interconnects for network transit purposes with NOAA1200. PII and BII is transmitted using DOC Kiteworks.  NOAA4960 connects with NOAA4920, the NOAA Fisheries Pacific Islands Region Office, to facilitate exchange of fisheries logbook data. Interconnection communications are secured with encrypted VPN tunnels, and transmitted with secure file transfer protocols such as TLS. Access to the system is protected with multifactor authentication. Access control lists restrict access to sensitive and confidential information on a need to know basis.  NOAA4960 connects with NOAA4000 to store employee performance review information. Communications are secured via TLS.  NOAA4960 connects with NOAA4000 to facilitate transmission of electronic logbook data. Communications are secured via TLS</p>
	No, this IT system does not connect with or receive information from another IT system(s) authorized to process PII and/or BII.

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

Class of Users			
General Public		Government Employees	X
Contractors	X		
Other (specify): Fishermen have access to their own PII. Information is shared via Kiteworks or hard copy.			

**Section 7: Notice and Consent**

7.1 Indicate whether individuals will be notified if their PII/BII is collected, maintained, or disseminated by the system. *(Check all that apply.)*

X	Yes, notice is provided pursuant to a system of records notice published in the Federal Register and discussed in Section 9.	
X	Yes, notice is provided by a Privacy Act statement and/or privacy policy. The Privacy Act statement and/or privacy policy can be found at: <a href="https://www.fisheries.noaa.gov/privacy-policy">https://www.fisheries.noaa.gov/privacy-policy</a>	
X	Yes, notice is provided by other means.	Specify how: The PIFSC/NOAA4960 web site does not collect any personal information from website users. Notice is given to federal employees and contractors, in writing, by their supervisors. For responses to solicitations, notice is given on the request for information (RFI) or request for proposal (RFP). Notice is provided by receipt of the logbooks. There are Pacific Islands Fisheries Science Center logbooks for catching different types of fish and/or using different gear types. These logbooks are printed by PIFSC and distributed to the vessels. State, local, tribal consent is via an MOU between NOAA Fisheries and State of Hawaii fisheries to share data. <a href="https://www.ecfr.gov/current/title-50/section-665.14">https://www.ecfr.gov/current/title-50/section-665.14</a> . Fishermen are obligated to submit their own logbook data.
	No, notice is not provided.	Specify why not:

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

X	Yes, individuals have an opportunity to decline to provide PII/BII.	Specify how: Federal employees and contractors may decline to provide information in writing to their supervisors, but it may affect their job status or their ability to obtain user credentials for the NOAA4960 Information System. Responses to RFPs/RFIs are voluntary, the offeror's may decline to provide PII/BII, but that will affect the ability to consider their submission. Fishermen may decline, by not completing their logbooks, but this information is required under the Magnuson-Stevens Act and also to maintain their permits. Visitors and foreign nationals may decline, but they may be denied access to facilities.
	No, individuals do not have an opportunity to decline to provide PII/BII.	Specify why not:

7.3 Indicate whether and how individuals have an opportunity to consent to particular uses of

their PII/BII.

X	Yes, individuals have an opportunity to consent to particular uses of their PII/BII.	<p>Specify how:</p> <p>Employees and users accessing the system are provided with the link to NOAA’s privacy policy which states: “Submitting voluntary information constitutes your consent to the use of the information for the stated purpose.”</p> <p>There is only one use for proposals in response to RFIs or RFPs.</p> <p>The only uses for the logbook information are research and regulatory. Completion is required by the Magnuson-Stevens Act, as explained in the NMFS letter to the fisherman, accompanying the permit. Consent to those uses is implied by completion of the logbook.</p>
	No, individuals do not have an opportunity to consent to particular uses of their PII/BII.	Specify why not:

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

X	Yes, individuals have an opportunity to review/update PII/BII pertaining to them.	<p>Specify how:</p> <p>All federal/contractor user information is maintained within NOAA Enterprise Messaging System (NEMS) database where users can review and update their contact information.</p> <p>Offerors will contact the office which issued the solicitation, with updated information.</p> <p>Fishermen may contact the PIFSC office and ask to review their own logbook data and request for the information to be updated by the data manager.</p> <p>For eLogbook, data remains stored on the tablet and the captains can log into their account to review any submissions. Tablets are furnished by the contractor.</p>
	No, individuals do not have an opportunity to review/update PII/BII pertaining to them.	Specify why not:

**Section 8: Administrative and Technological Controls**

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

X	All users signed a confidentiality agreement or non-disclosure agreement.
X	All users are subject to a Code of Conduct that includes the requirement for confidentiality.
X	Staff (employees and contractors) received training on privacy and confidentiality policies and practices.
X	Access to the PII/BII is restricted to authorized personnel only.

X	Access to the PII/BII is being monitored, tracked, or recorded. <b>Explanation:</b> Repositories containing PII/BII have enhanced auditing features enabled.
X	The information is secured in accordance with the Federal Information Security Modernization Act (FISMA) requirements. Provide date of most recent Assessment and Authorization (A&A): <u>11/15/2023</u> <input type="checkbox"/> This is a new system. The A&A date will be provided when the A&A package is approved.
X	The Federal Information Processing Standard (FIPS) 199 security impact category for this system is a moderate or higher.
X	NIST Special Publication (SP) 800-122 and NIST SP 800-53 Revision 4 Appendix J recommended security controls for protecting PII/BII are in place and functioning as intended; or have an approved Plan of Action and Milestones (POA&M).
X	A security assessment report has been reviewed for the information system and it has been determined that there are no additional privacy risks.
X	Contractors that have access to the system are subject to information security provisions in their contracts required by DOC policy.
X	Contracts with customers establish DOC ownership rights over data including PII/BII.
	Acceptance of liability for exposure of PII/BII is clearly defined in agreements with customers.
	Other (specify):

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

The potential risk of inappropriate disclosure and/or unauthorized disclosure is mitigated by limiting the number of authorized system users, providing initial and annual system security training, monitoring authorized user activity, automatic and immediate notification of unauthorized system access or usage to the system administrator, documenting user violations, and gradually increasing user reprimands for system violations ranging from a verbal warning with refresher security training to denial of system access.

The information is secured via both administrative and technological controls. Data containing sensitive PII/BII are encrypted with FIPS compliant cryptographic algorithms. Users are required to abide by HSPD-12 multifactor authentication to access the system. The principle of least privilege and separation of duties is implemented by PIFSC to ensure that personnel with the need to know only have access to this information. The campus has controlled access. The IT spaces have a sub-set on the controlled access. Access into the data center has an even smaller sub-set of access. Access to the file cabinets has the smallest sub-set of people able to access the systems directly.

All NMFS personnel and contractors are instructed on the confidential nature of this information. Through acknowledgement of the NOAA rules of behavior, account request agreements etc. all users are instructed to abide by all statutory and regulatory data confidentiality requirements, and will only release the data to authorized users.

NOAA4960 connects with NOAA4920, the NOAA Fisheries Pacific Islands Region Office, and NOAA4000, NOAA Fisheries Office of Science and Technology to facilitate exchange of fisheries logbook data. Communications are secured with encrypted VPN tunnels, and transmitted with FIPS-compliant encryption protocols. Access to the system is protected with multifactor authentication. Access control lists restrict access to sensitive and confidential information by IP and user identity on a need-to-know basis. NOAA4960 connects with NOAA4000 Fisheries wan to facilitate exchange of electronic monitoring data.

Buildings employ security systems with locks and access limits. Only those that have the need to know, to carry out the official duties of their job, have access to the data. The computerized data base is password protected, and access is limited. Paper records are maintained in secured file cabinets in areas that are

accessible only to authorized personnel of NOAA4960.

**Section 9: Privacy Act**

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

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

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

9.2 Indicate whether a system of records is being created under the Privacy Act, 5 U.S.C. § 552a. *(A new system of records notice (SORN) is required if the system is not covered by an existing SORN).*

As per the Privacy Act of 1974, “the term ‘system of records’ means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.”

X	<p>Yes, this system is covered by an existing system of records notice (SORN). Provide the SORN name, number, and link. <i>(list all that apply):</i></p> <p>The following System of Record Notices (SORNs) apply to information collected, used and disseminated:</p> <p><a href="#">COMMERCE/DEPT-1</a>, Attendance, Leave, and Payroll Records of Employees and Certain Other Persons  <a href="#">COMMERCE/DEPT-5</a>, Freedom of Information Act and Privacy Act Request Records  <a href="#">COMMERCE/DEPT-6</a>, Visitor Logs and Permits for Facilities Under Department Control  <a href="#">COMMERCE/DEPT-9</a>, Travel Records (Domestic and Foreign) of Employees and Certain Other Persons  <a href="#">COMMERCE/DEPT-13</a>, Investigative and Security Records  <a href="#">COMMERCE/DEPT-18</a>, Employees Personnel Files Not Covered by Notices of Other Agencies  <a href="#">COMMERCE/DEPT-14</a>, Litigation, Claims, and Administrative Proceeding Records  <a href="#">COMMERCE/DEPT-25</a>, Access Control and Identity Management System  <a href="#">COMMERCE/DEPT-31</a>, Public Health Emergency Records of Employees, Visitors, and Other Individuals at Department Locations  <a href="#">NOAA-5</a>, Fisheries Law Enforcement Case Files  <a href="#">NOAA-6</a>, Fishermen’s Statistical Data  <a href="#">NOAA-19</a>, Permits and Registrations for US Federally Regulated Fisheries  <a href="#">OPM/GOVT-1</a>, General Personnel Records  <a href="#">OPM/GOVT-2</a>, Employee Performance Info</p>
	Yes, a SORN has been submitted to the Department for approval on <u>(date)</u> .
	No, this system is not a system of records and a SORN is not applicable.

**Section 10: Retention of Information**

10.1 Indicate whether these records are covered by an approved records control schedule and

monitored for compliance. *(Check all that apply.)*

X	<p>There is an approved record control schedule. Provide the name of the record control schedule: NOAA Records Schedules:                  Chapter 100 – General                  Chapter 200-Administrative and Housekeeping Records Chapter 300 - Personnel                  Chapter 400 – Finance                  Chapter 500 – Legal                  Chapter 600– International                  Chapter 900-Facilities Security and Safety                  Chapter 1200 – Scientific Research                  Chapter 1500 – Marine Fisheries</p> <p>The Records Liason employed in the Office of Management and Information is responsible for maintaining the office's Records Management Schedule and for coordinating the records disposition management program for the organization. Each division has records and are responsible for maintaining them.</p>
	<p>No, there is not an approved record control schedule.                  Provide the stage in which the project is in developing and submitting a records control schedule:</p>
X	<p>Yes, retention is monitored for compliance to the schedule.</p>
	<p>No, retention is not monitored for compliance to the schedule. Provide explanation:</p>

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

<b>Disposal</b>			
Shredding	X	Overwriting	X
Degaussing	X	Deleting	X
Other (specify): Secure erase technology.			

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

11.1 Indicate the potential impact that could result to the subject individuals and/or the organization if PII were inappropriately accessed, used, or disclosed. *(The PII Confidentiality Impact Level is not the same, and does not have to be the same, as the Federal Information Processing Standards (FIPS) 199 security impact category.)*

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

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

X	Identifiability	Provide explanation: Individuals may be identified with the information stored in the system.
X	Quantity of PII	Provide explanation: The quantity of records containing sensitive PII consists of Federal employees and contractors. Sensitive PII collected from employees are maintained within the information system and a physical copy is stored. BII collected on all PIFSC logbooks, consisting of sales costs and fishing location.
X	Data Field Sensitivity	Provide explanation: Sensitive PII is stored, transmitted and immediately deleted. A physical copy of each Federal employee's hiring package is stored in a secured environment. BII collected on all PIFSC logbooks, consisting of sales costs and fishing location. A hard copy of the employees' onboarding package is stored in a secure area.
X	Context of Use	Provide explanation: System accounts, employee emergency notification lists, Fisheries Logbooks. No other PII/BII is stored in the information system.
X	Obligation to Protect Confidentiality	Provide explanation: The Magnuson-Stevens Fishery Conservation and Management Act authorizes confidentiality. Privacy Act.
X	Access to and Location of PII	Provide explanation: System is not publicly accessible. Fisherman are provided access to their PII/BII via email requests with data provided via encrypted email or a hard copy. PII is stored in areas that can only be accessed by authorized personnel with a Common Access Card. The NOAA IRC actively maintains access control permissions for authorized individuals. PII is stored in a locked storage room in a locked drawer. Only the Support Services Specialists have access to this room.
	Other:	Provide explanation:

**Section 12: Analysis**

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

<p>Insider threat or malware. To ensure information is handled, retained, and disposed appropriately, users are required to take IT security awareness and records management training annually. Other mitigating controls include: Identification and authentication (multifactor, CAC) before accessing PII Access control to PII through access control lists Authorization of users to access BII Separation of duties involving access to PII Enforcement of least privilege System log auditing, review, analysis and reporting Encryption of removable media, laptops and mobile devices Labeling of digital media to secure handling and distribution</p>
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Sanitization of digital and non-digital media containing PII  
Use of encryption to securely transmit PII  
Encryption of data at rest  
COTS backup and disaster recovery solutions.  
Paper records maintained in secured file cabinets in areas that are accessible only to authorized personnel of NOAA4960.

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

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

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

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

## Points of Contact and Signatures

<p><b>Information System Security Officer or System Owner</b></p> <p>Name: Derek Turqueza          Office: Pacific Islands Fisheries Science Center          Phone: 808-725-5975          Email: derek.turqueza@noaa.gov</p> <p>I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.</p> <p style="text-align: right; font-size: small;">Digitally signed by TURQUEZA.DEREK.W.1232037080 Date: 2024.01.08 08:23:58 -10'00'</p> <p>Signature: <u>32037080</u></p> <p>Date signed: _____</p>	<p><b>Information Technology Security Officer</b></p> <p>Name: Catherine Amores          Office: National Marine Fisheries Service          Phone: 301-427-8815          Email: Catherine.amores@noaa.gov</p> <p>I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.</p> <p style="text-align: right; font-size: small;">Digitally signed by AMORES.CATHERINE.SOLED AD.1541314390 Date: 2024.01.12 12:51:32 -05'00'</p> <p>Signature: <u>AD.1541314390</u></p> <p>Date signed: _____</p>
<p><b>Privacy Act Officer</b></p> <p>Name: Robin Burress          Office: NOAA OCIO          Phone: 828-271-4695          Email: Robin.Burress@noaa.gov</p> <p>I certify that the appropriate authorities and SORNs (if applicable) are cited in this PIA.</p> <p style="text-align: right; font-size: small;">Digitally signed by BURRESS.ROBIN.SUR RETT.1365847696 Date: 2024.01.16 07:23:38 -05'00'</p> <p>Signature: <u>RETT.1365847696</u></p> <p>Date signed: <u>1/16/24</u></p>	<p><b>Authorizing Official</b></p> <p>Name: Tia Brown          Office: Pacific Islands Fisheries Science Center          Phone: 808-725-5333          Email: tia.brown@noaa.gov</p> <p>I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.</p> <p style="text-align: right; font-size: small;">Digitally signed by BROWN.TIA.PUNOHUUL KAIKAI.1265371511 Date: 2024.01.10 07:00:11 -10'00'</p> <p>Signature: <u>KAIKAI.1265371511</u></p> <p>Date signed: _____</p>
<p><b>Bureau Chief Privacy Officer</b></p> <p>Name: Mark Graff          Office: NOAA OCIO          Phone: 301-628-5658          Email: Mark.Graff@noaa.gov</p> <p>I certify that the PII/BII processed in this IT system is necessary and this PIA ensures compliance with DOC policy to protect privacy.</p> <p style="text-align: right; font-size: small;">Digitally signed by Mark.Hyrum.Graff Date: 2024.01.16 11:17:45 -05'00'</p> <p>Signature: <u>Mark.Hyrum.Graff</u></p> <p>Date signed: _____</p>	

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