

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



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

Reviewed by: Mark Graff Bureau Chief Privacy Officer

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

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

Date

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

**Unique Project Identifier: NOAA 4000**

**Introduction: System Description**

*Provide a brief description of the information system.*

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

Address the following elements:

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

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

*(b) System location*

This system has three geographical locations: Ashburn, VA; Seattle, WA; and Silver Spring, MD.

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

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

1. U.S. Coast Guard
2. Pacific States Marine Fisheries Commission
3. U.S. Custom and Border Protection
4. Atlantic Coastal Fisheries Information Network (ACFIN)
5. Information Technology Center (ITC – NOAA1101)
6. 1901 NSOC
7. Department of Justice (DOJ)
8. Naval Research Lab MDA
9. Other NOAA NMFS Systems:
  - a. NOAA0550 (NWAVE)
  - b. NOAA4011 (NFPLRS)
  - c. NOAA4100 (GARFO)
  - d. NOAA4200 (NEFSC)
  - e. NOAA4300 (SERO)

- f. NOAA4400 (SEFSC)
- g. NOAA4500 (WCR)
- h. NOAA4600 (NWFSC)
- i. NOAA4700 (AKRO)
- j. NOAA4800 (AKFSC)
- k. NOAA4920 (PIRO)
- l. NOAA4930 (SWFSC)
- m. NOAA4960 (PIFSC)

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

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

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

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

There are two primary ways users can retrieve information from NOAA4000. The first is to be locally connected to the NOAA4000 network or via remote access through NMFS VPN, which is within the FISMA boundary of NOAA4000. The second way to retrieve data is via general internet, but this is limited based on the application or support being accessed.

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

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

For Google Cloud Platform (GCP), all information is coming through the trusted internet connection (TIC) externally to NWave and then to GCP through a partner interconnect. The partner interconnect is controlled through a single Google Project, which is managed by the NMFS networking team. Those networking connections are then provided to the different partners within NMFS. Firewalls are managed through the same network connection described above. The default firewall configuration is to deny all, and allow through exception.

Firewall configurations are managed only by the networking team. Any communication ports that go through the firewall have to be opened by the firewall team, through an internal approval process.

*(g) Any information sharing*

**SISP** - The Seafood Inspection Services Portal (SISP) is a web-based application that captures information pertaining to the scheduling, tracking, and fee collections for seafood inspection

activities. The SISP allows Seafood Inspection Program participants (seafood companies, seafood inspection personnel, system administrative staff, and NOAA Finance (billing data)) to: 1) create an account; 2) update company information including multiple locations; 3) request certificates, inspections and contracts; and 4) review and pay invoices. NOAA collects the information under the authority of the Agriculture and Marketing Act of 1946 and Fish & Wildlife Act of 1956. Name, work email address, work address, and financial transaction are collected. The information is shared with the private sector for invoicing and bill payment. This application collects PII and BII.

**EDMS** – The Electronic Document Management System (EDMS) is a web-based content management application that serves as a secure repository to archive various artifacts throughout their development life cycle. Authorized NMFS users (employees and contractors) can easily query this content management database, which has improved workflow. This application is a central resource for Habitat Division supervisors and staff for ongoing performance appraisal activity used to assist in completing required personnel-related forms that contain names, job descriptions, and General Schedule level. EDMS also contains various legal documents/case files that may include SSN and/or Tax ID numbers. Information in EDMS is housed behind the network firewall. The collection of such information is authorized by 5 U.S.C. 1302. This application collects PII and BII. Although EDMS has been decommissioned, residual data is still stored within NOAA4000 boundaries.

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

**TRIDENT** - Trident has been officially decommissioned; however it remains active for historical records retention purposes. TRIDENT is a cloud-based case management system that allows sworn law enforcement officers, special agents, and other staff seamless electronic collaboration with internal team members and external partners. TRIDENT also aids in the development of case documentation by providing the ability to view/share incident data that documents enforcement activities such as patrols, investigations, compliance assistance, and education and outreach.

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

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

**NEIS** - The NOAA Enforcement Information System (NEIS) is a cloud-based case management system to support Office of Law Enforcement (OLE) and General Council Enforcement Section (GCES) agent, officer, and attorney needs for the entry, case management, and reporting of law enforcement data and is the replacement application to the TRIDENT and JustWare systems. The authority for federal fishery management is the Magnuson-Stevens Conservation and Management Act (16 U.S. Code 101 et. Seq.). Vessel operator name, contact information and vessel ID are collected along with applicable law enforcement data such as case files and a list of seized property. The case files include, in addition to vessel operator name, contact information and vessel ID, information collected by authorized law enforcement officers or agents, such as approved fishing licenses, type of fishing gear being used, and information on the catch. The case files also contain substantiating evidence such as sworn witness accounts, photographs, documents, and voice recordings. The case files support the collection of fines and/or the prosecution of these cases. This information is collected under the authority of the Magnuson-Stevens Fishery Conservation and Management Act (16 U.S. Code 1801 et. Seq.) and other laws under the purview of NOAA. This application collects PII and BII.

**NRDA** - The Natural Resources Damage Assessment (NRDA) database collects information about restoration projects suggested by the public in response to an incident, such as an oil spill. The public (which could include companies or other business entities) submits all restoration activity information. Statutes such as 15 U.S.C. 1151 authorize programs to collect information from the public in the form of contact information for receipt of data generated by programs "to make the results of technological research and development more readily available to industry and business, and to the general public." Along with project information, the database collects individual contact information (name, organization, work email address, home address, and home phone number). Personal information is used internally and not disseminated. Data, including PII, is exported and shared with NRDA trustee agencies coordinating with NOAA in the development of restoration plans. Organizational names are publicly accessible as the submitting organization, as project partners, or in association with research information. This application collects PII.

**RCDB** - The Restoration and Conservation Database (RCDB) collects information related to fisheries habitat restoration projects implemented by the NOAA Office of Habitat Conservation. The Restoration Center often works with private companies and members of the public to implement projects and collects, but does not disseminate, contact information for individuals who have worked on the projects. Contact information includes name, work phone number, work email address, work address and organization name. An authorizing statute is 15 U.S.C. 1151. Company names can be disseminated publicly and listed as "project partners" or "funding recipients" depending on their relationship to the project. There is no "research information" captured by the database or made available to the public. This application collects PII.

**eAOP** – The Electronic Annual Operating Plan (eAOP) application provides NMFS managers and

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

**NPS** – The National Permits System (NPS) accepts and maintains all Sustainable Fisheries permit applications and related data. Some of the West Coast and Pacific Islands Region permits information is housed in NPS, as well as Antarctic Marine Living Resources and High Seas permits. All other permit information is in other NMFS FISMA systems and is addressed in their PIAs. Authorities that apply to this application and its data are:

The Magnuson-Stevens Fishery Conservation and Management Act (16 U.S.C. 1801 et seq.)

The High Seas Fishing Compliance Act

The Tuna Conventions Act of 1950

The Antarctic Marine Living Resources Convention Act

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

The Marine Mammal Protection Act

The Endangered Species Act and the Fur Seal Act

The authority for the mandatory collection of the Tax Identification Number is 31 U.S.C. 7701

This application collects PII and BII.

**ECO** – The Environmental Consultation Organizer is a web-based case management application on Appian PaaS using Amazon Web Services (AWS) to support NMFS consultations under the Endangered Species Act (ESA) and under the Magnuson-Stevens Fishery Conservation and Management Act sections 305(b)(2) & 305(b)(4) Essential Fish Habitat (EFH). This database is used for documenting and tracking consultation status and key internal process requirements throughout the consultation, including quality assurance review and status, in meeting statutory timelines. ECO collects the project lead's name and business telephone number. Some fields are for internal use while some fields are available to the public through the public interface on the application. ECO utilizes the Public Portal by which external users can search and view public information related to Consultations. But no data is collected. Also, no internal ECO app user account contact information is available via the Public Portal. This application collects PII.

**FishFinS** - The FishFinS system is a major application that acts as the system of record for financial and customer data for multiple business lines (i.e., Fisheries Finance Program (FFP), Fishery Capacity Reduction Program (Buyback), Capital Construction Fund (CCF), and Fishermen's Contingency Fund (FCF)). The system is located in the Oracle Cloud Infrastructure (OCI) Cloud and will reside on the NMFS Oracle Multi-Tenancy Cloud Instance. FishFinS provides various types of information to the following groups:

- NOAA Internal - Provides financial/accounting information to another core accounting NOAA

System (Commerce Business System (CBS). Entries in CBS must match the FishFinS system. Two groups within NOAA Finance are involved here: Accounts Receivable (AR) and the Credit Reform Branch (CRB). The AR group enters payments into FishFinS on a loan-by-loan basis, based on the Collections Information Repository (CIR) report received from the U.S. Treasury. Payment amounts are broken out between principal, late charges, and any late charges that may apply. Transactions are then manually entered into the CBS system based on the information generated from FishFinS, via a Summary Collections Report. The CRB group then performs a reconciliation process on a monthly basis to ensure the two systems match.

- NOAA Senior Management - Provides reporting and financial portfolio management information to senior management, congressional delegates, and other special purpose groups regarding the status of loans and any additional questions for constituent/loan holder community.
- Department of Commerce (DOC) Management - Provides reporting and financial portfolio management information to senior management, other agencies, congressional delegates, and other special purpose groups.
- Congressional and Special Interest Groups - Provides metrics and business line data points to fulfill the approved inquiry. For example, the number of FFP loans by state.
- Stakeholders (Fisheries Finance Program (FFP), Buybacks, Fishermen's Contingency Fund (FCF), and Capital Construction Fund (CCF)) - Provides application paperwork, invoices, annual reports, and interest statements to borrowers, buyers, agreement holders, and claimants of the program. Each business line internally maintains data and reports and may provide information to senior NOAA management and the external constituent community.
- External Government Stakeholders - Provides annual reports to the IRS and can turn over default accounts to the U.S. Treasury Department. Some stakeholders provide reports and information to other government agencies if and when asked. No formal connection exists between other government agency systems and FishFinS, nor the legacy systems. The connections may exist in the future if and when the second phase of development commences. The Buyback Program is part of the Magnuson-Stevens Fishery Conservation and Management Act that authorizes NMFS to conduct a fishing capacity reduction program. The Capital Construction Fund (CCF) is part of the Merchant Marine Act of 1936 as amended (46 U.S.C. 1177), United States tax code (26 U.S.C. Part 7518). The CCF is implemented by regulations under CFR Title 50, Part 259.

The Fishermen's Contingency Fund Regulation is (50 CFR part 296, 11/01/1982).

The Fisheries Finance Program (FFP) is part of the Merchant Marine Act and Magnuson-Stevens Act Provisions, Chapter 537 of Title 46 of the United States Code, 46 U.S.C. 53701, 46 U.S.C. 53702(b)(4)(B). This application collects PII and BII.

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

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

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

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

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

**NATS** – The NMFS Agreement Tracking System (NATS) was created to reduce the time and effort required to approve agreements by NMFS Financial Management Centers (FMCs) and Budget Execution Division (BEX) personnel. Additionally, NATS will reduce the number of physical folders and paperwork that need to be printed for routing and approval. The NATS does not store SSN/EIN, financial account type data in any variables. This information is not collected in attached documents. This application collects BII.

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

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

to assure legitimate trade and combat IUU fishing.

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

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

**MRIP** - The Marine Recreational Information Program (**MRIP**) Extract, Transform, and Load (ETL) system is a tool to collect and process recreational saltwater fishing license and registration data from the Atlantic and Gulf of Mexico coastal states. This data is entered in the National Saltwater Angler Registry (NSAR). Types of PII collected include fishing license information, name, address, driver's license number, phone, email, and date of birth. Only federal employees and contractors have access to NSAR PII. Requests can be made to access PII for research outreach purposes. A dedicated POC has been designated to review these requests and audit control has been implemented.

**NSAR** - The National Saltwater Angler Registry (NSAR) system serves as a consolidated phone book of the nation's recreational saltwater anglers. NSAR data is used to furnish frames for the MRIP surveys. Types of PII collected include fishing license information, name, address, driver's license number, phone, email, and date of birth. Only federal employees and contractors have access to NSAR PII. Requests can be made to access PII, for research outreach purposes. A dedicated POC has been designated to review these requests and audit control has been implemented.

**NFCSS** - The NOAA Fisheries Committee on Scientific Stature (NFCSS) is a national-level performance Management Advisory Committee (PMAC) established to review the contributions, impact, and stature of NOAA Fisheries pay band IV and V non-supervisory research scientists. The NFCSS evaluates scientists whose primary responsibility is to conduct research and develop scientific products for resource management advice, other scientific advice, publications, and reports that represent new or more comprehensive understanding of a subject. The NFCSS members are pay band V scientists who are subject matter experts from the regional science centers appointed to three-year terms by the respective regional Science Director. There is a website and database to manage and record the results of NFCSS member reviews conducted for the purpose of evaluating a scientist's

credentials and contributions to allow them to be assigned to a higher pay band without being a supervisor and to produce a standard report for the committee chair (Office of Science and Technology (OST) Science Director). In 2014, OST upgraded the NFCSS website and database to enable password protected, role-based secure storage and retrieval of review package documents.

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

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

**NOAA Emergency Contact List** - The Emergency Contact List (ECL) stores contact information for OST staff and staff emergency contacts to be used in case of emergency. This is PII data. Branch Chiefs have access to all OST employee information. Individuals only have access to their own emergency contact information.

**HawkEye 360 (HE360) Collection** – Radio Frequency (RF) geo-location data buoy to be delivered/stored and shared with U.S. Coast Guard

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

\*Refer to the table at the end of this PIA for programmatic authorities and additional details.

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

NOAA4000 has a high watermark of Moderate with a Moderate Confidentiality; Moderate Integrity; and Moderate Availability rating.

**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):					

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

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

**Section 2: Information in the System**

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

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

- **SISP/FishFinS** – An SSN is used for verification of financial information to determine qualifications for Fisheries Loans, Capital Construction Fund accounts and other projects.
- **NATS** – Budget and business information, which may include a TIN or SSN, is needed to approve an agreement package.

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

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

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

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

<b>Other Information (specify)</b>
<ul style="list-style-type: none"> <li>● SISP – Products produced and seafood inspection data</li> <li>● NEIS / GCLD – Case files, Seized Property</li> <li>● NPS – quota share balance, quota pound balance, quota pound limits, listings of endorsements and designations (i.e., gear endorsement, size endorsement, sector endorsement, permit tier) associated with the permit</li> <li>● Exemptions (i.e., Owner on Board – Grandfathered Exemption, Owner on Board, as stated code of federal regulations) and exemption status, contact persons, Business Operation Information (Business Processes, Procedures, Physical Maps).</li> <li>● UAS is used by law enforcement for area safety surveillance, detection, and avoidance while inspecting and marking remote crime scene areas and for crime scene reporting. Use will follow the NOAA Unmanned Aircraft Systems policy in regards to PII and BII collection.</li> </ul>

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

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

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

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

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

Most data is captured electronically through website page visits. Processes in the System Development Life Cycle (SDLC) ensure there are data integrity checks to ensure valid data is entered into the system.

Database constraints include Primary and Foreign Keys, Referential Integrity Constraints, and Check Constraints.

In-person information provided to NMFS Law Enforcement is sworn testimony corroborated by observation and other evidence.

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

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

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

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

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

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

2.4 Is the information covered by the Paperwork Reduction Act?

X	<p>Yes, the information is covered by the Paperwork Reduction Act. Provide the OMB control number and the agency number for the collection.</p> <ul style="list-style-type: none"> <li>● 0648-0012, FFP Loans</li> <li>● 0648-0018, Processed Products Family of Forms</li> <li>● 0648-0040, Highly Migratory Species Dealer Reporting Family of Forms</li> <li>● 0648-0041, Capital Construction Fund Agreement, Certificate Family of Forms, and Deposit/withdrawal Report</li> <li>● 0648-0082, Fishermen’s Contingency Fund</li> <li>● 0648-0178, Marine Mammal Health and Stranding Response Program</li> <li>● 0648-0192, Statement of Financial Interests, Regional Fishery Management Councils</li> <li>● 0648-0204, West Coast Permit Family of Forms</li> <li>● 0648-0283, NOAA’s Teacher at Sea Program</li> </ul>
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	<ul style="list-style-type: none"> <li>● 0648-0292, Reporting Requirements for Commercial Fisheries Authorization under Section 118 of the Marine Mammal Protection Act</li> <li>● 0648-0293, Application for Commercial Fisheries Authorization under Section 118 of the Marine Mammal Protection Act (MMPA)</li> <li>● 0648-0335, Fisheries Certificate of Origin</li> <li>● 0648-0376, Buybacks - and includes all fee collection reports</li> <li>● 0648-0380, Large Pelagic Fishing Survey</li> <li>● 0648-0468, Protocol for Access to Tissue Specimen Samples from the National Marine Mammal Tissue Bank</li> <li>● 0648-0471, Highly Migratory Species (HMS) Scientific Research Permits, Exempted Fishing Permits, Letters of Acknowledgement, Display Permits, and Shark Research Fishery Permits</li> <li>● 0648-0479, National Estuary Inventory</li> <li>● 0648-0544, Southeast Region VMS and related requirements</li> <li>● 0648-0573, Expanded VMS Requirement for Pacific Groundfish Fishery</li> <li>● 0648-0578, National Saltwater Angler Registry and State Exemption Program</li> <li>● 0648-0593, Observer Programs' Information That Can Be Gathered Only Through Questions</li> <li>● 0648-0651, Fishery Products Subject to Trade Restrictions Pursuant to Certification Under the High Seas Driftnet Fishing (HSDF) moratorium Protection Act</li> <li>● 0648-0652, Marine Recreational Information Program (MRIP) Fishing Effort Survey</li> <li>● 0648-0659, Marine Recreational Information Program Access-Point Angler Intercept Survey</li> <li>● 0648-0693, Marine Recreational Fishing Expenditure Survey (MRFE)</li> <li>● 0648-0709, For Hire Telephone Survey</li> <li>● 0648-0732, NMFS Implementation of International Trade Data System</li> <li>● 0648-0771, Domestic shrimp and abalone reporting</li> <li>● 0648-0789, Type-Approval Requirements for Vessel Monitoring Systems (VMS)</li> </ul>
	No, the information is not covered by the Paperwork Reduction Act.

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

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

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

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

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

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

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

<b>Purpose</b>			
For a Computer Matching Program		For administering human resources programs	X
For administrative matters	X	To promote information sharing initiatives	X
For litigation	X	For criminal law enforcement activities	X
For civil enforcement activities	X	For intelligence activities	X
To improve Federal services online	X	For employee or customer satisfaction	X
For web measurement and customization technologies (single-session)	X	For web measurement and customization technologies (multi-session)	
Other (specify):			
UAS is used by law enforcement for apex predator surveillance, detection, and avoidance for officer safety while inspecting, locating, and marking crime scene areas and for creating crime scene reports.			
Information is used to maintain databases for tracking international seafood trading tracking and angler registration, for use in reviewing scientists' research products, and for maintaining a Protected Resources marine mammal inventory.			

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

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

**SISP** is used to track seafood inspection activities and scheduling and to generate invoices for payment. The data collected refers to members of the public. Payments are made through Pay.gov. No credit card information is collected.

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

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

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

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

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

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

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

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

**NPS** is used by NMFS to identify owners and holders of permits and non-permit registrations and vessel owners and operators for both civil and criminal enforcement activities, evaluate permit applications, and document agency actions relating to the issuance, renewal, transfer, revocation, suspension, or modification of a permit or registration. NMFS may use lists of permit holders or registrants as sample frames for the conduct of surveys to collect information necessary to the administration of the applicable statutes. NMFS may post non-sensitive permit holders, vessel-related, and/or Individual Fishing Quota (IFQ) information for the public, via Web sites and Web Services, per notice given on permit applications. This information is considered part of the public

domain. Tax Identification Numbers allow positive identification for cost recovery billing of Individual Fishing Quota (IFQ) holders. In addition, as stated in SORNs NOAA-12 and NOAA-19 routine uses, a Tax Identification Number is required on all permit applications other than research or exempted fishing permits, under the authority 31 U.S.C. 7701 in order to administer the various NMFS fisheries permit and registration programs. All PII/BII are in reference to members of the public.

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

**FISHFINS** collects loan application information from members of the public in order to assess and monitor the loan applicant's financial condition.

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

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

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

**Emergency Contact List (ECL)** stores store contact information for OST staff to be used in case of emergency. PII collected includes name, relationship, address, and phone. This information is collected from employees and contractors.

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

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

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

**NFCSS** is a national-level Performance Management Advisory Committee (PMAC) established to review the contributions, impact and stature of NOAA Fisheries pay band IV and V non-supervisory research scientists. The NFCSS evaluates scientists whose primary responsibility is to conduct research and develop scientific products for resource management advice, other scientific advice, publications, and reports that represent new or more comprehensive understanding of a subject. The NFCSS members are pay band V scientists who are subject matter experts from the regional science

centers appointed to three-year terms by the respective regional Science Director. There is a website and database to manage and record the results of NFCSS member reviews conducted for the purpose of evaluating a scientist's credentials and contributions to allow them to be assigned to a higher pay band without being a supervisor and to produce a standard report for the committee chair (OST Science Director). Access to the database is restricted to the OST Science Director, the six regional Deputy Science Directors, one pay band V research scientist from each regional science center, the NOAA Fisheries HR Business Partner, and the NFCSS database administrator and is provided by the NFCSS database administrator only at the request of the NFCSS Chair. Information collected is name, work contact information, letters of reference and curricula vitae, performance plan, science director memoranda, and name of immediate supervisor. The administrator uploads copies of a memorandum from the NFCSS Chair to the Science Center director of staff being reviewed. The data (name, email, documents) for staff being reviewed are entered by their Deputy Science Director. The review comments are entered by the NFCSS members.

**NIMM** system maintains current and past data on marine mammals under NMFS' jurisdiction (dolphins, porpoises, whales, seals, and sea lions) held in permanent captivity for public display. In addition, NIMM includes information on marine mammals held in permanent captivity for scientific research, enhancement, and national defense purposes. NIMM includes beached/stranded marine mammals only if they have been deemed non-releasable and cannot be returned to the wild. NIMM allows marine mammal owners and facilities to enter inventory data directly into the online system. NIMM will eventually provide the public with real-time access to the national inventory. Types of BII collected include institution name, address, email, phone, and fax.

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

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

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

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

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

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

representative of the external organization who will be accessing the data will have to provide a signed Certificate.

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

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

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

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

**Section 6: Information Sharing and Access**

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

Recipient	How Information will be Shared		
	Case-by-Case	Bulk Transfer	Direct Access
Within the bureau	X	X	X
DOC bureaus	X		X
Federal agencies	X*		X*
State, local, tribal gov't agencies	X	X	
Public	X		X
Private sector	X**		X
Foreign governments	X		
Foreign entities			
Other (specify): FOIA Online			X

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

\*\* SISF information (email addresses, mailing addresses, and users' names) is shared for invoicing and billing purposes. Only account holders have access to their TINs.

- NPS: non-sensitive information may be posted on public web sites.
- NEIS information will be shared with law enforcement.
- FishFinS: Credit, Financial, and Tax information.

The PII/BII in the system will not be shared.

6.2 Does the DOC bureau/operating unit place a limitation on re-dissemination of PII/BII shared with external agencies/entities?

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

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

X	<p>Yes, this IT system connects with or receives information from another IT system(s) authorized to process PII and/or BII. Provide the name of the IT system and describe the technical controls which prevent PII/BII leakage:</p> <ul style="list-style-type: none"> <li>i) U.S. Coast Guard</li> <li>ii) Pacific States Marine Fisheries Commission</li> <li>iii) U.S. Custom and Border Protection</li> <li>iv) Atlantic Coastal Fisheries Information Network (ACFIN)</li> <li>v) Information Technology Center (ITC – NOAA1101)</li> <li>vi) 1901 NSOC</li> <li>vii) Department of Justice (DOJ)</li> <li>viii) Other NOAA NMFS Systems: <ul style="list-style-type: none"> <li>a. NOAA0550 (NWAVE)</li> <li>b. NOAA4011 (NFPLRS)</li> <li>c. NOAA4100 (GARFO)</li> <li>d. NOAA4200 (NEFSC)</li> <li>e. NOAA4300 (SERO)</li> <li>f. NOAA4400 (SEFSC)</li> <li>g. NOAA4500 (WCR)</li> <li>h. NOAA4600 (NWFSC)</li> <li>i. NOAA4700 (AKRO)</li> <li>j. NOAA4800 (AKFSC)</li> <li>k. NOAA4920 (PIRO)</li> <li>l. NOAA4930 (SWFSC)</li> <li>m. NOAA4960 (PIFSC)</li> </ul> </li> </ul> <p>The interconnections between NOAA4000/VMS and the entities listed above is established through encrypted interfaces (VPN). The connections on each end are located within controlled access facilities, guarded 24 hours a day. Authentication methods are in place to validate authorized users. Virus and malicious code prevention is employed to protect the integrity of the software and the data.</p>
	No, this IT system does not connect with or receive information from another IT system(s) authorized to process PII and/or BII.

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

Class of Users			
General Public	X*	Government Employees	X
Contractors	X		
Other (specify): * Individuals have access to their own sensitive PII when they log into applications; however, they only have access to non-sensitive public data otherwise. The public also has access to NIMM.			

### **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> (SISP; eAOP; NPS; ECO; NATS) <a href="https://fisheriespermits.noaa.gov/npspub/pub_cmn_login/privacy_act_page.html">https://fisheriespermits.noaa.gov/npspub/pub_cmn_login/privacy_act_page.html</a> (NPS) (see attached) <a href="https://restorationdata.noaa.gov/submission/">https://restorationdata.noaa.gov/submission/</a> (NRDA) <a href="https://www.noaa.gov/protecting-your-privacy">https://www.noaa.gov/protecting-your-privacy</a> (RCDB; GCLD) <a href="https://www.noaa.gov/sites/default/files/legacy/document/2021/Mar/Signed_UAS_PrivacyPolicy.pdf">https://www.noaa.gov/sites/default/files/legacy/document/2021/Mar/Signed_UAS_PrivacyPolicy.pdf</a> (UAS) <a href="https://www.st.nmfs.noaa.gov/nnri/">https://www.st.nmfs.noaa.gov/nnri/</a> (NSAR)	
X	Yes, notice is provided by other means.	Specify how:  VMS: Notice is provided in a user nondisclosure agreement. For any BII release, the affected fishermen would be notified via email.  TRIDENT: Notification is provided face-to-face by OLE officers. Users have NDA agreements.  NEIS: Notification is provided face to face by OLE officers. Users have NDA agreements.  FISHFINS: The FFP loan application contains the privacy statement.  The ECL has a Privacy Act Statement: This information

		collection is voluntary. The purpose is to maintain an emergency contact list. The personally identifiable information will not be shared outside the OST.
X	No, notice is not provided.	<p>Specify why not:</p> <p>The UAS is an actual drone that is operated remotely capturing images of location under surveillance. Therefore, no notice is provided to the individuals.</p> <p>ITDS: ITDS does not provide any notice because ITDS does not collect data from individuals and therefore there is no way to provide notice. Any notice would be provided when the data is collected by the U.S. Customs and Border Protection.</p> <p>RF geo-location receives vessel radio frequency signals and does not collect information from individuals.</p>

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

X	Yes, individuals have an opportunity to decline to provide PII/BII.	<p>Specify how:</p> <p>SISP: The requestor may decline, face-to-face or in writing, to provide information to the application owner but then would not receive the service/user account/be in compliance.</p> <p>VMS: The requestor may decline, face-to-face or in writing, to provide information in the account request form but then would not receive the service/user account/be in compliance.</p> <p>NRDA: The requestor may decline, face-to-face or in writing, to provide information to the application owner but then would not receive the service/user account/be in compliance.</p> <p>RCDB: The requestor may decline, face to face or in writing, to provide information to the application owner but would not then receive the service/user account/be in compliance.</p> <p>NPS: The personal information is collected when the individual completes the appropriate application. On the application, the individual is advised that NMFS will not be able to issue a permit if the individual does not provide each item of information requested. The individual may choose to decline to provide the required personal information at that time, but will not</p>
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		<p>be able to receive a permit.</p> <p>eAOP: Managers' contact information is part of the program information. However, if any individual objects to their information being posted, it will be removed upon written or verbal request.</p> <p>TRIDENT: An individual may decline to provide voluntary information in the course of an investigation.</p> <p>NEIS: An individual may decline to provide voluntary information in the course of an investigation.</p> <p>ECO: The project lead may decline, face-to-face or in writing, to provide information to the application owner but then would not receive the service/user account.</p> <p>FISHFINS: The loan applicant may decline, face-to-face or in writing, to provide information but would not then receive the service/user account/be in compliance.</p> <p>ECL: Employees and contractors may decline to provide contact information to their supervisors in writing, but then they may not be notified in case of emergencies.</p> <p>NIMM: An individual can decline to be the responsible official or the primary contact.</p> <p>NSAR: The individual will not register if he wishes to decline.</p>
<p>X</p>	<p>No, individuals do not have an opportunity to decline to provide PII/BII.</p>	<p>Specify why not:</p> <p>The UAS is an actual drone that is operated remotely capturing images of location under surveillance. Individuals do not have the opportunity to decline to provide PII.</p> <p>TRIDENT: Individuals do not have the opportunity to decline to provide information collected through surveillance, pursuant to a warrant, court order, or other investigatory actions where consent is not possible within the constraints of properly investigating potential violations of Fisheries laws and regulations.</p> <p>NEIS: Individuals do not have the opportunity to decline to provide information collected through surveillance, pursuant to a warrant, court order, or other investigatory actions where consent is not possible within the constraints of properly investigating potential violations of Fisheries laws and regulations.</p>

		<p>ITDS: ITDS does not provide an opportunity to decline because ITDS does not collect data from individuals and therefore there is no way to provide the opportunity to decline. Any opportunity to decline would be provided when the data is collected by the U.S. Customs and Border Protection.</p> <p>MRIP ETL: No data collected directly by the system.</p> <p>RF geo-location receives vessel radio frequency signals and does not collect information from individuals.</p>
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7.3 Indicate whether and how individuals have an opportunity to consent to particular uses of their PII/BII.

X	<p>Yes, individuals have an opportunity to consent to particular uses of their PII/BII.</p>	<p>Specify how:</p> <p>There is only one purpose for each information collection. Those who provide information via web pages have a link to the NOAA Privacy Policy, which states that provision of the information implies consent to the stated use(s). For provision of information in person, the purpose of the information is stated by the NOAA staff person.</p> <p>NPS: The individual consents by completion of the application. On the application, the individual is advised that NMFS will not be able to issue a permit if the individual does not provide each item of information requested. The individual may choose to decline to provide the required personal information at that time, but will not be able to receive a permit.</p> <p>FISHFINS: Consent for the specified use is implied by completing and signing the loan application.</p> <p>SISP: The requestor has the opportunity to consent to specific uses of their PII/BII either face-to-face or in writing. However, failure to consent to all uses could negatively impact their ability to obtain services.</p> <p>VMS: There is only one use for the information collected. By installing a VMS unit, the individual is consenting to the use of their PII/BII to conduct business.</p> <p>NRDA: There is only one use for the individual's contact information. By providing their contact information, the individual is consenting to receive</p>
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		<p>research updates. If they decide they no longer want to receive these updates, they may request that their account be deleted.</p> <p>RCDB: There is only one use of the contact information. By providing their contact information, the individual is consenting to its use for the implementation of restoration projects.</p> <p>eAOP: There is only one use for the contact information in this application. Staff consent to the use of the contact information by including it in the planning documents.</p> <p>TRIDENT: An individual may voluntarily consent to particular uses of their PII during an investigation.</p> <p>NEIS: An individual may voluntarily consent to particular uses of their PII during an investigation.</p> <p>ECO: By agreeing to serve as a project lead, the individual is consenting to the use of their PII for this one purpose. There is no other use of this information.</p> <p>ECL: By providing their contact information, employees consent to the use of this information for emergencies only.</p> <p>NSAR: Anglers may choose not to register. There is no option to register and opt out of the survey. An angler may decline respond to the survey if contacted.</p>
<p>X</p>	<p>No, individuals do not have an opportunity to consent to particular uses of their PII/BII.</p>	<p>Specify why not: Specify why not:</p> <p>The UAS is an actual drone that is operated remotely capturing images of location under surveillance. Therefore, no notice is provided to the individuals.</p> <p>ITDS: ITDS does not provide an opportunity to consent to particular uses because ITDS does not collect data from individuals and therefore there is no way to provide the opportunity to consent to particular uses. Any opportunity to consent to particular uses would be provided when the data is collected by the U.S. Customs and Border Protection.</p> <p>MRIP ETL: No data collected directly by the system.</p> <p>RF geo-location receives vessel radio frequency signals and does not collect information from individuals.</p>

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>SISP: Users establish accounts and have access to their own profile.</p> <p>VMS: Users have limited access. Only users with a need to access the system as part of their duties and as approved by the appropriate authorizing official may directly access their data. Individuals with no access to the applicable database may request to review information and submit updates through secure means, with the person and office who collected their information originally.</p> <p>TRIDENT: Users may request to review information and submit updates through secure means, with the person and office who collected their information originally.</p> <p>NEIS: Users may request to review information and submit updates through secure means, with the person and office who collected their information originally.</p> <p>NRDA: Users may request to review information and submit updates through secure means, with the person and office who collected their information originally.</p> <p>RCDB: Users may request to review information and submit updates through secure means, with the person and office who collected their information originally.</p> <p>NPS: Information may be reviewed/updated when completing or renewing a permit application or supporting documents, or by calling or emailing the applicable NMFS office at any time.</p> <p>eAOP: Contact information may be reviewed and updated at any time by contacting the Program Manager.</p> <p>ECO: Users establish accounts and have access to their own profile.</p> <p>FISHFINS: Users establish accounts and have access to their own profile.</p> <p>FWS: Users establish accounts and have access to their own profile.</p>
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		<p>UAS: Individuals can seek to update/delete their video image via a Privacy Act amendment request.</p> <p>ECL: Users may log on to the application and update the information at any time.</p> <p>NIMM: Those with NIMM user accounts have access rights to review and update their data.</p> <p>NSAR: Information may be updated at the time of registration renewal.</p>
X	No, individuals do not have an opportunity to review/update PII/BII pertaining to them.	<p>Specify why not:</p> <p>ITDS: ITDS does not provide an opportunity to review/update information because ITDS does not collect data from individuals and therefore there is no way to provide the opportunity to review/update information. Any opportunity to review/update information would be provided by the U.S. Customs and Border Protection.</p> <p>MRIP ETL: No data is collected directly by the system.</p>

### **Section 8: Administrative and Technological Controls**

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

X	All users signed a confidentiality agreement or non-disclosure agreement.
X	All users are subject to a Code of Conduct that includes the requirement for confidentiality.
X	Staff (employees and contractors) received training on privacy and confidentiality policies and practices.
X	Access to the PII/BII is restricted to authorized personnel only.
X	Access to the PII/BII is being monitored, tracked, or recorded. <b>Explanation:</b> Activities of users are tracked through audit logs and monitoring.
X	The information is secured in accordance with the Federal Information Security Modernization Act (FISMA) requirements. Provide date of most recent Assessment and Authorization (A&A): <u>03/20/2024</u> <input type="checkbox"/> This is a new system. The A&A date will be provided when the A&A package is approved.
X	The Federal Information Processing Standard (FIPS) 199 security impact category for this system is a moderate or higher.
X	NIST Special Publication (SP) 800-122 and NIST SP 800-53 Revision 4 Appendix J recommended security controls for protecting PII/BII are in place and functioning as intended; or have an approved Plan of Action and Milestones (POA&M).
X	A security assessment report has been reviewed for the information system and it has been determined that there are no additional privacy risks.
X	Contractors that have access to the system are subject to information security provisions in their contracts required by DOC policy.

X	Contracts with customers establish DOC ownership rights over data including PII/BII.
X	Acceptance of liability for exposure of PII/BII is clearly defined in agreements with customers.
X	Other (specify): All employees/contractors are required to sign a confidentiality agreement for VMS

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

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

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

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

**Section 9: Privacy Act**

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

  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><a href="#">NOAA-5: Fisheries Law Enforcement Case Files</a></p> <p><a href="#">NOAA-6: Fishermen's Statistical Data</a></p> <p><a href="#">NOAA-11: Contact Information for Members of the Public Requesting or Providing Information Related to NOAA's Mission</a></p> <p><a href="#">NOAA-12: Marine Mammals, Endangered and Threatened Species, Permits and Authorizations Applicants</a></p> <p><a href="#">NOAA-14: Dr. Nancy Foster Scholarship Program; Office of Education, Educational Partnership Program (EPP); Ernest F. Hollings Undergraduate Scholarship Program and National Marine Fisheries Service Recruitment, Training, and Research Program</a></p> <p><a href="#">NOAA-15: Monitoring of National Marine Fisheries Service Observers</a></p> <p><a href="#">NOAA-16: Economic Data Reports for Alaska Federally Regulated Fisheries off the coast of Alaska</a></p> <p><a href="#">NOAA-19: Permits and Registrations for United States Federally Regulated Fisheries</a></p> <p><a href="#">NOAA-21: Financial Services Division</a></p> <p><a href="#">NOAA-23: Economic Data Collection (EDC) Program for West Coast Groundfish Trawl Catch Share Program off the coast of Washington, Oregon, and California</a></p> <p>COMMERCE/<a href="#">DEPT-2: Accounts Receivable</a></p> <p>COMMERCE/<a href="#">DEPT-5: Freedom of Information Act and Privacy Act Request Records</a></p> <p>COMMERCE/<a href="#">DEPT-13: Investigative and Security Records</a></p> <p>COMMERCE/<a href="#">DEPT-14: Litigation, Claims, and Administrative Proceeding Records</a></p> <p>COMMERCE/<a href="#">DEPT-18: Employees Personnel Files Not Covered by Notices of Other Agencies</a></p> <p>COMMERCE/<a href="#">DEPT-20: Biographical Files and Social Networks</a></p> <p>COMMERCE/<a href="#">DEPT-25: Access Control and Identity Management System</a></p> <p>COMMERCE/<a href="#">DEPT-27: Investigation and Threat Management Records</a></p> <p>COMMERCE/<a href="#">DEPT-29: Unmanned Aircraft Systems</a></p> <p>COMMERCE/<a href="#">DEPT-31: Public Health Emergency Records of Employees, Visitors, and Other Individuals at Department Locations.</a></p> <p>OPM/GOVT-2: <a href="#">Employee Performance File System Records</a></p> <p>*Refer to the table at the end of this PIA for additional details.</p>
X	Yes, a SORN has been submitted to the Department for approval on (July or August 2023).
	No, this system is not a system of records and a SORN is not applicable.

**Section 10: Retention of Information**

10.1 Indicate whether these records are covered by an approved records control schedule and monitored for compliance. (Check all that apply.)

X	<p>There is an approved record control schedule. Provide the name of the record control schedule:</p> <p><b>Chapter 100 – General, Enterprise-wide Functions</b>          These records are official NOAA program and mission records that may be located throughout all NMFS Offices, laboratories, divisions, branches, sections or other organizational units, and in all NOAA regional and field offices. The records in this chapter are unique program records in NOAA, and many of the records listed are permanently valuable such as photographs and certain program correspondence subject files.</p> <p><b>Chapter 200 - Administrative and Housekeeping Records</b>          This schedule cover the most common administrative and housekeeping records that are maintained in all levels of NOAA offices. These records include routine and facilitative records that many or all government agencies create and maintain for day-to-day administrative and management functions. This includes ECLs, Budget and Finance, HR, FOIA, NDAs, eMail, and compliance reporting records.</p> <p><b>Chapter 300 – Employee Management Records</b>          This schedule covers records Federal agencies create while carrying out the work of employee management: supervising employees, processing personnel actions, managing employee performance, and creating and maintaining personnel and volunteer service records.          NFCSS records are scheduled under 301-09, Supervisors’ Personnel Files</p> <p><b>Chapter 1500 - Fishery and Living Marine Resource Functional Files</b></p> <p>These records are related to fisheries and living marine resources. Specifically:          1502 Resource Assessment, Distribution, and Classification Files          1503 Environmental Impact Analysis Files          1504 Fisheries Management and Coordination Files          1505 Regional Fisheries Development Files          1507 Fisheries Statistics and Marketing News Reporting Files          1509 Economic Analysis Files          1510 Vessel Financial Services Files          1511 Fishery Protection and Claims Files          1512 Fishery Product Quality and Safety Inspection Files          1513 Fishery Law Enforcement and Surveillance Files          1514 Marine Mammal and Endangered Species Protection Files          1515 Marine Recreational Fisheries Program Files          1516 Natural Resource Damage Assessment (NRDA) Post-Settlement and Administrative Record Files          1518 Coastal Wetlands, Planning, Protection and Restoration Act File</p> <p><b>Chapter 2403 – Information System Security Records, System Access Records</b></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>

X	No, retention is not monitored for compliance to the schedule. Provide explanation:  VMS, TRIDENT, and NEIS records are not authorized for disposal and must be retained indefinitely.
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10.2 Indicate the disposal method of the PII/BII. (Check all that apply.)

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

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

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

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

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

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

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

## **Section 12: Analysis**

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

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

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

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

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

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

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

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

	Yes, the conduct of this PIA results in required technology changes. Explanation:
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X	No, the conduct of this PIA does not result in any required technology changes.
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Programmatic Authorities	Type of Information Collected	Applicable SORNS
44 U.S.C. 3101	<b>Personnel</b>	COMMERCE/DEPT-18
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		
5 U.S.C. 1302		
Executive Order 12107	Employee Performance Info	OPM/GOVT-2
5 U.S.C. Sections 1104, 3321, 4305, and 5405		
Section 4002 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act, Public Law 110-69	Education Activities	NOAA-14
America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act (Public Law 110-69, Section 4002)		
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		
Presidential Memorandum: Promoting Economic Competitiveness While Safeguarding Privacy, Civil Rights, and Civil Liberties in Domestic Use of Unmanned Aircraft Systems (Feb. 15, 2015)	UAS	COMMERCE/DEPT-29
47 CFR parts 80, 87, and 95		
Office of Management & Budget (OMB) Circular A-130		
Magnuson-Stevens Fishery Conservation and Management Act, 16 U.S.C. 1801 et seq		
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		
FAA Modernization and Reform Act of 2012 (Pub. L. 112-95)		
American Fisheries Act, Title II, Public Law 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. (Halibut Act)		
Antarctic Marine Living Resources Convention Act of 1984, 16 U.S.C. 2431-2444		
Marine Mammal Protection Act, 16 U.S.C. 1361		
Executive Orders 10450, 11478	Security Investigations	COMMERCE/DEPT-13
5 U.S.C. 7531-332		
28 U.S.C. 533-535		
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		
Executive Order 12656	Emergency Preparedness	COMMERCE/DEPT-18
Federal Preparedness Circular (FPC) 65, July 26, 1999		
28 U.S.C. 533-535	Foreign National Information	COMMERCE/DEPT-27
44 U.S.C. 3101		
5 U.S.C. 301		
Executive Orders 13526, 12968, 13356, 13587		
Public Law 108-458 (Intelligence Reform and Terrorism Prevention Act of 2004)		
Intelligence Authorization Act for FY 2010, Public Law 111-259		
31 U.S.C. 951-953		
8 U.S.C. 1324a		
15 Code of Federal Regulations (CFR) Parts 730-774, Export Administration Regulations		
NOAA Administrative Order (NAO) 207-12 "Technology Controls and Foreign National Access"		
Department Administrative Order (DAO) 207-12 Version Number: 01-2017 "Foreign National Visitor and Guest Access Program"		
28 U.S.C. 3101-3105	Financial Information	COMMERCE/DEPT-2
Debt Collection Act of 1982 (PL 97-365)	Fisheries Financial Services	NOAA-21
26 U.S.C. 6402(d)		
31 U.S.C. 3711		

Federal Financial Assistance Management Improvement Act of 1999		
Public Works and Economic Development Act of 1965, as amended by the Economic Development Administration Reauthorization Act of 2004 (Pub. L. 108-373)		
4 CFR 102.4		
Chief Financial Officers Act (CFOs Act) of 1990, P.L. 101-576		
Federal Managers' Financial Integrity Act of 1982, P.L. 97-255 (31 U.S.C. 3512 et seq.);		
Office of Management and Budget (OMB) Circular A-127, Financial Management Systems		
Title XI of the Merchant Marine Act of 1936 as amended and codified, 46 U.S.C. 1177 and 46 U.S.C. 53701 et seq.		
Magnuson-Stevens Fishery Conservation and Management Act, 16 U.S.C. 1801 et seq.		
Debt Collection Improvement Act as codified at 31 U.S.C. 7701		
5 U.S.C. 301, Departmental Regulations	Contact Information for the Public	NOAA-11
15 U.S.C. 1512, Powers and duties of Department		
Reorganization Plan No. 4 of 1970	Law Enforcement Case Files	NOAA-5
5 U.S.C. 301	Litigation	COMMERCE/DEPT-14
28 U.S.C. 533-535		
44 U.S.C. 3101		
Certain sections of Titles 15, 16, 18, and 22 of the United States Code		
Relevant treaty, international convention, and/or agreements of which there are approximately 20		
Reorganization Plan No. 4 of 1970	Marine Mammal / Endangered Species Permits	NOAA-5
5 U.S.C. 301		NOAA-12
28 U.S.C. 533-535		
44 U.S.C. 3101		
Certain sections of Titles 15, 16, 18, and 22 of the United States Code		
Relevant treaty, international convention, and/or agreements of which there are approximately 20		
The Marine Mammal Protection Act, 16 U.S.C. 1361 et seq		
Fur Seal Act, 16 U.S.C. 1151 et seq		
Endangered Species Act, 16 U.S.C. 1531 et seq.		
31 U.S.C. 7701.		
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)		

Magnuson-Stevens Fishery Conservation and Management Act, as amended, Public Law 109-479	NMFS Observers	NOAA-15
16 U.S.C. 1853		
Magnuson-Stevens Fishery Conservation and Management Act, 16 U.S.C. 1801 et seq	Economic Data Reports	NOAA-16
16 U.S.C. 1862		NOAA-23
16 U.S.C. 1853		
American Fisheries Act, Title II, Public Law 105-277		
50 CFR 660.114		
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		
Commerce, Justice, Science and Related Agencies Act, 2018, Division B, Section 539 (Pub. L. 115-141)		
Taxpayer Identifying Number, 31 U.S.C. 7701		
5 U.S.C. 301 5 U.S.C. App.--Inspector General Act of 1978, section 2 5 U.S.C. App.--Reorganization Plan of 1970, section 2 13 U.S.C. section 2 13 U.S.C. section 131 15 U.S.C. section 272 15 U.S.C. section 1151 15 U.S.C. section 1501 15 U.S.C. section 1512 15 U.S.C. section 1516 15 U.S.C. section 3704b 16 U.S.C. section 1431 35 U.S.C. section 2 42 U.S.C. section 3121 et seq. 44 U.S.C. 3101 and Reorganization Plan No. 5 of 1950	Biographical Files and Social Networks	COMMERCE/DEPT-20

<p>47 U.S.C. section 902; 50 U.S.C. App. section 2401 et seq.          E.O. 11625          77 FR 49699          Presidential Memorandum to the Heads of Executive Departments and Agencies on Transparency and Open Government, January 21, 2009          OMB Open Government Directive, M-10-06, December 8, 2009          OMB Guidance for Online Use of Web Measurement and Customization Technologies, M-10-22, June 25, 2010          OMB Guidance for Agency Use of Third-Party Web sites and Applications, M-10-23, June 25, 2010</p>		
<p>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 parts 1602, 1630, 1904, 1910, and 1960          29 USC chapter 15 ( e.g., 29 U.S.C. 668)          Executive Order 12196          5 U.S.C. 7902</p>	<p>Public Health Emergency          Info &amp; Reasonable          Accommodation</p>	<p>COMMERCE/DEPT-31</p>

## **Privacy Act Statement**

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

**Purpose:** In order to manage U.S. fisheries, the NOAA National Marine Fisheries Service (NMFS) requires the use of permits or registrations by participants in the United States. Information on NOAA Fisheries permit applicants and renewing holders includes vessel owner contact information, date of birth, TIN and vessel descriptive information.

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

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

## **NOAA Privacy Act Statement**

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

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

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

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

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