

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



# Privacy Impact Assessment for the **NOAA4800 – Alaska Fisheries Science Center (AKFSC) Network**

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Concurrence of Senior Agency Official for Privacy/DOC Chief Privacy Officer  
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**U.S. Department of Commerce Privacy Impact Assessment  
NOAA/NMFS/Alaska Fisheries Science Center  
(AKFSC) Network**

**Unique Project Identifier: NOAA4800**

**Introduction: System Description**

The NOAA4800 system consists of a series of Local Area Networks (LANs) connected via a shared Wide Area Network (WAN) connection. The LANs are separated from the WAN by a firewall and router. Via the system identified as NOAA4000, NMFS CIO staff manage the WAN and all of the firewalls except for the Seattle LAN firewall. A common Active Directory, managed by the NMFS Enterprise Active Directory staff, binds the LANs into one system. Three programs with privacy-related data within the system are:

**North Pacific (NORPAC) Database (Observer Data):** NORPAC refers to the observer data collection within the North Pacific by the Fisheries Management and Analysis (FMA) division within NOAA4800. In the past, it was referred to simply as the Observer Database. It is not a true acronym. The database consists of various data collected by fishery biologists while deployed on board commercial fishing vessels or at shoreside processing plants participating in the Bering Sea and Gulf of Alaska groundfish fisheries. Data collection activities began in 1973 and they continue to date. While deployed at their assignments, observers collect data on the catch size, fishing locations, catch composition, length frequencies, age structures, marine mammal interactions, and a variety of research projects. The specific data components collected are outlined in the Groundfish Observer Manual. Once received by FMA, these data are extensively checked for quality and are then entered onto an Oracle database and made available to authorized staff. The database also stores observer training records and performance evaluations.

All of these data are collected cooperatively from private commercial fishing interests and are protected from general release by confidentiality statutes. This protects the private business interests of industry while still providing NOAA Fisheries with the detailed information necessary to effectively manage the ecosystem.

**NMFS Groundfish Tagging Program:** The collection of information for the National Marine Fisheries Service (NMFS) Groundfish Tagging Program has been in operation since the early 1970s. This information collection covers the Groundfish Tagging Program on the West Coast and Alaska. The NMFS Groundfish Tagging Program provides scientists with information necessary for effective conservation, management, and scientific understanding of the groundfish fishery resources off Alaska. Data from the releases and recoveries that are collected through this program have been used to examine movement patterns, evaluate areal apportionment strategies of annual catch quota, validate ageing methods, and to examine growth.

When a tag is recovered, typical information given by the respondent is: (1) tag number, (2)

date of capture, (3) location of capture, (4) size of fish, (5) sex of fish, (6) depth of capture, (7) gear type, (8) vessel name, and (9) name and address of reward recipient. The standard tag recovery form is attached to a prepaid business reply envelope. Individuals use this envelope to submit and record recovery information for each tag. Each recovery envelope contains a confidentiality statement. Submitting tag recovery information is voluntary, and the amount of information received can vary with each recovery.

Submitting tag recovery information is voluntary. Tags (recovery information) are generally collected from fishermen and processors. Tags can be sent in directly from these individuals, as well as from observers and port samplers with NMFS, the Alaska Department of Fish and Game (ADFG), and Canada Department of Fisheries and Oceans (DFO). Information sent in by NMFS observers includes the vessel captain's signature approving the collection and use of the provided data.

**Economic Data Report (EDR) Dataset:** The EDR data collection forms collect confidential business data on costs, revenues, ownership, employment, and physical plant characteristics from vessels, processors, and Quota Share permit holders licensed to participate in federally managed crab and groundfish fisheries in Alaska. In addition to business data, the forms also include name, title, telephone and fax numbers, and email address of the person submitting the EDR form; name and address of the owner or leaseholder of the vessel or plant; Federal Fishery processor or vessel permit number, Coast Guard vessel registration number, federal license number, Registered Crab Receiver number, State of Alaska seafood processor number, and Alaska Department of Fish & Game (ADF&G) Commercial Crew License or Commercial Fisheries Entry Commission (CFEC) Gear Operator Permit number of vessel crew members.

EDR data is collected on an annual basis from vessels, processors, and quota shareholders participating in selected catch share programs developed by North Pacific Fishery Management Council and administered by NMFS Alaska Regional Office, specifically, the Bering Sea and Aleutian Islands (BSAI) Crab Rationalization Program, American Fisheries Act pollock fishery, Amendment 80 Non-pollock Groundfish Trawl fishery, and Gulf of Alaska groundfish trawl fisheries. To monitor changes in the economic performance of the affected fisheries following rationalization and subsequent management changes, the NPFMC developed the respective EDR data collections to provide analysts with economic information not available from other sources. The EDR data collections also contribute to meeting the requirements of the MSA for catch share program evaluation.

Address the following elements:

*(a) Whether it is a general support system, major application, or other type of system*  
NOAA4800 is a general support system.

*(b) System location*

The primary site of NOAA4800 is Seattle, WA. Additional locations are Newport, OR, Juneau, AK, Anchorage, AK, Kodiak, AK, and Dutch Harbor, AK.

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

NOAA4800 is interconnected with the following systems:

NOAA4600: General Support System for the Northwest Fisheries Science Center

NOAA4700: General Support System for the Alaska Regional Office

NOAA4000: General Support System for NMFS Headquarters (this system connects all NMFS systems via a network backbone)

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

In order to achieve its purpose, NOAA4800 provides connectivity between individual end-user computers to infrastructure devices such as file servers, through networking devices such as firewalls, routers, and switches.

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

Information is retrieved from servers to desktop and laptop computers via file sharing technologies.

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

Information is transmitted locally via file sharing protocols, and externally via NOAA4000.

*(g) Any information sharing*

NOAA4800 collects, maintains, and uses several types of information, including natural resource data (conservation, marine ecosystems, and mammals), administrative data (budget formulation, budget planning), general workforce management data (number of contractors, contracting budgets, etc.), and information technology data (help desk, infrastructure, system development, and security).

PII/BII stored within NOAA4800 is shared outside of NOAA with the following organizations:

-Alaska Department of Fish and Game (ADF&G)

-North Pacific Fishery Management Council (NPFMC)

#### **NORPAC Information Sharing:**

The staff authorized to use these data include NOAA Fisheries' scientists and managers participating in a broad range of activities including:

- stock assessments,
- marine mammal interactions,
- food habits,
- fish age analyses,
- economic analyses,
- fishery management plan development,
- in-season fishery management.

The data are also shared with other authorized users in the Alaska Department of Fish and Game (ADF&G) and North Pacific Fishery Management Council (NPFMC) staff with similar responsibilities.

Aggregations of observer data which protect confidentiality are periodically developed and released to the public. Observer data serve as essential building blocks for numerous public analyses, reports, and scientific documents.

### **Groundfish Tagging Information Sharing:**

Only the data steward regularly accesses data contained in the system to input new data, and to analyze and report on the status of the NMFS Groundfish Tagging Data. Other people who have direct access to the ABL Tag data are limited staff and contractors of the Auke Bay Laboratories Division only if they are doing appropriate research, and have signed confidentiality agreements and ORACLE access approval forms. Any other NOAA employee or contractor would not have direct access to the system.

Data is often shared with the Northwest Fisheries Science Center (NWFSC), the Southwest Fisheries Science Center (SWFSC), the ADF&G, and the DFO. Shared data has been aggregated in a way that confidentiality (of fishing locations) hasn't been breached, and names/addresses are never shared. All publicly available data are aggregated so that no PII/BII information is provided.

### **EDR Data Sharing:**

EDR data is treated as confidential federal fisheries data, and made available only to NMFS and ADF&G staff and contractors, after submission of non-disclosure agreement documentation.

Data collected in the EDR program is scientific data of a unique kind and is not subject to expiration. As such, the data is maintained indefinitely, under appropriate security protocols, for use by analysts and is not destroyed.

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

### **NORPAC:**

Magnuson Stevens Fishery Conservation and Management Act (MSA); Marine Mammal Protection Act; Endangered Species Act; and 50 CFR 660.16 Groundfish observer program.

**Groundfish Tagging and Recovery Program:**

The groundfish tagging and tag recovery program is part of the fishery resource assessment that NMFS conducts under the Magnuson-Stevens Act Coauthority as codified in 16 U.S.C. 1854 (e) and 1801 (a)(8).

**EDR:**

BSAI Crab Rationalization: 50 CFR 680.6

American Fisheries Act (AFA)/Amendment 91: 50 CFR 679.65

Amendment 80:50 CFR 679.94

Gulf of Alaska Trawl Regulations: 50 CFR 679.110

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

NOAA4800 is a moderate system.

## **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*		f. Driver's License		j. Financial Account
b. Taxpayer ID		g. Passport		k. Financial Transaction
c. Employer ID		h. Alien Registration		l. Vehicle Identifier
d. Employee ID		i. Credit Card		m. Medical Record
e. File/Case ID				
n. Other identifying numbers (specify):				
<b>EDR:</b> EDR records contain identifiers for the individual entities (corporate and/or natural persons) that provide the EDR data, including submitted name and address, fishery permit and license numbers held, identification numbers of fishing vessels owned/operated by the subject entities (ADF&G vessel id, USCG vessel id, and associated federal fishery permit numbers), and commercial fishing crew license numbers (ADF&G Commercial Crew and Commercial Fisheries Entry Commission (CFEC) Gear Operator Permit) for crewmembers of related fishing vessels.				

<b>General Personal Data (GPD)</b>					
a. Name	X	h. Date of Birth		o. Financial Information	X
b. Maiden Name		i. Place of Birth		p. Medical Information	
c. Alias		j. Home Address	X	q. Military Service	
d. Gender		k. Telephone Number		r. Criminal Record	
e. Age		l. Email Address		s. Marital Status	

f. Race/Ethnicity		m. Education		t. Mother's Maiden Name	
g. Citizenship		n. Religion			
u. Other general personal data (specify): <b>NORPAC:</b> Observers' emergency contact information (whom to contact in case of observer emergency)					

Work-Related Data (WRD)					
a. Occupation	X	e. Work Email Address		i. Business Associates	
b. Job Title		f. Salary		j. Proprietary or Business Information	
c. Work Address		g. Work History		k. Procurement/contracting records	
d. Work Telephone Number		h. Employment Performance Ratings or other Performance Information	X		
1. Other work-related data (specify): <b>NORPAC:</b> Observer deployments, official observer statements (also called incident reports, affidavits. Sometimes when an observer witnesses a potential violation, OLE requests them to fill out a statement regarding the event). Vessel length and type; vessel safety checklist, work related performance (observer training, evaluations)					

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

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

Other Information (specify)					
<b>NORPAC:</b> Observer collected data is comprised of: vessel characteristics information (name, United States Coast Guard (USCG) number, number of crew, captain name), fishing effort information (fishing locations, gear used, depth etc), catch information (species caught, retained and discard, species compositions), biological data (otoliths, lengths, tissue samples) and protected species information (takes, injuries, sightings, samples, specimen collection).					
<b>EDR:</b> In addition to individual identifiers described above, EDR data fields include annual aggregate information related to the subject operation regarding quantities and expenditures on operating costs and capital investments, quantity and value of seafood products produced and sold and royalties paid and received for fishery permits, employment and remuneration of vessel crew and processing line labor, individual crewmember, licenses, vessel and physical plant characteristics, and operational information including counts of days operating and rates of fuel consumption.					

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

Directly from Individual about Whom the Information Pertains				
In Person		Hard Copy: Mail/Fax	X	Online
			X	

Telephone		Email			
Other (specify):					

<b>Government Sources</b>					
Within the Bureau	<input checked="" type="checkbox"/>	Other DOC Bureaus		Other Federal Agencies	
State, Local, Tribal	<input checked="" type="checkbox"/>	Foreign			
Other (specify):					

<b>Non-government Sources</b>					
Public Organizations		Private Sector	<input checked="" type="checkbox"/>	Commercial Data Brokers	
Third Party Website or Application					
Other (specify):					

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

Federal supervisors review data entered by observers at multiple steps, to ensure accuracy.
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2.4 Is the information covered by the Paperwork Reduction Act?

X	Yes, the information is covered by the Paperwork Reduction Act. Provide the OMB control number and the agency number for the collection.  0648-0276, Groundfish Tagging Program
	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>			
Audio recordings		Building entry readers	
Video surveillance		Electronic purchase transactions	
Other (specify):			
<input checked="" type="checkbox"/>	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	<input checked="" type="checkbox"/>
For administrative matters	<input checked="" type="checkbox"/>	To promote information sharing initiatives	
For litigation		For criminal law enforcement activities	<input checked="" type="checkbox"/>
For civil enforcement activities	<input checked="" type="checkbox"/>	For intelligence activities	
To improve Federal services online		For employee or customer satisfaction	
For web measurement and customization technologies (single-session)		For web measurement and customization technologies (multi-session)	
Other (specify):			
<b>NORPAC:</b> Observer data serve as essential building blocks for numerous public analyses, reports, and scientific documents.			
<b>NMFS Groundfish Tagging Program</b> provides scientists with information necessary for effective conservation, management, and scientific understanding of the groundfish fishery resources off Alaska. Groundfish tagging programs in the northeastern Pacific Ocean and Alaska waters provide essential research data on groundfish life histories (validation of ageing methods, growth, and recruitment into the fishery), and migration patterns (evaluation of areal apportionment strategies of annual catch quota) that are necessary for implementing management regimes. Address data is requested so that the individual who returned the tag may receive a reward. The reward system improves participation in the program and increases the tag recovery rate.			
<b>EDR:</b> To monitor changes in the economic performance of the affected fisheries following rationalization and subsequent management changes, the NPFMC developed the respective EDR data collections to provide analysts with economic information not available from other sources. The data are routinely used in decision support analyses conducted for NPFMC and NMFS fishery management deliberations and rule making.			

## **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).

All of the information in the data collections is in reference to members of the public who participate in the commercial fisheries of the North Pacific. The information is used in a variety of ways detailed below.

**NORPAC:** Information collected from vessels is used in fisheries management and stock assessments. Information collected by observers, including statements of fact from vessels in the fishery may also be used by law enforcement to investigate and prosecute potential violations or criminal activity. Information collected is from members of the public. Information collected is used to determine eligibility of applicants wishing to be trained as a federal fishery observer. There are educational and other requirements specified in the federal register that must be met for a person to be eligible. NORPAC also serves as the access point to NMFS Office of Law Enforcement (OLE) and USCG to view statements of fact and other incidents. Statements of fact are stored in the NORPAC database. Information collected is from members of the public, specifically the commercial fishing entities and the observers. The database also stores observer training records and performance evaluations.

**NMFS Groundfish Tagging Program:** This program requests data on (1) tag number, (2) date of capture, (3) location of capture, (4) size of fish, (5) sex, (6) depth of capture, (7) gear type, (8) vessel name, and (9) name and address of reward recipient. This information provides scientists with information necessary for effective conservation, management, and scientific understanding of the groundfish fishery resources off Alaska. Address data is requested so that the individual who returned the tag may receive a reward. The reward system improves participation in the program and increases the tag recovery rate. Aggregated data and analyses are compiled annually and publicly distributed in the Blackcod Almanac, and periodically presented in a more thorough formal report for industry members. Information collected is from members of the public and NMFS, IPHC, and ADFG observers and portside samplers.

**EDR:** EDR data is collected on an annual basis from firms operating fishing vessels and processing plants, and entities holding fishery quota shares. Data elements collected as described in Section 1 above are needed to facilitate analyses of past and potential future changes in the economic performance of the affected vessel and processing operations, economic impact on associated fishery-dependent communities, and evaluation of magnitude and distribution of economic welfare effects that participate in fisheries for which following rationalization and subsequent management changes, The NPFMC developed the respective EDR data collections to provide analysts with information not available from other sources to perform the economic analyses required as part of regulatory review under NEPA and meeting catch share program evaluation requirements under MSA.

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.)

Potential threats include insider misuse of information.

Mandatory training exists for all Federal Employees, Contractors, Associates, and Observers. Information is encrypted while both at rest, and in transit. Information is automatically purged from workstations configured for use with Observer Data Input.

Data quality and integrity is also a potential threat as the information comes directly from the public and is not readily auditible.

## **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			
Federal agencies			
State, local, tribal gov't agencies	X*	X**	
Public			
Private sector			
Foreign governments	X*	X**	
Foreign entities			
Other (specify):	X***	X***	X***

\*Alaska Department of Fish and Game and Canada Department of Fisheries and Oceans – NORPAC Data

\*\* Alaska Department of Fish and Game and Canada Department of Fisheries and Oceans – aggregate groundfish tagging data

\*\*\* Information is shared with the North Pacific Fishery Management Council

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	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:  NOAA4800 connects with three other NMFS systems, authorized to process PII and/or BII: NOAA4000, NOAA4600, and NOAA4700. These NMFS systems all use similar technical controls (encryption, proper labeling, audit logs, etc.) to prevent any PII/BII leakage.
	No, this IT system does not connect with or receive information from another IT system(s) authorized to process PII and/or BII.

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

Class of Users			
General Public		Government Employees	X
Contractors	X		
Other (specify):			
<b>NORPAC:</b> The staff authorized to use these data include NOAA Fisheries' scientists and managers participating in a broad range of activities. The data are also shared with other authorized users in the Alaska Department of Fish and Game (ADF&G) and North Pacific Fishery Management Council staff with similar responsibilities.			
<b>NMFS Groundfish Tagging Program:</b> Data is often shared with the NWFSC, the SWFSC, the ADFG, and the Canada DFO. Shared data has been aggregated in a way that confidentiality (of fishing locations) hasn't been breached, and names/addresses are never shared. All publicly available data are aggregated so that no PII/BII information is provided.			
<b>EDR:</b> EDR data is treated as confidential federal fisheries data consistent with NOAA Administrative Order 216-100, and made available only to NMFS and NPFMC scientific and fishery management staff, ADF&G management staff, and contractors/grantees. Prior to gaining access to EDR data records, all individual staff and contractors authorized to use EDR data to perform required work are required to submit signed nondisclosure agreements, which are kept on file at NMFS AKR.			

## 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://survey.psmfc.org/Home/OMBPrivacyStatement">https://survey.psmfc.org/Home/OMBPrivacyStatement</a>
X	Yes, notice is provided by other means.  <b>NORPAC:</b> Vessel captains/owners receive letters from the permit office explaining the requirements when they apply for

		<p>permits or individual fishing quota accounts.</p> <p><b>NMFS Groundfish Tagging Program:</b> Notification is provided on the prepaid tag recovery business reply envelopes.</p> <p><b>EDR:</b> Notification is printed on the cover of EDR data collection forms, and on the introductory landing screen of online EDR web forms.</p>
	No, notice is not provided.	Specify why not:

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

X	Yes, individuals have an opportunity to decline to provide PII/BII.	<p>Specify how:</p> <p><b>NORPAC:</b> Vessel captains/owners may decline to provide PII/BII verbally or in writing to observers or observer program staff, but participation in a fishery requires consent to carry an observer when directed to by the agency and to provide information requested by the observer. If the individual declines, the vessel will be fishing out of compliance with the regulations and would be in violation.</p> <p><b>NMFS Groundfish Tagging Program:</b> Participation in the tagging program is completely voluntary. In addition, individuals have the opportunity to provide as little data as they wish. For example, a fisherman at times may return a tag with all of the recovery information, and not provide his name, address, or vessel name.</p> <p><b>EDR:</b> Individuals and firms that are subject to EDR reporting of PII/BII may decline to provide the required information by not completing the form. Compliance with EDR and other mandatory recordkeeping and reporting is a condition of participation in federal fisheries under mandated under federal fishery regulations. Failure to comply with EDR reporting requirements may be grounds for NMFS to revoke or deny issuance of federal fisheries permits and licenses required to participate legally in any federal fishery, or to undertake enforcement action by NMFS OLE.</p>
	No, individuals do not have an opportunity to decline to provide PII/BII.	Specify why not:

7.3 Indicate whether and how individuals have an opportunity to consent to particular uses of their PII/BII.

X	Yes, individuals have an opportunity to consent to particular uses of their PII/BII.	<p>Specify how:</p> <p><b>NORPAC:</b> Vessel captains/owners may not consent to provide PII/BII (by not providing notification to observers of planned trips, or not allowing observers to board), but participation in a fishery requires consent to carry an observer</p>
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		<p>when directed to by the agency and to provide information requested by the observer.</p> <p>Observer coverage of fisheries is required by regulation and to participate in the fishery, information must be collected for management uses, including stock assessments, and may also be used by law enforcement to investigate and prosecute potential violations or criminal activity. There are no other uses.</p> <p><b>NMFS Groundfish Tagging Program:</b> Participation in the tagging program is completely voluntary. In addition, individuals have the opportunity to provide as little data as they wish. For example, a fisherman at times may return a tag with all of the recovery information, and not provide his name, address, or vessel name. Individuals are informed via a disclaimer attached to the tag recovery slips, that information they provide is treated as confidential. There are no other uses.</p> <p><b>EDR:</b> Official use and dissemination of EDR data is proscribed under NOAA Administrative Order 216-100 and applicable laws. Apart from a regulated entity's option to be in noncompliance by declining to submit completed EDR forms, individual consent to specific uses of individual EDR data records submitted is not supported.</p>
	No, individuals do not have an opportunity to consent to particular uses of their PII/BII.	Specify why not:

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

X	Yes, individuals have an opportunity to review/update PII/BII pertaining to them.	<p>Specify how:</p> <p><b>NORPAC:</b> Fisher information is collected from state or federal agencies where fishers submit the information in order to participate in the fishery. As stated on their permit notices and the AK Regional website, fishers may contact the Alaska Regional Office (AKRO) permitting office by email or telephone to update their contact information.</p> <p><b>NMFS Groundfish Tagging Program:</b> Participants may contact the data steward by email or telephone to update their contact information. Individuals may also request removal of their original submissions of PII/BII if desired. The contact information is on the tag's envelope.</p> <p><b>EDR:</b> NMFS grantee Pacific States Marine Fisheries Commission (PSMFC) acts as the primary data custodian for all EDR data collections, and is responsible for validating data submitted by the regulated entities. Data quality control is achieved by means of programmed data editing routines and third-party validation audit. Potential errors in submitted data records identified by PSMFCs validation procedures are confirmed with the reporting entity prior to revision of official records, and, as stated in the annual reporting reminder, data providers may contact PSMFC at any time to provide</p>
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		corrections voluntarily. Correct contact information is listed in the annual notifications of reporting requirement. All data edits to correct errors reported and/or confirmed by EDR submitters are incorporated and documented by PSMFC staff.
	No, individuals do not have an opportunity to review/update PII/BII pertaining to them.	Specify why not:

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

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

<input checked="" type="checkbox"/>	All users signed a confidentiality agreement or non-disclosure agreement.
<input checked="" type="checkbox"/>	All users are subject to a Code of Conduct that includes the requirement for confidentiality.
<input checked="" type="checkbox"/>	Staff (employees and contractors) received training on privacy and confidentiality policies and practices.
<input checked="" type="checkbox"/>	Access to the PII/BII is restricted to authorized personnel only.
<input checked="" type="checkbox"/>	Access to the PII/BII is being monitored, tracked, or recorded. <b>Explanation:</b> <b>NORPAC:</b> All activity within the Oracle Database that houses the Observer data is recorded and auditable. This is accomplished using the logging and audit tools integrated into the Oracle database <b>EDR:</b> Access to this data collection is managed by the PSFMC. <b>Groundfish Tagging Program:</b> Access to this Oracle database is handled using the tools integrated into the Oracle platform.
<input checked="" type="checkbox"/>	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>3/15/2022</u> <input type="checkbox"/> This is a new system. The A&A date will be provided when the A&A package is approved.
<input checked="" type="checkbox"/>	The Federal Information Processing Standard (FIPS) 199 security impact category for this system is a moderate or higher.
<input checked="" type="checkbox"/>	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).
<input checked="" type="checkbox"/>	A security assessment report has been reviewed for the information system and it has been determined that there are no additional privacy risks.
<input checked="" type="checkbox"/>	Contractors that have access to the system are subject to information security provisions in their contracts required by DOC policy.
	Contracts with customers establish DOC ownership rights over data including PII/BII.
	Acceptance of liability for exposure of PII/BII is clearly defined in agreements with customers.
	Other (specify):

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

<b>NORPAC and NMFS Groundfish Tagging Program:</b> The databases are contained within the NOAA4800 system boundaries. They are protected by several layers of controls using a defense in depth approach. For instance, access is authenticated using 2 factor authentication based on CACs and data at rest is encrypted. User accounts are controlled and issued only for documented need. Activity within the databases is logged and can be audited on demand. Whenever possible, data is de-identified prior to sharing it with authorized collaborators.
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**EDR:** NMFS grantee Pacific States Marine Fisheries Commission (PSMFC) acts as the primary data custodian for all EDR data collections. The operational controls, including anonymization, protecting the PII/BII for this database are handled by PSMFC. Individual staff who access the EDR collections have been properly trained on handling files that contain PII/BII. This includes transmitting, sharing, and storing those files in a secure manner, including encryption at rest.

The Oracle Database Administrator confirmed that encryption at rest is FIPS 140-2 compliant.

## **Section 9: Privacy Act**

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

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	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>  <a href="#">NOAA-6</a> , Fishermen's Statistical Data  <a href="#">NOAA-15</a> , Monitoring of National Marine Fisheries Service Observers  <a href="#">NOAA-16</a> , Economic Data Reports for Alaska Federally Regulated Fisheries off the Coast of Alaska  <a href="#">COMMERCE/DEPT-18</a> , Employees Personnel Files Not Covered by Notices of Other Agencies  <a href="#">COMMERCE/DEPT-25</a> , Access Control and Identity Management System
	Yes, a SORN has been submitted to the Department for approval on <u>(date)</u> .
	No, this system is not a system of records and a SORN is not applicable.

## **Section 10: Retention of Information**

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

X	There is an approved record control schedule. Provide the name of the record control schedule:  <b>NORPAC: 1513-10 Observer Program Files</b>
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	<p><b>NMFS Groundfish Tagging Program:</b> 1200-01 Scientific and Technical Records - Project Case Files</p> <p><b>EDR:</b> 1200-01 Scientific and Technical Records.</p> <p>Data collected in the EDR and Groundfish Tagging program are scientific data of a unique kind and are not subject to expiration. As such, the data is maintained indefinitely, under appropriate security protocols, for use by analysts and is not destroyed.</p>
	<p>No, there is not an approved record control schedule.</p> <p>Provide the stage in which the project is in developing and submitting a records control schedule:</p>
X	Yes, retention is monitored for compliance to the schedule.
	No, retention is not monitored for compliance to the schedule. Provide explanation:

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

<b>Disposal</b>			
Shredding	X	Overwriting	
Degaussing		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.
X	Moderate – the loss of confidentiality, integrity, or availability could be expected to have a serious adverse effect on organizational operations, organizational assets, or individuals.
	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	<p>Provide explanation:</p> <p>The BII contained in all of these data collections easily identify commercial fishing entities in the North Pacific. The identity of each commercial entity can then be matched with commercially confidential information (for instance fishing locations or species specific revenue streams).</p>
X	Quantity of PII	<p>Provide explanation:</p> <p><b>NORPAC and EDR:</b> These data collections contain information about all North Pacific commercial fishing entities in the middle to large size business category. The quantity of this information</p>

		effectively represents the majority of the commercial groundfish and crab fisheries in the North Pacific.
X	Data Field Sensitivity	Provide explanation: The EDR data collection forms collect confidential business data on costs, revenues, ownership, employment, and physical plant characteristics.
X	Context of Use	Provide explanation: EDR data is used to monitor changes in the economic performance of the affected fisheries.
X	Obligation to Protect Confidentiality	Provide explanation: All of the data collections are protected for confidentiality based on Magnuson-Stevens Act requirements. Unauthorized disclosure would seriously compromise the sharing of information from the commercial fishing sector with the AKFSC.
	Access to and Location of PII	Provide explanation:
	Other:	Provide explanation:

## **Section 12: Analysis**

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

**NORPAC, EDR, and NMFS Groundfish Tagging Program:** The most significant potential threat is insider misuse. Someone with authorized access to this data could potentially use this information for financial gain. As this data serves as essential building blocks for numerous public analyses, reports, and scientific documents, the risk is accepted. Several safeguards are in place, in the form of both technical and procedural controls. The type and quantity of data collected was reviewed, to include the minimal amount required in order to perform the required scientific studies and mission requirements.

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

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

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

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

## Points of Contact and Signatures

<p><b>Information System Security Officer or System Owner</b></p> <p>Name: Karl Mueller Office: NOAA/NMFS/AFSC Phone: 206-526-4022 Email: Karl.Mueller@noaa.gov</p> <p>I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.</p> <p>MUELLER.KARL.ANT <small>Digitally signed by MUELLER.KARL.ANTONY.1365890206 Date: 2022.04.14 08:07:20 -07'00'</small> Signature: <u>HONY.1365890206</u></p> <p>Date signed: <u>04-14-2022</u></p>	<p><b>Information Technology Security Officer</b></p> <p>Name: Catherine Amores Office: NMFS OCIO Phone: 301-427-8871 Email: Catherine.Amores@noaa.gov</p> <p>I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.</p> <p>AMORES.CATHERINE. <small>Digitally signed by AMORES.CATHERINE.SOLEDAD.1541314390 Date: 2022.04.21 10:06:14 -04'00'</small> Signature: <u>SOLEDAD.1541314390</u></p> <p>Date signed: <u>4-21-2022</u></p>
<p><b>Privacy Act Officer</b></p> <p>Name: Robin Burress Office: NOAA OCIO Phone: 828-271-4695 Email: Robin.Burress@noaa.gov</p> <p>I certify that the appropriate authorities and SORNs (if applicable) are cited in this PIA.</p> <p>BURRESS.ROBIN.SUR <small>Digitally signed by BURRESS.ROBIN.SURRETT.1365847696 Date: 2022.04.25 15:12:13 -04'00'</small> Signature: <u>RETT.1365847696</u></p> <p>Date signed: <u>4/25/2022</u></p>	<p><b>Authorizing Official</b></p> <p>Name: Jeremy Rusin Office: NOAA/NMFS/AFSC Phone: 206-526-4621 Email: Jeremy.Rusin@noaa.gov</p> <p>I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.</p> <p>RUSIN.JEREMY.DEWITT. <small>Digitally signed by RUSIN.JEREMY.DEWITT.138062440 Date: 2022.04.15 09:22:15 -07'00'</small> Signature: <u>1380624407</u></p> <p>Date signed: <u>4-15-2022</u></p>
<p><b>Bureau Chief Privacy Officer</b></p> <p>Name: Mark Graff Office: NOAA OCIO Phone: 301-628-5658 Email: Mark.Graff@noaa.gov</p> <p>I certify that the PII/BII processed in this IT system is necessary and this PIA ensures compliance with DOC policy to protect privacy.</p> <p>GRAFF.MARK.HYRU <small>Digitally signed by GRAFF.MARK.HYRUM.1514447892 Date: 2022.06.01 09:35:15 -04'00'</small> Signature: <u>M.1514447892</u></p> <p>Date signed: <u>06/01/2022</u></p>	

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