

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



**Privacy Impact Assessment**  
**for the**  
**NOAA4011**  
**National Fisheries Permit and Landing Reporting System**  
**(NFPLRS)**

Reviewed by: Robin Burress for Mark H. Graff, Bureau Chief Privacy Officer

- ☒ Concurrence of Senior Agency Official for Privacy/DOC Chief Privacy Officer  
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Date

## **U.S. Department of Commerce Privacy Impact Assessment NOAA/NMFS/NFPLRS**

**Unique Project Identifier: NOAA4011**

### **Introduction:**

The National Fishing Permit and Landings Reporting System (NFPLRS), designated as NOAA4011 was designed to enhance the efficiency and effectiveness of sustainable fisheries management through the integration of modern technologies and data analytics. Initially NOAA4011 hosted only the NFPLRS application. However, the system has evolved to host other applications supporting the NOAA National Marine Fisheries Services (NMFS) Office of Sustainable Fisheries (OSF), Office of International Affairs, Trade, and Commerce (IATC), Enforcement and Financial offices. Users include the general public including permit holders, fish dealers, fishery regional council members, NMFS staff, and customer service staff.

The hosted applications provide real-time reports for monitoring of compliance with requisite laws and regulations through the collection and consolidation of regional and global commercial fishing activities. Records reflecting compliance or non-compliance with the license or permitting requirements, videography, or other evidence of compliance with laws or regulations may be shared with the Office of Law Enforcement (OLE) for criminal or administrative law enforcement purposes.

The system hosts the following applications:

**1. *National Fisheries Permit and Landings Reporting System (NFPLRS)***

The NFPLRS allows members of the recreational and commercial fishing communities to acquire permits for certain highly migratory species (HMS), renew those permits, report landings and/or catch, and access a library of related information (e.g., online brochures).

**2. *Electronic Monitoring Data Storage and Processing (EM)***

EM Data Storage and Processing is a web-based application for reviewing videos and metadata captured from fishing vessels. The video footage only captures data related to fish caught/landed.

**3. *Trade Monitoring System (TMS)***

The TMS is responsible for collecting, collating, editing, and entering all of the catch/trade documents for swordfish, frozen bigeye tuna, Atlantic, Pacific, and Southern Bluefin tuna.

**4. *International Affairs Information Capture and Reporting System (IAICRS)***

The IAICRS supports information and data collection regarding protected species in international fisheries. It captures information on the characteristics of global commercial fisheries, as well as data about bycatch of marine mammals and other species in these global commercial fisheries. It collects data on directed catches of sharks and monitors incoming data and compares it to prior reports to verify that conservation targets are met. It also produces reports for internal use and for submission to the U.S. Congress.

**5. *HMS Individual Bluefin Quota Program (IBQ)***

The Atlantic HMS Management Division's Individual Bluefin Quota (IBQ) program allows flexible and accountable monitoring of fishing activities for meeting the national goal for rebuilding and sustaining our fishery resources. IBQ share and/or vessel account holders can access their respective accounts and manage their IBQ from this system.

**6. *HMS Online Workshop (Online Workshop)***

The Atlantic HMS Online Workshop program hosts the recertification process for the Safe Handling Release and Identification Workshop and the Atlantic Shark Identification Workshops for certain Atlantic HMS permit holders and shark dealers. This program only allows those who have completed their first certification at an in-person workshop to renew their certification through the online workshop.

**7. *Regional Councils Nomination & Membership System (Councils)***

The Regional Councils Nomination & Membership System (Councils) facilitates the management and reviews of applications submitted by Regional Councils Nomination and Membership System (RMFC) applicants seeking to participate in fishery management councils. It streamlines the application review, endorsement, and appointment process, ensuring that council members possess the necessary qualifications, experience, and contributing effectively to the decision-making process.

**8. *Exempted Fishing Permits (EFP)***

The Exempted Fishing Permits (EFP) application supports the EFP program within Atlantic HMS. It manages all permits issued by the EFP program that authorizes the collection of HMS from federal waters in the Atlantic Ocean and Gulf of America. EFP permit holders submit interim and annual reports detailing fishing activities.

Address the following elements:

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

NOAA4011 is a major application with a moderate system security categorization.

*(b) System location*

NOAA4011 is a cloud-based system hosted within the NOAA Web Operations Center (WOC) system boundary managed Amazon Web Services (AWS) environment. The AWS environment is Federal Risk and Authorization Management Program (FedRAMP) approved.

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

The following systems have interconnections with NOAA4011, but are outside of the system boundary:

- NOAA Greater Atlantic Regional Fisheries Office (NOAA4100) pulls data from the NOAA4011
- NMFS Office of Science & Technology (NOAA4000) Pulls data from NOAA4011
- NOAA4011 pulls data from NOAA NMFS Vessel Monitoring System (VMS) through Fisheries Wide Area Network (WAN) and Enterprise Services (NOAA4000)
- NOAA National Permit Services (NPS) (NOAA4000) pulls data from the NOAA4011
- NOAA Southeast Regional Office (SERO) (NOAA4300) pushes data to NOAA4011
- The Payment Gateway (real-time processing of credit card transactions) at Pay.gov
- The Atlantic Coastal Cooperative Statistics Program (ACCSP) pulls data from the NOAA4011
- NOAA4011 pulls data from Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR)

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

NOAA4011 is hosted within the NOAA WOC system boundary managed AWS environment. NOAA4011 provides a secure application and hosting environment for NMFS applications, content, and utilities that are used to deliver content and applications to an audience made up of employees, contractors, partners, and the general public worldwide.

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

NOAA4011 web-based applications allow access to the environment remotely via Hypertext Transfer Protocol Secure (HTTPS) over the Internet. Privilege user access servers require administrators to first connect through virtual private network (VPN) then secure shell (SSH) to specific servers. Additionally, privileged user access to manage AWS services is done via HTTPS.

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

The information is transmitted to and from the system through the Internet using VPN, HTTPS, and SSH secure protocols.

*(g) Any information sharing conducted by the system*

NOAA4011 applications collect the following information from the public (owner and operators of fishing vessels) in the process of submitting a permit request, reporting landings, and management oversight. Data collected is shared within NOAA and with ACCSP. Data is transmitted via secure connection using VPN, HTTPS, and SSH.

- Name
- Address
- Telephone Numbers
- Email Address
- Fee and Payment Information
- Vessel Landing and Catch Information (such as date, location, weight, length, etc.)
- Vessel Information and Characteristics (such as permit number, registration number, name type, length, year built, crew size, etc.)
- Councils Nominee Current Employer
- Councils Nominee Work and Fishing Experience, and Education
- Councils Nominee Awards and Publication
- Councils Nominee Committee, Board, Commission Memberships
- Councils Nominee Personal Financial Interest

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

	Type of Information Collected (Introduction h.)	Applicable SORNs (Section 9.2)	Programmatic Authorities (Introduction h.)
1.	Law Enforcement Case Files	NOAA-5	Reorganization Plan No. 4 of 1970
			5 U.S.C. 301
			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
2.	Fishermen's Statistical Data	NOAA-6	Fish and Wildlife Act as amended (16 U.S.C. 742 et seq.)
			Fishery Conservation and Management Act of 1976 as amended (16 U.S.C. 1852)
3.	Contact Information for the Public	NOAA-11	5 U.S.C. 301, Departmental Regulations
			15 U.S.C. 1512, Powers and duties of Department
4.	Marine Mammal / Endangered Species Permits	NOAA-5	Reorganization Plan No. 4 of 1970
			5 U.S.C. 301
			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
	NOAA-12	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.
5. Fisheries Permits & Registrations	NOAA-19	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
		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
6. Investigative and Security Records	COMMERCE/DEPT-13	5 U.S.C 301
		5 U.S.C. 7531-332
		28 U.S.C. 533-535
		Equal Employment Act of 1972
7. System Administration/Audit Data	COMMERCE/DEPT-25	5 USC 301

(SAAD)		
		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

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

NFPLRS is categorized as 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.)*

Changes That Create New Privacy Risks (CTCNPR)					
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): There has been a reduction of risk as a result of the NOAA4011 hosted environment being migrated from a contractor managed AWS environment to a NOAA controlled and managed AWS environment operated by NOAA Web Operation Center (NOAA0201).					

\_\_\_\_\_ 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.

X 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.)*

Identifying Numbers (IN)					
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):					
*Explanation for the business need to collect, maintain, or disseminate the Social Security number, including truncated form:					

General Personal Data (GPD)					
a. Name	X	h. Date of Birth		o. Financial Information	
b. Maiden Name		i. Place of Birth		p. Medical Information	
c. Alias		j. Home Address	X	q. Military Service	
d. Sex	X	k. Telephone Number	X	r. Criminal Record	



e. Age		l. Email Address	X	s. Marital Status	
f. Race/Ethnicity		m. Education	X	t. Mother's Maiden Name	
g. Citizenship		n. Religion			
u. Other general personal data (specify):					

Work-Related Data (WRD)					
a. Occupation	X	e. Work Email Address	X	i. Business Associates	X
b. Job Title		f. Salary		j. Proprietary or Business Information	X
c. Work Address	X	g. Work History	X	k. Procurement/contracting records	
d. Work Telephone Number	X	h. Employment Performance Ratings or other Performance Information			

Information is captured about the vessel and landings, and Regional Fishery Management Councils Nomination process. Data includes all information is listed below:

- Name
- Address
- Telephone Numbers
- Email Address
- Fee and Payment Information
- Vessel Landing and Catch Information
- Vessel Information and Characteristics
- Councils Nominee Current Employer
- Councils Nominee Work and Fishing Experience, and Education
- Councils Nominee Awards and Publication
- Councils Nominee Committee, Board, Commission Memberships
- Councils Nominee Personal Financial Interest

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*	X	i. Height		n. Retina/Iris Scans	
e. Photographs		j. Weight		o. Dental Profile	
p. Other distinguishing features/biometrics (specify):					
*Video footage of fishing activities aboard the vessel is recorded and stored for later review for compliance monitoring.					

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

<b>Other Information (specify)</b>
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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	X*	Hard Copy: Mail/Fax	X**	Online	X
Telephone		Email			
Other (specify): *Electronic Monitoring; ** Councils					

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

Non-government Sources					
Public Organizations		Private Sector	X*	Commercial Data Brokers	
Third Party Website or Application					
Other (specify): *For the collection of vessel landing data.					

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

Data is entered into the system by the primary permit holder or the authorized representative. Information can be updated by contacting customer service. The yearly renewal process includes an option for the primary permit holder or the authorized representative to update some permit holders data. The data submitted for the Regional Fishery Management Councils Nomination process is validated by the NMFS OSF.

2.4 Is the information covered by the Paperwork Reduction Act?

X	Yes, the information is covered by the Paperwork Reduction Act. OMB control numbers: 0648-0372, 0648-0816, 0648-0677, 0648-0327, and 0648-0304
	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>
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Smart Cards		Biometrics	
Caller-ID		Personal Identity Verification (PIV) Cards	
Other (specify):			

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

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

Activities			
Audio recordings		Building entry readers	
Video surveillance	X*	Electronic purchase transactions	
Other (specify): * Video footage of fishing activities aboard the vessel is recorded for later review for compliance monitoring.			

	There are not any IT system supported activities which raise privacy risks/concerns.
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### **Section 4: Purpose of the System**

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

Purpose			
For a Computer Matching Program		For administering human resources programs	
For administrative matters	X	To promote information sharing initiatives	
For litigation	X	For criminal law enforcement activities	X
For civil enforcement activities	X	For intelligence activities	
To improve Federal services online	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): The system was developed to make it easier for vessels to apply for and obtain permits and to report landings. NOAA4011 provides a secure application and hosting environment for NMFS applications, content, and utilities that are used to deliver content and applications to an audience made up of employees, contractors, partners, and the general public worldwide.			

### **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).

NOAA4011 applications collect information in support sustainable fisheries management through the integration of modern technologies and data analytics to meet the NMFS OSF monitoring and reporting requirements. Data is collected over the Internet and through private connections with NOAA systems and related parties such as Pay.gov, CCAMLR, and ACCSP.

Data is primarily collected from members of the general public. Data collection and dissemination is conducted over secure network protocols and is encrypted in-transit. The data is stored in database and object store with business identifiable information (BII)/personally identifiable information (PII) data is encrypted at-rest. Information is accessible to federal employees/contractors.

- 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.)

#### **Accidental or intentional disclosure of data**

Insider threat and misuse of third-party data (EM data) are potential threats. An authorized user may intentionally or unintentionally disclose data to unauthorized persons. To mitigate this threat, annual security awareness training and job function is a mandatory requirement. Additionally user activity is monitored for abnormal behavior.

#### **Unauthorized access to data**

A perpetrator may breach supporting applications to gain access to the network and data. To mitigate this threat, a continuous monitoring program is in place. The program includes vulnerability management activities such as code reviews and vulnerability scanning, compliance audits and risk management.

## **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.*)

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

\*\*Data may be shared with law enforcement for the conservation and management of fishing resources in accordance with the Magnuson-Stevens Fishery Conservation and Management Act (MSA).

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

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 NOAA VMS, NPS, Greater Atlantic Regional Fisheries Office (GARFO), CCAMLR, SERO, and ACCSP authorized to process PII and/or BII.</p> <p>Connected systems have restricted access to only the data authorized. The required data is extracted and placed in a different secure container for each connected system. The secure container is restricted by internet protocol (IP) address and requires authentication via username, password and certificate. The data import and export processes are automated and run on a schedule.</p> <ul style="list-style-type: none"> <li>• NOAA GARFO (NOAA4100) pulls data from the NOAA4011</li> <li>• NMFS Office of Science &amp; Technology (NOAA4000) pulls data from NOAA4011</li> <li>• NOAA4011 pulls data from NOAA NMFS VMS (NOAA4000)</li> </ul>
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	<ul style="list-style-type: none"> <li>• NOAA NPS (NOAA4000) communicates with NOAA4011 where NOAA4000 pulls data from TMS and TMS check International Fisheries Trip Permits (IFTP) data in NOAA4000</li> <li>• NOAA SERO (NOAA4300) pushes data to NOAA4011</li> <li>• The Payment Gateway (real-time processing of credit card transactions) at Pay.gov</li> <li>• The ACCSP pulls data from the NOAA4011</li> <li>• NOAA4011 pulls data from CCAMLR</li> </ul>
	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): Law enforcement			
* NFPLRS Web site only. The public (customers) has access to the PII/BII associated with their account.			

## **Section 7: Notice and Consent**

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

X	Yes, notice is provided pursuant to a system of records notice published in the Federal Register and discussed in Section 9.	
X	Yes, notice is provided by a Privacy Act statement and/or privacy policy. The Privacy Act statement and/or privacy policy can be found at: <a href="https://www.fisheries.noaa.gov/privacy-policy">https://www.fisheries.noaa.gov/privacy-policy</a> .	
X	Yes, notice is provided by other means.	Specify how: Notice is provided on the permit application.  SAAD: A supervisor provides written notice of employee account set-up, explaining the purpose for providing the PII.
	No, notice is not provided.	Specify why not:

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

X	Yes, individuals have an opportunity to decline to provide PII/BII.	Specify how: Applicants can choose to not complete an application and thereby forgo fishing privileges requiring the permit. The permit application states that the information is required for review of the application.  SAAD: An employee can respond in writing to the supervisor that he/she declines to provide the PII, but this would affect employment, as an account is needed to perform the work.
	No, individuals do not have an opportunity to decline to provide PII/BII.	Specify why not: Individuals do not have the opportunity to decline to provide PII/BII collected via EM video. Consent is assumed during continued use of the licenses.

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.	Specify how: The data that is being collected is used and analyzed for management purposes. There is only one purpose for this data collection, as stated on the application. Thus, if not consenting to the stated purpose, the applicant would not complete the application.  SAAD: An employee could respond to the supervisor in writing that he/she does not consent to the use of the information provided for account set-up, but there is only the one use.
	No, individuals do not have an opportunity to consent to particular uses of their PII/BII.	Specify why not: Individuals do not have the opportunity to consent to particular uses of their PII/BII collected via EM video. Consent is assumed during continued use of the licenses.

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.	Specify how: If users want to know what data is being stored, they can request it via the online Feedback Entry form at <a href="http://hmspermits.noaa.gov/feedback">http://hmspermits.noaa.gov/feedback</a> . Users also have the ability to update their own information via the website, per website instructions.  SAAD: Employees can provide their supervisor or the system administrator with changes to their PII.
	No, individuals do not have an opportunity to review/update PII/BII pertaining to them.	Specify why not:

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

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

X	All users signed a confidentiality agreement or non-disclosure agreement.
X	All users are subject to a Code of Conduct that includes the requirement for confidentiality.
X	Staff (employees and contractors) received training on privacy and confidentiality policies and practices.
X	Access to the PII/BII is restricted to authorized personnel only.
X	Access to the PII/BII is being monitored, tracked, or recorded. <b>Explanation:</b> All access to NFPLRS and hosted applications are logged, correlated, and reviewed periodically for abnormal activities.
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>May 14, 2025</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.
	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.
X	Other (specify): Contract with Web Master includes FAR Part 24, regarding PII collected its ownership.

- 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).*

PII is stored in an Oracle database hosted in Amazon GovCloud Web Service (AWS). Access to the database is restricted to the application web server and via AWS administrative console. Database connection is open only to the internal network. Access to the AWS console is restricted to only system administrators and requires multifactor authentication (password and personal identification number (PIN)). Web server access utilizes Secure Sockets Layer (SSL) certificates using Transport Layer Security (TLS) protocol and strong cipher suites. All access to shared read-only data is restricted by source IP address and requires public/private key pairs.

As part of our continuous monitoring activities, access to data is logged and reviewed periodically. Additionally, scans are executed to check vulnerabilities and weaknesses in the system.

## **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	Yes, this system is covered by an existing system of records notice (SORN).  <a href="#">COMMERCE/NOAA-5</a> , Fisheries Law Enforcement Case Files <a href="#">COMMERCE/NOAA-6</a> , Fishermen's Statistical Data <a href="#">COMMERCE/NOAA-11</a> , Contact Information for Members of the Public Requesting or Providing Information Related to NOAA's Mission <a href="#">COMMERCE/NOAA-12</a> , Marine Mammals, Endangered and Threatened Species, Permits and Authorizations Applicants <a href="#">COMMERCE/NOAA-19</a> , Permits and Registrations for United States Federally Regulated Fisheries <a href="#">COMMERCE/DEPT-13</a> , Investigative and Security Records <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.  1504 Fishery Management and Coordination Files. These files relate to programs to coordinate plans and research of the Federal Government in the area of fisheries management with those of the states; to obtain maximum uniformity of regulations; to institutionalize cooperation; to issue permits to foreign and domestic fishing vessels; and award related grants.
	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:
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.)*

Disposal			
Shredding	X	Overwriting	
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.)*

	<b>Low</b> – the loss of confidentiality, integrity, or availability could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals.
X	<b>Moderate</b> – the loss of confidentiality, integrity, or availability could be expected to have a serious adverse effect on organizational operations, organizational assets, or individuals.
	<b>High</b> – 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: Individuals are not easily identifiable
X	Quantity of PII	Provide explanation: There is a significant quantity in that each permit application contains some PII; however, the PII in these records does not easily identify individuals.
X	Data Field Sensitivity	Provide explanation: As per NIST 800-60 “Guide for Mapping Types of Information and Information Systems to Security Categories”, the highest level based on the information types captured is Moderate. The information collected and stored in the NOAA4011 system is non-sensitive PII related to vessel, owner and Nominee information. The information includes: <ul style="list-style-type: none"> <li>• Name</li> <li>• Address</li> <li>• Telephone Numbers</li> <li>• Email Address</li> <li>• Fee and Payment Information</li> <li>• Vessel Landing and Catch Information</li> <li>• Vessel Information and Characteristics</li> <li>• Councils Nominee Current Employer</li> <li>• Councils Nominee Work and Fishing Experience, and Education</li> <li>• Councils Nominee Awards and Publication</li> <li>• Councils Nominee Committee, Board, Commission Memberships</li> <li>• Councils Nominee Personal Financial Interest</li> </ul> Video footage of fishing activities (not showing individuals) are also collected and stored for audit and enforcement purposes.
	Context of Use	Provide explanation:

X	Obligation to Protect Confidentiality	Provide explanation: Magnuson-Stevens Fishery Conservation and Management Act, 16 U.S.C. 1801, Section 402b.
X	Access to and Location of PII	Provide explanation: Authentication via secure protocols (such as VPN, HTTPS, SSH) are required to access PII information within NOAA4011 AWS Cloud environment.
	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.)

The data collected has been reduced and the stored data has only limited non-sensitive PII. The data is needed to support the NOAA4011 mission. PII data is encrypted in-storage and in-transit.
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- 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.

## Permit Application with Privacy Act Statement

[OMB# 0648-0327 EXP 11-30-2024]

 <div style="display: inline-block; text-align: center;"> <b>NATIONAL OCEANIC &amp; ATMOSPHERIC ADMINISTRATION</b>  <b>ATLANTIC TUNAS &amp; ATLANTIC HIGHLY MIGRATORY SPECIES</b>  <b>PERMIT APPLICATION</b>  <small>(READ INSTRUCTIONS PRIOR TO COMPLETING THE INITIAL APPLICATION)</small> </div> 		
<p style="text-align: center;"><b>SECTION 1 – OWNER INFORMATION</b></p> <p>Owner Type (choose one): <input type="checkbox"/> Individual <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation</p> <p>Owner or Corporation Name (if more than one individual, circle name of primary contact): _____</p> <p>Street Address: _____</p> <p>City: _____ State: _____ Zip: _____</p> <p>Daytime Phone: _____ Evening Phone: _____ Fax: _____</p> <p>Email Address: _____</p>		
<p style="text-align: center;"><b>SECTION 2 – VESSEL INFORMATION</b></p> <p>Vessel Name (if vessel is unnamed, write “unnamed”): _____</p> <p>Coast Guard Documentation Number: _____ State Registration Number: _____</p> <p>Home Port: _____ Principal Port, if different: _____  <small>(City, State) (City, State)</small></p> <p>Vessel Length: _____ Year Built: _____  <small>(to nearest foot)</small></p> <p>Crew Size: _____ Construction: <input type="checkbox"/> Wood <input type="checkbox"/> Fiberglass <input type="checkbox"/> Steel <input type="checkbox"/> Other</p> <p>Gross Tonnage: _____ Propulsion: <input type="checkbox"/> Gasoline <input type="checkbox"/> Diesel <input type="checkbox"/> Other</p> <p>Main Engine Horsepower: _____ Hold Capacity, if applicable: _____  <small>(pounds)</small></p> <p>Number of Passengers licensed to carry for Charter/Headboat: <input type="checkbox"/> 6 or less OR Number, if more than 6: _____</p>		
<p style="text-align: center;"><b>SECTION 3 – PERMIT CATEGORY &amp; ENDORSEMENT INFORMATION</b></p> <p><input type="checkbox"/> Shark Endorsement <i>(may be added to Charter/Headboat, Angling, Tunas General, or Swordfish General permits)</i></p> <table style="width: 100%; border: none;"> <tr> <td style="vertical-align: top; width: 50%;"> <p><u>Category (check only one permit type)</u></p> <p><input type="checkbox"/> Atlantic HMS Charter/Headboat.....\$27  <input type="checkbox"/> CHB Commercial Sale Endorsement</p> <p><input type="checkbox"/> Atlantic HMS Angling (Recreational).....\$27</p> <p><input type="checkbox"/> Atlantic Tunas General.....\$27</p> <p><input type="checkbox"/> Atlantic Tunas Harpoon.....\$27</p> <p><input type="checkbox"/> Swordfish General Commercial.....\$27</p> <p><input type="checkbox"/> Atlantic Tunas General + Swordfish.....\$54</p> <p><input type="checkbox"/> Atlantic Tunas Harpoon + Swordfish ....\$54</p> <p><input type="checkbox"/> Atlantic Tunas Trap .....\$27</p> </td> <td style="vertical-align: top; width: 50%;"> <p><u>Primary Gear Type (check only one)</u></p> <p><input type="checkbox"/> Rod &amp; Reel <input type="checkbox"/> Handline <input type="checkbox"/> Bandit gear <input type="checkbox"/> Speargun <input type="checkbox"/> Green stick</p> <p><input type="checkbox"/> Rod &amp; Reel <input type="checkbox"/> Handline <input type="checkbox"/> Speargun</p> <p><input type="checkbox"/> Rod &amp; Reel <input type="checkbox"/> Handline <input type="checkbox"/> Harpoon <input type="checkbox"/> Bandit gear <input type="checkbox"/> Green Stick  (Harpoon only)</p> <p><input type="checkbox"/> Rod &amp; Reel <input type="checkbox"/> Handline <input type="checkbox"/> Harpoon <input type="checkbox"/> Bandit gear <input type="checkbox"/> Green Stick</p> <p><input type="checkbox"/> Rod &amp; Reel <input type="checkbox"/> Handline <input type="checkbox"/> Harpoon <input type="checkbox"/> Bandit gear <input type="checkbox"/> Green Stick  (Harpoon only)</p> <p><input type="checkbox"/> Pound Net <input type="checkbox"/> Fish Weir</p> </td> </tr> </table>	<p><u>Category (check only one permit type)</u></p> <p><input type="checkbox"/> Atlantic HMS Charter/Headboat.....\$27  <input type="checkbox"/> CHB Commercial Sale Endorsement</p> <p><input type="checkbox"/> Atlantic HMS Angling (Recreational).....\$27</p> <p><input type="checkbox"/> Atlantic Tunas General.....\$27</p> <p><input type="checkbox"/> Atlantic Tunas Harpoon.....\$27</p> <p><input type="checkbox"/> Swordfish General Commercial.....\$27</p> <p><input type="checkbox"/> Atlantic Tunas General + Swordfish.....\$54</p> <p><input type="checkbox"/> Atlantic Tunas Harpoon + Swordfish ....\$54</p> <p><input type="checkbox"/> Atlantic Tunas Trap .....\$27</p>	<p><u>Primary Gear Type (check only one)</u></p> <p><input type="checkbox"/> Rod &amp; Reel <input type="checkbox"/> Handline <input type="checkbox"/> Bandit gear <input type="checkbox"/> Speargun <input type="checkbox"/> Green stick</p> <p><input type="checkbox"/> Rod &amp; Reel <input type="checkbox"/> Handline <input type="checkbox"/> Speargun</p> <p><input type="checkbox"/> Rod &amp; Reel <input type="checkbox"/> Handline <input type="checkbox"/> Harpoon <input type="checkbox"/> Bandit gear <input type="checkbox"/> Green Stick  (Harpoon only)</p> <p><input type="checkbox"/> Rod &amp; Reel <input type="checkbox"/> Handline <input type="checkbox"/> Harpoon <input type="checkbox"/> Bandit gear <input type="checkbox"/> Green Stick</p> <p><input type="checkbox"/> Rod &amp; Reel <input type="checkbox"/> Handline <input type="checkbox"/> Harpoon <input type="checkbox"/> Bandit gear <input type="checkbox"/> Green Stick  (Harpoon only)</p> <p><input type="checkbox"/> Pound Net <input type="checkbox"/> Fish Weir</p>
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<p><b>SECTION 4 – OWNER’S SIGNATURE</b> The undersigned is the owner or legally-authorized agent of the owner of the vessel named in Section 1 above. Issuance of a permit in one of the commercial categories (categories other than Angling) subjects a vessel to applicable requirements of the Fishing Vessel Safety Act of 1988 (46 CFR 25.28). Call the U.S. Coast Guard for details (see instructions for phone numbers).</p> <p style="text-align: right;">Signature: _____</p> <p>Date: _____ Print Name: _____</p>		
<p><b>SECTION 5 – PAYMENT/DELIVERY INFORMATION:</b> Note delivery surcharge below. Mail this application and payment to:  <b>NOAA Permits, P.O. Box 979008, St. Louis, MO 63197-9000</b></p> <p><input type="checkbox"/> Check if paying by money order/check (Make payable to NMFS Permits) * Please see notice at end of application.</p>		
<p><b>DELIVERY OPTIONS (CHECK ONE):</b></p> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p><input type="checkbox"/> Send permit by Priority Mail at additional charge of \$5.60</p> <p><input type="checkbox"/> Send permit by email address listed above</p> </div> <div style="width: 45%;"> <p><input type="checkbox"/> Fax permit to number indicated in Section 1</p> <p><input type="checkbox"/> Send permit by regular mail</p> <p><input type="checkbox"/> I will print my permit from the Internet once processed</p> </div> </div>		

## FEDERAL ATLANTIC TUNAS, SWORDFISH, & ATLANTIC HIGHLY MIGRATORY SPECIES (HMS) ANGLING AND CHARTER/HEADBOAT PERMIT APPLICATION INSTRUCTIONS

An Atlantic tunas permit is required to fish commercially for bluefin, yellowfin, bigeye, albacore, and skipjack tunas. An Atlantic HMS Angling permit is required for all owners/operators of recreational vessels fishing for and/or retaining regulated HMS (tunas, sharks, swordfish and billfish) in the Atlantic Ocean, including the Gulf of Mexico and Caribbean Sea. An Atlantic HMS Charter/Headboat permit is required for all charter or headboat vessels fishing for and/or retaining regulated HMS in the Atlantic Ocean, including the Gulf of Mexico and Caribbean Sea. A Swordfish General Commercial permit is required to fish commercially for North Atlantic swordfish using either rod & reel, handline, harpoon, bandit gear, or green-stick (except for vessels issued a Commercial Caribbean Small Boat permit, HMS Charter/Headboat permit with Commercial Sale Endorsement, or Swordfish Directed, Incidental, or Handgear limited access permits). Vessels fishing commercially for North Atlantic swordfish AND regulated Atlantic tunas may obtain one of the following combination permits: Swordfish General Commercial permit/Atlantic tunas General permit; Swordfish General Commercial permit/Atlantic tunas Harpoon permit (except for vessels issued a Commercial Caribbean Small Boat permit, HMS Charter/Headboat permit, or Swordfish Directed, Incidental, or Handgear limited access permits). Please complete the attached application/renewal form and return to the address indicated at the bottom of the form. If your application/renewal, including payment, is complete, your permit will be mailed, emailed, faxed, or available to print (depending on your preferred delivery method) within 3 business days. Questions on the permit application/renewal process, call (888) USA-TUNA (872-8862); for HMS fisheries regulations: (978) 281-9260, (301) 427-8503 or (727) 824-5398; for Fishing Vessel Safety Act regulations see phone numbers below.

The following information is provided to help you complete the application/renewal form.

- You may select only ONE permit or permit combo category per permit application. You may change this category when: a) renewing a permit; or b) within 45-calendar days from the date of issuance to correct any potential errors in the permit category provided the vessel has not landed bluefin. Therefore, once you have obtained your permit check it immediately to ensure its accuracy.
- A permit may be owned by more than one person, but the owner information should match the owner information on the vessel's state registration or U.S. Coast Guard documentation. If more than one person is listed, please indicate the person who will be the primary point of contact for the permit.
- If you would like your permit faxed or emailed, please indicate the appropriate information in Section 1 and select that option in Section 5. If you would like to print your permit from your printer via the Internet (<https://hmspermits.noaa.gov>) once the permit is processed (approximately 3 business days), select the print option in Section 5.
- If your vessel is unnamed, write "unnamed" in the space for Vessel Name in Section 2.
- The vessel's homeport refers to the port where the vessel is located for most of the year. The principal port refers to the port where the majority of the vessel's landings occur. The vessel's home and principal port may be different.
- If your vessel is constructed of more than one material, choose "other." Please check only one box.
- You do not need to submit copies of state registration or U.S. Coast Guard documentation, as NMFS no longer requires submission of copies with the permit application. However, a copy of the vessel's valid U.S. Coast Guard documentation or, if not documented, a copy of its valid state registration must be carried on board the vessel and must match the information on the Atlantic tunas or Atlantic HMS permit.
- For vessels owned by a partnership or corporation, you do not need to submit a copy of the letter of partnership or articles of incorporation, but you are advised to maintain the corporate or partnership document in your files and must furnish the document to NOAA Fisheries Service upon request.
- For Atlantic HMS Charter/Headboat permits, you do not need to submit a copy of a captain's license as NOAA Fisheries Service no longer requires submission of a copy with the permit application. However, while persons aboard a vessel that has been issued an Atlantic HMS Charter/Headboat permit are fishing for or are in possession of Atlantic tunas, sharks, swordfish, and/or billfish, the operator of the vessel must have a valid Merchant Marine License or Uninspected Passenger Vessel License, issued by the U.S. Coast Guard. **This license must be carried on board the vessel.**
- Commercial vessels are subject to the Fishing Vessel Safety Act of 1988. For information, contact the U.S. Coast Guard office in your district:
 

Maine to New York	(617) 223-8315	South Carolina to Florida	(305) 415-6868
New Jersey to North Carolina	(757) 398-6554	Gulf of Mexico	(504) 589-4554



**INFORMATION REGARDING PERMIT CATEGORIES AND ENDORSEMENTS****SHARK ENDORSEMENT:**

The shark endorsement is required for permit holders that wish to fish for or retain any sharks while recreationally fishing under an HMS Charter/Headboat, HMS Angling, Atlantic Tunas General category, and/or Swordfish General Commercial permit. In order to receive the shark endorsement, you must first watch an online video regarding shark identification and take an educational quiz. For more information on adding the shark endorsement, please visit <https://hmspermits.noaa.gov/> or call 1-888-872-8862.

**COMMERCIAL CATEGORIES:**

Commercial size tuna taken under any of these categories may be sold. Vessel owners/operators are required to report the number and length of all bluefin tuna retained or discarded dead within 24 hours of the landing(s) or end of each trip to NMFS by calling (888) 872-8862 or accessing the <https://hmspermits.noaa.gov/> website. See commercial compliance guide at <https://www.fisheries.noaa.gov/atlantic-highly-migratory-species/atlantic-highly-migratory-species-fishery-compliance-guides> for applicable minimum size limits and other regulations.

**ATLANTIC HMS CHARTER/HEADBOAT:** Owners of charter boats or headboats used to fish for, take, retain, or possess Atlantic tunas, sharks, swordfish, and billfish must obtain this permit. A Charter/Headboat *Commercial Sale Endorsement* is required for all owners who wish to sell their HMS catch. Note that U.S. Coast Guard commercial fishing vessel safety requirements apply to Charter/Headboat permit holders with the Commercial Sale Endorsement. For bluefin tuna, anglers aboard Atlantic HMS Charter/Headboat-permitted vessels with the Commercial Sale Endorsement may collectively fish under either the Angling or General Category daily retention limit, but not both on the same day. Commercial size tunas taken aboard vessels permitted in the Atlantic HMS Charter/Headboat category with the *Commercial Sale Endorsement* may be sold to licensed dealers only. Authorized gear: rod & reel (including downriggers), handline, bandit gear, green-stick, and spearguns (recreational only, no bluefin).

**ATLANTIC TUNAS TRAP:** Vessel owners who conduct trap operations that may result in the incidental taking of large medium and giant BFT must obtain this permit. Note that only one bluefin per year may be retained. Authorized gear: pound nets and fish weirs.

**ATLANTIC TUNAS GENERAL:** Vessel owners who harvest Atlantic tunas, including large medium and giant bluefin, by handgear and plan to sell the tuna must obtain this permit. Authorized gear: rod & reel (including downriggers), handline, harpoon, greenstick, and bandit gear.

**ATLANTIC TUNAS HARPOON:** Vessel owners who conduct a commercial harpoon fishery only for Atlantic tunas, including large medium and giant bluefin, must obtain this permit. Vessels permitted in the Harpoon category may not participate in the General category fishery. Authorized gear: Harpoon.

**SWORDFISH GENERAL COMMERCIAL:** Vessel owners who harvest Atlantic swordfish commercially and do not hold a Commercial Caribbean Small Boat permit, HMS Charter/Headboat permit, or limited access swordfish permit must obtain this permit. Authorized gear: rod & reel (including downriggers), handline, harpoon, greenstick, and bandit gear.

**RECREATIONAL CATEGORY:**

Atlantic HMS taken under the Angling category size and retention limits **MAY NOT** be sold. See recreational commercial compliance guide at <https://www.fisheries.noaa.gov/atlantic-highly-migratory-species/atlantic-highly-migratory-species-fishery-compliance-guides> for applicable minimum size limits and other regulations.

**ATLANTIC HMS ANGLING:** Private recreational vessels used to fish for, take, retain, or possess Atlantic tunas, sharks, swordfish, and billfish must obtain this permit. All bluefin must be reported within 24 hours of landing to NMFS by calling (888) 872-8862 or accessing the <https://hmspermits.noaa.gov/> website. If bluefin are landed in the states of North Carolina or Maryland, they should be reported to a reporting station prior to removing fish from the vessel. Information about the state harvest tagging programs, including reporting station locations, can be obtained in North Carolina by calling (800) 338-7804 and in Maryland by calling (410) 213-1531. Authorized gear: rod & reel (including downriggers), handline, and spearguns (except for bluefin).

For further information regarding the HMS permits on this form please call the Greater Atlantic Regional Office, HMS Management Division at (978) 281-9260.

**PAPERWORK REDUCTION ACT STATEMENT:** Collection of information through annual permitting serves three purposes: (1) it provides current information on the vessel owners participating in the Atlantic tuna fisheries; (2) it provides an up-to-date sampling frame that is the basis for fleet size calculations used for catch and effort estimates in fisheries that do not require mandatory reporting, thus enabling the U.S. to meet international obligations to report catch statistics for Atlantic tunas; and (3) aids NOAA Fisheries Service in the enforcement of fishery regulations. Public reporting burden for this initial permit application of information is estimated to average 34 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completed & reviewing the collection of information. Permit renewals are accomplished by using an automated phone system at (888) 872-8862 or by accessing the web site at <https://hmspermits.noaa.gov/>. Public reporting burden for renewal by telephone or web is estimated to average 10 minutes per response. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: National Marine Fisheries Service, F/SF1, 1315 East West Highway, Silver Spring, MD 20910. Providing the requested information in the permit application is mandatory for managing the Atlantic tuna fisheries in accordance with the Atlantic Tunas Convention Act (16 U.S.C. 971 et seq.) and the Magnuson-Stevens Fishery Conservation and Management Act (Magnuson-Stevens Act). It is agency policy not to release confidential information, other than in aggregate form, as the Magnuson-Stevens Act protects (in perpetuity) the confidentiality of those submitting information. Summaries of permit information by category may be released. Notwithstanding any other provision of the law, no person is required to respond to, nor shall

### **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. and the Tuna Conventions Act of 1950. 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. Permit holder information may be used as sampling frames for surveys, as part of NMFS analysis to support NMFS decisions.

**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.

#### **Notice to Customers Making Payment by Check**

If you send us a check, it will be converted into an electronic funds transfer (EFT). This means we will copy your check and use the account information on it to electronically debit your account for the amount of the check. The debit from your account will usually occur within 24 hours, and will be shown on your regular account statement.

You will not receive your original check back. We will destroy your original check, but we will keep the copy of it. If the EFT cannot be processed for technical reasons, the copy will be processed in place of your original check.