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

Privacy Threshold Analysis for the
NOAA4600
Northwest Fisheries Science Center (NWFSC)

U.S. Department of Commerce Privacy Threshold Analysis

NOAA/NMFS/Northwest Fisheries Science Center

Unique Project Identifier: NOAA4600

Introduction: This Privacy Threshold Analysis (PTA) is a questionnaire to assist with determining if a Privacy Impact Assessment (PIA) is necessary for this IT system. This PTA is primarily based from the Office of Management and Budget (OMB) privacy guidance and the Department of Commerce (DOC) IT security/privacy policy. If questions arise or further guidance is needed in order to complete this PTA, please contact your Bureau Chief Privacy Officer (BCPO).

Description of the information system: *Provide a brief description of the information system.*

The E-Government Act of 2002 defines "information system" by reference to the definition section of Title 44 of the United States Code. The following is a summary of the definition: "Information system" means a discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information. See: 44. U.S.C. § 3502(8).

NOAA4600 supports the mission of the Northwest Fisheries Science Center (NWFSC). The NWFSC's research effort is organized around four major themes. The NWFSC incorporates climate research into each of these themes to improve understanding of the effects of climate on ecosystems. In addition, each theme also integrates social science research that seeks to better understand the human values, actions, communities and institutions that influence marine and anadromous fish, marine mammals, and other species and ecosystems in the Pacific Northwest.

1. Sustainable, Safe and Secure Seafood for Healthy Populations and Vibrant Communities
2. Ecosystem Approach to Improve Management of Marine Resources
3. Recovery and Rebuilding of Marine and Coastal Species
4. Habitats to Support Sustainable Fisheries and Recovered Populations

<u>The system underwent the following changes since the last PTA:</u>

- Interconnection with NOAA0201 to support data transfer from a cloud service hosted at NOAA0201. The cloud service acts as an intermediary for data collection from the field and transportation to NOAA4600
- Interconnection with NOAA0550 for managed LAN services at Charleston, South Carolina
- Hosting of the Authorization and Permits for Protected Species (APPS) application
- Hosting of the Pacific Halibut Permitting Application

Address the following elements:

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

NOAA4600 is a General Support System that supports the mission of the Northwest Fisheries Science Center (NWFSC).

b) System location

NOAA4600 is located throughout the Pacific Northwest with offices in:

- Seattle, Washington
- Newport, Oregon
- Port Orchard, Washington
- Hammond, Oregon
- Pasco, Washington

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

NOAA4600 interconnects with other systems inside and outside of the NMFS internal network.

Monterrey Bay Aquarium Research Institute (MBARI) - Used to connect the NWFSC guest network to an Environmental Sample Processor (ESP) device use for detecting Harmful Algal Blooms.

NOAA4000 - Fisheries WAN and Enterprise Services - Used for wide-area network (WAN) connectivity to NMFS related assets managed at the headquarters including Office of Law Enforcement VMS and declaration data.

NOAA4200 - Northeast Fisheries Science Center (NEFSC) Network - Used to allow NEFSC access to the SEDNA Bioinformatics Cluster hosted at the NWFSC

NOAA4800 - Alaska Fisheries Science Center (AKFSC) Network - Used to access the North Pacific (NORPAC) groundfish and halibut observer data

NOAA4930 - Southwest Fisheries Science Center (SWFSC) Network - Used to allow SWFSC access to a NWFSC file share by static IP addresses and access the SEDNA Bioinformatics Cluster hosted at the NWFSC

NOAA4960 – Pacific Islands Fisheries Science Center (PIFSC) Network - Used to allow PIFSC access to the SEDNA Bioinformatics Cluster hosted at the NWFSC

NOAA0201 - Web Operations Center (WOC) Network - Used to access NWFSC data and resources hosted at the WOC

NOAA0550 – N-Wave Network - Used for managed LAN services at the Hollings Marine Lab in Charleston, South Carolina

d) The purpose that the system is designed to serve

NOAA4600 supports the research effort conducted by NWFSC scientists by allowing them to integrate other types of research, such as climate and social science research, with their own. The system also works with scientists by building additional infrastructure components for retrieval and manipulation of the data.

e) The way the system operates to achieve the purpose

Utilizing applications, web services, and database-to-database connections; NWFSC scientists are

able to analyze data and extrapolate new scientific models sharing their findings with the scientific community.

f) A general description of the type of information collected, maintained, used, or disseminated by the system

The West Coast Groundfish Observer Program (WCGOP) database consists of two components that store fishery-dependent data, Observer Production (OBSPROD) and Observer Logistics (OBSLOG). The fishery-dependent data contains detail on commercial fishing operations such as fishing gear used and locations of fishing activities, catch composition, biological and protected species data. The system stores vessel information such as permit and documentation numbers, communication/observer details, fish ticket numbers and information regarding potential violations. Vessel and permit owner information such as name, address, phone number, vessel length and type and operator names are collected and stored from the Washington, Oregon, and California Departments of Fish and Wildlife and from NOAA's West Coast Regional Office's permit lists in order to place observers on vessels as specified in the federal register and the Magnuson Stevens Fishery Conservation and Management Act. The logistics database contains PII, contract details, and training requirements of the fisheries observers. WCGOP is also involved in Electronic Monitoring (EM) initiatives which collect recorded video footage during commercial fishing operations. Recorded video footage is stored for future review and analysis.

The Economic Data Collection Program (EDC) requests data on costs, revenue, ownership, and employment and this information is used to study the economic impacts of the West Coast Trawl Groundfish Catch Share Program on affected harvesters, processors, and communities, as well as net benefits to the nation. Data is also retrieved from the observer and quota systems residing within the NOAA4600 Information but the economic data is not reciprocated. Pacific States Fisheries Center also shares various catch share data that has been collected from various states.

Each report also includes the following: the name, title, telephone number, fax number, and e-mail address of the person completing the EDC; name and address of the owner or lessee of the plant or vessel; Federal fisheries permit number; Federal processor permit number; Coat Guard vessel registration number or state vessel registration number, federal license number, state buyer number, and an assigned internal individual identifier.

Records are collected from all owners, lessees, and charterers of a catcher vessel registered to a limited entry trawl endorsed permit at any time in 2011 and beyond; All owners, lessees, and charterers of a mothership vessel registered to an MS permit at any time in 2011 and beyond; all owners, lessees, and charterers of a catcher processor vessel registered to a C/P-endorsed limited entry trawl permit at any time in 2011 and beyond; all owners of a first receiver site license in 2011 and beyond; all owners and lessees of a shorebased processor (as defined under "processor" at § 660.11, for purposes of EDC) that received round or headed-and-gutted individual fishing quota species groundfish or whiting from a first receiver in 2011 and beyond.

The West Coast Groundfish Permits database stores information related to Pacific Coast Groundfish

Limited Entry Permits and Quota Share permits as established under the West Coast Groundfish Trawl Catch Share program. The system manages the permit ownership and vessel ownership of vessels that participate in the fishery, including owner name (individual, corporation, non-profit, or trust), taxpayer ID (corporation), birth date (individual), phone number, address, and email address. The system also maintains the ownership structure of all businesses that own a permit down to 8 levels of ownership. The system maintains permit endorsements including gear, length, and fishery sector (Mothership, Mothership Catcher Vessel, Catcher Processor, Sablefish) as well as any exemptions including owner on board, gear, and length.

The Permits database also maintains all First Receiver Site Licenses (FRSL) for any processor that receives fish landed under the West Coast Groundfish Trawl Catch Share program. Ownership information is stored for each FRSL including owner name (individual, corporation, non-profit, or trust), taxpayer ID (corporation), birth date (individual), phone number, address, and email address. Information is also stored about the "processing site" including physical address and contact information. Site plans, scale certifications, and site inspection documents are also stored.

In conjunction with the West Coast Groundfish Permits database, the Individual Fishing Quota (IFQ) database manages all Quota Share and Vessel Accounts that participate in the West Coast Groundfish Trawl Catch Share program. This system allows IFQ account owners to transfer Quota Pounds from Quota Share Accounts and Vessel Accounts to other Vessel Accounts, and to transfer Quota Share between Quota Share Accounts. The system also processes IFQ species landing data as reported by the Pacific States Marine Fisheries Commission (PSMFC) and any IFQ species discards reported by the West Coast Observer program, and reports quota pound balances to vessel account owners

The Ecosystem Science Program requires access to VMS data to analyze fishing activity in relation to whale and turtle entanglements on the West Coast. Fishery declarations and vessel identification numbers are provided to OLE by fishers and these data are joined up with fish ticket landings data provided by the States and/or the Pacific Fisheries Information Network (PacFIN) through vessel registration number. The overall goal is to identify methods for reducing whale and turtle entanglements off the West Coast.

The Boatnet application provides a secure web application for fishers to electronically record their declarations independently. This application is provided in conjunction with the existing Declarations service that Office of Law Enforcement (OLE) Vessel Monitoring System (VMS) technicians provide. It provides the entry point for declarations that reside in the VMS system and receives that information back from the VMS system for review and access by NOAA staff and the fishers that hold accounts.

A cloud service is being utilized at NOAA0201 to act as an intermediary for data collection from the field and transportation to NOAA4600. The objective is to utilize a technology that allows for data syncing with different technologies. Ultimately the data is transported to NOAA4600 where it is processed and stored.

The Authorizations and Permits for Protected Species (APPS) application is used to verify that the individual has the necessary qualifications to conduct research on protected species. The PII/BII collected by the IT system is from federal and state employees, members of the public, and employees/members of Tribal Nations. Applicants provide a curriculum vitae or resume documenting their academic and/or work related experience with the methods and procedures they plan to use on protected species.

The Pacific Halibut Permitting application is used to issue permits for the Pacific halibut commercial and recreational charter halibut fisheries in International Pacific Halibut Commission (IPHC) regulatory Area 2A (Washington, Oregon, and California).

g) Identify individuals who have access to information on the system

The WCGOP and OBSLOG databases are accessed directly by federal employees, federally contracted staff, observer providers, and observers. Other NWFSC staff have direct query access to limited fishing activity and fish ticket data. Inseason Catch Share specific data is made available and is accessed by a limited number of WCGOP and Scientific Data Management (SDM) staff. The Information about observer training or briefing needs generated by the database is accessible to observer staff and their providers. Currently there is no information sharing between observer providers, but there are plans to share vessel safety checklists once a data sharing agreement is in place. The NOAA Office of Law Enforcement (OLE) accesses safety checklists and observer statements. The West Coast Observer Program shares non-sensitive, aggregated research data using maps via an interactive web interface to facilitate public access in compliance with the NOAA PARR (Public Access Research Results) directive.

The Economic Data Collection Program currently only allows members of the EDC staff (federal employees and contractors) to access the information in the system. Due to the sensitivity of the data, there is no plans at this time to increase the audience of this data.

The Permits application program authorizes several categories of users. The primary group of users includes federal employees and federally contracted staff that have read and write access to modify PII and BII data including tax identification numbers and birth dates, as well as contact information. These users have access to business composition information for all permit and vessel account owners, as well as quota pound balances, including deficit and landing information. On occasion these users may require custom reports. There are also federal employees and federally contracted staff at the NOAA West Coast Office of Law Enforcement as well State Law Enforcement agencies who have read only access to data reports that allow them to track when a vessel account goes into deficit and to monitor the status of the deficit. They are also provided access to landing and discard amounts at the trip level. These users do not have access to ownership information. There are also federal employees and federally contracted staff within the Economic Data Collection (EDC) program at the NWC, who have read only access to ownership information and landing data. The only private sector users are Permit owners who have access to submit permit renewals, monitor the status of their renewal, and print Permit certificates, and IFQ Account owners have access to their accounts to check Quota Pound and/or Quota Share balances and complete Quota Pound and/or

Quota Share transfers. Finally, the system owners themselves have direct access to validate the accuracy of the data.

The Boatnet application supports declaration reporting by fishery participants and Office of Law Enforcement (OLE) staff members. Data entered into Boatnet is also transmitted to the Vessel Monitoring System (VMS) which is the official record of declarations data. Any mismatched or duplicate data reported by Boatnet is handled by OLE staff.

The Authorizations and Permits for Protected Species (APPS) provides access to authorized federal employees and contractors.

The Pacific Halibut Permitting application provides access to permit holders, federal employees and contractors.

h) How information in the system is retrieved by the user

The OBSPROD and OBSLOG systems have a web interface that allows a user to access remotely. In order for the user to access any of the data, they must enter a previously supplied userid and password combination into the web application. Once authenticated, the user can selectively navigate the system to retrieve information. Most users access both systems using the web interface, there are WCGOP staff that access both databases directly using SQL Developer/SQL Plus to query non-aggregated and sensitive data. Users with direct access query data to fill data requests and for analysis purposes. Inseason Catch Share specific data is disseminated daily to the Vessel Account System in the IFQ database for in-season quota management. Electronic Monitoring (EM) recorded video footage is retrieved from internal file shares and analyzed with specialized software.

The Economic Data Collection Program staff logs into a web application that allows a user to log receipts of EDC forms, log communications with participants, and edit data as necessary. Aside accessing the data through the web application, each member of the EDC staff has also been given a production database account that they may use to perform additional analysis directly against the raw economic data stored in the database. They access the database account using either the Rstudio client or the approved client for the database platform it is stored in.

Most access to the Permits Program is provided to authenticated application users, who access the data through custom built web applications and data access is determined by their application role. All individuals who are granted access to the data sign a non-disclosure agreement on an annual basis. All NOAA users authenticate through a NOAA managed LDAP server, while state partners have a unique username and password that is managed by the NWFSC SDM Team. There are also 2 authenticated web services. The first provides IFQ landing reports based on IFQ account authentication and the second provides the association of Permits to IFQ Vessel Accounts to the PSMFC through a unique authenticated user account. System owners can connect directly to the database schemas to validate and query data, and deploy new applications and custom database

procedures. There are also NOAA staff that have read access to several database views, through named user access. Finally, some non-confidential information that is made available to the public through public reports on the Permits and IFQ applications.

Office of Law Enforcement (OLE) Vessel Monitoring System (VMS) data is accessible with a production database account that is utilized to perform analysis by aggregating data from various sources. They access the database account using either the Rstudio client or the approved client for the database platform it is stored in. Declarations data is accessible through two separate authenticated web applications.

The Authorizations and Permits for Protected Species (APPS) application is a web based system that contains applications for permits required by the Marine Mammal Protection Act (MMPA) and the Endangered Species Act (ESA). Researchers use the system to submit an application which contain PII (employment and education information) prior to receiving a scientific research permit. Information collected is not shared publicly. NOAA Fisheries protects PII stored in APPS by minimizing the use and collection of PII. NOAA Fisheries also protects PII stored in APPS by controlling access to the information. APPS requires users to authenticate their identity by entering a username and password.

The Pacific Halibut Permitting application is a web based system that is accessed through username and password. Permit holders can access their information while federal employees and contractors can access all permit information contained within the system.

i) How information is transmitted to and from the system

All web applications utilize SSL certificates or the TLS 2.0 standard for all data encryption where appropriate.

Questionnaire:

1. Status of the Information System

1a. What is the status of this information system?

____ This is a new information system. *Continue to answer questions and complete certification.*

_X_ This is an existing information system with changes that create new privacy risks. *Complete chart below, continue to answer questions, and complete certification.*

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	X	h. Internal Flow or Collection	X
c. Significant System Management Changes		f. Commercial Sources		i. Alteration in Character of Data	

j. Other changes that create new privacy risks (specify):
Hosting of the Authorizations and Permits for Protected Species (APPS) application and the Pacific Halibut Permitting application. The utilization of cloud services at NOAA0201 leads to additional storage areas of specific data but ultimately the data is still transported to and stored in NOAA4600

____ 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.
Continue to answer questions and complete certification.

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

1b. Has an IT Compliance in Acquisitions Checklist been completed with the appropriate signatures?

____ Yes. This is a new information system.

____ Yes. This is an existing information system for which an amended contract is needed.

____ No. The IT Compliance in Acquisitions Checklist is not required for the acquisition of equipment for specialized Research and Development or scientific purposes that are not a National Security System.

_X_ No. This is not a new information system.

2. Is the IT system or its information used to support any activity which may raise privacy concerns?
NIST Special Publication 800-53 Revision 4, Appendix J, states "Organizations may also engage in activities that do not involve the collection and use of PII, but may nevertheless raise privacy concerns and associated risk. The privacy controls are equally applicable to those activities and can be used to analyze the privacy risk and mitigate such risk when necessary." Examples include, but are not limited to, audio recordings, video surveillance, building entry readers, and electronic purchase transactions.

_X_ Yes. *(Check all that apply.)*

Activities			
Audio recordings	X	Building entry readers	X
Video surveillance	X	Electronic purchase transactions	
Other (specify):			

____ No.

3. Does the IT system collect, maintain, or disseminate business identifiable information (BII)?

As per DOC Privacy Policy: "For the purpose of this policy, business identifiable information consists of (a) information that is defined in the Freedom of Information Act (FOIA) as "trade secrets and commercial or financial information obtained from a person [that is] privileged or confidential." (5 U.S.C.552(b)(4)). This information is exempt from automatic release under the (b)(4) FOIA exemption. "Commercial" is not confined to records that reveal basic commercial operations" but includes any records [or information] in which the submitter has a commercial interest" and can include information submitted by a nonprofit entity, or (b) commercial or other information that, although it may not be exempt from release under FOIA, is exempt from disclosure by law (e.g., 13 U.S.C.)."

X Yes, the IT system collects, maintains, or disseminates BII.

____ No, this IT system does not collect any BII.

4. Personally Identifiable Information (PII)

4a. Does the IT system collect, maintain, or disseminate PII?

As per OMB 17-12: "The term PII refers to information that can be used to distinguish or trace an individual's identity either alone or when combined with other information that is linked or linkable to a specific individual."

X Yes, the IT system collects, maintains, or disseminates PII about: *(Check all that apply.)*

- X DOC employees
- X Contractors working on behalf of DOC
- X Other Federal Government personnel
- X Members of the public

____ No, this IT system does not collect any PII.

If the answer is "yes" to question 4a, please respond to the following questions.

4b. Does the IT system collect, maintain, or disseminate Social Security numbers (SSNs), including truncated form?

X Yes, the IT system collects, maintains, or disseminates SSNs, including truncated form.

Provide an explanation for the business need requiring the collection of SSNs, including truncated form. Social Security Number is collected in connection with the Pacific Halibut Permitting process to ensure no outstanding debts are owed to the government prior to permit issuance

Provide the legal authority which permits the collection of SSNs, including truncated form. Debt Collection Act (31 U.S.C. 7701)

____ No, the IT system does not collect, maintain, or disseminate SSNs, including truncated form.

4c. Does the IT system collect, maintain, or disseminate PII other than user ID?

_X_ Yes, the IT system collects, maintains, or disseminates PII other than user ID.

____ No, the user ID is the only PII collected, maintained, or disseminated by the IT system.

4d. Will the purpose for which the PII is collected, stored, used, processed, disclosed, or disseminated (context of use) cause the assignment of a higher PII confidentiality impact level?

Examples of context of use include, but are not limited to, law enforcement investigations, administration of benefits, contagious disease treatments, etc.

____ Yes, the context of use will cause the assignment of a higher PII confidentiality impact level.

_X_ No, the context of use will not cause the assignment of a higher PII confidentiality impact level.

If any of the answers to questions 2, 3, 4b, 4c, and/or 4d are "Yes," a Privacy Impact Assessment (PIA) must be completed for the IT system. This PTA and the SAOP approved PIA must be a part of the IT system's Assessment and Authorization Package.

CERTIFICATION

X The criteria implied by one or more of the questions above **apply** to the NOAA4600 and as a consequence of this applicability, a PIA will be performed and documented for this IT system.

_____ The criteria implied by the questions above **do not apply** to the NOAA4600 and as a consequence of this non-applicability, a PIA for this IT system is not necessary.

Information System Security Officer or System Owner Name: Anthony Yang Office: NOAA/NMFS/NWFSC Phone: 206-860-3415 Email: Tony.Yang@noaa.gov Signature: YANG.ANTHONY.S.1365883897 Digitally signed by YANG.ANTHONY.S.1365883897 Date: 2023.01.26 11:58:56 -08'00' Date signed: 01/26/2023	**Information Technology Security Officer** Name: Catherine Amores Office: NOAA/NMFS/OCIO Phone: 301-427-8871 Email: Catherine.Amores@noaa.gov Signature: AMORES.CATHERINE.SOLEDAD.1541314390 Digitally signed by AMORES.CATHERINE.SOLEDAD.1541314390 Date: 2023.01.26 16:36:53 -05'00' Date signed: 01/26/2023
Privacy Act Officer Name: Robin Burress Office: NOAA OCIO Phone: 828-271-4695 Email: Robin.Burress@noaa.gov Signature: BURRESS.ROBIN.SURRETT.1365847696 Digitally signed by BURRESS.ROBIN.SURRETT.1365847696 Date: 2023.02.01 11:59:29 -05'00' Date signed: 02/01/2023	**Authorizing Official** Name: Nicolle Hill Office: NOAA/NMFS/NWFSC Phone: 425-666-9890 Email: Nicolle.Hill@noaa.gov Signature: HILL.NICOLLE.DIANE.1160491295 Digitally signed by HILL.NICOLLE.DIANE.1160491295 Date: 2023.01.31 07:42:30 -08'00' Date signed: 01/31/2023
Bureau Chief Privacy Officer Name: Mark Graff Office: NOAA OCIO Phone: 301-628-5658 Email: Mark.Graff@noaa.gov Signature: GRAFF.MARK.HYRUM.1514447892 Digitally signed by GRAFF.MARK.HYRUM.1514447892 Date: 2023.02.02 08:57:02 -05'00' Date signed: 02/02/2023	