

National Marine Fisheries Service
Marine Mammals

Marine Mammal Public Display Permits

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Marine Mammal Public Display Permit Application

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Introduction

What is this application for?

- This application is for requesting a Marine Mammal Protection Act (MMPA) public display permit to take¹ or import National Marine Fisheries Service (NMFS) marine mammals, including:
 - Cetaceans (dolphins, porpoises, and whales)
 - Pinnipeds (seals and sea lions)
- Public display permits (http://www.nmfs.noaa.gov/pr/permits/publicdisplay_permit.htm) are required for:
 - capture of marine mammals from the wild in the United States
 - import of marine mammals into the United States

What is this application NOT for?

- Taking or importing marine mammals listed as depleted under the MMPA or threatened or endangered under the ESA (species pages can be found at <http://www.nmfs.noaa.gov/pr/species/mammals/>)
- Maintaining or receiving marine mammals **within** the United States for the purpose of public display (see <http://www.nmfs.noaa.gov/pr/permits/inventory.htm> and http://www.nmfs.noaa.gov/pr/pdfs/permits/form_transfer.pdf)
- Exporting marine mammals for public display (see http://www.nmfs.noaa.gov/pr/permits/public_display.htm)
- Obtaining a non-releasable stranded marine mammal (see <http://www.nmfs.noaa.gov/pr/permits/nonreleasable.htm>)
- Obtaining CITES (Convention on International Trade in Endangered Species of Wild Fauna and Flora) permits (see <https://www.fws.gov/international/cites/>)

For information on applying for permits to conduct other types of activities (e.g., commercial or educational photography, scientific research, enhancement) involving the taking of marine mammals or endangered or threatened species under the MMPA or ESA, please see http://www.nmfs.noaa.gov/pr/permits/mmpa_permits.html.

¹ A take under the MMPA means to harass, hunt, capture, collect, or kill, or attempt to harass, hunt, capture, collect, or kill any marine mammal. This includes, without limitation, any of the following: the collection of dead animals, or parts thereof; the restraint or detention of a marine mammal, no matter how temporary; tagging a marine mammal; the negligent or intentional operation of an aircraft or vessel, or the doing of any other negligent or intentional act which results in disturbing or molesting a marine mammal; and feeding or attempting to feed a marine mammal in the wild.

When should I apply?

- Imports: at least 6 months before the import will begin (longer if animals to be imported were captured from the wild)
- Captures: at least 1 year before the captures will begin

What is the process for getting a permit?

1. Follow these instructions and contact the Permits and Conservation Division at 301-427-8401 with any questions.
2. Submit your application to our Office via mail or email:
 - a. By Email: nimm.inventory@noaa.gov (preferred)
 - b. By Mail: Office of Protected Resources, Permits and Conservation Division, 1315 East-West Highway, Room 13805 Silver Spring, MD 20910 (in addition to the signed hard copy, please include an electronic copy of your application for review);
 - c. An assigned permit analyst will contact you and review the application.
3. Address any questions on the application. To facilitate processing, reference the application File No. in all correspondence.
 - a. Once complete, we will publish a notice in the *Federal Register*, which starts a mandatory 30-day public comment period.
 - b. Concurrently, we will send your application to the U.S. Marine Mammal Commission, the U.S. Department of Agriculture Animal and Plant Health Inspection Service (APHIS), and subject matter experts in partner institutions and agencies for review.
4. Address any questions received during the comment period and consultation.
 - a. We will then draft the permit and supporting documentation (including National Environmental Policy Act analyses and documentation of MMPA issuance criteria), which will be reviewed by various NMFS offices including a legal review by General Counsel.
 - b. The Office Director will make a final decision.

Important information

- If you do not follow these instructions, your application will be withdrawn and you will be asked to resubmit a new application that includes the information required.
- If we request additional information and do not receive it within 60 days, we may withdraw your application.
- Your permit may only authorize what is in your application; therefore, it must be a stand-alone document that describes all proposed activities even when you reference previous permits or published literature.
- When a question does not apply (i.e., N/A), explain why.
- Your application should be free of grammatical errors and readable to a lay person.

- You are highly encouraged to contact us at 301-427-8401 with questions in advance of submitting your application.

Questions?

- Contact the Permits and Conservation Division at 301-427-8401.

Application Instructions

Project Information

File Number

- Once submitted, your application will be assigned a File Number (e.g., File No. 12345). This number is automatically generated and cannot be changed. To facilitate processing, reference this File No. in correspondence with our office.

****Project Title*** (up to 255 characters)

- Provide a concise title to include the activity, species, location, and purpose. For example:
 - *Import of four harbor seals from ABC Aquarium in Country X to XYZ Zoological Park for the purpose of public display.*

Previous Federal or State Permit #

- If applicable, list your most recent and closely related NMFS permit number. Otherwise leave blank. State permit numbers are not applicable.

****Permits Requested***

- MMPA Public Display permit.

****Where Will the Activities Occur?***

- Please indicate the locations of your activities. For imports include the country of export and the receiving facility's address. For wild captures, please indicate the geographic area of collection including a map, the location of temporary staging, and the final destination of the animals.

****Timeframe***

- Enter the desired start and end dates of the project (date range for import or wild captures) in the following format: MM/DD/YYYY. The start date must not be prior to the date you submit the application and should be at least 6 months (imports) or 1 year (captures) after the date you submit. The end date must be within five years of the start date because permits can be valid for a maximum of five years.

****Sampling Season/Project Duration*** (up to 1,000 characters)

- For imports: when will the import occur?
- For wild captures: describe the field season(s) including the months and frequency of collections (i.e., when and how many times per year/how frequently will you conduct your activities?).

***Abstract** (up to 2,000 characters)

- Federal regulations require the following information be published in the *Federal Register* Notice of Receipt that initiates a mandatory 30-day public comment period:
 - Purpose
 - Target and non-target species (common and scientific names)
 - Proposed take activities (e.g., capture) or import
 - Numbers of animals to be taken or imported, by species, annually
 - Specific geographic locations of take or location from which animals will be imported
 - Requested duration of the permit (the maximum is five years).

Project Description

***Project Purpose: Objectives and Justification** (up to 64,000 characters)

- Discuss the **purpose** of your project including your objectives and justification for the take or import. Explain why animal(s) cannot be obtained from captive collections in the United States (for imports) or in the United States or abroad (for captures).
- Provide the following information required for maintaining marine mammals for public display purposes².
 - Describe the educational program and include educational materials as attachments. Specify the professionally recognized standards³ of the public display community upon which the education or conservation program offered by the applicant is based.
 - Animal Welfare Act license or registration number issued by APHIS⁴. Attach a copy to your application.

²In accordance with 16 U.S.C. 1374: A permit may be issued to take or import a marine mammal for the purpose of public display only to a person which the Secretary determines— (i) offers a program for education or conservation purposes that is based on professionally recognized standards of the public display community; (ii) is registered or holds a license issued under 7 U.S.C. 2131 et seq.; and (iii) maintains facilities for the public display of marine mammals that are open to the public on a regularly scheduled basis and that access to such facilities is not limited or restricted other than by charging of an admission fee.

³ Standards for education and conservation programs developed and endorsed by the American Association of Zoos and Aquariums (AZA) and the Alliance of Marine Mammal Parks and Aquariums (Alliance), representing approximately 60% of the U.S. marine mammal public display community, were published in the Federal Register on October 6, 1994 (59 FR 50900). If applicable, these AZA/Alliance standards may be referenced as the standards on which your education or conservation program is based. However, please note that while these professionally recognized standards have been provided by the AZA and Alliance, they represent only one example of such standards. Other professionally recognized standards of the public display community may differ from this example. If your education or conservation program is based upon different professionally recognized standards of the public display community, please provide a copy of these standards.

⁴ As issued under 7 U.S.C. 2131 et seq.

- Description of the facility(ies) where the marine mammal(s) to be imported or captured will be maintained. Indicate hours of operation and cost of admission. Provide copies of facility brochures or public notices advertising this information.

***Project Description** (up to 64,000 characters)

- **Your permit may only authorize what you describe in your application.**
- **Methods:** Provide clear descriptions of all methods for each species, and the number of animals by age class and sex you expect to take by each method/procedure annually. Define how age classes (e.g., neonate, calf/pup, juvenile, subadult, adult) are differentiated, by taxa or species.
- **The methods must match what is in the take table.**
 - There should be a narrative description for each Take Action⁵, Observe/Collect Method⁶, and Procedure⁷ in the take table, and the take numbers and procedures in the narrative must match the table.
 - Reference take table lines that correspond to the methods, as needed.
- **Figures and photographs and other media** are useful to illustrate your methods. You can include them with your application.
- Cite **references** for the methods where applicable, but do not substitute a literature citation for a complete description of the methods.
- **Mitigation** measures that are standard protocols may be included in this section or in the Humane Take and Measures to Minimize Impacts section below.

⁵The Take Action is a generalized overview of how animals will be taken or imported. You may only have one Action for each Take Row. For imports, choose “Captive animals (public display)”.

For collection from the wild, choose “Removal from wild (permanent).” You may also want to consider take rows for harassment (“Harass”) of non-target species/animals or capture and release (Capture/Handle/Release) of animals captured but not selected for public display. In addition, “Unintentional mortality” may be considered for cases of accidental deaths associated with collection activities.

⁶ The Observe/Collect Method is the method of observation or capture. Select only one Observe/Collect method per take table row. For imports, choose “captive.” For collections from the wild, choose “net” or “other” as appropriate.

⁷ Procedures are the individual activities you conduct on animals that have been imported/captured by a certain Take Action and Observe/Collect method. For imports, choose “captive maintain” and “transport.”

For collections from the wild, choose “captive maintain” and “transport” for the take action associated with removal. If you choose to include harassment, the associated procedure would be “incidental harassment.” Animals captured but not retained, would experience “Incidental harassment” as well. Unintentional mortalities would be matched with “Unintentional mortality.”

A. Capturing Marine Mammals from the Wild (If Applicable)

1. If removing animals from the wild, explain why removal is necessary and why you cannot obtain suitable animals from captive or rehabilitated stock.
2. Give the dates (time frame) and locations of the proposed capture activity(ies), including the targeted stock the animals will be taken from; please be as specific as possible.
3. Describe the animal(s) to be captured including the number, estimated or known age, size, sex, and reproductive condition of the marine mammal(s)⁸.
4. Provide a written certification from the attending veterinarian responsible for the animals during and immediately after capture that the methods of capture and post-capture care will be adequate to ensure the well-being of the animal(s).
5. Give a detailed description of the manner of **capture**, including gear to be used. Describe the techniques and equipment to be used to approach, capture, and restrain; including any drugs or other substances to be used. See table below for examples of information to include when describing your procedures/methods, as applicable.

Take action/ procedures	Details to include in methods for capture activities.
Administer drugs or other substances (e.g., stable isotopes)	<ul style="list-style-type: none"> -Name of each drug/chemical and its purpose -Name of any drug reversal -Emergency response drugs and protocols -Dosage of each drug/chemical -Delivery method and route (e.g., dart gun, inhalation, intramuscular, intravenous, subcutaneous, topical); if dart gun, distance of animal to water -Location of administration on body -Duration of drug -Personnel that would administer drug (e.g., veterinarian or veterinary technician; state license requirements) -Post drug administration monitoring
Aerial and vessel surveys (manned)	<ul style="list-style-type: none"> -Type of survey craft and vessel -Type of survey (e.g., line transect, photogrammetry) -Number of surveys per year -Minimum and maximum altitude/approach distance -Air/vessel speed -Protocols for breaking track to ID species -Duration spent with group or individual/day

⁸ Permit holders may not capture a marine mammal that is pregnant, lactating, or either unweaned or less than 8 months old, whichever comes later, unless the Office Director determines that such capture is necessary for the protection and welfare of the animal.

Take action/ procedures	Details to include in methods for capture activities.
Aerial surveys using unmanned aircraft systems (UAS)	Same general questions above for aerial surveys and also the following: <ul style="list-style-type: none"> -Type of UAS – fixed wing or vertical takeoff and landing (VTOL) -Payload components – what is the UAS carrying and for what purpose? -Size and mass of UAS -Will the UAS ever be beyond the line of sight? -Does the device have an auto-return feature should the device fail? -Ground control station description (what it is, where it will be located - on shore or on vessel, number of stations, and how close the station will be to animals) -Spotter roles (e.g., one spotter monitoring the UAS, another for monitoring the ground control station) -Battery life -Do you have the appropriate FAA permits/authorizations (including pilot licenses)?
Capture and restraint	<ul style="list-style-type: none"> -Type of capture (e.g., hand, hoop net, trap) and gear description (e.g., net dimensions and mesh size) -Deployment methods (e.g., on foot or boat approach and net deployment) -Configuration, duration, and monitoring of net sets (how often net is checked) -Number of animals captured at a time -Number of animals processed at a time -Anesthesia/sedation (see Administer Drugs above) -Dimensions and type of holding container -Number and roles of personnel (must be adequate to perform all activities without harming excess captured animals; else they must be released immediately) -Additional equipment or personnel necessary for capturing and handling excess numbers -Duration of restraint/holding from capture to transport

6. If, after capture, an animal is determined to be unsuitable for captivity, give details regarding the specific protocol for return to the wild, including:
 - a. the maximum length of time the animals could be held;
 - b. description of post-release monitoring protocols;
 - c. prevention of disease transmission between released animals and the wild population;
 - d. assessment of the animals to forage and protect themselves from predators; and
 - e. desensitization of animal to eliminate behaviors that could prove detrimental to the released animals or the social structure of local populations.

7. **Non-target species and conspecifics:** Indicate the estimated number and type of non-target species (NMFS and/or USFWS protected species) that may be encountered during wild captures annually, and whether and how they may be incidentally harassed, captured, or otherwise affected. This includes marine mammals, reptiles, sea birds, sharks, etc., and any ESA-listed species (plant or animal).

- a. Explain how you will avoid them or minimize impacts to them (e.g., not in area during time of study; would not approach closer than 100 meters; would halt operations until non-target species moved out of study area).
- b. For ESA species designated as a Distinct Population Segment (DPS), specify the DPS(s) that are likely to be encountered.
- c. If takes to non-target conspecifics may occur, include these on separate rows in the Take Table to include incidental take (e.g., harassment or capture).

B. Importing Marine Mammals into the United States (If Applicable)

For importing marine mammals into the United States, please include the following information within the *Project Description* section:

1. Locations including country of origin, exporting facility, ports of entry (<https://www.fws.gov/le/designated-ports.html>), and final destination/facility.
2. Identify the animal(s)⁹ to be imported including animal identification, estimated or known age (estimated or known), size, sex, and reproductive condition. You must provide the animal's complete transport history (e.g., NOAA Marine Mammal Data Sheet, Species 360 specimen report, statement from the shipping facility) including dates, the manner and circumstances of transport.
 - a. For wild-caught animal(s):
 - i. Describe how the animal was taken in the country of origin (see Capture section above).
 - ii. Indicate the wild stock and the geographic location the animal was collected from (including latitude/longitude coordinates and waterbody location).
 - iii. Provide documentation that the take was legal in accordance with the capture country's laws.
 - b. For captive-born animals:
 - i. Provide documentation of the animal's birth.
 - ii. Identify the parents of the animal and provide documentation of their origin (e.g., lineage), including the wild stock and geographic location the animals were collected from. Use NOAA ID number if applicable. The purpose of this information is to document that the animal did not originate from a depleted species or stock.
4. Submit a statement and, to the extent practicable, documentation concerning whether the marine mammal to be imported is presently being held in compliance with the laws of the country of exportation.

⁹ Permit holders may not import a marine mammal that is pregnant, lactating, or either unweaned or less than 8 months old, whichever comes later, unless the Office Director determines that such importation is necessary for the protection and welfare of the animal.

5. Provide a statement regarding whether any requested import will likely result in the taking of marine mammals beyond those proposed (i.e., whether marine mammals will be acquired to replace the marine mammals to be imported, or whether the proposed import will result in an increased demand for marine mammals). Provide justification for this statement.
6. If the import is necessary for the protection or welfare of the marine mammals, discuss the circumstances involved and any alternatives considered.

C. Transport

Thoroughly describe your transport procedures, incorporating the following information within the *Project Description* section:

1. Describe the method of transportation to the **receiving facility** (your institution) including but not limited to:
 - a. Mode of transportation and name of transportation company.
 - b. Description of the pen, tank, container, cage, cradle, or other device used (e.g., material of container, dimensions, photos or illustrations).
 - c. Description of climate-control or other environmental parameters.
2. Provide a statement as to who will accompany the animals (i.e., a veterinarian or some similarly qualified persons). Give the name, affiliation, contact information for each person in the Personnel section below.
3. Describe any special care during transport.
4. Include the total transport time and time per each transport leg if stop-overs are included.
5. Describe quarantine procedures and the acclimation plan for the animal(s)/how the animal(s) will be incorporated into your public display program.
6. Name and address of destination facility.
7. Describe the exhibit and the social group for this animal(s) at the destination facility.

Project Supplemental Information

***Status of the Affected Species** (up to 2,000 characters)

- MMPA-depleted and ESA-listed species cannot be captured or imported for public display purposes. This also includes progeny from individuals with this status.
- Indicate the status of the species or stock under the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) - Appendix I, I, or III

Species information is available at the following web sites:

<http://www.nmfs.noaa.gov/pr/species/>

<http://www.fws.gov/>

<http://www.cites.org/>

***Lethal Take** (up to 2,000 characters)

- If authorization for serious injury¹⁰ or mortality¹¹ (accidental/unintentional or humane euthanasia/intentional¹² in the event of an injury or accident) is proposed:
 - What activities could result in mortality?
 - Justify the number of mortalities.
 - How is euthanasia decided, conducted, and who conducts it?
 - What are the protocols for necropsy and carcass disposal?
 - What are the protocols for disposition of dependent pups or calves if lactating females may die as a result of your actions?

***Anticipated Effects on Animals** (up to 64,000 characters)

- Using the **best available science** (i.e., peer-reviewed literature or other cited data sources) and your experience (e.g., personal communication), discuss how each take action and procedure listed in the take table (e.g., capture, transport for long durations) will affect target and non-target animal(s) (short-term and long-term), as applicable.
- Include such things as typical **behavioral and physiological responses**, worst-case responses, % of animals that normally respond, how long it takes for animals to recover, and the time it takes animals to recover from stress of capture or import.

¹⁰ A serious injury is an injury that will more likely than not result in mortality.

¹¹ Caused by the presence or actions of personnel including but not limited to deaths or serious injuries sustained during capture and handling, while attempting to avoid or escape capture, or from injuries sustained during transport.

¹² This includes unintentional euthanasia for humane reasons (e.g., due to serious injury caused during permitted activity).

- As applicable, also include an assessment of such things as:
 - physiological responses to capture and transport
 - recovery from sedation and handling
 - repopulating rookeries/haul outs after flushing
 - post-release and post-transport behavior (immediate and long-term)
- For **novel procedures**, discuss the most likely anticipated responses based on literature from studies on other species, if available.
- Briefly summarize any **mortalities or serious injuries** that have occurred during any previously permitted import or wild capture conducted by your facility and staff identified in the application using the same or similar techniques; include circumstances and cause of death.
- Discuss the anticipated **effects on the species or stock**, especially if mortalities or reproductive effects are possible. On what is your determination based?

**Humane¹³ Take or Import and Measures to Minimize Negative Effects* (up to 64,000 characters)

- **Humane determination:** Explain how you determined your methods involve the least possible degree of pain and suffering possible and why there are no feasible alternative methods to achieve your objectives.
 - Provide any alternatives to the proposed manner of capture and/or transport, and explain why the proposed methods are considered humane.
 - Attach a written statement from the responsible veterinarian certifying that the methods of capture and/or transport, facilities, and methods of care and maintenance will be adequate to ensure the well-being of the animals and will comply with all care and transport standards established under the AWA.
- **Mitigation and monitoring:** You may include mitigation and monitoring protocols here, or in the Project Description section or Anticipated Effects section above. If included in another section, simply reference the section where the following information is found:
 - For each Take Action, Observe/Collect Method, and Procedure, describe your standard **mitigation to avoid or minimize the potential for adverse impacts** identified above.
 - Describe your short- and long-term **post-take or import monitoring** protocols.
 - If monitoring or mitigation is not feasible for specific procedures, species, situations, etc., explain why.

¹³ Humane means using the method that involves the least possible degree of pain and suffering possible.

- **Coordination:** For captures, describe how you collaborate or coordinate with others in your action area or in captivity for your species. Who are they? Explain how this will occur.

Attach a References File

- If applicable, attach a **bibliography** of references cited in this application. Referenced materials must be made available upon request, as needed for evaluation of the application, or preparation of any necessary NEPA analyses.

****Resources Needed to Accomplish Objectives*** (up to 2,000 characters and attach files if necessary)

- Explain how your expertise, facilities, and resources are adequate to accomplish your proposed objectives and activities.
- List relevant proposals, contracts, grant awards, or letters of agreement that would demonstrate financial or logistical resources.
- Indicate the status of any other international, federal, state, or local authorizations you have applied for, secured, or will apply for.

Project Locations

- You will first describe where you plan to work. Then, for each location (identified as a Take Table; see attached example take table), you will use the Take Table to list the species you expect to encounter and the take procedures you will conduct.
- New Location: provide information about one (or more) study areas
 - Import, the General Area = “Captivity”
 - Collection from the wild, the General area = the ocean basin you will be working in; please choose state(s), as applicable.
- Provide Location Details, for imports:
 - Use the text box to detail the country of origin, port of entry, and destination.
- Provide Location Details, for captures:
 - Waterbody: enter names of rivers, estuaries, bays, etc.
 - Latitude and longitude of your project/capture location;
 - Limits of your project area (e.g., to the U.S. EEZ, to the edge of the continental shelf, to 50m depth); and
 - Names of land masses where captures will occur (e.g., islands, rookeries).
- Attach File: For captures, attach a high quality map(s) with the correct scale that clearly shows the capture location and any environmental aspects of interest. If possible, include a shapefile, Google Earth kmz/kml, or ASCII text file with lat/long data and the associated basic metadata with your electronic application submission.

Take Table:

Example take table for Import activities: Import of one bottlenose dolphin from Foreign Country Name to Facility Name, City, State, United States.

Species (common name/ scientific name)	Stock/Listing Unit	Production/ Origin	Lifestage	Sex	Expected Take	Takes Per Animal	Take Action	Observe/Collect Method	Procedures	Details
Bottlenose Dolphin (<i>Tursiops truncatus</i>)	Atlantic Ocean	Captive	Adult	Female	1	1	Captive animals (public display)	Captive	Captive, maintain; Transport	Animal identified as "Rosey" (ID No. XY123; NOA0012345); 15 year old captive born female.

Example table for Capture activities: Proposed captures of up to three bottlenose dolphins in Florida over 2 years.

Species (common name/ scientific name)	Stock/Listing Unit	Origin	Life Stage	Sex	Expected Take	Takes Per Animal	Take Action	Observe/Collect Method	Procedures	Details
Bottlenose Dolphin (<i>Tursiops truncatus</i>)	Indian River Lagoon Estuarine System Stock	Wild	Juvenile	Female	2	1	Removal from wild (permanent)	Net	Captive, maintain; Transport	Two femals over duration of permit
Bottlenose Dolphin (<i>Tursiops truncatus</i>)	Indian River Lagoon Estuarine System Stock	Wild	Juvenile	Male	1	1	Removal from wild (permanent)	Net	Captive, maintain; Transport	One male over duration of permit
Bottlenose Dolphin (<i>Tursiops truncatus</i>)	Indian River Lagoon Estuarine System Stock	Wild	All	Male and Female	10	1	Capture/Handle/Release	Net	Incidental capture	Animals that may be caught with target animals, no sets will be made on groups larger than 4 animals

Species (common name/ scientific name)	Stock/Listing Unit	Origin	Life Stage	Sex	Expected Take	Takes Per Animal	Take Action	Observe/Collect Method	Procedures	Details
Bottlenose Dolphin (<i>Tursiops truncatus</i>)	Indian River Lagoon Estuarine System Stock	Wild	All	Male and Female	40	1	Incidental Harassment	Net	Incidental Harassment	Animals that may be with the target animals, but not caught in the set.
Bottlenose Dolphin (<i>Tursiops truncatus</i>)	Indian River Lagoon Estuarine System	Wild	Juvenile	Male and Female	1	1	Unintentional Mortality	Net	Unintentional Mortality	One mortality over the life of the permit.

Example take table for Import activities:

Species (common name/ scientific name)	Stock/Listing Unit	Production/ Origin	Lifestage	Sex	Expected Take	Takes Per Animal	Take Action	Observe/Collect Method	Procedures	Details
Bottlenose Dolphin (<i>Tursiops truncatus</i>)	Atlantic Ocean	Captive	Adult	Female	1	1	Captive animals (public display)	Captive	Captive, maintain; Transport	Animal identified as "Rosey" (ID No. XY123; NOA); 15 year old captive born female.

Columns you will fill out in the take table:

- 1) **Species:** Please provide the common and scientific name for each species you wish to import or collect from the wild.
- 2) **Listing Unit/Stock:** Please provide the listing unit or stock for your species. You may refer to our website (<http://www.nmfs.noaa.gov/pr/species/mammals/>) for species listed under the MMPA.
- 3) **Production/Origin:** Select Wild, Captive, Rehabilitation Facility, or All, as applicable.
- 4) **Life Stage:** Select from below as appropriate. Include specified ages (including minimum mass/age of pups and calves) if necessary.

Cetacean	Pinniped	
Adult	Adult	Subadult
Adult/Juvenile	All	Unknown
All	Juvenile	Pup
Calf	Juvenile/Subadult	
Juvenile	Non-Adult	
Non-neonate	Non-Pup	
Unknown	Pup/Juvenile	

- 5) **Sex:** If your activity targets only one sex, indicate which. If it targets both and they can be targeted separately, enter separate rows for male and female; otherwise select Male and Female.
- 6) **Expected Take:** This represents a reasonable estimate of the maximum number of individuals you will take or import, annually. For wild captures, you may need to add take rows to account for incidental harassment of non-target species or animals, capture/release of animals that are captured but not selected, or unintentional mortality. If you have questions, contact the Permits Division at 301-427-8401 for guidance.
- 7) **Takes Per Animal:** For animals targeted for import or collection from the wild, the takes per animal would be one (1). If you have other take actions, estimate the number of times the same individual will be taken annually, if known.
- 8) **Take Action:** The “take action” is a generalized overview of how animals will be taken or imported. If more than one action is proposed, you must enter the takes on separate rows.
 - a. For imports, choose “Captive animals (public display)”.
 - b. For collection from the wild, choose “Removal from wild (permanent).” You may also want to consider take rows for harassment (“Harass”) of non-target species/animals or capture and release (Capture/Handle/Release) of animals captured but not selected for public display. In addition, “Unintentional

mortality” may be considered for cases of accidental deaths associated with collection activities.

- 9) **Observe/Collect Method:** Identify the method (e.g., import or capture). Use only one Observe/Collect method per row. If various methods will be used, you must provide take information in separate rows for each observe method.
 - a. For imports, choose “captive.”
 - b. For collections from the wild, choose “net” or “other” as appropriate.
- 10) **Procedures:** Provide specific information on the activities that will be conducted.
 - a. For imports, choose “captive maintain” and “transport.”
 - b. For collections from the wild, choose “captive maintain” and “transport” for the take action associated with removal. If you choose to include harassment, the associated procedure would be “incidental harassment.” Animals captured but not retained, would experience “Incidental harassment” as well. Please note that if you wish to collect data on animals captured but not selected for permanent captivity, you must select the procedures associated with your activities and clearly describe in the narrative. Unintentional mortalities would be matched with “Unintentional mortality.”

National Environmental Policy Act (NEPA) Considerations

In addition to providing information on effects to the target and non-target species in other sections of the application, provide information as requested below on potential environmental effects under NEPA. If you believe any of the criteria are “not applicable” you must explain why.

- 1) If your activities will involve equipment or techniques that are new, untested, or otherwise have unknown or uncertain impacts on the biological or physical environment, please describe the equipment and techniques and provide any information about the use of these in the natural environment. In addition, please discuss the degree to which they are likely to be adopted by others for similar activities or applied more broadly.
- 2) Describe the physical characteristics of your project location, including:
 - a. Whether you will be working in or near unique geographic areas including but not limited to Critical Habitat for endangered or threatened species, Essential Fish Habitat, National Marine Sanctuaries, Marine Protected Areas, State or National Parks, Wilderness Areas, Wildlife Refuges, Wild and Scenic Rivers, etc.
 - b. Next, discuss how your activities could impact the physical environment in those locations, such as by direct alteration of substrate during use of anchoring vessels or buoys, erecting blinds or other structures, or ingress and egress of personnel, and measures you will take to minimize these impacts.
 - c. Is there potential to cause direct or indirect physical, chemical or biological alterations of the waters or substrate, including loss of, or injury to, benthic organisms (e.g., sea grass, corals), prey species and their habitat, and other ecosystem components? Could your actions reduce the quality and/or quantity of Essential Fish Habitat? If so, please provide additional details below:
 - What is the degree of alteration (low, medium, high)?
 - Approximately how much area (square footage) of habitat/substrate (e.g., seafloor, estuary or river bed) will be disturbed?
- 3) Briefly describe important scientific, cultural, or historic resources (e.g., archeological resources, animals used for subsistence, sites listed in or eligible for listing in the National Register of Historic Places) in your project area and discuss measures you will take to ensure your work does not cause loss or destruction of such resources. If your activity will target animals in Alaska or Washington, discuss measures you will take to ensure your project does not adversely affect the availability (e.g., distribution, abundance) or suitability (e.g., food safety) of these animals for subsistence uses.
- 4) Discuss whether your project involves activities known or suspected of introducing or spreading invasive species, intentionally or not, (e.g., transporting animals or tissues, discharging ballast water, use of boats/equipment at multiple sites). Describe measures you would take to prevent the possible introduction or spread of non-indigenous or invasive species, including plants, animals, microbes, or other biological agents.

Project Contacts

Project Contact	Must be named in the permit application	Able to make changes to application, request changes to the permit, and submit reports	Description of qualifications required
Applicant/Permit Holder	✓	✓	✓
Applicant or Responsible Party*	✓	✓	
Principal Investigator	✓	✓	✓
Primary Contact	✓	✓	
Co-Investigator	✓		✓
Veterinarian	✓		✓

* The Applicant or Responsible Party may also be the PI or a CI if participating in the activities; therefore, the description of qualifications is required if they are listed as the PI or a CI.

A project must have a **Responsible Party** if the Applicant/Permit Holder is an organization, institution, or agency. The Responsible Party or Applicant/Permit Holder is an official who has the legal authority to bind the organization, institution, or agency and is ultimately responsible for the activities of any individual operating under the authority of the permit.

The Primary Contact is the person who we contact with questions or updates about the application. This may be the registrar or other person responsible for maintaining the marine mammal inventory records at the facility. Please include full name, title, and contact info for this person.

The **Principal Investigator (PI)** is the individual primarily responsible for the take or import, and any related activities conducted under the permit, such as the curator. There can only be one PI on a permit. The PI:

- must have qualifications, knowledge and experience relevant to the activities authorized by the permit
- must be on site during activities conducted under the permit unless a Co-Investigator is present to act in place of the PI
- may also be the Applicant/Permit Holder and Primary Contact.

Co-investigators (CIs) are individuals who are qualified and authorized to conduct or directly supervise activities conducted under a permit without the on-site supervision of the PI, such as the team lead overseeing the transport.

- You may add CIs to the application if the PI will not always be present during the permitted activities.
- CIs can also be added or removed once a permit has been issued.

Veterinarian is the veterinarian of record who is responsible (1) for overseeing the medical care of the animal(s) being imported or collected from the wild and (2) providing the written statement (required in the project description) certifying that the methods of import/capture and post-import/capture care will be adequate to ensure the well-being of the animal(s).

Include a table listing the names of the PI and CIs, and the specific procedures they will oversee or conduct.

Example Table Attachment: Personnel Roles

Name/Affiliation	Role	Activities
Name, Affiliation, City, State	Principal Investigator, Co-investigator	Specific activities they will conduct under the permit and whether they are supervising
John Doe, Institution A, City, State	Responsible Party	Director of Institution A
John Smith, Ph.D., Institution A, City, State	Principal Investigator	Supervise and perform all activities under the permit
Jane Smith, D.V.M., Institution A, City, State	Veterinarian	Attending veterinarian
Jane Doe, Ph.D., Institution A, City, State	Co-investigator	Team lead overseeing the transport

Qualifications and Experience

Federal Regulations require that persons authorized as the PI or CIs have qualifications commensurate with their duties. In addition, the names of the PI and CIs are sent to the NOAA Office of Law Enforcement to determine if any violations of the MMPA or ESA and other environmental laws have occurred.

The permit applicant is therefore required to submit the following information about the qualifications and experience of the PI and all CIs to demonstrate they have qualifications commensurate with their duties as stipulated in the Personnel Table. **A CV or resume must be up to date and contain all relevant information below.** If sufficient experience is not provided, additional information will be required and the personnel will not be authorized to conduct the proposed activities unless sufficient experience is demonstrated.

- 1) **Contact information** - All documentation submitted will be publicly available. **DO NOT include personal information** (e.g., social security number, date of birth, nationality, or home phone/ address-unless it is also the business phone/address).
 - Name (first middle last)
 - Business phone, e-mail, and mailing address
- 2) **Relevant education and training**
 - Degree, major, name of institution, year received

- Applicable certificates or licenses, year received
- Other relevant training or certification, year received

3) **Relevant experience**

- Job title, affiliation/location, and dates of relevant experience
- Detailed description of when and how the individual obtained training and experience in the methods they will be conducting and/or supervising as outlined in the Personnel Table. This should include objective metrics such as:
 - The specific level of training received
 - The number of hours/months/years they have been performing the activities (e.g., number of transports/captures participated in)
 - Which and how many procedures (e.g., transports, captures) they have performed successfully and on what species/age class
 - Whether and to what extent they have performed the activities without supervision or supervised the proposed activities (e.g., number of transports/captures)

Submit Application

Submit an electronic copy of the application by Email: nimm.inventory@noaa.gov.

Additional Information

Under section 104(c) of the MMPA, persons may be authorized to take or import marine mammals for public display purposes. Interested persons are required to submit an application in accordance with the Acts and the implementing regulations at 50 CFR part 216, subpart D. These instructions for applying for a public display permit are drawn from, but do not substitute for, the MMPA and MMPA regulations. These regulations are available at the following web site: <http://www.gpo.gov/>. MMPA section 104 is available at: <http://www.nmfs.noaa.gov/pr/pdfs/laws/mmpa104.pdf>. Under NEPA, Federal agencies must assess the effects of federal actions on the environment.

Paperwork Reduction Act Statement

The information requested in this application is required and is used to determine whether the activities described in the application are consistent with the purposes and policies of the Acts and their implementing regulations.

Public reporting burden for this collection of information is estimated to average 30 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Chief, Permits and Conservation Division, Office of Protected Resources, F/PR1, NOAA/National Marine Fisheries Service, 1315 East-West Highway, Silver Spring, MD 20910.

All permit documentation, including the application, permit and amendments, reports, inventory information, and any other associated documents are considered public information and as such, are subject to the Freedom of Information Act.

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

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Expires: 12/31/2019