

Appendix

IV

Personnel Definitions for Permits

Applicant/Permit Holder – The person, institution, or agency that is ultimately responsible for all activities of any individual who is operating under the authority of the permit. Where the Permit Holder is an institution or agency, the **Responsible Party** is the official who has the legal authority to bind the organization (see definition below).

Note: The Applicant becomes the Permit Holder once a permit is issued. There can be only one Applicant/Permit Holder. Permits are not transferable from one Permit Holder to another and the Applicant/Permit Holder cannot be changed. In many cases, the Applicant/Permit Holder may be the same as the Principal Investigator (PI) and/or Primary Contact.

Responsible Party – This role is only used if the **Applicant/Permit Holder** is designated as an agency or organization. The Responsible Party is an official who has the legal authority to bind the organization, institution, or agency that is ultimately responsible for all activities of any individual who is operating under the authority of the permit.

Note: Where an applicant for a permit is an organization, institution, or agency rather than an individual, the application and permit must be signed by the Responsible Party. An example is that the Responsible Party for a National Marine Fisheries Service (NMFS) Science Center is the Center Director. The Responsible Party can change with approval from the agency issuing the permit.

Principal Investigator (PI) - The individual primarily responsible for the taking, importation, exportation, and any related activities conducted under a permit issued for scientific research or enhancement purposes. The PI must have qualifications, knowledge and experience relevant to the type of research activities authorized by the permit.

Note: The PI must be on site during any activities conducted under the permit unless a **Co-Investigator** is present to act in place of the PI. There can be only one PI on a permit. The PI may also be the Applicant/Permit Holder and Primary Contact. Because the PI supervises the research, NMFS requires that the PI submit a CV/resume.

Co-investigator (CI) – Individuals who are qualified and authorized to conduct or directly supervise activities conducted under a permit issued for scientific research or enhancement purposes without the on-site supervision of the **PI**.

Note: CIs assume the role and responsibility of the PI in the PI's absence. There can be numerous CIs designated under a single permit. The CI is authorized to work independently in the field or lead a field crew. For example, there could be separate CIs in charge of distinct activities/projects under a permit, or responsible for distinct geographic areas under a permit. Because a CI can supervise research, NMFS requires that a CV/resume be provided for each CI. There can be only one PI per application. If a project has multiple principals, one person must be assigned the PI role and the others assigned CI roles.

Primary Contact – The person primarily responsible for correspondence during the permit review process and after a permit is issued.

Note: The Primary Contact may be separate from or hold any other role on the permit (Applicant/Permit Holder, PI, etc.). While the Primary Contact may engage in correspondence on behalf of the Applicant/Permit Holder (such as providing minor clarifications for information in the application, making inquiries as to the status of an application and the application process, and submitting reports on behalf of the Applicant/Permit Holder), any substantive changes or requests for modifications must be submitted by the Applicant/Permit Holder or PI.

Veterinarian – A licensed veterinarian who will be present to perform or oversee veterinary or research procedures during permitted activities.

Note: NMFS does not always require a veterinarian to be listed on a permit, but some activities may require the presence of a vet or identification of a vet available for emergencies.