U.S. Department of the Interior
PRIVACY THRESHOLD ANALYSIS

The DI-4012 Privacy Threshold Analysis (PTA) form helps Department of the Interior (DOI) Privacy Officials determine whether a new or revised Privacy Impact Assessment (PIA) is required in accordance with the E-Government Act, OMB policy, and the DOI PIA Guide, and identify other related compliance requirements for the collection, maintenance, storage, use, processing, sharing or disposal of personally identifiable information (PII) and any activities that may have privacy implications or otherwise impact individual privacy. See the DOI PTA Guide for guidance on completing the PTA. PTAs must be completed and submitted to the appropriate Bureau/Office Associate Privacy Officer for review and compliance determination. Bureau/Office Associate Privacy Officers are responsible for overseeing and managing PTAs for their organizations.

Section 1. General Information

Question	Response
A. Project, Program or System Name: *Provide the name for the project, program or system for the PTA, which may be an IT system, a project title, program area, information collection, or other technology.*	Science communication strategies related to mining activities
B. Bureau or Office: *Enter the bureau or office for the project, program or system.*	U.S. Geological Survey
C. Program or Office: *Provide the name of the program or office within the bureau/office.*	Fort Collins Science Center
D. Project/Program Manager or System Owner: *Enter the name, title, phone number, and email address of the Program Manager or System Owner.*	Name: Rudy Schuster Title: Supervisory Social Scientist Phone: 970-219-0163 E-mail: schusterr@usgs.gov
E. Routing Information: *Indicate whether this is a new or updated PTA and enter the date the PTA was completed and submitted to the APO for privacy determination.*	_X__ New PTA ___ Updated PTA Date of Submission:

Section 2. Project, Program or System Summary

Question	Response
A. General description of the project, program or system. *Please provide a description of the project or program, including any background information to help understand the project, program or system. If this is an updated PTA, please describe the changes that triggered the update to this PTA. Please also indicate if the PTA is being updated as part of its annual review.*	The USGS is collaborating with the Arizona State University to collect feedback on USGS science communication. Interviews are being conducted by the Arizona State University and will be recorded (audio). The anticipated benefits to USGS of this information collection are: 1) to improve communication of science to non-scientists; 2) create new communication platforms designed to engage a wider audience and increase the reach and impact of our science; 3) engage and enhance engagement of underrepresented or marginalized populations in the Desert Southwest; 4) streamline USGS communication to non-technical audiences; and 4) increase the reach and impact of USGS science and societal relevance of USGS. The information will be collected using virtually conducted interviews. The interview protocol consists of a series of open-ended questions that will be asked of the respondent. There are two versions of the interview questions: one for one for mining professionals, and one for the general public. A third version of the questions will be used for federal employees and is not subject to review.
B. What is the technology or format used for the Project, Program or System? *Select all types of technology or sources that apply for the PII that will be collected from or maintained on individuals, including methods such as a paper or electronic form or survey, website collection, social media, or interviews over the phone or in person.*	___ IT System _X__ New Project or Program ___ Website ___ Web Form, Survey or Information Collection ___ Third-Party Website ___ Social Media Application ___ SharePoint ___ Mobile Application ___ Closed Circuit Television (CCTV) ___ Paper-based Collection ___ Other: *Describe.*

C. Does this project, program or system involve a form, survey or information collection? *If this project, program or system uses a form, survey, or other information collection, select "Yes" and describe the specific method or format used. Include titles and numbers or other identifying information.*	__X_ Yes. Recorded interviews ___ No
D. Is Office of Management and Budget (OMB) approval required for the collection? *OMB approval is required for certain collections of information from ten or more members of the public under the Paperwork Reduction Act.*	_X__ Yes: OMB review is pending. ___ No

Section 3. Personally Identifiable Information

Question	Response
A. What categories of individuals does the Project, Program or System collect, maintain, store, use, process, disseminate or dispose of PII? Please select all that apply. *Indicate whether the project, program or system collects, contains, uses or disseminates PII information about members of the general public, Federal employees, contractors, or volunteers; or if the system does not contain any information that is identifiable to individuals (e.g., statistical, geographic, financial).*	_X__ Federal employees ___ Contractors __X_ Members of the public ___ Other: *Describe.* ___ This project, program or system does not collect, maintain or process PII
B. What specific information about individuals will be created, collected, used, processed, maintained or disseminated? *Describe all the types of information about individuals that will be created, collected, used, processed, maintained, or disseminated. Include any new information that may be created, such as an analysis or report. Describe the purpose of that collection or use of information.*	Voice recordings will be made. No personal information is requested or required from the respondents. All the interview participants' privacy will be observed at all times and their names will be kept anonymous. Interview participants will be able to stop the interview at any point. And, the respondents will have a choice to skip any questions that they do not wish to answer. For security reasons, transcripts will be analyzed on computers that are password protected and securely linked to the internal secure servers. Recordings would be destroyed after the transcribing. Data from the interviews will be reported only in aggregate to protect individual confidentiality. While interviews will be audio recorded, participants will be able to stop the interview or the recording of the interview at any point. They can ask that the interview not to be used after we have finished. Additionally, any information that interviewees wish to be removed from the interview will be erased from the recording and will not be included in research outputs. For the transcripts, the potentially identifiable information (names, surnames, email addresses, departments) will be removed by the research team and replaced with unique, randomly generated IDs to maintain participants' confidentiality.
C. Is information retrieved by a unique identifier assigned to the individual? *Describe how information is retrieved for the project, program or system.*	___ Yes __X_ No. Voice recordings of the respondents will be de-identified.

Question	Response
D. Is the information covered by a System of Records Notice (SORN)? *The Privacy Act requires that agencies publish a SORN in the Federal Register upon the establishment of a new, or modification of an existing, system of records. For new SORNS being developed, select "Yes" and provide a detailed explanation. For existing systems of records, identify the applicable government-wide, DOI, or bureau SORN(s) that covers the system of records with the SORN identifier and Federal Register citation.*	___ Yes _X__ No. Responses will not be part of a Privacy Act system of records.
E. Does the Project, Program or System collect or use Social Security Numbers (SSNs)? *List the statutory and regulatory authority and Executive Orders that authorizes the collection or use of SSNs to meet an official program mission or goal.*	___ Yes _X__ No
F. Does this Project, Program or System receive or share PII with any other internal DOI programs or systems? *Indicate whether PII will be shared with or from internal organizations within DOI.*	___ Yes __X_ No. Project data (recordings) will not be shared beyond the project team.
G. Does this Project, Program or System receive or share PII with any external (non-DOI) partners or systems? *Indicate whether PII will be shared with agencies or organizations external to DOI. This could be other federal, state and local government agencies, private sector entities, contractors or other external third parties. For Privacy Act systems, identify the applicable SORN and describe how an accounting of the disclosure is maintained.*	_X__ Yes. The interviews (recordings) are conducted and maintained by Arizona State University as a USGS partner in this project. ___ No

Question	Response
H. Is this external sharing pursuant to new or existing information sharing agreement (Memorandum of Understanding, Memorandum of Agreement, Letters of Intent, etc.)? *Information sharing agreements are generally documented in Memorandums of Understanding, Memorandums of Agreement, Letters of Intent, or other documents, and outline the purpose, roles of the parties, data ownership, authorized uses, policy, scope, standards, procedures, practices, limitations on re-dissemination, and safeguard requirements for the transfer, maintenance and disposal of PII to ensure all parties understand and adhere to the mutually established terms of the agreement.*	_X__ Yes: The work is being conducted through a cooperative agreement between the USGS and Arizona State University. ___ No

Section 4. PTA Review and Recommendation

Question	Response
Privacy Compliance Determination: *This determination is to be completed by the Associate Privacy Officer (APO). See DOI PTA Guide, DOI PIA Guide, related Federal laws and policies, and Departmental guidance on privacy requirements.*	__X_ PTA is sufficient at this time ___ Privacy Impact Assessment (PIA) required ___ Adapted PIA required ___ System of Records Notice (SORN) required ___ Notice of Proposed Rulemaking/Final Rule required ___ Computer Matching Notice required ___ Computer Matching Agreement required ___ Privacy Act Statement required ___ Privacy Notice required ___ Specialized role-based training required ___ Information sharing agreement required ___ Further privacy compliance review is required ___ Refer for Security Compliance Assessment ___ Refer for Information Collection Clearance Review ___ Refer for Records Review ___ Other: *Describe.*
Bureau Associate Privacy Officer Comments: *Provide comments or additional guidance on privacy compliance requirements.*	PTA is sufficient at this time. The only PII collected from respondents is their voice recording. No other PII is requested or required. During the course of the survey, respondents may include identifiable information or personal information in their response. The project team has procedures in place to ensure PII/personal information is deidentified and will not be disclosed without authorization from the individual. The system owner must ensure access controls are in place to protect the PII collected. Access to stored PII should be restricted to personnel who require the data in performance of official duties and responsibilities. If PII data is lost or compromised, it must be reported in accordance with procedures in the DOI Privacy Breach Response Plan (Section 5.0 – Reporting a Suspected or Confirmed Breach of PII). If additional PII elements are collected or new collections of PII are initiated, the project must be reassessed to ensure the it remains in compliance with Federal privacy regulations and Departmental policies.
Associate Privacy Officer Name:	
Bureau/Office:	USGS
Date:	August 31, 2023

DOI Privacy Office Comments