



## U.S. Department of the Interior

### PRIVACY IMPACT ASSESSMENT

#### Introduction

The Department of the Interior requires PIAs to be conducted and maintained on all IT systems whether already in existence, in development or undergoing modification in order to adequately evaluate privacy risks, ensure the protection of privacy information, and consider privacy implications throughout the information system development life cycle. This PIA form may not be modified and must be completed electronically; hand-written submissions will not be accepted. See the DOI PIA Guide for additional guidance on conducting a PIA or meeting the requirements of the E-Government Act of 2002. See Section 6.0 of the DOI PIA Guide for specific guidance on answering the questions in this form.

NOTE: See Section 7.0 of the DOI PIA Guide for guidance on using the DOI Adapted PIA template to assess third-party websites or applications.

Name of Project

Assessing Public Views of Waterfowl-Related Topics to Inform the North American Waterfowl Manage

Bureau/Office

U.S. Geological Survey

Bureau/Office Contact Title

Social Scientist

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#### Section 1. General System Information

A. Is a full PIA required?

Yes

Yes, information is collected from or maintained on

Members of the general public

B. What is the purpose of the system?

The purpose of the system is to store data which will be collected from a mail survey of approximately 1,200 members of the general public conducted by the Social and Economic Analysis Branch, Fort Collins Science Center, U.S. Geological Survey. The survey will assess the general public's awareness and perceptions of waterfowl and wetlands, as well as measure participation in recreational activities, conservation behaviors, how the public obtains information on nature-related issues, and demographics. It is being conducted to inform future revisions of the North American Waterfowl Management Plan (NAWMP), an international agreement signed by the United States Secretary of the Interior, the

Canadian Minister of the Environment, and the Mexican Secretary of the Environment and Natural Resources. NAWMP lays out a strategy to restore waterfowl populations through habitat protection, restoration, and enhancement. The 2012 revised goals of NAWMP focused for the first time on people as well as waterfowl and their habitats. Specifically, the plan states that “The needs and desires of people [as they relate to waterfowl] must be clearly understood and explicitly addressed” and calls for more human dimensions research with waterfowl hunters, viewers, and the general public. The plan recognizes the interconnectedness of waterfowl, their habitat, and stakeholders. Without human dimensions information, NAWMP objectives may not reflect stakeholder and societal values, and management and policy decisions may lead to actions that could be either irrelevant or counter to stakeholder and societal expectations.

The U.S. Geological Survey (USGS) Ecosystems Mission Area is funding this effort as it aligns with their mission to “work with others to provide the scientific understanding and technologies needed to support the sound management and conservation of our Nation's biological resources.” Specifically, the Ecosystems Mission Area “enters into partnerships with scientific collaborators to produce high-quality scientific information and partnerships with the users of scientific information to ensure this information's relevance and application to real problems.” The project also supports the Department of Interior's mission to “protect and manage the Nation's natural resources and cultural heritage” and to “provide scientific and other information about those resources.”

C. What is the legal authority?

The Fish and Wildlife Act of 1956 (16 U.S.C. 742(a)-742d, 742e-742j-2) “authorizes the Secretary of the Interior to take steps required for the development, management, advancement, conservation, and protection of fisheries and wildlife resources through research, acquisition of refuge lands, development of existing facilities, and other means.” Additionally, the Migratory Bird Treaty Act of 1918 (16 U.S.C. 703-711) specifically “establishes Federal responsibility for protection and management of migratory and nongame birds,” which includes waterfowl. As NAWMP directly impacts the management and conservation of wildlife, specifically waterfowl, and their habitats, research, including the collection of data, to support NAWMP objectives is authorized by these acts.

D. Why is this PIA being completed or modified?

New Information System

E. Is this information system registered in CSAM?

No

F. List all minor applications or subsystems that are hosted on this system and covered under this privacy impact assessment.

Subsystem Name	Purpose	Contains PII	Describe
None	NA	No	

G. Does this information system or electronic collection require a published Privacy Act System of Records Notice (SORN)?

Yes

List Privacy Act SORN Identifier(s)

National Water Information System (NWIS)—Interior, GS--1

H. Does this information system or electronic collection require an OMB Control Number?

Yes

Describe

This survey will ask the same set of questions of more than 9 members of the general public and thus requires OMB clearance.

**Section 2. Summary of System Data**

A. What PII will be collected? Indicate all that apply.

- |  |   |  |
|--|---|--|
| <input checked="" type="checkbox"/> Name       | <input type="checkbox"/> Religious Preference             | <input type="checkbox"/> Social Security Number (SSN)    |
| <input type="checkbox"/> Citizenship           | <input type="checkbox"/> Security Clearance               | <input type="checkbox"/> Personal Cell Telephone Number  |
| <input checked="" type="checkbox"/> Gender     | <input type="checkbox"/> Spouse Information               | <input type="checkbox"/> Tribal or Other ID Number       |
| <input checked="" type="checkbox"/> Birth Date | <input checked="" type="checkbox"/> Financial Information | <input type="checkbox"/> Personal Email Address          |
| <input type="checkbox"/> Group Affiliation     | <input type="checkbox"/> Medical Information              | <input type="checkbox"/> Mother's Maiden Name            |
| <input type="checkbox"/> Marital Status        | <input type="checkbox"/> Disability Information           | <input type="checkbox"/> Home Telephone Number           |
| <input type="checkbox"/> Biometrics            | <input type="checkbox"/> Credit Card Number               | <input type="checkbox"/> Child or Dependent Information  |
| <input type="checkbox"/> Other Names Used      | <input type="checkbox"/> Law Enforcement                  | <input type="checkbox"/> Employment Information          |
| <input type="checkbox"/> Truncated SSN         | <input checked="" type="checkbox"/> Education Information | <input type="checkbox"/> Military Status/Service         |
| <input type="checkbox"/> Legal Status          | <input type="checkbox"/> Emergency Contact                | <input checked="" type="checkbox"/> Mailing/Home Address |
| <input type="checkbox"/> Place of Birth        | <input type="checkbox"/> Driver's License                 |  |
| <input type="checkbox"/> Other                 | <input checked="" type="checkbox"/> Race/Ethnicity        |  |

B. What is the source for the PII collected? Indicate all that apply.

- |  |  |  |                                       |
|--|--|--|---------------------------------------|
| <input checked="" type="checkbox"/> Individual | <input type="checkbox"/> Tribal agency | <input type="checkbox"/> DOI records                   | <input type="checkbox"/> State agency |
| <input type="checkbox"/> Federal agency        | <input type="checkbox"/> Local agency  | <input checked="" type="checkbox"/> Third party source | <input type="checkbox"/> Other        |

C. How will the information be collected? Indicate all that apply.

- |  |   |                                |   |
|--|---|--------------------------------|---|
| <input checked="" type="checkbox"/> Paper Format | <input type="checkbox"/> Face-to-Face Contact | <input type="checkbox"/> Fax   | <input type="checkbox"/> Telephone Interview                |
| <input type="checkbox"/> Email                   | <input type="checkbox"/> Web Site             | <input type="checkbox"/> Other | <input type="checkbox"/> Information Shared Between Systems |

D. What is the intended use of the PII collected?

A random list of names and mailing addresses will be obtained from a third party in order to send out surveys to a representative sample of the general public. Names and addresses will not be used for any other purposes other than mailing surveys.

The PII collected on the survey will be used to determine if certain groups within the general public differ statistically in regards to the activities and issues asked about on the survey. Standard demographics such as gender, education level, income, and race/ethnicity will be asked to enable analysis by group of other variables on the survey, including awareness and perceptions of waterfowl and wetlands, participation in recreational activities, conservation behaviors, and how the public obtains information on nature-related issues. For example, one analysis will determine if there is a statistically significant difference between the percentages of men and women participating in certain recreation activities, such as hunting, fishing, and wildlife viewing. All analyses will be conducted using aggregated data; at no time will any analysis be conducted on data from a single individual. These analyses will help NAWMP better understand and meet the needs of different groups of stakeholders.

E. With whom will the PII be shared, both within DOI and outside DOI? Indicate all that apply.

- Within the Bureau/Office

Describe the bureau or office and how the data will be used.

The Social and Economic Analysis Branch, Fort Collins Science Center, U.S. Geological Survey, leads projects that integrate social, behavioral, economic, and natural science in the context of human-natural resource interactions. Our research provides scientific understanding and support for the management and conservation of our natural resources in support of multiple agency missions. The research team for this survey is contained within the Social and Economic Analysis Branch and the data will not be shared outside of the branch.

The PII collected on the survey will be used to determine if certain groups within the general public differ statistically in regards to the activities and issues asked about on the survey. Standard demographics such as gender, education level, income, and race/ethnicity will be asked to enable analysis by group of other variables on the survey, including awareness and perceptions of waterfowl and wetlands, participation in recreational activities, conservation behaviors, and how the public obtains information on nature-related issues.

- Other Bureaus/Offices
- Other Federal Agencies
- Tribal, State or Local Agencies
- Contractor
- Other Third Party Sources

F. Do individuals have the opportunity to decline to provide information or to consent to the specific uses of their PII?

Yes

Describe the method by which individuals can decline to provide information or how individuals consent to specific uses.

All responses to the survey are voluntary. No individuals are required to answer the questions. A cover letter will be included with every survey which clearly states there is no requirement to respond to the survey, as well as what the data collected will be used for. In addition, the survey itself will have a statement on it with the same information. All the data will be used in the same way; there are no specific uses beyond informing the North American Waterfowl Management Plan.

G. What information is provided to an individual when asked to provide PII data? Indicate all that apply.

- Privacy Act Statement       Privacy Notice       Other       None

Describe each applicable format.

On every survey, we will include this statement:

Privacy Act Statement

AUTHORITY: The Fish and Wildlife Act of 1956 (16 U.S.C. 742(a)-742d, 742e-742j-2)

PRINCIPAL PURPOSE: The survey will assess the general public's awareness and perceptions of waterfowl and wetlands, as well as measure participation in recreational activities, conservation behaviors, how the public obtains information on nature related issues, and demographics. It is being conducted to inform future revisions of the North American Waterfowl Management Plan (NAWMP), an international agreement signed by the United States Secretary of the Interior, the Canadian Minister of the Environment, and the Mexican Secretary of the Environment and Natural Resources.

ROUTINE USE: The PII collected on the survey will be used to determine if certain groups within the general public differ statistically in regards to the activities and issues asked about on the survey. Standard demographics such as gender, education level, income, and race/ethnicity will be asked to enable analysis by group of other variables on the survey, including awareness and perceptions of waterfowl and wetlands, participation in recreational activities, conservation behaviors, and how the public obtains information on nature-related issues.

DISCLOSURE IS VOLUNTARY: All responses to the survey are voluntary. No individuals are required to answer the questions.

H. How will data be retrieved? List the identifiers that will be used to retrieve information (e.g., name, case number, etc.).

Data will be retrieved from the system manually through aggregate analyses run in SPSS, a statistical program. Each set of an individual's responses to the survey will be identified by an ID number (not by PII) but there will be no retrieval of individual data, only data in aggregate.

I. Will reports be produced on individuals?

No

### Section 3. Attributes of System Data

A. How will data collected from sources other than DOI records be verified for accuracy?

Since this survey will be confidential, no names or addresses will be associated with the data. As such, verifying

individual data for accuracy and reliability cannot (and should not) be done if confidentiality is to be maintained. Verifying the accuracy and reliability of the aggregate data will be done through comparison with U.S. Census data. By statistically comparing the demographic variables from the survey and the Census, the representativeness of the sample can be determined.

B. How will data be checked for completeness?

All data will be quality controlled by a project researcher who will look at each record to check for completeness.

C. What procedures are taken to ensure the data is current? Identify the process or name the document (e.g., data models).

The data will be collected only once and is only intended to be representative for that point in time. The month and year the data are collected will be clear in all file names. Reporting on the results of the data will take place within a year's time of the collection of the data and further reporting will not be needed. The data are not connected to other data through a warehouse or other system so how current the data are will not affect other data.

D. What are the retention periods for data in the system? Identify the associated records retention schedule for the records in this system.

Under the USGS General Records Disposition Schedule 101-02, the retention period for these data is 7 years or when superseded, obsolete, or no longer needed, whichever is later.

E. What are the procedures for disposition of the data at the end of the retention period? Where are the procedures documented?

At the end of the retention period, any paper copies of data will be shredded and disposed of by a company certified in disposing of PII. Because this is research data, all electronic files containing data from the survey will remain stored on secure servers as reference materials until no longer needed by the researchers. All other electronic files will be deleted.

F. Briefly describe privacy risks and how information handling practices at each stage of the "information lifecycle" (i.e., collection, use, retention, processing, disclosure and destruction) affect individual privacy.

During collection, tracking survey completions is necessary when following standard mail survey protocols, since individuals are sent multiple mailings to give them ample opportunity to complete the survey if they wish. If an individual has already completed the survey or requests to be taken off the mailing list, no further mailings are sent to them. In order to track completions and removal requests, each individual's name and mailing address will be assigned an ID number and stored in a password-protected file on a USGS secure server. The list of random numbers is then loaded into a separate password-protected file on a USGS secure server so the completed surveys can be tracked by the number (names and addresses are not used for tracking). The surveys sent to individuals will have ID numbers on them, but no other identifying information. Completed surveys are returned to the research team in business reply envelopes so they do not have names and addresses on them. Once the surveys are returned, the data on the survey is entered into another password-protected file which does not have the names, addresses, or ID number in it. The paper copies of the surveys are kept in locked filing cabinets in a locked room in a USGS secure facility (a USGS Federal ID badge is required to enter the building without an escort) for the duration of the collection. All electronic files will be password-protected and stored on USGS secure servers.

During use, only members of the USGS research team will have access to the files and will be conducting analyses on the data.

During retention, all electronic files will be password-protected and stored on USGS secure servers. Once collection is finished, all paper copies of data will be moved to a locked storage room in a secure USGS facility, accessible only by the USGS research team.

Additional processing beyond the analyses of the data will not be done.

During disclosure, the data will only be presented in summaries as results of the analyses done by the research team. A USGS report and journal articles are planned to report the results of the survey outside of the Department. There are no risks associated with this reporting as no individual PII will be included. In the event of a Freedom of Information Act request for the original data, the disclosure of PII gathered on the survey will be evaluated at that time to determine if it should be included with the data. Names and addresses of the survey respondents would not be included in any FOIA request in order to maintain confidentiality.

During destruction, all paper copies of the data will be shredded and disposed of by a company certified in disposing of PII. All electronic files (copies of files or working files) which are not final versions of the data set or reporting out will be deleted. All other electronic files will remain password-protected, stored on USGS secure servers, and only accessible to the USGS research team.

#### Section 4. PIA Risk Review

A. Is the use of the data both relevant and necessary to the purpose for which the system is being designed?

Yes

Explanation

The system is designed solely to house the data collected on the survey and the purpose of collecting the data is to use it to assess the general public's awareness and perceptions of waterfowl and wetlands, as well as measure participation in recreational activities, conservation behaviors, how the public obtains information on nature-related issues, and demographics and to inform future revisions of NAWMP.

This information collection effort is relevant to the U.S. Geological Survey (USGS) Ecosystems Mission Area's mission to "work with others to provide the scientific understanding and technologies needed to support the sound management and conservation of our Nation's biological resources." Specifically, the Ecosystems Mission Area "enters into partnerships with scientific collaborators to produce high-quality scientific information and partnerships with the users of scientific information to ensure this information's relevance and application to real problems." The project also supports the Department of Interior's mission to "protect and manage the Nation's natural resources and cultural heritage" and to "provide scientific and other information about those resources."

B. Does this system or electronic collection derive new data or create previously unavailable data about an individual through data aggregation?

No

C. Will the new data be placed in the individual's record?

No

D. Can the system make determinations about individuals that would not be possible without the new data?

No

E. How will the new data be verified for relevance and accuracy?

Since this survey will be confidential, no names or addresses will be associated with the data. As such, verifying individual data for accuracy cannot (and should not) be done if confidentiality is to be maintained. Verifying the accuracy of the aggregate data will be done through comparison with U.S. Census data. By statistically comparing the demographic variables from the survey and the Census, the representativeness of the sample can be determined. Standard survey practices will be followed to ensure the sample is representative, including beginning with a random sample of the general public and mailing multiple surveys and reminder postcards to improve the response rate. If the sample is found to not be representative of the population, the data will be weighted using the U.S. Census data to ensure the results of the analyses are valid. The data is inherently relevant since the survey is designed to provide information specific to NAWMP's objectives.

F. Are the data or the processes being consolidated?

No, data or processes are not being consolidated

G. Who will have access to data in the system or electronic collection? Indicate all that apply.

- Users  Developers  System Administrator  
 Contractors  Other

H. How is user access to data determined? Will users have access to all data or will access be restricted?

All access to the data will be restricted to the USGS research team, a group of 7-8 users. Of the research team, two will be undergraduate students, responsible for tracking survey completions and entering survey data. Neither will have access to the data, only to forms where the data is entered. Once survey administration is finished, they will no longer have access to any of the data. At that point, the rest of the team will be analyzing the survey data as needed. Only the research project leader will have access to the files which contain names and addresses; the other researchers will have access to only the data collected on the survey.

The local system administrator at the Fort Collins Science Center would have access to any files which are not password-protected but all files containing PII will be password-protected.

I. Are contractors involved with the design and/or development of the system, or will they be involved with the maintenance of the system?

No

J. Is the system using technologies in ways that the DOI has not previously employed (e.g., monitoring software, SmartCards or Caller ID)?

No

K. Will this system provide the capability to identify, locate and monitor individuals?

Yes

Explanation

The system has the ability to identify and monitor individual's actions in a system through server logs which record log on attempts, user names, files accessed, dates and times of access, and success or failure of actions taken. For example, if an individual attempts to access a password-protected file and fails, that action is logged. The system will only track the USGS researchers using the data. There is no public access.

L. What kinds of information are collected as a function of the monitoring of individuals?

Log on attempts, user names, files accessed, dates and times of access, and success or failing of actions taken are all collected.

M. What controls will be used to prevent unauthorized monitoring?

Business rules, internal instructions, Privacy Act Warning notices, audit logs, and least privileges are all in place. For example, all users see a banner when they log in consenting to monitoring and warning of unauthorized access. Users also do not have administrative privileges, though the system administrator does. Additionally, as described previously, server logs are kept but are only accessible by the system administrator.

N. How will the PII be secured?

(1) Physical Controls. Indicate all that apply.

- |  |  |   |  |
|--|--|---|--|
| <input type="checkbox"/> Security Guards                 | <input checked="" type="checkbox"/> Secured Facility | <input checked="" type="checkbox"/> Identification Badges | <input type="checkbox"/> Combination Locks         |
| <input type="checkbox"/> Key Cards                       | <input type="checkbox"/> Closed Circuit Television   | <input type="checkbox"/> Safes                            | <input checked="" type="checkbox"/> Locked Offices |
| <input checked="" type="checkbox"/> Locked File Cabinets | <input type="checkbox"/> Cipher Locks                | <input type="checkbox"/> Other                            |  |

(2) Technical Controls. Indicate all that apply.

- |   |   |
|---|---|
| <input checked="" type="checkbox"/> Password            | <input type="checkbox"/> Intrusion Detection System (IDS)             |
| <input checked="" type="checkbox"/> Firewall            | <input type="checkbox"/> Virtual Private Network (VPN)                |
| <input type="checkbox"/> Encryption                     | <input type="checkbox"/> Public Key Infrastructure (PKI) Certificates |
| <input checked="" type="checkbox"/> User Identification | <input type="checkbox"/> Personal Identity Verification (PIV) Card    |
| <input type="checkbox"/> Biometrics                     |   |
| <input type="checkbox"/> Other                          |   |

(3) Administrative Controls. Indicate all that apply.

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> Periodic Security Audits | <input checked="" type="checkbox"/> Regular Monitoring of Users' Security Practices                |
| <input type="checkbox"/> Backups Secured Off-site            | <input checked="" type="checkbox"/> Methods to Ensure Only Authorized Personnel Have Access to PII |
| <input checked="" type="checkbox"/> Rules of Behavior        | <input type="checkbox"/> Encryption of Backups Containing Sensitive Data                           |
| <input checked="" type="checkbox"/> Role-Based Training      | <input checked="" type="checkbox"/> Mandatory Security, Privacy and Records Management Training    |
| <input type="checkbox"/> Other                               |  |

O. Who will be responsible for protecting the privacy rights of the public and employees? This includes officials responsible for addressing Privacy Act complaints and requests for redress or amendment of records.

Holly Miller, the project leader and system owner, will be responsible for protecting the privacy rights of the public. The USGS Privacy Act Officer will be responsible for addressing complaints and requests for redress or amendment of records according to the processes outlined in the USGS Guide for Handling Privacy Act Records. Privacy complaints and requests for redress or amendment of records should be addressed to:

USGS Privacy Officer  
Mail Stop 159, National Center  
Reston, VA 20192,

or emailed to: [privacy@usgs.gov](mailto:privacy@usgs.gov).

P. Who is responsible for assuring proper use of the data and for reporting the loss, compromise, unauthorized disclosure, or unauthorized access of privacy protected information?

Holly Miller, the project leader, will be responsible for assuring proper use of the data and for reporting the loss, compromise, unauthorized disclosure, or unauthorized access of privacy protected information to the USGS Privacy Act Officer.

## Section 5. Review and Approval



**Information System Owner**

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Title

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Electronically signed by: Holly M Miller  
Date: Tue May 03 2016 11:52:49 GMT-0600  
Reference number: DI-4001-ba6bb56bHM  
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