



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: <i>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.</i>	Earthquake Science Center - User Testing of Graphics for USGS Aftershock Forecasts
B. Bureau or Office: <i>Enter the bureau or office for the project, program or system.</i>	U.S. Geological Survey/Natural Hazards Mission Area
C. Program or Office: <i>Provide the name of the program or office within the bureau/office.</i>	Assistant Director, Earthquake Science Center
D. Project/Program Manager or System Owner: <i>Enter the name, title, phone number, and email address of the Program Manager or System Owner.</i>	Name: Shane Detweiler Title: Assistant Director, Earthquake Science Center Phone: (650) 329-5192 E-mail: shane@usgs.gov
E. Routing Information: <i>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.</i>	<input checked="" type="checkbox"/> New PTA <input type="checkbox"/> Updated PTA Date of Submission: October 16, 2023

Section 2. Project, Program or System Summary

Question	Response
<p>A. General description of the project, program or system. <i>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.</i></p>	<p>The USGS produces and releases forecasts for the probability of earthquake aftershocks following large earthquakes in the United States and abroad. These forecasts are used by numerous specialist users, including emergency managers, engineers, critical infrastructure operators and other decision-makers. These professionals use aftershock forecasts to make decisions related to their tasks in earthquake response, rebuilding and recovery. Currently, USGS forecasts are communicated using text and tables of numbers and more visual products could help diverse audiences make better use of forecasts (e.g., infographics, maps, dashboards).</p> <p>However, there are countless ways to design forecast products, varying for example, the amount of information conveyed, how colors are used, and which aspect of the forecast is highlighted. We propose to test a number of candidate forecast products with an online survey of prospective forecast users. We will recruit participants from a variety of professional groups and career stages to understand how effective each candidate product across these job-related characteristics. Our ultimate goal is to verify that how we communicate our forecasts facilitates their use by various user groups within the population. This supports the National Earthquake Hazards Reduction Program mission to “Improve understanding, prediction, and monitoring of natural hazards to inform decisions by civil authorities and the public to plan for, manage, and mitigate the effects of hazards events on people and property.”</p> <p>Legal Authority - The National Earthquake Hazards Reduction Program, which was first authorized in 1977, Public Law 95–124, 42 U.S.C. 7701 <i>et. seq.</i>; and the National Earthquake Hazards Reduction Program Reauthorization Act of 2004, PL 108–360).</p>
<p>B. What is the technology or format used for the Project, Program or System? <i>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</i></p>	<p><input type="checkbox"/> IT System <input type="checkbox"/> New Project or Program <input checked="" type="checkbox"/> Website <input type="checkbox"/> Web Form, Survey or Information Collection <input type="checkbox"/> Third-Party Website</p>

<p><i>electronic form or survey, website collection, social media, or interviews over the phone or in person.</i></p>	<p><input type="checkbox"/> Social Media Application <input type="checkbox"/> SharePoint <input type="checkbox"/> Mobile Application <input type="checkbox"/> Closed Circuit Television (CCTV) <input type="checkbox"/> Paper-based Collection <input type="checkbox"/> Other: <i>Describe.</i></p>
<p>C. Does this project, program or system involve a form, survey or information collection? <i>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.</i></p>	<p><input checked="" type="checkbox"/> Yes. Aftershock forecast product survey. Participants complete an anonymized survey asking for some occupation and demographic information. They also complete tasks using different visual products showing aftershock forecasts. <input type="checkbox"/> No</p>
<p>D. Is Office of Management and Budget (OMB) approval required for the collection? <i>OMB approval is required for certain collections of information from ten or more members of the public under the Paperwork Reduction Act.</i></p>	<p><input checked="" type="checkbox"/> Yes. User Testing of Graphics for USGS Aftershock Forecasts, OMB Control Number 1028-NEW. <input type="checkbox"/> No</p>

Section 3. Personally Identifiable Information

Question	Response
<p>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. <i>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).</i></p>	<p><input checked="" type="checkbox"/> Federal employees <input checked="" type="checkbox"/> Contractors <input checked="" type="checkbox"/> Members of the public <input type="checkbox"/> Other: <i>Describe.</i> <input type="checkbox"/> This project, program or system does not collect, maintain or process PII</p>
<p>B. What specific information about individuals will be created, collected, used, processed, maintained or disseminated? <i>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.</i></p>	<p>Though we do not collect names or email addresses, participants will self-report their occupations, work roles and demographic characteristics. PII collected from respondents includes: gender, race/ethnicity, group affiliation, education information, employment information (workplace, job title, career stage).</p> <p>The PII collected will allow us to understand whether candidate products for aftershock forecasts are effective for all groups. We will be able to estimate how effective each product is for different professional settings, work roles, and career stages. We will also be able to estimate the effects of each product for different demographics (gender, race/ethnicity, age). This will facilitate the design and release of USGS forecast products that serve the widest possible segment of the population.</p>
<p>C. Is information retrieved by a unique identifier assigned to the individual? <i>Describe how information is retrieved for the project, program or system.</i></p>	<p><input type="checkbox"/> Yes. <input checked="" type="checkbox"/> No Data is retrieved by unique identifiers assigned to each survey participant by the survey platform. We will summarize the effects of forecast graphics on users in the survey, in an aggregated and anonymized way. The aim will be to understand how these effects vary by job characteristics and demographics. These summaries will be published in scientific articles in an aggregated and anonymized way. All data is kept for three years in a secured folder on a password-protected USGS computer. This follows the best practice of social science data collection.</p>

Question	Response
<p>D. Is the information covered by a System of Records Notice (SORN)? <i>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.</i></p>	<p><input type="checkbox"/> Yes:</p> <p><input checked="" type="checkbox"/> No. Data is anonymized and aggregated. Records are not subject to the Privacy Act of 1974.</p>
<p>E. Does the Project, Program or System collect or use Social Security Numbers (SSNs)? <i>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.</i></p>	<p><input type="checkbox"/> Yes</p> <p><input checked="" type="checkbox"/> No</p>
<p>F. Does this Project, Program or System receive or share PII with any other internal DOI programs or systems? <i>Indicate whether PII will be shared with or from internal organizations within DOI.</i></p>	<p><input type="checkbox"/> Yes</p> <p><input checked="" type="checkbox"/> No. Only project staff have access to the survey data using password-protected devices and online channels.</p>
<p>G. Does this Project, Program or System receive or share PII with any external (non-DOI) partners or systems? <i>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.</i></p>	<p><input type="checkbox"/> Yes:</p> <p><input checked="" type="checkbox"/> No</p>

Question	Response
<p>H. Is this external sharing pursuant to new or existing information sharing agreement (Memorandum of Understanding, Memorandum of Agreement, Letters of Intent, etc.)?</p> <p><i>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.</i></p>	<p><input type="checkbox"/> Yes.</p> <p><input checked="" type="checkbox"/> No</p>

Section 4. PTA Review and Recommendation

Question	Response
<p>Privacy Compliance Determination: <i>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.</i></p>	<p><input checked="" type="checkbox"/> PTA is sufficient at this time <input type="checkbox"/> Privacy Impact Assessment (PIA) required <input type="checkbox"/> Adapted PIA required <input type="checkbox"/> System of Records Notice (SORN) required <input type="checkbox"/> Notice of Proposed Rulemaking/Final Rule required <input type="checkbox"/> Computer Matching Notice required <input type="checkbox"/> Computer Matching Agreement required <input type="checkbox"/> Privacy Act Statement required <input checked="" type="checkbox"/> Privacy Notice required <input type="checkbox"/> Specialized role-based training required <input type="checkbox"/> Information sharing agreement required <input type="checkbox"/> Further privacy compliance review is required <input type="checkbox"/> Refer for Security Compliance Assessment <input checked="" type="checkbox"/> Refer for Information Collection Clearance Review <input type="checkbox"/> Refer for Records Review <input type="checkbox"/> Other: <i>Describe.</i></p>
<p>Bureau Associate Privacy Officer Comments: <i>Provide comments or additional guidance on privacy compliance requirements.</i></p>	<p>PTA is sufficient for the purpose of this survey. Personal information collected is limited to demographic data (no names, email addresses, location or other contact information will be collected).</p> <p>Completion of the survey and answering questions that pertain to personal information is voluntary. There is no impact to the individual for opting out of this survey.</p> <p>Records collected are not retrieved by the use any personal identifiers, hence they are not subject to the provisions of the Privacy Act of 1974. The survey should include a Privacy Notice (not a Privacy Act Statement). Recommended language for the privacy notice follows:</p> <p>“The National Earthquake Hazards Reduction Program (NEHRP), which was first authorized in 1977, Public Law (PL) 95–124), and most recently reauthorized in 2004 (NEHRP Reauthorization Act of 2004, PL 108–360) authorizes the USGS to collect this information. The purpose of collecting demographic information is to</p>

	<p>allow users to report on their work roles and demographics to assess how aftershock forecast products work for different groups. Responding to this survey and providing your personal information is voluntary. You are not required to provide any job-related or demographic-related information in order to submit your survey. However, if you do not provide this information, we may not be able to use your survey responses in understanding how forecast products affect different subgroups. The USGS website privacy policies can be reviewed at https://www.usgs.gov/office-of-the-director/privacy-policies.”</p> <p>If additional PII elements are collected or new collections of PII are initiated, the system must be reassessed to ensure the systems remains in compliance with Federal privacy regulations and Departmental policies.</p>
Associate Privacy Officer Name:	Cozenja M. Berry
Bureau/Office:	U. S. Geological Survey
Date:	

DOI Privacy Office Comments