



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>	Next Generation Volcano Hazards Assessment (NGVHA)
B. Bureau or Office: <i>Enter the bureau or office for the project, program or system.</i>	U.S. Geological Survey
C. Program or Office: <i>Provide the name of the program or office within the bureau/office.</i>	Volcano Hazards Program USGS California Volcano Observatory
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: Jessica L. Ball Title: Research Geologist Phone: 650-439-2597 E-mail: jllball@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:

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 Next Generation Volcano Hazards Assessment (NGVHA) project, currently funded within the USGS Volcano Hazards Program (VHP), aims to produce a next-generation of comprehensive volcanic hazard assessments (VHAs) for high-priority U.S. volcanoes. NGVHA is a framework for creating up-to-date, actionable volcano hazards assessments for high-priority U.S. volcanoes. These assessments are based on multidisciplinary research and modeling and incorporate the best practices of user-centered design. Because the <i>usefulness</i> and <i>usability</i> of USGS volcano hazards assessments depend on input from the audiences for which they are produced, it is necessary to incorporate user needs elicitation into the hazard assessment creation process.</p> <p>The systemic collection of this information through open-ended ethnographic data collection methods (semi-structured interviews, workshops, surveys) will result in a significant improvement of both the volcano hazard products and associated services provided by the VHP. Most of these methods can be completed in part or fully remotely (via phone or video calls or online meetings). In addition, broader stakeholder and community surveys can be conducted via virtual methods (online surveys, social media) in order to reduce the paperwork burden and more efficiently analyze data. The USGS VHP already has a strong presence on social media and web, which enables us to reach a wide audience without placing an undue burden on any particular group.</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 electronic form or survey, website collection, social media, or interviews over the phone or in person.</i></p>	<p> <input type="checkbox"/> IT System <input type="checkbox"/> New Project or Program <input type="checkbox"/> Website <input checked="" type="checkbox"/> Web Form, Survey or Information Collection <input type="checkbox"/> Third-Party Website <input checked="" type="checkbox"/> Social Media Application <input type="checkbox"/> SharePoint <input type="checkbox"/> Mobile Application <input type="checkbox"/> Closed Circuit Television (CCTV) <input checked="" type="checkbox"/> Paper-based Collection </p>

	<p><input checked="" type="checkbox"/> Other: Direct interviews, workshops, or listening sessions/focus groups recorded and transcribed.</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: In-person or remote data collection will be completed using semi-structured interviews, participatory workshops (e.g. for iterative design purposes), and participant observation. These open-ended ethnographic data collection methods will allow for deep data collection, to include nuances in experiences across different demographics. Most of these methods can be completed in part or fully remotely (via phone or video calls or online meetings). In addition, broader stakeholder and community surveys can be conducted either through paper forms or via virtual methods (online surveys sent via email, social media).</p> <p><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: OMB Control Number 1028-NEW. A 60-day FRN has already been completed and final documentation is being prepared for a 30-day FRN.</p> <p><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 type="checkbox"/> Contractors <input checked="" type="checkbox"/> Members of the public <input checked="" type="checkbox"/> Other: State, local officials, emergency managers. <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>We collect the name, email, and phone number of the reporting party in order to have this information in case we have follow-up questions. No PII will be published or otherwise disseminated.</p> <p>Interviews will be recorded on a small digital audio recorder kept in possession of the interviewer while there are files saved on it or, when in-person is not an option, on Teams (video & audio). Recordings will be uploaded (audio recorder) or downloaded (Teams) onto a government-owned, password-protected computer and stored locally as well as synched in OneDrive cloud space within the password-protected USGS account(s) of research team member(s) for backup. Files will be names with codes rather than interviewee PII. Transcripts will be named and stored in the same manner, with the same codes and in the same two password-protected spaces. Interview files will be kept after transcription in case researcher(s) need to verify quotes or listen to the audio for context (e.g., through intonation). Recordings will be deleted at the end of the project or after five years, whichever comes first.</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 checked="" type="checkbox"/> Yes: Individuals will be assigned a unique code which is listed with their PII in a spreadsheet that is password-protected and accessible only to the research team. This code is then used for all documents related to that individual.</p> <p><input type="checkbox"/> No</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 <input checked="" type="checkbox"/> No</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 <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 <input checked="" type="checkbox"/> No</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 maintain</i></p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>
<p>H. Is this external sharing pursuant to new or existing information sharing agreement (Memorandum of Understanding, Memorandum of Agreement, Letters of Intent, etc.)? <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 <input checked="" type="checkbox"/> No (no external sharing)</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</p> <p><input type="checkbox"/> Privacy Impact Assessment (PIA) required</p> <p><input type="checkbox"/> Adapted PIA required</p> <p><input type="checkbox"/> System of Records Notice (SORN) required</p> <p><input type="checkbox"/> Notice of Proposed Rulemaking/Final Rule required</p> <p><input type="checkbox"/> Computer Matching Notice required</p> <p><input type="checkbox"/> Computer Matching Agreement required</p> <p><input type="checkbox"/> Privacy Act Statement required</p> <p><input type="checkbox"/> Privacy Notice required</p> <p><input type="checkbox"/> Specialized role-based training required</p> <p><input type="checkbox"/> Information sharing agreement required</p> <p><input type="checkbox"/> Further privacy compliance review is required</p> <p><input type="checkbox"/> Refer for Security Compliance Assessment</p> <p><input type="checkbox"/> Refer for Information Collection Clearance Review</p> <p><input type="checkbox"/> Refer for Records Review</p> <p><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 at this time.</p> <p>The NGVHA project encompasses numerous parallel research efforts focused on establishing a model for producing consistent and comprehensive volcanic hazards assessments for high-priority U.S. volcanoes. In order to update outdated assessments with the latest research and techniques, the NGVHA project needs usability and user needs investigations that will support production of hazard- and risk-reduction products efforts with interagency partners, Sovereign Tribal Nations, and communities potentially affected by eruptions. (20-16. Exploring user needs and community engagement for next-generational volcano products, maps, and tools U.S. Geological Survey (usgs.gov)).</p> <p>PII collected is limited to contact information for participants. Researchers may also use audio recording devices to conduct oral interviews with participants. There is a risk that participants may provide unsolicited personal information in their responses. As such, researchers must ensure extraneous PII/personal information is protected from unauthorized disclosure.</p>

	<p>Records collected are not retrieved by use of any personal identifiers, hence they are not subject to the provisions of the Privacy Act of 1974. Overall, there is a low risk of harm to the individuals in the event of disclosure. The System Owner must ensure access controls are in place to protect the PII collected. Access to PII should be restricted to personnel who require access in the performance of official duties. 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 changes or new collections of PII are initiated, the information collection must be reassessed to ensure the records remain in compliance with Federal privacy regulations and Departmental policies.</p>
<p>Associate Privacy Officer Name:</p>	
<p>Bureau/Office:</p>	<p>United States Geological Survey (USGS)</p>
<p>Date:</p>	<p>May 15, 2024</p>
<p>DOI Privacy Office Comments</p>	