

Department of the Interior
Privacy Impact Assessment

Name of Project: Study of Social Indicators in Coastal Alaska: Arctic Communities

Bureau: Environmental Studies Program, Alaska Region, Bureau of Ocean Energy Management

Project's Unique ID: 1010-New

Once the PIA is completed and the signature approval page is signed, please provide copies of the PIA to the following:

- Bureau/office IT Security Manager
- Bureau/office Privacy Act Officer
- DOI OCIO IT Portfolio Division
- DOI Privacy Act Officer

Do not email the approved PIA directly to the Office of Management and Budget email address identified on the Exhibit 300 form. One transmission will be sent by the OCIO Portfolio Management Division.

A. CONTACT INFORMATION:

Who is BOEM/Office Privacy Act Officer who reviewed this document?

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B. SYSTEM APPLICATION/GENERAL INFORMATION:

NOTE: The purpose of this Privacy Impact Assessment (PIA) is to try to assess the risks associated with BOEM of Ocean Energy Management (BOEM) carrying out the proposed survey and developing a Statistical Package for the Social Sciences-compatible project database using data collected in the survey to analyze aggregate data by community. This PIA must be approved before BOEM submits an Information Collection Request to the Office of Management and Budget (OMB) for review for compliance with the Paperwork Reduction Act. Upon OMB approval, the survey can be implemented and the database created. The survey will be conducted by a contractor who will also establish the database on BOEM's behalf.

1) Does this system contain any information about individuals?

a. Is this information identifiable to the individual?

(If there is NO information collected, maintained, or used that is identifiable to the individual in the system, the remainder of the Privacy Impact Assessment does not have to be completed).

The survey will collect no information that will directly identify individuals, such as names, addresses, birth dates, social security numbers, or telephone numbers. The contractor will not collect names, addresses, etc., of respondents or any other people identified in the survey or their households. The surveys will not be coded with identifying information. BOEM also does not believe that it will be possible to identify individuals indirectly by using any or all of the information that will be collected from individuals and/or that is entered into the database.

Surveys will be filled out by the contractor based on the answers received from respondents during interviews. In addition to the answers to the survey questions, the surveys will contain:

Consent forms: The consent form includes agreement ("yes" or "no") to participate in research, description of research, procedures, potential risks and discomforts, and anticipated benefits to subjects. The consent form does not contain a signature, name or address bloc for respondents. It does contain the name and contact information of the Principal Investigator (PI) and the BOEM contact for this project. The consent form concludes with a routine Paperwork Reduction Act Statement.

Coversheets: Contains name of study, OMB control number, respondent's community, name of contractor, contract number, and interview date.

The contractor will also add a Statistical Package for the Social Sciences (SPSS) database to the system in which the contractor will enter the respondents' answers and associate them with the respondents' community. No names or addresses of either the respondents or of employees or contractors will be entered in this database. Since the responses by each individual respondent will not be linked together in the database, it will not be possible to indirectly identify a respondent based on his/her set of responses.

The consent forms and coversheets will be maintained separately from the database.

b. Is the information about individual members of the public? *(If YES, a PIA must be submitted with the OMB Exhibit 300, and with the IT Security C&A documentation.)*

Yes. The information collection will engage Iñupiaq Eskimo households comprising coastal villages in the North Slope Borough, Alaska, living in communities near proposed oil and gas exploration and development in the Outer Continental Shelf (OCS). The communities are contiguous to either the Beaufort or Chukchi Sea. Specifically, the information being collected concerns residents' sense of well-being and satisfaction with their lives, which are unique as most residents are engaged in a "mixed economy," involving cash income and subsistence harvest, and have a foot in both worlds—the modern Western world and the

traditional Iñupiaq world. The survey will address measures of economic well-being, cultural continuity, education (traditional and Western), health and public safety, including a self-administered questionnaire, physical environment, local control, global well-being, and two interviewer checkpoints to ensure quality control. The respondents are also afforded an opportunity to provide additional information or opinions if desired.

No personal codes will be associated with this information collection. The PI and business owner have been informed this study must not invoke the Privacy Act. Therefore, none of the information will be retrievable by name, address, personal code, or other personal identifier.

c. Is the information about employees? *(If yes and there is no information about members of the public, the PIA is required for the DOI IT Security C&A process, but is not required to be submitted with the OMB Exhibit 300 documentation).*

Some of the information incidentally includes names of the PI, company owner, and the BOEM Contracting Officer's Representative. This information is necessary for administrative purposes only and will not be entered into the database. This information is public knowledge through issuance of the federally funded contract.

2) What is the purpose of the system/application?

The purpose of the Social Indicator Study is to gather baseline aggregate data (absent personal names, birthdates, social security numbers, household or other codes, addresses and other personally identifiable information (PII)) documenting and measuring the sense of well-being of North Slope residents so that any impacts of offshore oil and gas exploration and development can be identified and mitigated. The Study will document and describe current sense of well-being and grounding the respondent has in traditional Iñupiaq culture and in Western culture in anticipation of Arctic Alaska offshore oil and gas exploration and development. This information will be used in National Environmental Policy Act documentation, such as Environmental Impact Statements and Environmental Assessments, and policymaking decisions, such as deferrals of specific OCS Arctic lease blocks. It could be used if there were to be a very large oil spill to aid in the assessment and mitigation of direct and indirect effects. It is based on an effort to develop consensus on important social indicators for indigenous peoples in circumpolar nations as a follow-up activity to the Arctic Human Development Report which was launched at a meeting of the Arctic Council (of which the United States is a member). This Study is the only Arctic social indicator survey to date that has been funded by a nation to assess indigenous peoples using internationally agreed upon Arctic Social Indicators. Thus, this study is of keen interest to the Arctic Council and circumpolar nations. These are some examples of the utility of the data.

The information being collected is for a study that will measure the sense of well-being of several coastal communities in Arctic Alaska, during various times, as to the potential effects of offshore oil and gas development on the sense of well-being of indigenous peoples as measured by social indicators. The Social Indicator Study involves the selection of indicators designed for use in measuring and monitoring human development in the Arctic. Without doubt, the most influential method currently in use in this realm is the United Nations Human Development Index (HDI). Computed annually, the HDI is a composite of three components: (i) gross domestic product (GDP) per capita, (ii) longevity, and (iii) a measure of

literacy/education. As an alternative to the use of GDP per capita alone, the HDI has been highly successful. It has allowed analysts to demonstrate conclusively that beyond a certain point the correlation between GDP per capita and the HDI becomes weak or even non-existent. Thus, adding to material wealth does not result in enhanced human development among those whose material needs are satisfied. The social indicators study is the first step in obtaining this data. It will investigate the sense of well-being that underlies contemporary subsistence-cash economies using research methods that involve the residents of these communities most proximate to the future sale area(s).

For several reasons, HDI is not a good indicator of human development in the Arctic. GDP per capita typically fails to take into account many goods and services enjoyed by Iñupiaq and other indigenous Arctic peoples who participate in the mixed economies that are widespread in the Arctic today. Conventional measures of literacy/education omit the production and transfer of knowledge and skills that constitute important features of traditional cultures and societies. Even longevity is an ambiguous measure. As the incidence of suicide and accidental death in many Arctic communities suggests, those who experience anomie resulting from the effects of rapid social change often suffer severely in terms of well-being, even when they have access to abundant material goods and services.

BOEM is required by the OCS Lands Act of 1953 (and the amendments of 1978) and the NEPA Act of 1969 to monitor and assess the effects and potential impacts of OCS oil and gas activities near human and physical environments. This study will acquire and analyze relevant socioeconomic and sociocultural information from these communities on a community-wide basis to obtain baseline data to identify and assess the sense of well-being currently in existence with which future survey data will be compared and analyzed. This information is necessary for use in Environmental Assessments and Environmental Impact Statements and to help BOEM determine when deferrals of specific OCS Arctic lease blocks may be necessary. It also would be used in the event of a very large oil spill in the region to assess and mitigate effects on those communities affected directly and indirectly.

3) What legal authority authorizes the purchase or development of this system/application?

Outer Continental Shelf Lands Act of 1953 (and amendments of 1978) (OCSLA) (43 U.S.C. § 1345)

National Environmental Policy Act of 1969 (NEPA) (42 U.S.C. §§ 4321-4347)

Executive Order (EO) 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations (February 1994)

C. DATA in the SYSTEM:

1) What categories of individuals are covered in the system?

Individuals taking the survey include Alaska Iñupiaq Natives living in Arctic Alaska (specifically residents of the North Slope Borough in coastal areas adjacent to the Beaufort and Chukchi Seas) who are subsistence harvesters or users of local wild resources and who may also

be engaged in Western employment.

The names and work contact information of employees and contractors assigned to this project will be recorded on the consent forms and coversheets in a separate records system or file. This information will not be entered into the SPSS database.

2) What are the sources of the information in the system?

a. Is the source of the information from the individual or is it taken from another source? If not directly from the individual, then what other source?

Respondents provide information about themselves and members of their households. The information will not be coded or otherwise traceable to the individual respondents.

b. What Federal agencies are providing data for use in the system?

No Federal agencies are providing data for use in the system.

c. What Tribal, State and local agencies are providing data for use in the system?

No Tribal, State, or local agencies are providing data for use in the system.

d. From what other third party sources will data be collected?

The contractor will not be incorporating any of its own data as part of this collection. No other third party sources will provide data.

e. What information will be collected from the employee and the public?

This study will collect relevant socioeconomic and sociocultural information from residents of the communities nearest to the proposed oil and gas exploration and development in the OCS (Beaufort and Chukchi Seas) to obtain baseline data to accomplish legal requirements under the OCSLA and NEPA. Also, some of the information is necessary for use in Environmental Assessments and Environmental Impact Statements. The data collected concerns certain characteristics, activities, opinions, and levels of satisfaction of individuals who live in this community, including some information about themselves. Information being collected includes:

- Observed gender of respondent
- Whether or not respondent considers himself/herself an Alaska Native
- Respondent's age (within specific ranges)
- Range of respondent's highest level of education attained
- Range of income
- Number of adults living in respondent's household
- Number of adults in respondent's household who consider themselves Alaska Natives
- Number of people currently living in respondent's household
- Number of these, if any, on a housing waiting list

The following questions generally pertain to sense of economic well-being experienced by respondent in the past 12 months:

- Economic well-being, including traditional subsistence activities respondent was engaged in (captaining a whaling crew, being a member of a whaling crew, sealing, harvesting of other marine mammals, fishing, birding and eggging, hunting land mammals, providing support to others, sewing traditional clothing, manufacturing boats or sleds)
- The months in which the respondent engaged in subsistence activities
- Numbers and species of specific keystone species harvested by respondents' households
- Quantity of bowhead whale shares the household received
- Quantity of traditional Iñupiaq food consumed by the household ranging from none to more than half
- Quantity of meat and fish consumed by household that members of the household harvested
- Amount that household received from others of all meat and fish consumed
- Level of satisfaction felt by respondent on amount of fish and game available locally
- Level of satisfaction respondent has with the opportunities to hunt and fish
- Number of paid jobs respondent had
- Number of weeks respondent worked
- Number of weeks respondent worked on a job associated with oil and gas industry, including any portion spent on a job related to offshore petroleum exploration or development
- Degree of satisfaction that respondent had with cash employment
- Level of satisfaction that respondent had with job opportunities in the community
- Number of months that respondent did not have a wage job and wanted one
- Preferred lifestyle: wage job, subsistence, or both
- Level of satisfaction respondent has with combination of activities to make a living
- Features the respondent's house does not have, including full kitchen; bath or shower; indoor flushing toilet; hot running water; central heating or electric storage heaters; natural gas hook-up; place to sit outside (e.g. porch, balcony, terrace or garden); landline telephone or cell phone; stove for cooking; smoke detector; electricity; generator; carbon monoxide detector; cold running water; septic tank, sewer connection, or sewage processor; fire exit; view to check the weather; store room; ice cellar; freezer; refrigerator; place to cut meat and fish; double glass windows; connection to Internet; television; electronic gaming unit/device
- Identification of household problems, including too little space; dampness; mold or mildew; water leaking from the ceiling from condensation or melting; frost on windows; cold floors; drafts from doors or windows; general coldness; stale air/inadequate ventilation; shifting of house from active permafrost; broken doors, stairs, pipes or windows due to shifting from permafrost; water that was not safe to drink at least some times of the year; frozen water line; air vent plugged with ice
- Level of satisfaction with the quality of housing
- Estimated range of household income earned from sale of traditional Alaska Native crafts and goods
- Total estimated range of household income earned from self-employment, a small business, and payment as an expert

- Estimated range of household income earned from employer(s) before taxes
- Estimate range of income household obtained from multiple sources, including government and other organizations
- Estimated range of income household obtained from other sources
- Respondent's estimated total amount of income before taxes expressed in ranges
- Degree of satisfaction respondent has with household income
- Degree of satisfaction that respondent has with availability of goods in local stores
- Degree of satisfaction that respondent has with transportation to and from community
- Degree of satisfaction has with cost of living in local community
- Degree of satisfaction that respondent has with standard of living (food, housing, clothing, cars, vacation, travel)
- Ability of household to make ends meet

The following questions generally relate to cultural continuity. It should be noted that prominent, highly-respected Iñupiaq from each community (the North Slope Management Board) selected the social indicators under each domain. The questions rate the level of importance to the respondent of certain cultural values then ask for the level of respondent's satisfaction with the job the community is doing to promote these values:

- Use of Iñupiaq?
- Sharing and helping?
- Respect for others?
- Cooperation?
- Respect for elders?
- Love for children?
- Hard work?
- Knowledge of your family tree?
- Avoidance of conflict?
- Respect for nature?
- Spirituality?
- Humor?
- Family roles?
- Eating traditional or wild foods?
- Hunting and fishing?
- Preserving of traditional or wild foods?
- Ability to understand, speak, read, and write Iñupiaq?

The following questions relate to traditional education and educational levels achieved in public or private schools:

- Whether respondent has served on a whaling crew; hunted and fished; hunted seal; driven a snowmachine; learned when berries are ripe and where to find them; fixed a snowmachine; read the weather; overnighted on the land; named the different types of snow in Iñupiaq; skinned and butchered a caribou; skinned and butchered a seal; skinned and butchered another animal; preserved meat and fish; taken care of and sewn skins; made sleds or boats; cooked and prepared

- Traditional or wild foods; learned names of past generations of relatives; made traditional clothing; repaired traditional clothing; learned stories passed on by parents and grandparents; made Native or traditional arts and crafts; learned traditional dances and drumming; learned traditional songs; navigated at sea; taken care of and handled a dog team; made and maintained an ice cellar; protected land and resources
- Highest level of schooling or training completed (e.g., elementary/primary school, secondary/high school, college, etc.)
- Respondent's level of satisfaction with schooling received
- Respondent's level of satisfaction with quality of education in community
- Whether respondent has children enrolled in a K-12 school
- General location where respondent's children attend school
- Whether respondent volunteers in school-related events and activities
- Respondent's level of satisfaction with the teaching of traditional values, skills and language in local schools

The following questions relate to the health and safety of the respondent and members of respondent's household:

- General health of respondent
- Level of satisfaction of respondent with his/her health
- Level of satisfaction of respondent with quality of health services in community
- Which illnesses have affected respondent's family, including cancer, heart disease, lung disease, eye disease, mental illness, joint and bone diseases, arthritis, accidental injury, alcoholism or drug addiction, diabetes, obesity
- Level of satisfaction of respondent with public safety services provided by community

The following questions are given on a self-administered questionnaire that the respondent places in an envelope when completed. It contains no names or personally identifiable information and someone other than the interviewer will open later to protect anonymity:

- Within the past 12 months, has the respondent been a victim of a theft, sexual assault, domestic violence, elder abuse, or other offense
- Are there alcohol or drug-related problems in respondent's home and frequency of occurrence
- How often within the past month has respondent felt: like a nervous person; calm and peaceful; downhearted and blue; like a happy person; so down that nothing could cheer him/her up; good about himself/herself; good about his/her life; known there are people who care about him/her
- Type of personal support respondent can count on, including someone who will

listen; someone to give advice; someone to give love and affection; someone to confide in; someone to relax with; someone to do something enjoyable with

The following questions general relate to the respondent's opinion of his/her physical environment during the past 12 months:

- Took part in a Native or traditional festival
- Visited neighbors, friends or family
- Listened to or told a Native or traditional story
- Sledded or snowboarded
- Biked
- Went to sports events
- Participated in sports
- Took part in a Native or traditional dance or game
- Went snowmachining or dog sledding
- Hiked, ran, jogged, or walked
- Played basketball
- Swam
- Boated or kayaked
- Went out in the countryside

The following questions ask the respondent's opinion about whether certain environmental problems exist in the region or community:

- Pollution of local lakes and streams, or offshore waters
- Pollution from industrial development
- Pollution from other countries
- Fish or animals that may be unsafe to eat
- Erosion of coastal areas or riverbanks
- Local contaminated sites
- Pollution from landfills
- Disposal of hazardous waste
- Disruption of views and landscapes
- Climate change

The following questions cover varying topics:

- In the past 12 months, has the respondent avoided eating subsistence foods because he/she believed they were contaminated
- How satisfied is the respondent with the health of the environment in the area
- How satisfied is the respondent with the quality of recreational facilities in the community
- Which of the last several elections did the respondent vote in
- How knowledgeable is the respondent about politics in general
- Level of respondent's agreement with the statement, "So many people vote at a

national election that it does not make any difference if I vote or not vote."

- Which of the following groups does respondent believe is helping to meet his/her needs: City Council, Tribal Council, Native Village, Village Corporation, Native Regional Corporation, North Slope Borough, ICAS, State or Federal Government
- How interested is the respondent in politics in general
- Level of satisfaction respondent has with level of influence Iñupiaq people have on management of natural resources like fish and caribou, and marine mammals
- Level of satisfaction respondent has with level of influence Iñupiaq people have on management of natural resources like oil, gas and minerals
- Level of satisfaction respondent has with level of influence Iñupiaq people have on reducing environmental problems in the area
- Level of satisfaction respondent has with the courts on the North Slope
- Level of satisfaction respondent has with the quality of life in the community
- Level of satisfaction respondent has with his/her life as a whole
- Whether respondent has considered moving away from the community in the last 5 years
- If so, why has the respondent considered moving away
- Why respondent has chosen to remain in the community
- If respondent indicated he/she engaged in subsistence activities in the last 12 months earlier, in which of the following subsistence activities, if any, did he/she personally experience impacts of oil industry activities, including while: captaining or serving on a whaling crew; skinning and butchering a seal, caribou or other animal; helping whaling crews by cooking, giving money or supplies or cutting meat; sewing skins, making parkas and kamiks [boots]; making sleds or boats; hunting caribou, moose, sheep, seal, ugruk [bearded seal], walrus, wolf, wolverine, polar bear, ptarmigan or waterfowl; gathering eggs; fishing; gathering greens, roots, or other plants; preserving meat or fish; trapping; picking berries; making Native or traditional handicrafts
- Respondent's description of what happened
- Timing of oil industry activity affecting a subsistence activity
- Location of respondent when oil industry activity affected the subsistence activity
- Respondent's description of the oil industry activity that affected the subsistence activity
- Respondent's opinion on whether anyone could have done something differently to avoid the experience or make it better
- If so, who could have done something differently and what could have been done differently

3) Accuracy, Timeliness, and Reliability

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

Data will be collected by the contractor directly from survey respondents and recorded on survey sheets and entered into a database. The data in the database will be verified against the individual survey responses for accuracy.

b. How will data be checked for completeness?

The data in the database will be crosschecked against the completed surveys for accuracy and any duplication. The aggregated data will be independently verified by statisticians and the subsequent social science findings will undergo a peer review process.

c. Is the data current? *What steps or procedures are taken to ensure the data is current and not out-of-date? Name the document (e.g., data models).*

This will be a distinct, baseline collection to obtain information directly from the citizens about their current sense of well-being about the economy, education, health, the physical environment, local control, and global indicators. The data are taken from the recorded survey responses and entered into the database immediately after all of the interviews are finished.

d. Are the data elements described in detail and documented? *If yes, what is the name of the document?*

The data elements are described in the survey instrument itself and will also be described in an Information Collection Request that will be submitted to OMB.

D. ATTRIBUTES OF THE DATA:

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

Yes. Statutory authority for BOEM's Environmental Studies Program (which this proposed study comes under) comes primarily from OCSLA (Section 20) and NEPA (see B(3) above). OCSLA authorizes the Environmental Studies Program and establishes three general goals:

- a) To establish the information needed for assessment and management of environmental impacts on the human, marine, and coastal environments of the OCS and the potentially affected coastal areas.
- b) To predict impacts on the marine biota which may result from chronic, low-level pollution or large spills associated with OCS production, from drilling fluids and cuttings discharges, pipeline emplacement, or onshore facilities.
- c) To monitor human, marine, and coastal environments to provide time series and data trend information for identification of significant changes in the quality and productivity of these environments, and to identify the causes of these changes.

OCSLA requires the Secretary of the Department of the Interior (DOI) to monitor and assess the impacts of resource development activities in Federal waters on human, marine, and coastal environments. OCSLA amendments authorize the DOI Secretary to conduct studies in areas or regions of lease sales to ascertain the "environmental impacts on the marine and coastal environments of the outer Continental shelf and the coastal areas which may be affected by oil and gas development" (43 U.S.C. § 1346).

NEPA requires that all Federal Agencies use a systematic, interdisciplinary approach to ensure the integrated use of the natural and social sciences in any planning and decision making that may affect the human environment. The Council on Environmental Quality's Regulations for implementing Procedural Provisions of NEPA (40 C.F.R. §§ 1500-1508) state that the "human environment" is to be "interpreted comprehensively" to include "the natural and physical environment and the relationship of people with that environment" (40 C.F.R. § 1508.14). An action's "aesthetic, historic, cultural, economic, social or health" effects must be assessed, "[w]hether direct, indirect, or cumulative" (40 C.F.R. § 1508.8).

BOEM is the Federal agency that both conducts OCS lease sales and monitors and mitigates adverse impacts that might be associated with offshore resource development. Within BOEM, the Environmental Studies Program implements and manages the responsibilities of research. This study will facilitate the meeting of DOI/BOEM information needs by measuring the sense of well-being that Iñupiaq people experience in their lives to provide a baseline prior to offshore exploration and development.

Planning areas in Alaska can include approximately 50,000 square miles-large geographic areas with diverse, abundant, and environmentally sensitive resources. Within these areas, DOI's Proposed OCS Oil and Gas Leasing Program contemplates an oil and gas lease sale in the future. These proposed sale areas or adjacent areas support major productive subsistence fisheries, provide habitat to numerous marine mammals, and are a significant migration and staging area for internationally important waterfowl.

EO 12898 requires agencies to make achieving environmental justice part of their missions by identifying and addressing disproportionately high and adverse human health or environmental effects of its programs, policies, and activities on minority populations and low-income populations in the United States, its territories and possessions, the District of Columbia, and the Commonwealths of Puerto Rico and the Mariana Islands. Goal 3 of DOI's Environmental Justice Strategic Plan from 1995 and echoed in its 2012-2017 Plan states that, "[t]he Department will use and expand its science, research, and data collection capabilities on innovative solutions to environmental justice related issues (for example, assisting in the identification of different consumption patterns of populations who rely principally on fish and/or wildlife for subsistence)."

OCSLA requires the Department to monitor and assess the impacts of resource development activities In Federal waters on human, marine, and coastal environments, and authorizes DOI to conduct studies in areas or regions of lease sales to ascertain the "environmental impacts on the marine and coastal environments of the OCS and the coastal areas which may be affected by oil and gas development" (43 U.S.C. § 1346).

This study of Arctic Coastal Alaskan communities will facilitate the meeting of DOI's information needs on the sense of well-being in various North Slope coastal Alaska areas.

BOEM will use the information collected to gain knowledge about the sense of well-being aggregated on a community-wide basis that could potentially be affected by a very large oil spill associated with OCS oil and gas development, as well as the social systems that will help shape the development of leasing strategies, reduce conflict, and serve as an interim baseline for

impact monitoring to compare against future research in these areas.

This study addresses the domains of the economy, education, health, physical environment, local control, and global issues.

2) Will the system derive new data or create previously unavailable data about an individual through aggregation from the information collected, and how will this be maintained and filed?

Although this collection will contain new data regarding social indicators for measuring the sense of well-being of Arctic Alaska communities, the purpose of the collection is not to create a database about individuals. Rather, the purpose is to generate aggregated data, absent personal names or other personal identifiers, to help BOEM determine current and potential impacts on the community, generally, resulting from oil and gas development offshore in the region. Offshore development has long been opposed by this community because of the importance of marine mammals and the prescient comprehension ascribed to them by the Iñupiaq. There are deep fears of disaster in the event of an oil spill or other environmental change. The data in the proposed database will not include names or addresses of individuals or personal codes. The paper documentation will not include individual names or personal codes on the consent forms, other than the names of the BOEM and contractor personnel managing the project which will not be entered into the database, and there will be no codes attached to individual responses. Therefore, no new data will be derived about an individual as the result of this collection.

2) Will the new data be placed in the individual's record?

No.

3) Can the system make determinations about employees/public that would not be possible without the new data?

No. The database will produce reports based on aggregated data, but will not be capable of making determinations about specific individuals. Determinations about individuals will not be possible on either the paper or the database documentation.

4) How will the new data be verified for relevance and accuracy?

The data entered in the database will be verified against the recorded survey responses. The aggregate data only will be verified through statistical analysis and the resulting scientific findings will undergo peer review and review by the communities where the collection occurred.

5) If the data is being consolidated, what controls are in place to protect the data from unauthorized access or use?

The contractor will carefully organize, manage and record the data in an appropriate SPSS-compatible project database to ensure that all data records are treated as strictly confidential, proprietary information, and to manage them in a manner that ensures their protection. The

contractor will protect the information from unauthorized release into the public domain or to unauthorized persons, organizations, or subcontractors. The contractor will sign and have its personnel sign non-disclosure agreements, keep confidential all project data, and to not disclose any data, interpretations of, and/or derivatives of, such data to any unauthorized party without the express written approval of the BOEM Contracting Officer.

6) If processes are being consolidated, are the proper controls remaining in place to protect the data and prevent unauthorized access? Explain.

No processes are being consolidated.

7) How will the data be retrieved? Does a personal identifier retrieve the data? If yes, explain and list the identifiers that will be used to retrieve information on the individual.

No. There will be no personal identifiers associated with either the proposed database or the paper documentation. The purpose of this collection is to analyze aggregate data and not an individual's data.

It will not be possible to identify an individual by looking at his/her response, as response categories will be grouped, or aggregated, in SPSS. Only the names and contact information for the PI and BOEM contact will be recorded, for administrative purposes only, on the consent forms and coversheets, as noted in response to question B(1)(a) above. Again, these names will not be entered into the proposed database and would have to be released in response to a FOIA request about this project.

Data will be retrieved from the database based only on the communities of the respondents, and as aggregated results. The file containing the consent forms and coversheets will be organized by community.

8) What kinds of reports can be produced on individuals? What will be the use of these reports? Who will have access to them?

It will not be feasible to produce reports on individuals. There will be no way to retrieve the names of individual respondents from the database. There will be no way to retrieve the names of individual respondents from the paper records.

9) What opportunities do individuals have to decline to provide information (i.e., where providing information is voluntary) or to consent to particular uses of the information (other than required or authorized uses), and how individuals can grant consent.)

The survey is optional. Each individual will authorize the survey through oral agreement, "yes" or "no." Each individual surveyed will be able to opt out of answering one or more questions of the survey for any reason.

E. MAINTENANCE AND ADMINISTRATIVE CONTROLS:

1) If the system is operated in more than one site, how will consistent use of the system and data be maintained in all sites?

The system is not operated in more than one site. All production components, including the server, are located in the Leveret, Massachusetts, office of the PI. The contractor is required to protect the data consistently at all times and at all sites. Any hard copies of documentation, such as field notes and project related working documents, will be retained in a securely locked file at the contractor's offices.

2) What are the retention periods of data in this system?

Data will be maintained in accordance with applicable Records disposition schedules, NARA and Departmental guidance. Until such a time as an approved records schedule is created or verified to exist, the data is considered unscheduled, and thus permanent. Any hard copies of documentation, such as field notes and project related working documents, will be retained in a securely locked file at the contractor's offices until they are turned over to BOEM for disposition in accordance with a NARA-approved records schedule.

3) What are the procedures for disposition of the data at the end of the retention period? How long will the reports produced be kept? Where are the procedures documented?

Reports and survey working files will be turned over to BOEM for appropriate disposition in accordance with NARA-approved disposition schedules (see E(2) above).

The custodian of the records will be the Environmental Sciences Management Section (ESMS), Alaska Regional Office. There are currently no documented procedures for disposition of the data, as a retention period has not been established.

4) Is the system using technologies in ways that the DOI has not previously employed (e.g., monitoring software, Smart Cards, Caller-ID)?

No new technology is being implemented.

5) How does the use of this technology affect public/employee privacy?

The proposed technology, SPSS, does not affect public or employee privacy. No names will be entered into the SPSS-compatible database, so no information can be retrieved using personal identifiers. The names of the PI, company owner, and the Contracting Officer's Representative—DOI BOEM Alaska OCS Region will be on the hard copy consent forms and coversheets which will be maintained separately from the database.

6) Will this system provide the capability to identify, locate, and monitor individuals? If yes, explain.

No. Although the community of each respondent can be identified, it will not be possible to locate or monitor individuals from either the paper or electronic records in this system. This is a

one-time data collection. No monitoring will occur. As noted above, only the names and contact information for the PI and BOEM contact are recorded, for administrative purposes only, on the consent forms and coversheets.

These names will not be entered into the proposed database and will be part of the public record about this project.

7) What kinds of information are collected as a function of the monitoring of individuals?

None.

8) What controls will be used to prevent unauthorized monitoring?

The system does not monitor individuals.

9) Under which Privacy Act systems of records notice does the system operate? Provide number and name.

The survey collection will not invoke the Privacy Act, and therefore will not be covered by a system of records notice.

10) If the system is being modified, will the Privacy Act system of records notice require amendment or revision? Explain.

The system is new and is not being modified. It will not constitute a Privacy Act system of records.

F. ACCESS TO DATA:

1) Who will have access to the data in the system? (E.g., contractors, users, managers, system administrators, developers, tribes, other)

Members of the contractor research team (when hired) will have access to the data initially and will be required to sign non-disclosure agreements as per the contract. Once the project has been completed, the project documentation (including all working files and the database) will be turned over to BOEM. These are agency records collected in order to carry out an agency function. Therefore, they are the property and responsibility of the agency.

Documentation containing the names of the PIs who worked on the project will be turned over to BOEM for retention in program files. The PIs and company owner names would have to be disclosed in response to a FOIA request because they won the competitive award.

However, access to the system is restricted to authorized users with password authentication controls, the server is located in a secured room behind restrictive firewalls, user access is logged, and the system administrator is alerted to failed logon attempts.

Any paper records will be maintained in locked file cabinets and will be maintained until such time that a retention schedule for BOEM is established. Offices are secure when after hours, on

weekends and holidays, and at those times that staff are otherwise absent. The controls on the paper records include maintaining them in a secure building and locked in a file cabinet where they will be retained until such time that an approved retention schedule is approved for BOEM. They will be disposed of according to the approved records disposition schedule.

1) How is access to the data by a user determined? Are criteria, procedures, controls, and responsibilities regarding access documented?

The contract requires the contractor to protect the information collected from unauthorized access by the public or by any employee not assigned to the project. Once the contract is over, BOEM ESMS will maintain the records in a secure, centralized BOEM archive and only authorized personnel would be granted access to the data.

2) Will users have access to all data on the system or will the user's access be restricted? Explain.

Users' access to the SPSS files will be restricted as noted above.

3) What controls are in place to prevent the misuse (e.g., unauthorized browsing) of data by those having access? (Please list processes and training materials)

See above with regard to requirements in the contract for safeguarding information. Deliverables will be maintained in a securely locked centralized BOEM archive.

4) Are contractors involved with the design and development of the system and will they be involved with the maintenance of the system? If yes, were Privacy Act contract clauses inserted in their contracts and other regulatory measures addressed?

The contractors will create and be engaged with the SPSS-compatible data system until the contract is fulfilled. Then the database, aggregate data and project working files will be turned over to BOEM. There is no Privacy Act information being collected; therefore, Privacy Act contract clauses are not applicable.

The contractor is required to treat all data records and information collected as strictly confidential, and will not appropriate such information to its own use or disclose it unless specifically authorized by the Contracting Officer or the third party in writing.

5) Do other systems share data or have access to the data in the system? If yes, explain.

No.

6) Who will be responsible for protecting the privacy rights of the public and employees affected by the interface?

The System Manager will be responsible for protecting the privacy rights of the public of all records associated with the collection.

7) Will other agencies share data or have access to the data in this system (Federal, State, Local, Other (e.g., Tribal))?

BOEM will not share data beyond what will be documented in the final report based on the aggregated survey results.

8) How will the data be used by the other agency?

Not applicable.

9) Who is responsible for assuring proper use of the data?

The System Owner, System Manager, contractor, and the Regional Director, Alaska OCS Region, are responsible for proper use of the data maintained in this system.