



# 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: Water Mission Area (WMA) Information System**  
**Bureau/Office: U.S. Geological Survey/Water Resources Mission Area**  
**Date: February 14, 2023**  
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## Section 1. General System Information

### A. Is a full PIA required?

- Yes, information is collected from or maintained on
- Members of the general public
  - Federal personnel and/or Federal contractors
  - Volunteers
  - All
- No

### B. What is the purpose of the system?

The Water Mission Area (WMA) Information System is an U.S. Geological Survey (USGS) assessment and authorization boundary composed of resources aligned under the Water Resources Mission Area. As the leading scientific water-monitoring program within the Federal Government, the USGS WMA is dedicated to delivering water data and information that is fundamental to the effective management of the Nation's water resources. The WMA monitors, assesses, conducts targeted research, and delivers information on a wide range of water resources



and conditions including streamflow, groundwater, water quality and water use and availability. The national priorities of the USGS WMA are carried out by Water Science Centers (WSC), located in every State and in Puerto Rico. These Water Science Centers are supported by a regional and national structure that includes offices dedicated to the development of models, methods, tools, databases, and quality-assurance measures to advance and maintain consistency in USGS research. Through integrated activities with other USGS mission areas and partners, the WMA provides water-resource monitoring, assessment, modeling, and research tools that managers and policymakers can use for:

- Preserving the quality and quantity of the Nation's water resource, which is critical to the survival of society, the support of the economy, and the health of the environment;
- Balancing water quantity and quality in relation to potential conflicting uses among human consumption, industrial use and electric power production, agricultural use, mineral and energy extraction, and ecosystem needs;
- Understanding, predicting, and mitigating water-related hazards such as floods, droughts, and contamination events, as well as understanding the effects of climate variability on the water resource, in order to foster more sustainable and resilient communities and ecosystems; and
- Quantifying the vulnerability of human populations and ecosystems to water shortages, surpluses, and degradation of water quality.

The purpose of the WMA authorization boundary is to provide management oversight, assess security controls, and ensure risks are adequately mitigated for information assets (information technology/systems, applications, programs, and data) contained within its subsystems and applications. The WMA's national hydrologic monitoring network consist of more than 8,000 stream gages, 1,900 continuous water quality monitoring stations, 250 precipitation monitoring stations, and monitors 20,000 groundwater observation wells. The information assets under the WMA support two USGS Mission Essential Functions: 1) Monitor water quality and quantity and 2) Water resource information for flood control. Information assets are not hosted at the boundary level, but are organized and maintained in WSC subsystems and WMA applications; as such, personally identifiable information (PII) does not specifically reside at the WMA authorization boundary. Rather, PII is collected, maintained, and used by the programs and applications as specified in this privacy impact assessment.

The WMA applications and WSC subsystems (outlined in paragraph F) only collect, use and maintain non-sensitive PII on members of the general public. Data collected is related to contact information including name, home address, personal or work phone number, and personal or work email address. Other property related descriptors to include longitude and latitude coordinates for ground water wells may also be collected. The primary use of this information is to contact residents and property owners to request permission to access private property to collect data on water sources. The WMA also administers subscription services enabling members of the public to receive information (via email or text) on water data they are interested in tracking. Additionally, the WMA seeks on-line feedback from members of the public who visit and use open data and web tools that are available on the USGS public webpage. Individuals are provided the option to include their email address to follow-up when necessary. Lastly, the WSCs may request contact information and general demographic data when conducting periodic surveys relating to water quality, use, and availability. Surveys may be



conducted in person, on-line, via email, or paper-based mailings. The PII collected by the WMA is maintained in accordance with Federal records laws and will be handled as required by the Privacy Act and the Freedom of Information Act (FOIA) to ensure the greatest protection of personal privacy. The information assets under the WMA Information System authorization boundary are critical to advancement of the USGS commitment to provide unbiased and impartial scientific data on water resources.

**C. What is the legal authority?**

5 U.S.C. 301, Departmental Regulations; 15 U.S.C 8952: Research and coordination plan for enhanced response on emerging contaminants; 16 U.S.C 1005: Works of improvement; 16 U.S.C Ch. 18A: Cooperative Watershed Management Program; 33 U.S.C 1254: Research, investigations, training, and information; 33 U.S.C 1271: Sediment survey and monitoring; 33 U.S.C 1374: Effluent Standards and Water Quality Information Advisory Committee; 42 U.S.C Ch. 109B: Secure Water; 43 U.S.C. 31, Director of United States Geological Survey; 43 U.S.C 36b Acquisition of lands or interests therein for use in gaging streams or underground water resources; 43 U.S.C Ch. 11: Discovery, Development, and Marking of Water Holes, etc., by Government; 43 U.S.C. Ch 12: Reclamation and Irrigation of Lands by Federal Government; 43 U.S.C. 1457: Duties of Secretary.

**D. Why is this PIA being completed or modified?**

- New Information System
- New Electronic Collection
- Existing Information System under Periodic Review
- Merging of Systems
- Significantly Modified Information System
- Conversion from Paper to Electronic Records
- Retiring or Decommissioning a System
- Other

**E. Is this information system registered in CSAM?**

- Yes: 010-000001462, System Security and Privacy Plan for Water Mission Area
- No



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

The PII collected in WMA applications and WSC subsystems is maintained in accordance with Federal records laws and is handled as required by the Privacy Act and the Freedom of Information Act (FOIA) to ensure the greatest protection of personal privacy.

Subsystem Name	Purpose	Contains PII	Describe
National Water Information System (NWIS) -Legacy	The USGS investigates the occurrence, quantity, quality, distribution, and movement of the surface and underground waters that constitute the Nation's water resources. The NWIS Legacy is both a work-flow application and a long-term database for national records of ground water quality and levels; surface water quality, flow, stage and discharge; and, therefore, must be managed and maintained as a national archive of data. Through its public facing webpage, NWIS provides open data on water-resources collected at approximately 1.9 million sites. WMA personnel in all 50 States, plus Puerto Rico and Guam use NWIS Legacy for the collection, processing, review, storage and dissemination of data.	Yes	NWIS records include contact information for individuals or groups that own or have physical control of access to water sites where the USGS collects groundwater data. PII stored in NWIS includes name, address, phone number and when provided an email address. This contact information is used by USGS field personnel to request access to private property. Controls are in place to ensure contact information is only accessible to authorized USGS personnel; it is not published or released to the public. PII is not used to retrieve data. Rather, records in NWIS are stored and retrieved by the water site identification. As such, NWIS does not meet the statutory definition of a system of records under the Privacy Act of 1974.
WaterAlert	WaterAlert is an opt-in subscription service that allows site users to receive automated updates on water gages across the US via email and/or text notifications. WaterAlert interfaces with NWIS to retrieve data on water resources based on the user subscription. PII is not shared between WaterAlert and NWIS.	Yes	WaterAlert collects minimal PII (email address and/or phone number). The use and purpose are to transmit requested data to subscribers. Users are responsible for updating and maintaining their own personal information and requesting to cancel subscribed notifications. <a href="#">Login.gov</a> is used as the authentication service for members of the public. DOI employees are authenticated via DOI Active Directory.



<p>USGS National Water Dashboard</p>	<p>The National Water Dashboard is available on the USGS public website. This tool provides provisional real-time water data collected by USGS observation stations in context with weather-related data from other public resources. The WMA leverages <a href="#">Touchpoints</a> on this site to collect feedback from visitors. Touchpoints is an open-source software application developed and maintained by the U.S. General Services Administration (GSA); it is available to Federal agencies at no-cost. Touchpoints enables government agencies to solicit and process user feedback to support the continuous improvement of public systems, services, processes, and policies. Touchpoints is a FIPS Moderate-rated web application, deployed to cloud.gov.</p>	<p>Yes</p>	<p>Individuals who opt to provide feedback may include their email address; this is an optional field. No other PII is solicited by the USGS. Access to PII is restricted to USGS personnel who administer the tool.</p>
<p>Lower-Mississippi Gulf Water Science Center</p>	<p>The cooperative water-use program between the USGS and Arkansas Natural Resources Commission (ANRC) collects site-specific water-use information from all categories of water users of both surface and groundwater. The Arkansas Water Use Project includes the development and operation of an enterprise-level database and website to facilitate the entry, storage, and retrieval of the site-specific water-use data to produce State-wide summary statistics and reports. Data for the irrigation and livestock (animal specialties) categories are reported through the Conservation District Offices in each county. Site-specific water-use data for public supply, commercial, industrial, mining, power generation, irrigation and livestock are stored in the USGS Arkansas Water Science Center's Water-Use Data Base System (WUDBS).</p>	<p>Yes</p>	<p>The Arkansas Water Use Project collects contact information from individuals to request access and permission to sample/monitor water sources. Minimal PII is collected from individuals (name, address, phone number and when provided an email address or business contact information). Data collected may include water-use amount, purpose, and ancillary data associated with water use such as population served, crop, acres, and consumptive use.</p>



Ohio-Kentucky-Indiana Water Science Center (OKI WSC)	The OKI WSC Water Use project collects information on water use from residents in Indiana, Kentucky and Ohio.	Yes	Contact information is collected from individuals, designated representatives, or entities who own or have physical control of access to water sites located on private property. The purpose is to request access to property to collect samples for groundwater studies. Minimal PII is collected from individuals (name, address, phone number and when provided an email address). Contact information is maintained electronically by the WSC controlling the project. Privacy and security controls are in place to ensure contact information is only accessible to authorized USGS personnel. Other data collected by the Water Use Project may include property latitude/longitude coordinates.
Nebraska Water Science Center	The Ground Water Well Data Collection and Sampling program collects data on wells used for domestic water supply to characterize groundwater chemistry in surficial aquifers in Nebraska.	Yes	Contact information is collected from individuals or entities who own or have physical control of access to water sites located on private property. Minimal PII is collected from individuals (name, address, phone number and when provided an email address). The purpose is to identify wells and request access to property in order to collect samples for groundwater studies. Contact information is maintained electronically by the WSC controlling the project. Privacy and security controls are in place to ensure contact information is only accessible to authorized USGS personnel.
Nevada Water Science Center	The Ground Water Well Data Collection and Sampling program collects data on wells used for domestic water supply to characterize groundwater chemistry in surficial aquifers in Nevada.		
New England Water Science Center	The Ground Water Well Data Collection and Sampling program collects data on wells used for domestic water supply to characterize groundwater chemistry in surficial aquifers in Maine, Vermont, New Hampshire, Rhode Island, Connecticut and Massachusetts.		
Pennsylvania Water Science Center	The Ground Water Well Data Collection and Sampling program collects data on wells used for domestic water supply to characterize groundwater chemistry in surficial aquifers in Pennsylvania.		



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

Yes: Records collected in WaterAlert are covered under, INTERIOR/USGS-18, Computer Registration System, 63 FR 60376 (November 9, 1998); modification published 74 FR 23430, (May 19, 2009). No other PII collections are subject to the provisions of the Privacy Act.

No

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

Yes

No

## Section 2. Summary of System Data

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

- Name
- Personal Cell/Telephone Number
- Personal Email Address
- Home Telephone Number
- Mailing/Home Address
- Other

The WMA applications and WSC subsystems only collect, use and maintain non-sensitive PII as stated in the table above. Data collected is related to contact information. Individuals may choose to use business or other organizational contact information in lieu of personal information. Other property related descriptors to include longitude and latitude coordinates for ground water wells may also be collected. The Lower-Mississippi Gulf Water Science Center assigns a unique ID number to each owner, farmer, or business participating in the Arkansas Water Use Project to track longitudinal data related to their water use.

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

- Individual
- Federal agency
- Tribal agency
- Local agency
- DOI records
- Third party source
- State agency
- Other





The Lower-Mississippi Gulf Water Science Center operates the Arkansas Water Use Project under a joint funding agreement with the state of Arkansas. Data to include PII may be provided by the ANRC to USGS as specified in the cooperative agreement.

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

- Paper Format
- Email
- Face-to-Face Contact
- Website
- Telephone Interview

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

PII collected in all WMA applications and WSC subsystems is only used for purposes as stated in this assessment. The primary use is to contact residents and property owners to request permission to access private property to collect data on water sources. For the Arkansas Water Use Project, the Lower-Mississippi Gulf Water Science Center and their cooperator, the ANRC, may aggregate data to produce State-wide summary statistics and reports. PII collected in WaterAlert enables members of the public to receive information (via email or text) on water data they are interested in tracking. PII (email address) collected via Touchpoints enables USGS personnel to communicate with website visitors who opt to provide feedback regarding their experience using the USGS National Water Dashboard.

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

Within the Bureau/Office: The PII is restricted to WMA and WSC personnel as needed to conduct official business. The PII collected by the WMA is maintained in accordance with Federal records laws and will be handled as required by the Privacy Act and the FOIA to ensure the greatest protection of personal privacy. PII is not routinely shared outside the WMA except as stated herein. Additional disclosures may be permitted only when consistent with the purpose of the activity and the uses authorized under the Privacy Act and as stated in INTERIOR/USGS-18, Computer Registration System.

Other Bureaus/Offices: N/A

Other Federal Agencies: N/A

Tribal, State or Local Agencies: PII collected by the Lower-Mississippi Gulf Water Science Center for the Arkansas Water Use Project may be shared with the ANRC as permitted by the cooperative agreement. The ANRC requires Arkansas water-users to report information and is considered the owner of the data and therefore governs data use and sharing.





Contractor: Contractors who directly support WMA projects and systems may have access to PII to perform duties as described in the statement of work. The required Federal Acquisition Regulation (FAR) clauses for compliance with the Privacy Act of 1974 (as amended) are included in contracts.

Other Third Party Sources: N/A

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

Yes: Individuals may decline to provide their information as collection is voluntary. Additionally, for information regarding homeowners, landowners, or farmers, the USGS is required to follow Survey Manual Chapter 500.11, "Obtaining permission to access private lands." This chapter requires employees to obtain permission from landowners before entering onto private property and specifies what information is to be collected and why.

No

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

Privacy Act Statement

WaterAlert subscribers receive the Login.gov Privacy Act Statement which can be viewed at <https://www.login.gov/policy/our-privacy-act-statement/>.

Privacy Notice: The USGS Internet Privacy Policies (<https://www.usgs.gov/privacy-policies>) are linked to WMA publicly accessible webpages and applications. Notice is also provided through the publication of this PIA and the INTERIOR/USGS-18 SORN, and the GSA Login.gov PIA.

Other: Individuals are provided notice regarding how their information will be used when they are contacted by USGS personnel in person, by phone call, or via email/mail correspondence. The associated system of records notice and this assessment also serve as public notification for the collection and use of personal information in WMA applications and subsystems.

None

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

WaterAlert retrieves the phone number or email address provided by the subscriber in order to send requested notifications. Other WMA applications and WSC subsystems do not use PII to retrieve information. Records are saved and retrieved by use of water site identification data; records cannot be retrieved by use of the water site owner's personal information.



## I. Will reports be produced on individuals?

Yes

No. Reports are related to the use and attributes of water sources only, not individuals. For the Arkansas Water Use Project, the Lower-Mississippi Gulf Water Science Center and their cooperator, the ANRC, may aggregate data to produce State-wide summary statistics and reports.

## Section 3. Attributes of System Data

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

Personal information for individuals is verified as contact is made to request access to property. WaterAlert subscribers are responsible for verifying the accuracy and updating their own personal information.

### B. How will data be checked for completeness?

WMA personnel are responsible for verifying completion of personal information collected to request access to property. WaterAlert subscribers are responsible for verifying completeness of their own personal information.

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

Personal information for individuals is updated as contact is made to request access to property and entries are tagged with the date obtained. WaterAlert subscribers are responsible for verifying the accuracy and updating their own personal information. Requirements are outlined in WMA Operating Procedures.

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

WMA data is retained in accordance with the following USGS General Records Disposition Schedule (GRDS):

- N1-057-05-01, Item 1400-60d, Permits, Permissions, Certifications. Applicable to contact information maintained in WMA applications and WSC subsystems. These records include collecting and measurement permits obtained to satisfy private, state, or Federal regulations; permission documents from landowners to cross onto private property; and certifications to document technical capabilities for sampling methods and equipment. Records are temporary. Data cut-off is at the end of the fiscal year. Review every 10 years and destroy records that are superseded, obsolete, or no longer needed.
- N1-057-08-04, Item 1400-01b, Master Data File: NWIS. Applicable to WMA scientific data stored in the NWIS databases. These are permanent records; therefore, the retention



period is indefinite. When the data is no longer required for research or if the NWIS database is discontinued, records will be transferred to NARA for permanent retention in accordance with the records schedule.

- GRS 5.7.1, Item 301-01c, User Feedback. Applicable to on-line feedback from members of the public who visit and use open data and web tools that are available on the USGS public webpage. These records contain all comments, questions, and feedback from web site users. Correspondence and related material pertaining to user support and liaison. Included are web site user technical assistance, help files, and technical notes. Records are temporary. Data cutoff at the end of the fiscal year. Destroy when 1 year old.

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

Paper records are shredded in accordance with records retention guidelines. Electronic records are deleted. Backup tapes are reinitialized and reused. Approved disposition methods include erasing, degaussing, deleting, and shredding in accordance with the appropriate records schedule, DOI records policy, and National Archives and Records Administration (NARA) guidelines.

**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.**

There is a minimal risk to individual privacy as WMA applications and WSC subsystems collect non-sensitive PII that is generally available through public records. The WMA Information System has undergone a formal Assessment and Authorization and has been granted an authority to operate in accordance with the Federal Information Security Modernization Act (FISMA) and National Institute of Standards and Technology (NIST) standards. It is rated as a FISMA moderate system and requires management, operational, and technical controls established by the NIST Special Publication 800-53 to mitigate the privacy risks for unauthorized access, disclosure, misuse of PII, and malicious attacks. The risks are mitigated through administrative, physical, and technical controls that have been implemented to protect the confidentiality, integrity, and availability of information in the system.

There is a risk of unauthorized access to the system or data. Security controls have been implemented to prevent unauthorized access throughout the information lifecycle. Web applications and hardware are secured through use of USGS Secure Technical Implementation Guides and are assessed through a program of continuous monitoring which includes vulnerability scans, user account reviews and annual self-assessments. Platform and device level encryption have been deployed to encrypt data at rest. Audit logs are kept on all system activity with tools in place to look for abnormal activity and intrusion detection. Other system security mechanisms have also been deployed to ensure data security, including but not limited to, firewalls, virtual private network, and intrusion detection tools.

There is a risk for inappropriate use, or disclosure of information to unauthorized recipients. To mitigate this risk, the WMA follows the least privilege security principle by restricting access to



PII to WMA and WSC personnel who need it to conduct official business. Data is not shared outside of the system nor beyond privileged users. System administrators and authorized users are trained and required to follow established internal security protocols. WMA personnel must complete workforce training for records management, Paperwork Reduction Act (PRA), Section 508, Controlled Unclassified Information (CUI), privacy and cyber security annually. Developers, system administrators and database administrators must also complete role based privacy and security training on an annual basis. Moreover, they must review and agree to the DOI Rules of Behavior as a condition of training completion.

There is a risk that individuals may not receive adequate notice of the purposes for collecting their personal information or whom the information may be shared with. Individuals voluntarily submit their information to enable the WMA to conduct water studies. They are notified how their information will be used when it is collected. The use is reiterated by USGS personnel when they make contact for water site access request (verbal or written communications).

Individuals are notified of the privacy practices through published DOI SORNs, privacy notice, and the USGS website privacy policy. This PIA also provides a detailed description of data elements, uses of personal information, and how customer PII is shared.

There is risk that information in the system will be maintained longer than necessary to accomplish a legitimate purpose or in accordance with an approved records retention schedule. The WMA system owner ensures records are maintained and disposed of in accordance with records retention schedules that were approved by NARA. WMA personnel also are reminded through policy and training that they must follow the applicable retention schedules and requirements of the Federal Records Act. Data that have been backed up is either overwritten by the tape rotation cycle or the backup media is destroyed. System hard drives are sanitized prior to decommissioning. Procedures for hardware sanitization techniques are documented in the USGS Media Protection standard operating procedures. WMA records regardless of media (paper or electronic) are safeguarded in accordance with applicable laws, rules and policies.

## 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: Use of data in WMA applications and WSC subsystems is both relevant and necessary to the WMA Information System design as it enables USGS field personnel to use the information to obtain advanced approval to visit a site on private lands to collect data on water resources. Use of data by WaterAlert is necessary as the system is designed to provide notifications to a subscriber's email or phone about water conditions based on thresholds they have selected. Use of data for on-line feedback for webpages enables the WMA to respond to inquiries from members of the public and improve information on its public websites.

No



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

Yes

No. Information is maintained as a longitudinal study of the water resources, not individuals.

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

Yes

No

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

Yes

No

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

Not applicable; this system does not derive new data nor create previously unavailable data about an individual through data aggregation.

**F. Are the data or the processes being consolidated?**

Yes, data is being consolidated.

Yes, processes are 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

Contractors

Developers

System Administrator

Other: PII data collected for the Arkansas Water Use Project may be accessed by the ANRC as specified in the cooperative agreement. The PII collected in WMA applications and WSC subsystems is handled as required by the Privacy Act and the Freedom of Information Act (FOIA) to ensure the greatest protection of personal privacy.



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

Access to PII in WMA applications and WSC subsystems is determined by functional responsibilities and project assignments. System Administrators work with supervisors to define user roles, change permissions, and remove access as needed. WaterAlert subscribers are restricted to their own account registration information and order history. Subscribers do not have access to other individual's PII or account information.

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

Yes. Privacy Act contract clauses are included in all contracts. Contractors are required to complete annual privacy and information security training.

No

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

Yes

No

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

Yes. User monitoring is limited to information provided in web logs for security, audit, and system administration purposes only.

No

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

IT audit logs include username, hostname, logon dates, times of failed logon attempts, IP addresses, webpages accessed, processes accessed and other system failures.

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

The USGS complies with the National Institute of Standards and Technology and other Federal requirements for data security as part of a formal program of Assessment and Authorization, and continuous monitoring. Periodic scans of the network are performed to ensure that changes do not occur that would create an exposure or weakness in the security configuration of any equipment. The use of USGS IT systems is conducted in accordance with the appropriate use policy. IT systems maintain an audit trail of activity sufficient to reconstruct security-relevant events. The audit trail will include the identity of each entity accessing the system; time and date of access (including activities performed using a system administrator's identification); and activities that



could modify, bypass, or negate the system's security controls. Audit logs are reviewed on a regular basis, and any suspected attempts of unauthorized access or scanning of the system is reported immediately to IT Security. Access to administrative functions is strictly controlled. Additionally, users must be included in security groups assigned to a resource in order to access that particular resource. USGS personnel with system administrator access must complete IT security and privacy awareness training as well as role-based training before being granted access to the system, when required by system changes, and at least annually thereafter.

The Water Mission Area Information System is protected against unauthorized monitoring by firewalls, intrusion detection systems, antivirus programs, and inherit security of the Active Directory domain environment. USGS computers are secured and scanned in accordance with the USGS Continuous Monitoring Program Plan. Access Control Lists are in place to guard against unauthorized access. To mitigate insider threat, collected data is protected by a combination of user ID, user password, and limited restricted access. Employees are required to complete yearly Information Management and Technology Awareness Training, which includes affirming the DOI Rules of Behavior.

#### **N. How will the PII be secured?**

(1) Physical Controls. Indicate all that apply.

- Security Guards
- Key Guards
- Locked File Cabinets
- Secured Facility
- Closed Circuit Television
- Cipher Locks
- Identification Badges
- Safes
- Combination Locks
- Locked Offices
- Other

(2) Technical Controls. Indicate all that apply.

- Password
- Firewall
- Encryption
- User Identification
- Biometrics
- Intrusion Detection System (IDS)
- Virtual Private Network (VPN)
- Public Key Infrastructure (PKI) Certificates
- Personal Identity Verification (PIV) Card
- Other





(3) Administrative Controls. Indicate all that apply.

- Periodic Security Audits
- Backups Secured Off-site
- Rules of Behavior
- Role-Based Training
- Regular Monitoring of Users' Security Practices
- Methods to Ensure Only Authorized Personnel Have Access to PII
- Encryption of Backups Containing Sensitive Data
- Mandatory Security, Privacy and Records Management Training
- 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.**

The Associate Director, Water Resources, serves as the WMA Information System Owner (ISO) and the official responsible for oversight and management of security controls and protection of agency information stored and processed within the system boundary. The ISO and the WMA Information System Security Officer (ISSO) are responsible for ensuring adequate safeguards are implemented to protect individual privacy in compliance with Federal laws and policies for WMA applications and WSC subsystems. The ISO is also designated as the Privacy Act system manager and is responsible for protecting the privacy rights of the public and employees for the information collected, maintained, and used in the system of records, and for meeting the requirements of the Privacy Act, including providing adequate notice, making decisions on Privacy Act requests for notification, access, and amendments, as well as processing complaints, in consultation with the USGS Associate Privacy Officer (APO). Specific guidance on how DOI implements the Privacy Act has been published to the Code of Federal Regulations at 43 CFR Part 2, Subpart K.

**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?**

The ISO is responsible for oversight and management of the Water Mission Area program security and privacy controls and for ensuring, to the greatest extent possible, the Water Mission Area program data is properly managed and that all access to agency data has been granted in a secure and auditable manner. The ISO is also responsible for ensuring that any loss, compromise, unauthorized access, or disclosure of customer agency and agency PII is reported to the customer agency and the USGS Computer Security Incident Response Team immediately upon discovery in accordance with Federal policy and established procedures. Incidents involving PII must be reported to the USGS APO and are managed in accordance with procedures outlined in the DOI Privacy Breach Response Plan. The APO oversees breach reporting and response activities to include incident investigation, mitigation efforts, and implementing corrective actions following a breach.