



**Homeland  
Security**

The Privacy Office  
U.S. Department of Homeland Security  
Washington, DC 20528  
703-235-0780, pia@dhs.gov  
www.dhs.gov/privacy

**Privacy Threshold Analysis**  
**Version date: June 10<sup>th</sup>, 2009**  
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**PRIVACY THRESHOLD ANALYSIS (PTA)**

**This form is used to determine whether  
a Privacy Impact Assessment is required.**

Please use the attached form to determine whether a Privacy Impact Assessment (PIA) is required under the E-Government Act of 2002 and the Homeland Security Act of 2002.

Please complete this form and send it to your component Privacy Office. If you do not have a component Privacy Office, please send the PTA to the DHS Privacy Office:

Rebecca J. Richards  
Director of Privacy Compliance  
The Privacy Office  
U.S. Department of Homeland Security  
Washington, DC 20528  
Tel: 703-235-0780

PIA@dhs.gov

Upon receipt, the DHS Privacy Office will review this form. If a PIA is required, the DHS Privacy Office will send you a copy of the Official Privacy Impact Assessment Guide and accompanying Template to complete and return.

A copy of the Guide and Template is available on the DHS Privacy Office website, [www.dhs.gov/privacy](http://www.dhs.gov/privacy), on DHSOnline and directly from the DHS Privacy Office via email: [pia@dhs.gov](mailto:pia@dhs.gov), phone: 703-235-0780.



## PRIVACY THRESHOLD ANALYSIS (PTA)

Please complete this form and send it to the DHS Privacy Office.  
Upon receipt, the DHS Privacy Office will review this form  
and may request additional information.

### SUMMARY INFORMATION

**DATE submitted for review: August 1, 2009**

**NAME of Project: FEMA's Operation Stonegarden (OPSG) Grant Program**

**Name of Component: Federal Emergency Management Agency**

**Name of Project Manager: Paul Belkin**

**Email for Project Manager: Paul.Belkin@fema.gov**

**Phone number for Project Manager: 202-786-9771**

**TYPE of Project:**

**Information Technology and/or System\***

**A Notice of Proposed Rule Making or a Final Rule.**

**Other: FEMA is seeking OMB clearance for FEMA's Operation Stonegarden (OPSG) Grant Program.**

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\* The E-Government Act of 2002 defines these terms by reference to the definition sections of Titles 40 and 44 of the United States Code. The following is a summary of those definitions:

•“Information Technology” means any equipment or interconnected system or subsystem of equipment, used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. See 40 U.S.C. § 11101(6).

•“Information System” means a discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information. See: 44. U.S.C. § 3502(8).

Note, for purposes of this form, there is no distinction made between national security systems or technologies/systems managed by contractors. All technologies/systems should be initially reviewed for potential privacy impact.



## SPECIFIC QUESTIONS

### 1. Describe the project and its purpose:

In partnership with DHS' Customs and Border Patrol (CBP/BP), FEMA has the lead for designing and operating the administrative mechanisms for the Operation Stonegarden (OPSG) Grant Program. The purpose of OPSG is to provide funding to designated localities to enhance cooperation and coordination between Federal, State, local, and tribal law enforcement agencies in a joint mission to secure the U.S. borders along routes of ingress from International borders to include travel corridors in States bordering Mexico and Canada, as well as States and territories with International water borders. OPSG funds must be used to increase operational capabilities of Federal, State, local and tribal law enforcement, promoting a layered, coordinated approach to law enforcement within U.S. Border States and territories.

Applicants that have complied with all administrative and programmatic grant requirements, as determined by State and CBP/BP Sector Headquarters representatives, will have their proposals evaluated and prioritized (based on need and impact) by the aforementioned parties. After this level of review, a federal review process is conducted by a panel of evaluators from components within FEMA and CBP/BP.

### 2. Status of Project:

This is a new development effort.

This is an existing project.

Date first developed: October 2005

Date last updated: October 2009

The program priorities and pool of eligible applicants, among other items such as allowable costs or cost share requirements, can differ by grant year.

### 3. Could the project relate in any way to an individual?<sup>1</sup>

No. Please skip ahead to the next question.

Yes. Please provide a general description, below.

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<sup>1</sup> Projects can relate to individuals in a number of ways. For example, a project may include a camera for the purpose of watching a physical location. Individuals may walk past the camera and images of those individuals may be recorded. Projects could also relate to individuals in more subtle ways. For example, a project that is focused on detecting radioactivity levels may be sensitive enough to detect whether an individual received chemotherapy.



The type of information that may be collected and/or retained are the names of organizational/grantee Point(s) of Contact, organizational/grantee address, organizational/grantee email addresses, and additional contact information

**4. Do you collect, process, or retain information on: (Please check all that apply)**

- DHS Employees
- Contractors working on behalf of DHS
- The Public
- The System does not contain any such information.



**5. Do you use or collect Social Security Numbers (SSNs)? (This includes truncated SSNs)**

No.

Yes. Why does the program collect SSNs? Provide the function of the SSN and the legal authority to do so:

<Please provide the function of the SSN and the legal authority to do so.>

**6. What information about individuals could be collected, generated or retained?**

OPSG awards are made by organization, not by an individual. The only eligible applicants for OPSG funds are a select number of Governor-designated State Administrative Agencies (SAAs). OPSG has four standard federal grant forms: Application for Federal Assistance SF-424; Disclosure of Lobbying Activities; Budget Information - Non-Construction Programs SF-424A; and Assurances - Non-Construction Programs SF-424B. However, each preparedness grant program varies and has a different set of requirements. Consequently, OPSG collects and/or retains the type of applicant information that may be collected and/or retained including:

- o Type of Submission;
- o Type of Application;
- o Date Received;
- o Applicant Identifier;
- o Federal Entity Identifier;
- o Federal Award Identifier;
- o Date Received by State;
- o State Application Number;
- o Names of Organizational Point(s) of Contact;
- o Organizational Address;
- o Organizational Email Addresses;
- o Organizational Telephone and Fax Number;
- o Organizational Investment Justification;
- o Department Name;
- o Division Name;
- o Name of Federal Agency;



- Catalog of Federal Domestic Assistance Numbers (CFDA);
- CFDA Title;
- Funding Opportunity Number;
- Competition Identification Number;
- Areas Affected by Project; and
- Employer Identification Number (EIN) and Dun & Bradstreet (DUNS) numbers.

**7. If this project is a technology/system, does it relate solely to infrastructure? [For example, is the system a Local Area Network (LAN) or Wide Area Network (WAN)]?**

No. Please continue to the next question.

Yes. Is there a log kept of communication traffic?

No. Please continue to the next question.

Yes. What type of data is recorded in the log? (Please choose all that apply.)

Header

Payload Please describe the data that is logged.

<Please list the data elements in the log.>

**8. Can the system be accessed remotely?**

No.

Yes. When remote access is allowed, is the access accomplished by a virtual private network (VPN)?

No. Applicants provide application data upon submitting their proposals to FEMA via grants.gov, which is accessible via Internet.

Yes.



9. **Is Personally Identifiable Information<sup>2</sup> physically transported outside of the LAN? (This can include mobile devices, flash drives, laptops, etc.)**

No.

Yes. PII, as it relates to an individual's employment by an eligible grant entity, is transported outside the LAN (via Internet) and transmitted to grants.gov. FEMA accesses grants.gov to download application data, which includes PII, such as an organization's Point of Contact (POC) name, organizational POC's email address, and organizational POC's telephone number.

10. **Does the system connect, receive, or share Personally Identifiable Information with any other DHS systems<sup>3</sup>?**

No

Yes. Please list:

11. **Are there regular (ie. periodic, recurring, etc.) data extractions from the system?**

No.

Yes. Are these extractions included as part of the Certification and Accreditation<sup>4</sup>?

Yes.

No.

12. **Is there a Certification & Accreditation record within OCIO's FISMA tracking system?**

Unknown.

No.

Yes. Please indicate the determinations for each of the following:

Confidentiality:     Low    Moderate    High    Undefined

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<sup>2</sup> Personally Identifiable Information is information that can identify a person. This includes; name, address, phone number, social security number, as well as health information or a physical description.

<sup>3</sup> PII may be shared, received, or connected to other DHS systems directly, automatically, or by manual processes. Often, these systems are listed as "interconnected systems" in TAFISMA.

<sup>4</sup> This could include the Standard Operation Procedures (SOP) or a Memorandum of Understanding (MOU)



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Integrity:  Low  Moderate  High  Undefined

Availability:  Low  Moderate  High  Undefined





## PRIVACY THRESHOLD REVIEW

(To be Completed by the DHS Privacy Office)

DATE reviewed by the DHS Privacy Office: **March 23, 2010**

NAME of the DHS Privacy Office Reviewer: **Rebecca J. Richards**

### DESIGNATION

- This is NOT a Privacy Sensitive System – the system contains no Personally Identifiable Information.
- This IS a Privacy Sensitive System
- Category of System**

- IT System
- National Security System
- Legacy System
- HR System
- Rule
- Other:

### Determination

- PTA sufficient at this time
- Privacy compliance documentation determination in progress
- PIA is not required at this time
- A PIA is required
- System covered by existing PIA: Grant Management Programs
- A new PIA is required.
- A PIA Update is required.
- A SORN is required
- System covered by existing SORN: DHS/FEMA-004
- A new SORN is required.

### DHS PRIVACY OFFICE COMMENTS