



## **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  
Senior Director of Privacy Compliance  
The Privacy Office  
U.S. Department of Homeland Security  
Washington, DC 20528  
Tel: 202-343-1717

PIA@dhs.gov

Upon receipt from your component Privacy Office, 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 DHSCconnect and directly from the DHS Privacy Office via email: [pia@dhs.gov](mailto:pia@dhs.gov), phone: 202-343-1717.



## PRIVACY THRESHOLD ANALYSIS (PTA)

### SUMMARY INFORMATION

<b>Project or Program Name:</b>	Post Hurricane Sandy Survivor Research (1660-NW80)		
<b>Component:</b>	Federal Emergency Management Agency (FEMA)	<b>Office or Program:</b>	PNP/Individual and Community Preparedness Division
<b>TAFISMA Name:</b>	Click here to enter text.	<b>TAFISMA Number:</b>	Click here to enter text.
<b>Type of Project or Program:</b>	Form or other Information Collection	<b>Project or program status:</b>	Development

### PROJECT OR PROGRAM MANAGER

<b>Name:</b>	Chad Stover		
<b>Office:</b>	Individuals and Community Preparedness Division	<b>Title:</b>	Individual and Community Preparedness Division Program Specialist
<b>Phone:</b>	202-786-9860	<b>Email:</b>	Timothy.Stover@fema.dhs.gov

### INFORMATION SYSTEM SECURITY OFFICER (ISSO)

<b>Name:</b>			
<b>Phone:</b>		<b>Email:</b>	

### ROUTING INFORMATION

<b>Date submitted to Component Privacy Office:</b>	March 25, 2013
<b>Date submitted to DHS Privacy Office:</b>	May 7, 2013
<b>Date approved by DHS Privacy Office:</b>	May 17, 2013



## SPECIFIC PTA QUESTIONS

### 1. Please describe the purpose of the project or program:

*Please provide a general description of the project and its purpose in a way a non-technical person could understand.*

The FEMA Office of Protection and National Preparedness (PNP), Individual and Community Preparedness Division (ICPD), has contracted with the Gallup to conduct research through a telephone survey and a series of moderated focus groups regarding the experiences of Hurricane Sandy disaster survivors. The research will evaluate the effectiveness of preparedness behaviors. This research supports the mission of ICPD, to help achieve greater community awareness, preparedness, and resiliency nationwide.

Gallup will conduct the research using its own data. Gallup will select a random sample of individuals who live in zip codes affected by Hurricane Sandy who have previously agreed to allow Gallup to contact them. The survey participants are not necessarily FEMA individual assistance applicants. The survey participants are not necessarily FEMA individual assistance applicants. Gallup will use its own telephone numbers, age, and race data to stratify the survey sample. If a survivor agrees to participate in a focus group and chooses to provide contact information, Gallup may collect an email address and possibly a new phone number from a survivor to coordinate their participation in the group, and once the focus group has ended, this information will be deleted. The focus groups will be audio recorded for transcription purposes and will not be video recorded.

Neither FEMA nor Gallup will incorporate the email addresses or phone numbers into its files. In addition, FEMA will not collect, maintain, or store any of the results from the surveys or focus groups. FEMA receives an aggregate report from its contractor (Gallup).

### 2. Project or Program status

Choose an item.

<b>Date first developed:</b>	<b>January 10, 2013</b>	<b>Pilot launch date:</b>	<b>August 1, 2013</b>
<b>Date last updated:</b>	<b>February 5, 2013</b>	<b>Pilot end date:</b>	<b>April 30, 2014</b>

### 3. From whom does the Project or Program collect, maintain, use or disseminate information?

*Please check all that apply.*

- DHS Employees
- Contractors working on behalf of DHS
- Members of the public
- This program does not collect any personally identifiable information<sup>1</sup>

<sup>1</sup> DHS defines personal information as “Personally Identifiable Information” or PII, which is any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual, regardless of whether the individual is a U.S. citizen, lawful permanent resident, visitor to the U.S., or employee or contractor to the Department. “Sensitive PII” is PII, which if lost, compromised, or disclosed without authorization, could result in substantial



<p><b>4. What specific information about individuals could be collected, generated or retained?</b> <i>Please provide a specific description of information that might be collected, generated or retained such as names, addresses, emails, etc.</i></p>	
<p>Telephone number and email address. FEMA does not store or retain this information. The information is voluntarily provided by participants of the focus groups. It is only used by Gallup to facilitate focus group participation. It is then deleted.</p>	
<p><b>Does the Project or Program use Social Security Numbers (SSNs)?</b></p>	<p>No</p>
<p><b>If yes, please provide the legal authority for the collection of SSNs:</b></p>	<p>NA</p>
<p><b>If yes, please describe the uses of the SSNs within the Project or Program:</b></p>	<p>NA</p>

<p><b>5. Does this system employ any of the following technologies:</b>  <i>If project or program utilizes any of these technologies, please contact Component Privacy Officer for specialized PTA.</i></p>	<p><input type="checkbox"/> Closed Circuit Television (CCTV)</p> <p><input type="checkbox"/> Sharepoint-as-a-Service</p> <p><input type="checkbox"/> Social Media</p> <p><input type="checkbox"/> Mobile Application (or GPS)</p> <p><input type="checkbox"/> Web portal<sup>2</sup></p> <p><input checked="" type="checkbox"/> None of the above</p>
<p><b>If this project is a technology/system, does it relate solely to infrastructure?</b>  <i>For example, is the system a Local Area Network (LAN) or Wide Area Network (WAN)?</i></p>	<p><input checked="" type="checkbox"/> No. Please continue to next question.</p> <p><input type="checkbox"/> Yes. If a log kept of communication traffic, please answer the following question.</p>

harm, embarrassment, inconvenience, or unfairness to an individual. For the purposes of this PTA, SPII and PII are treated the same.

<sup>2</sup> Informational and collaboration-based portals in operation at DHS and its components which collect, use, maintain, and share limited personally identifiable information (PII) about individuals who are “members” of the portal or who seek to gain access to the portal “potential members.”



<b>If header or payload data<sup>3</sup> is stored in the communication traffic log, please detail the data elements stored.</b>	
Click here to enter text.	

<b>6. Does this project or program connect, receive, or share PII with any other DHS programs or systems<sup>4</sup>?</b>	<input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. If yes, please list: Click here to enter text.
<b>7. Does this project or program connect, receive, or share PII with any external (non-DHS) partners or systems?</b>	<input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. If yes, please list: Click here to enter text.
<b>Is this external sharing pursuant to new or existing information sharing access agreement (MOU, MOA, LOI, etc.)?</b>	Choose an item. NA Click here to enter text.

<sup>3</sup> When data is sent over the Internet, each unit transmitted includes both header information and the actual data being sent. The header identifies the source and destination of the packet, while the actual data is referred to as the payload. Because header information, or overhead data, is only used in the transmission process, it is stripped from the packet when it reaches its destination. Therefore, the payload is the only data received by the destination system.

<sup>4</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.



## PRIVACY THRESHOLD REVIEW

### (TO BE COMPLETED BY COMPONENT PRIVACY OFFICE)

<b>Component Privacy Office Reviewer:</b>	Lane Raffray
<b>Date submitted to DHS Privacy Office:</b>	Click here to enter a date.
<b>Component Privacy Office Recommendation:</b> <i>Please include recommendation below, including what new privacy compliance documentation is needed.</i>	
FEMA recommends that the PTA is sufficient at this time. The two data elements that Gallup could possibly collect on behalf of FEMA (phone number and email) are not incorporated into FEMA or contractor files and are not linked or linkable to any other data about the individual.	

### (TO BE COMPLETED BY THE DHS PRIVACY OFFICE)

<b>DHS Privacy Office Reviewer:</b>	Dayo Simms
<b>Date approved by DHS Privacy Office:</b>	May 17, 2013
<b>PCTS Workflow Number:</b>	980727

## DESIGNATION

<b>Privacy Sensitive System:</b>	No If "no" PTA adjudication is complete.
<b>Category of System:</b>	Other If "other" is selected, please describe: <b>Survey</b>
<b>Determination:</b>	<input checked="" type="checkbox"/> PTA sufficient at this time. <input type="checkbox"/> Privacy compliance documentation determination in progress. <input type="checkbox"/> New information sharing arrangement is required. <input type="checkbox"/> DHS Policy for Computer-Readable Extracts Containing Sensitive PII applies. <input type="checkbox"/> Privacy Act Statement required. <input type="checkbox"/> Privacy Impact Assessment (PIA) required. <input type="checkbox"/> System of Records Notice (SORN) required.
<b>PIA:</b>	Choose an item. If covered by existing PIA, please list: <a href="#">Click here to enter text.</a>
<b>SORN:</b>	Choose an item.



	If covered by existing SORN, please list: <a href="#">Click here to enter text.</a>
<b>DHS Privacy Office Comments:</b> <i>Please describe rationale for privacy compliance determination above.</i>	
PRIV agrees that FEMA's Post Hurricane Sandy Survivor Research project is not privacy sensitive because FEMA does not collect or maintain PII about individuals during this process. Instead, Gallup's use of its own files to contact members of the public and generate non privacy sensitive aggregate data for FEMA does not require a PIA. This survey also does not require a SORN because FEMA does not store or maintain PII about an individual that is uniquely retrievable.	