



## **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 from the 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 DHSConnect and directly from the DHS Privacy Office via email: [pia@dhs.gov](mailto:pia@dhs.gov), phone: 703-235-0780.



## PRIVACY THRESHOLD ANALYSIS (PTA)

### SUMMARY INFORMATION

**Date Submitted for Review:** January 27, 2012

**Name of Project:** Update of FEMA's Mitigation Planning Regulations

**System Name in TAFISMA:** None

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

**Name of Project Manager:** Kathleen Smith

**Email for Project Manager:** Kathleen.w.smith@dhs.gov

**Phone Number for Project Manager:** 202 646 4372

**Type of Project:**

Information Technology and/or System.\*

A Notice of Proposed Rule Making or a Final Rule.

Form or other Information Collection.

Other: <Please describe the type of project including paper based Privacy Act system of records.>

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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:**

Under Title 44 Code of Federal Regulations (CFR) Part 201, the Federal Emergency Management Agency (FEMA) requires State, Tribal and local governments to submit to FEMA for approval hazard mitigation plans. Under the said CFR provision, FEMA requires a mitigation plan to be submitted to FEMA for review and approval in order for the State/local/Tribal entity to be eligible for certain types of FEMA mitigation grants in the future. Mitigation plans are not retrieved by Personally Identifiable Information (PII).

On September 1, 2011, the Office of Management and Budget (OMB) approved an extension without change of the currently approved collection of State/Local/and Tribal Hazard Mitigation Plans and set an expiration date of September 30, 2014 under OMB Control Number 1660-0062.

FEMA is preparing a notice of proposed rulemaking to consider possible revisions to the mitigation planning regulations under 44 CFR Part 201 to change the current State Mitigation Plan (Standard and Enhanced) update requirements from 3 to 5 years. This proposed reduction in the frequency of the State and Enhanced Mitigation Plan updates should result in a reduction to the burden hours.

**2. Status of Project:**

This is a new development effort.

This is an existing project.

Date first developed: February 26, 2002

Date last updated: On September 1, 2011, FEMA received approval from OMB for the continued collection of information under OMB Control Number 1660-0062.

**3. From whom 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.

**4. 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.>

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

The information collection includes business points of contact to allow for correspondence between FEMA and the States, local, and Tribal Governments submitting the Mitigation Plan.

**6. 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.>

**7. Does the system connect, receive, or share Personally Identifiable Information with any other DHS systems<sup>1</sup>?**

No.

Yes.

Please list:

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

Unknown.

No.

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<sup>1</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.



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

Confidentiality:     Low    Moderate    High    Undefined

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: January 27, 2012**

**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.
- PIA is required.

System covered by existing PIA: FEMA NEMIS Mitigation eGrants Management System



**Homeland  
Security**

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703-235-0780, pia@dhs.gov  
www.dhs.gov/privacy

**Privacy Threshold Analysis**

**Version date: June 10, 2010**

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New PIA is required.

PIA update is required.

SORN not required at this time.

SORN is required.

System covered by existing SORN: DHS/FEMA-2006-0002

New SORN is required.

**DHS PRIVACY OFFICE COMMENTS**