Privacy Office
U.S. Department of Homeland Security
Washington, DC 20528
202-343-1717, pia@dhs.gov
www.dhs.gov/privacy

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:

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

PIA@hq.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, on DHSConnect and directly from the DHS Privacy Office via email: pia@hq.dhs.gov, phone: 202-343-1717.

PRIVACY THRESHOLD ANALYSIS (PTA)

SUMMARY INFORMATION

Project or Program Name:	**Threat and Hazard Identification and Risk Assessment (THIRA) and States Preparedness Report (SPR) Unified Reporting Tool (1660-0131)**		
Component:	Federal Emergency Management Agency (FEMA)	**Office or Program:**	National Preparedness Assessment Division
Xacta FISMA Name (if applicable):	Click here to enter text.	**Xacta FISMA Number (if applicable):**	Click here to enter text.
Type of Project or Program:	**Form or other Information Collection**	**Project or program status:**	**Modification**
Date first developed:	**August 28, 2010**	**Pilot launch date:**	**August 28, 2010**
Date of last PTA update	**December 11, 2014**	**Pilot end date:**	**August 31, 2015**
ATO Status (if applicable)	Choose an item.	**ATO expiration date (if applicable):**	Click here to enter a date.

PROJECT OR PROGRAM MANAGER

Name:	**Daniel Paulette Chapman**		
Office:	**National Preparedness Assessment Division**	**Title:**	Program Analyst
Phone:	**202-786-9670**	**Email:**	daniel.paulettechapman@fema.dhs.gov

INFORMATION SYSTEM SECURITY OFFICER (ISSO) (IF APPLICABLE)

Name:	Click here to enter text.		
Phone:	Click here to enter text.	**Email:**	Click here to enter text.

SPECIFIC PTA QUESTIONS

1. Reason for submitting the PTA: Updated PTA

The Threat and Hazard Identification and Risk Assessment (THIRA) and State Preparedness Report (SPR) Unified Reporting Tool (Office of Management and Budget (OMB) 1660-0131) has been revised since the last PTA was approved on December 11, 2014. FEMA's revision of this collection includes the use of a telephonic survey to assess customer service and ease of use of the collection's Excel tool. FEMA uses a 1-800 number and script to facilitate the survey. As a result of this revision, FEMA does not collect any additional personally identifiable information. However, PII is used to send out calendar invitations via email for the telephonic survey.

This collection characterizes the first two components of the National Preparedness System: Identifying and Assessing Risk and Estimating Capability Requirements. The collection serves as a foundation for the National Preparedness System, and represents the first steps of the nation's process for achieving its National Preparedness Goal of a secure and resilient nation.

Respondents are identified by State Authorizing Agency's (SAA) from each state, territory, tribe or Urban Area who are responsible for assigning points of contact (POC) for the THIRA and SPR. A POC is an individual assigned responsibility for the THIRA/SPR by the SAA. The approving authority is the person in the state who approves the information contained in the SPR. The approving authority may be the State Homeland Security Director, State Emergency Management Director, or the Governor.

The collection consists of two major steps. First, respondents establish capability targets based on their jurisdiction's own threats and hazards, and estimate the resources needed to meet the capability targets in a process called the THIRA. Second, respondents estimate their current capability levels against those targets in the SPR. Combined, these steps enable respondents to understand and improve their preparedness, and enable the federal government to understand how it can most effectively contribute to national preparedness.

FEMA's Federal Preparedness Coordinator emails an Excel form that serves as the collection mechanism to the SAA. The SAA returns the form via email to the FEMA Federal Preparedness Coordinators by December 31 annually. Once the Excel forms are submitted to FEMA, FEMA uploads them to SharePoint and uses its SharePoint site as a file storage mechanism. FEMA consolidates all information, except POC information, into one Excel database from which FEMA conducts its analysis. POC information stays in the original Excel form and is not consolidated because it is not necessary for analysis. FEMA stores both the individual Excel forms and the consolidated Excel form on SharePoint. FEMA annually collects this information, and analyzes the data, as necessary, for its reports to Congress and the President.

The collection is broken down between the THIRA and SPR to provide a more accurate assessment. Information collected in this form enables state, local, and tribal jurisdictions, and the federal government, to:

- understand the risks entities face from all threats and hazards;
- estimate the capabilities and resources they need to manage those risks;
- assess their current capability levels against their targeted capability levels; and,
- identify gaps between their current capabilities and the capabilities they need.

The assessment goal and collection of PII remains the same, however, FEMA revises this collection to include non-PII survey questions and responses and use of PII to facilitate contact with individuals to complete the telephonic survey.

Basic contact information is collected from Points of Contact (POCs) and Approving Authorities.

2. Does this system employ any of the following technologies: *If you are using any of these technologies and want coverage under the respective PIA for that technology please stop here and contact the DHS Privacy Office for further guidance.*	☐ Closed Circuit Television (CCTV) ☐ Social Media ☒ Web portal[1] (e.g., SharePoint) ☐ Contact Lists ☐ None of these

3. From whom does the Project or Program collect, maintain, use, or disseminate information? *Please check all that apply.*	☐ This program does not collect any personally identifiable information[2] ☒ Members of the public ☒ DHS employees/contractors (list components): ☐ Contractors working on behalf of DHS ☐ Employees of other federal agencies

[1] Informational and collaboration-based portals in operation at DHS and its components that collect, use, maintain, and share limited personally identifiable information (PII) about individuals who are "members" of the portal or "potential members" who seek to gain access to the portal.

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

4. What specific information about individuals is collected, generated or retained?	
Information from POCs: • Full Name • Email Address • Telephone Number • Title • Organization Name • Organization Address • Survey/Questionnaire Responses Information from Approving Authority: • Full Name • Email Address • Telephone Number • Title • Organization Name • Organization Address • Survey/Questionnaire Responses Information from Sharepoint Site Users (FEMA Staff): • Full Name • Email Address • Username	
4(a) Does the project, program, or system retrieve information by personal identifier?	☒ **No.** Please continue to next question. ☐ Yes. If yes, please list all personal identifiers used:
4(b) Does the project, program, or system use Social Security Numbers (SSN)?	☒ **No.** ☐ Yes.
4(c) If yes, please provide the specific legal basis and purpose for the collection of SSNs:	Click here to enter text.
4(d) If yes, please describe the uses of the SSNs within the project, program, or system:	Click here to enter text.

4(e) If this project, program, or system is an information 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 next question. ☐ Yes. If a log kept of communication traffic, please answer the following question.
4(f) If header or payload data[3] is stored in the communication traffic log, please detail the data elements stored.	
Click here to enter text.	

5. Does this project, program, or system connect, receive, or share PII with any other DHS programs or systems[4]?	☒ **No.** ☐ Yes. If yes, please list: Click here to enter text.
6. Does this project, program, or system connect, receive, or share PII with any external (non-DHS) partners or systems?	☒ **No.** ☐ Yes. If yes, please list: Click here to enter text.
6(a) Is this external sharing pursuant to new or existing information sharing access agreement (MOU, MOA, LOI, etc.)?	Choose an item. Please describe applicable information sharing governance in place:
7. Does the project, program, or system provide role-based training for personnel who have access in addition to annual privacy training required of all DHS personnel?	☒ **No.** ☐ Yes. If yes, please list:
8. Per NIST SP 800-53 Rev. 4, Appendix J, does the project, program, or system maintain an accounting of disclosures	☒ No. What steps will be taken to develop and maintain the accounting:

[3] 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.

[4] 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 Xacta.

of PII to individuals who have requested access to their PII?	☐ Yes. In what format is the accounting maintained:
9. Is there a FIPS 199 determination?[4]	☐ Unknown. ☒ No. ☐ 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 COMPONENT PRIVACY OFFICE)

Component Privacy Office Reviewer:	**LeVar J. Sykes**
Date submitted to Component Privacy Office:	**May 22, 2015**
Date submitted to DHS Privacy Office:	May 22, 2015

Component Privacy Office Recommendation:
Please include recommendation below, including what new privacy compliance documentation is needed.

FEMA recommends that this is a privacy sensitive ICR because it collects basic contact information. Since the information collected is entered into an internal FEMA SharePoint site, FEMA recommends that this ICR be covered by the DHS/ALL/PIA-037 - DHS SharePoint and Collaboration Sites PIA; and DHS/ALL-004 - General Information Technology Access Account Records System (GITAARS) SORN (September 29, 2009, 74 FR 49882).

(TO BE COMPLETED BY THE DHS PRIVACY OFFICE)

DHS Privacy Office Reviewer:	**Eric M. Leckey**

[4] FIPS 199 is the Federal Information Processing Standard Publication 199, Standards for Security Categorization of Federal Information and Information Systems and is used to establish security categories of information systems.

PCTS Workflow Number:	**1090012**
Date approved by DHS Privacy Office:	June 1, 2015
PTA Expiration Date	June 1, 2018

DESIGNATION

Privacy Sensitive System:	Yes If "no" PTA adjudication is complete.
Category of System:	Form/Information Collection If "other" is selected, please describe: Click here to enter text.
Determination:	☐ PTA sufficient at this time. ☐ Privacy compliance documentation determination in progress. ☐ New information sharing arrangement is required. ☐ DHS Policy for Computer-Readable Extracts Containing Sensitive PII applies. ☐ Privacy Act Statement required. ☒ Privacy Impact Assessment (PIA) required. ☒ System of Records Notice (SORN) required. ☐ Paperwork Reduction Act (PRA) Clearance may be required. Contact your component PRA Officer. ☐ A Records Schedule may be required. Contact your component Records Officer.
PIA:	**System covered by existing PIA** If covered by existing PIA, please list: DHS/ALL/PIA-037 - DHS SharePoint and Collaboration Sites
SORN:	System covered by existing SORN If covered by existing SORN, please list: DHS/ALL-004 - General Information Technology Access Account Records System (GITAARS)

DHS Privacy Office Comments:
Please describe rationale for privacy compliance determination above.

This is a privacy sensitive collection that collects basic contact information from POCs, Approving Authorities, and FEMA staff. This ICR is covered by the DHS/ALL/PIA-037 - DHS SharePoint and Collaboration Sites PIA and DHS/ALL-004 - General Information Technology Access Account Records System (GITAARS) SORN (September 29, 2009, 74 FR 49882).

The collection serves as a foundation for the National Preparedness System, and represents the first steps of the nation's process for achieving its National Preparedness Goal of a secure and resilient nation. This

PTA is being updated because an Excel tool replaces the previously used online tool; and because respondents now include Urban Areas and Tribal Governments. No further information is required at this time.