



## **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](http://www.dhs.gov/privacy), on DHSConnect and directly from the DHS Privacy Office via email: [pia@hq.dhs.gov](mailto:pia@hq.dhs.gov), phone: 202-343-1717.



## PRIVACY THRESHOLD ANALYSIS (PTA)

### SUMMARY INFORMATION

<b>Project or Program Name:</b>	<b>National Urban Search and Rescue Response System Grant/Cooperative Agreement Program</b>		
<b>Component:</b>	Federal Emergency Management Agency (FEMA)	<b>Office or Program:</b>	Office of Response and Recovery (ORR)
<b>Xacta FISMA Name (if applicable):</b>	Click here to enter text.	<b>Xacta FISMA Number (if applicable):</b>	Click here to enter text.
<b>Type of Project or Program:</b>	<b>Form or other Information Collection</b>	<b>Project or program status:</b>	<b>Update</b>
<b>Date first developed:</b>	Click here to enter a date.	<b>Pilot launch date:</b>	Click here to enter a date.
<b>Date of last PTA update</b>	Click here to enter a date.	<b>Pilot end date:</b>	Click here to enter a date.
<b>ATO Status (if applicable)</b>	Choose an item.	<b>ATO expiration date (if applicable):</b>	Click here to enter a date.

### PROJECT OR PROGRAM MANAGER

<b>Name:</b>	<b>Catherine Deel</b>		
<b>Office:</b>	<b>US&amp;R Branch</b>	<b>Title:</b>	Program Specialist
<b>Phone:</b>	<b>202-212-3796</b>	<b>Email:</b>	Catherine.Deel@fema.dhs.gov

### INFORMATION SYSTEM SECURITY OFFICER (ISSO) (IF APPLICABLE)

<b>Name:</b>	Click here to enter text.		
<b>Phone:</b>	Click here to enter text.	<b>Email:</b>	Click here to enter text.



## SPECIFIC PTA QUESTIONS

### 1. Reason for submitting the PTA: New PTA

The Federal Emergency Management Agency (FEMA) manages the National Urban Search and Rescue System (US&R) Grant/Cooperative Agreement Program. FEMA provides grant funding to 28 established Sponsoring Organizations within the National US&R Response System. The US&R provides specialized lifesaving assistance within their local jurisdiction as well as during major disaster or emergencies that the President declares under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act), 42 U.S.C. 5121 through 5208. US&R operational activities include locating, extracting and providing on-site medical treatment to victims trapped in collapsed structures, weapons of mass destruction events and when assigned, incident command or coordination of other operational activities.

This new PTA is part of the update and renewal of Office of Management and Budget (OMB) Information Collection Resource (ICR) No. 1660-0073 that is scheduled for expiration on November 30, 2015. As part of this update and renewal, FEMA is updating the existing forms and adding an additional form relating to this information collection.

The following forms are associated with this collection of information: FEMA Form (FF) 089-0-10, *Urban Search Rescue Response System Narrative Statement Workbook*; FF 089-0-11, *Urban Search Rescue Response System Semi-Annual Performance Report*; FF 089-0-12, *Urban Search Rescue Response System Amendment Form*; FF 089-0-14, *Urban Search Rescue Response System Task Force Self-Evaluation Scoresheet*; FF 089-0-15, *Urban Search Rescue Response System Task Force Deployment Data*; and FF 089-0-16, *Vehicle Support Unit Purchase/Replacement/Disposal Justification*.

FEMA requires each of the 28 Sponsoring Organizations within the National US&R Response System to submit the appropriate forms and associated information to: 1) apply each fiscal year for grant/cooperative agreement funds; 2) provide semi-annual updates on their performance; 3) provide a request for amendments, when necessary; 4) evaluate their US&R task force on a yearly basis and provide their self-evaluation to FEMA; 5) provide specific information on their equipment cache each year for potential air lift and space requirements during deployment; and 6) provide information about all vehicle purchases, replacements and the disposition of each.

The US&R Sponsoring Organization's representative may, but are not required to, provide any combination of their name, title, phone (cell, work, or home) numbers, email address, and signature to FEMA during submission of the associated forms. Additionally, US&R Grantee's provide the name, staff position, and salary information of key personnel associated with the grant/cooperative agreement. FEMA employees in the role of FEMA US&R approvers provide their name, phone number, title, and signature.

FEMA uses the Non Disaster Grants (ND Grants) System to store and track US&R grant/cooperative agreement related applications, awards, amendments, and other program related information. Additionally, FEMA uses internal SharePoint that is behind the FEMA firewall to help track Grant applications through the grant/funding lifecycle.



FEMA retrieves records by organizational names and not by any PII.

**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<sup>1</sup> (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<sup>2</sup>
- Members of the public
- DHS employees/contractors (list components):  
FEMA
- Contractors working on behalf of DHS
- Employees of other federal agencies

**4. What specific information about individuals is collected, generated or retained?**

FEMA may collect the following information from National US&R Response System Sponsoring Organization representatives:

- Name
- Signature
- Organization
- Title/Position
- Phones number (mobile, work, or home)

<sup>1</sup> 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.

<sup>2</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 harm, embarrassment, inconvenience, or unfairness to an individual. For the purposes of this PTA, SPII and PII are treated the same.



<ul style="list-style-type: none"> <li>Email address (work or business)</li> </ul> <p>FEMA collects the following information from National US&amp;R Response System Sponsoring Organization/Grantee Key personnel:</p> <ul style="list-style-type: none"> <li>Name</li> <li>Job titles/classifications</li> <li>Salaries</li> </ul> <p>FEMA may collect the following information from FEMA personnel (ex. FEMA US&amp;R Approver):</p> <ul style="list-style-type: none"> <li>Name</li> <li>Signature</li> <li>Title/Position</li> <li>Phone number</li> <li>Email address</li> </ul>	
<b>4(a) Does the project, program, or system retrieve information by personal identifier?</b>	<input checked="" type="checkbox"/> No. Please continue to next question. <input type="checkbox"/> Yes. If yes, please list all personal identifiers used:
<b>4(b) Does the project, program, or system use Social Security Numbers (SSN)?</b>	<input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes.
<b>4(c) If yes, please provide the specific legal basis and purpose for the collection of SSNs:</b>	Click here to enter text.
<b>4(d) If yes, please describe the uses of the SSNs within the project, program, or system:</b>	Click here to enter text.
<b>4(e) If this project, program, or system is an information 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>	<input checked="" type="checkbox"/> No. Please continue to next question. <input type="checkbox"/> Yes. If a log kept of communication traffic, please answer the following question.
<b>4(f) If header or payload data<sup>3</sup> is stored in the communication traffic log, please detail the data elements stored.</b>	

<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.



Click here to enter text.

<p><b>5. Does this project, program, or system connect, receive, or share PII with any other DHS programs or systems<sup>4</sup>?</b></p>	<p><input type="checkbox"/> No.</p> <p><input checked="" type="checkbox"/> Yes. If yes, please list:</p> <p>ND Grants</p> <p>FEMA SharePoint Site</p>
<p><b>6. Does this project, program, or system connect, receive, or share PII with any external (non-DHS) partners or systems?</b></p>	<p><input type="checkbox"/> No.</p> <p><input checked="" type="checkbox"/> Yes. If yes, please list:</p> <p>Sponsoring Organizations</p>
<p><b>6(a) Is this external sharing pursuant to new or existing information sharing access agreement (MOU, MOA, LOI, etc.)?</b></p>	<p>Choose an item.</p> <p>Please describe applicable information sharing governance in place: Memoranda of Agreement with each of the 28 respondents, along with yearly Readiness Cooperative Agreement Statements of Work and Terms and Conditions under each Cooperative Agreement.</p>
<p><b>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?</b></p>	<p><input checked="" type="checkbox"/> No.</p> <p><input type="checkbox"/> Yes. If yes, please list:</p>
<p><b>8. Per NIST SP 800-53 Rev. 4, Appendix J, does the project, program, or system maintain an accounting of disclosures of PII to individuals who have requested access to their PII?</b></p>	<p><input type="checkbox"/> No. What steps will be taken to develop and maintain the accounting:</p> <p><input checked="" type="checkbox"/> Yes. In what format is the accounting maintained: FEMA’s Disclosure Branch maintains an account of PII disclosed pursuant to the FOIA/PA process.</p>

<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 Xacta.



<b>9. Is there a FIPS 199 determination?<sup>4</sup></b>	<input checked="" type="checkbox"/> Unknown. <input type="checkbox"/> No. <input type="checkbox"/> Yes. Please indicate the determinations for each of the following:  Confidentiality: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High <input type="checkbox"/> Undefined  Integrity: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High <input type="checkbox"/> Undefined  Availability: <input type="checkbox"/> Low <input type="checkbox"/> Moderate <input type="checkbox"/> High <input type="checkbox"/> Undefined
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### PRIVACY THRESHOLD REVIEW

(TO BE COMPLETED BY COMPONENT PRIVACY OFFICE)

<b>Component Privacy Office Reviewer:</b>	LeVar J. Sykes
<b>Date submitted to Component Privacy Office:</b>	Click here to enter a date.
<b>Date submitted to DHS Privacy Office:</b>	October 7, 2015
<b>Component Privacy Office Recommendation:</b> <i>Please include recommendation below, including what new privacy compliance documentation is needed.</i>	
FEMA recommends the following privacy compliance coverage:  PIA: DHS/FEMA/PIA – 013 Grant Management Programs  SORN: N/A	

(TO BE COMPLETED BY THE DHS PRIVACY OFFICE)

<sup>4</sup> 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.



<b>DHS Privacy Office Reviewer:</b>	<b>Eric M. Leckey</b>
<b>PCTS Workflow Number:</b>	<b>109416</b>
<b>Date approved by DHS Privacy Office:</b>	October 14, 2015
<b>PTA Expiration Date</b>	October 14, 2018

### DESIGNATION

<b>Privacy Sensitive System:</b>	Yes If “no” PTA adjudication is complete.
<b>Category of System:</b>	Form/Information Collection If “other” is selected, please describe: <a href="#">Click here to enter text.</a>
<b>Determination:</b>	<input 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 checked="" type="checkbox"/> Privacy Impact Assessment (PIA) required. <input type="checkbox"/> System of Records Notice (SORN) required. <input type="checkbox"/> Paperwork Reduction Act (PRA) Clearance may be required. Contact your component PRA Officer. <input type="checkbox"/> A Records Schedule may be required. Contact your component Records Officer.
<b>PIA:</b>	<b>System covered by existing PIA</b> If covered by existing PIA, please list: DHS/FEMA/PIA – 013 Grant Management Programs
<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>	
The National Urban Search and Rescue System (US&R) Grant/Cooperative Agreement Program is a Privacy Sensitive System that collects the personally identifiable information (PII) of the public and FEMA personnel. FEMA collects the related information to process grant/cooperative agreement funding for the 28 Sponsoring Organizations with the US&R. In accordance with the E-Government Act of 2002, this project requires the completion of a Privacy Impact Assessment (PIA). FEMA retrieves information by organizational name and not by the PII of the organization’s representative or FEMA employee. This	





**Homeland  
Security**

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

**Privacy Threshold Analysis**

**Version number: 01-2014**

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project is not a system of records and does not require a System of Records Notice in accordance with the Privacy Act of 1974.