



## **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>	The Declaration Process: Requests for Preliminary Damage Assessment (PDA), Requests for Supplemental Federal Disaster Assistance, Appeals, and Requests for Cost Share Adjustments [ICR 1660-0009]		
<b>Component:</b>	Federal Emergency Management Agency (FEMA)	<b>Office or Program:</b>	Office of Response & Recovery
<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>Existing</b>
<b>Date first developed:</b>	<b>April 1, 1979</b>	<b>Pilot launch date:</b>	Click here to enter a date.
<b>Date of last PTA update</b>	<b>April 30, 2012</b>	<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>	Dean Webster		
<b>Office:</b>	<b>Office of Response &amp; Recovery</b>	<b>Title:</b>	Chief, Declarations Unit
<b>Phone:</b>	<b>202-646-2833</b>	<b>Email:</b>	Dean.Webster@fema.dhs.gov

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

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



## SPECIFIC PTA QUESTIONS

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

If a State is impacted by an event of a severity and magnitude that is beyond its response capabilities, the State Governor may seek a declaration by the President that a major disaster or emergency exists under sections 401 and 501 of the Stafford Act (42 U.S.C. §§ 5170 and 5190). These requests are submitted through FEMA Form 010-0-13. FEMA evaluates the requests and provides recommendations of appropriate response actions to the President. If the request is granted, the State may be eligible to receive assistance under 42 U.S.C. §§ 5170a, 5170b, 5170c; 5172, 5173, and 5174.

FEMA uses FEMA Form 010-0-13 to collect information from the requesting State. The form prompts a State to describe the impact of the disaster or emergency when seeking a Presidential declaration. With this, DHS/FEMA is able to effectively process, analyze, and evaluate declaration requests. DHS/FEMA analyzes the State's information submitted in the form to determine what recommendations to make to the President. Based on this information, the President decides whether to grant the request. The form contains:

- Governor's name
- Name of the State's point of contact
- Incident/disaster date
- Type of incident/disaster
- Description of damages
- Description of the nature and amount of local resources used by the State
- Type of assistance being requested
- Designated counties and/or tribes within the state to receive assistance

FEMA's Declarations Unit maintains the State's completed form on the unit's shared drive. The form is shared with a limited number of employees on staff who have a need to know. As noted above, FEMA Form 010-0-13 only collects minimal PII information; none of which is SPII. The data is neither retrieved nor retrievable by personally identifiable information. Rather, the information is retrieved by State specific or disaster specific information of a non-identifiable nature.

### 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

<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.



	<input checked="" type="checkbox"/> None of these
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<p><b>3. From whom does the Project or Program collect, maintain, use, or disseminate information?</b> <i>Please check all that apply.</i></p>	<p><input type="checkbox"/> This program does not collect any personally identifiable information<sup>2</sup></p> <p><input checked="" type="checkbox"/> Members of the public</p> <p><input type="checkbox"/> DHS employees/contractors (list components):</p> <p><input type="checkbox"/> Contractors working on behalf of DHS</p> <p><input type="checkbox"/> Employees of other federal agencies</p>
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<b>4. What specific information about individuals is collected, generated or retained?</b>	
Governor's point of contact: First and last name and general office phone number.	
<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>	n/a
<b>4(d) If yes, please describe the uses of the SSNs within the project, program, or system:</b>	n/a
<b>4(e) If this project, program, or system is an information technology/system, does it relate solely to infrastructure?</b>	<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.

<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.



<i>For example, is the system a Local Area Network (LAN) or Wide Area Network (WAN)?</i>	
<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>	
N/A	
<b>5. Does this project, program, or system 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: <a href="#">Click here to enter text.</a>
<b>6. Does this project, program, or system 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: <a href="#">Click here to enter text.</a>
<b>6(a) Is this external sharing pursuant to new or existing information sharing access agreement (MOU, MOA, LOI, etc.)?</b>	N/A
<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>	<input checked="" type="checkbox"/> No. <input type="checkbox"/> Yes. If yes, please list:
<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>	<input checked="" type="checkbox"/> No. What steps will be taken to develop and maintain the accounting: This system collects very minimal PII, none of which is SPII. Specifically, the only PII collected is individuals' names serving in a public business contact capacity. The other information refers to additional information related to the disaster.  <input type="checkbox"/> Yes. In what format is the accounting maintained:

<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 Xacta.



<b>9. Is there a FIPS 199 determination?<sup>4</sup></b>	<input type="checkbox"/> Unknown. <input checked="" 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>	<b>LaKia Samuel</b>
<b>Date submitted to Component Privacy Office:</b>	<b>November 20, 2015</b>
<b>Date submitted to DHS Privacy Office:</b>	January 21, 2016
<b>Component Privacy Office Recommendation:</b>	
<i>Please include recommendation below, including what new privacy compliance documentation is needed.</i>	
FEMA Form 010-0-13 is used by States points of contact (POCs) for the purpose of requesting a Presidential disaster declaration. The form collects basic contact information from the State POCs and a description of the State’s devastation resulting from the incident. This collection [ICR 1660-0009] has coverage under the DHS/FEMA/PIA-013 –Grants Management PIA. Information is not filed or retrieved by use of a name or personal identifier. Therefore, this collection does not require SORN coverage.	

(TO BE COMPLETED BY THE DHS PRIVACY OFFICE)

<b>DHS Privacy Office Reviewer:</b>	<b>Tammi Hines</b>
<b>PCTS Workflow Number:</b>	<b>1118167</b>
<b>Date approved by DHS Privacy Office:</b>	February 10, 2016

<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>PTA Expiration Date</b>	February 10, 2019
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### 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>Existing PIA</b> If covered by existing PIA, please list: <b>DHS/FEMA/PIA-013 – Grants Management</b>
<b>SORN:</b>	<b>N/A</b> If covered by existing SORN, please list:
<b>DHS Privacy Office Comments:</b> <i>Please describe rationale for privacy compliance determination above.</i>	
The purpose for this PTA Renewal is to review, annotate the review, and ensure there is privacy compliance coverage for this initiative. DHS-Privacy agrees with the above recommendation that FEMA Form 010-0-13 is used to collect basic contact information for State POCs requesting Presidential Disaster Declaration of a state impacted by a disaster. PIA coverages is provided under: DHS/FEMA/PIA-013 – Grants Management, as this system only collects minimal contact information and no SPII, SORN coverage is not required.	