



Privacy Impact Assessment
for the

Grants Management Modernization (GMM)

DHS/FEMA/PIA-052

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Abstract

The Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA) Grant Management Modernization (GMM) program owns and operates the GMM Streamlined Platform for Agile Release and Transformation Acceleration (SPARTA) system. Through the development and deployment of the GMM SPARTA system, GMM seeks to streamline grants management across the Agency's 40-plus grant programs through a user-centered, business-driven approach. The GMM SPARTA system will consolidate the functionalities of FEMA's ten legacy IT systems (listed in Appendix C) into a single grants management IT platform. FEMA is publishing this Privacy Impact Assessment (PIA) because GMM SPARTA collects, uses, maintains, retrieves, and disseminates personally identifiable information (PII) of applicants, recipients, and sub-recipients for the purpose of executing FEMA grants programs.

Overview

The primary mission of the Federal Emergency Management Agency (FEMA) is to reduce the loss of life and property and protect the nation from all hazards, including natural disasters, acts of terrorism, and other man-made disasters. This mission is accomplished by leading and supporting the nation in a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery, and mitigation. In support of FEMA's mission, FEMA delivers numerous disaster and non-disaster financial assistance programs, largely through grant agreements and cooperative agreements (herein collectively known as grants). This accounts for a significant amount of federal funds for which FEMA is accountable. For example, in fiscal year 2017, FEMA awarded over \$2.6 billion in non-disaster assistance, and \$5.8 billion in disaster assistance. FEMA currently has PIAs published to cover the administration of the disaster and non-disaster grants¹ programs, as well as the Individual Assistance program². This PIA will not replace those documents as the overall processes, collection, and use of associated PII remains the same, even with the deployment of GMM SPARTA. This PIA covers the development and implementation of the GMM SPARTA system and how it will be used to manage the grants programs.

FEMA's grants support a broad scope of activities within emergency management. The Agency manages 40-plus active grant programs (as of March 2018). These programs are summarized in Appendix A.

Non-disaster and Disaster Grants

FEMA administers both non-disaster and disaster grants. Disaster grants are those awards for public assistance, hazard mitigation, and other grants issued pursuant to a Presidentially-

¹ See DHS/FEMA/PIA-013 Grant Management Programs available at www.dhs.gov/privacy.

² See DHS/FEMA/PIA-049 Individual Assistance (IA) Program available at www.dhs.gov/privacy.



declared disaster or emergency. FEMA assists state, local, tribal, and territorial governments and certain types of private, nonprofit organizations with facilitating response and recovery from the devastating effects of disasters by providing technical assistance and financial disaster-related grants and loans. Disaster grants are financial or direct assistance for debris removal; emergency protective measures; the repair, replacement, or restoration of disaster-damaged, publicly-owned facilities; or other recovery activities. FEMA disaster grants (including the Public Assistance program) provide the most significant amount of federal funding and are the largest grant programs in DHS. Disaster grants do not include recovery programs directed at individuals such as the Individual Assistance program.

Non-disaster grants are not associated with a Presidential Declaration. They pertain to homeland security, emergency management, fire fighter assistance, pre-disaster mitigation, and related funding efforts. Non-disaster grants are directed at state, local, tribal, and territorial governments, and certain types of private, nonprofit organizations. The grants aim to enhance their preparedness capacity to prevent, respond to, and recover from an incident involving chemical, biological, radiological, nuclear, explosive devices, or a cyber-attack. Applicants for these grants are required to provide information to determine the eligibility of an activity justifying grant funding.³

Individual Assistance Grants

Individual Assistance (IA)⁴ grants are authorized when a Governor or Tribal Chief Executive requests federal assistance and the President of the United States declares a major disaster or emergency.⁵ The IA Division's mission is to ensure that disaster survivors have timely access to a full range of programs and services to maximize their recovery. To support this mission, the IA Division operates the IA programs, which include the Individual and Households Program (IHP) and the Transitional Sheltering Assistance (TSA) program.⁶ The IHP provides financial assistance and direct services to those who have necessary expenses and serious needs as a direct result of a disaster and are unable to meet those needs through other means. The TSA program provides survivors with lodging in hotels or motels that are paid directly by FEMA. The provision of IHP and TSA requires FEMA to collect, use, maintain, and share PII and sensitive PII (SPII)⁷ from applicants, and this is accomplished through various information technology

³ See DHS/FEMA/PIA-013 Grant Management Programs available at www.dhs.gov/privacy.

⁴ Individual Assistance refers to money or direct assistance to eligible individuals and households whose property has been damaged or destroyed as a direct result of a major disaster or emergency and whose losses are not covered by insurance or other means. See DHS/FEMA/PIA-049 Individual Assistance (IA) Program available at www.dhs.gov/privacy.

⁵ 42 U.S.C. §§ 5121-5207.

⁶ 42 U.S.C. § 5174(a)(1).

⁷ SPII refers to the use of the Social Security number, bank account information, and limited medical information. For the purposes of this document, "PII" will be used to refer to both regular PII and SPII.



(IT) systems, applications, and forms.⁸

GMM SPARTA

FEMA has begun a multi-year effort to transform the way the Agency administers grants. The Grants Management Modernization (GMM) program seeks to streamline grants management across the Agency's 40-plus grant programs through a user-centered, business-driven approach. Currently, FEMA administers and manages the 40-plus grant programs by using multiple, disparate IT systems. GMM will consolidate the functionalities of FEMA's ten legacy IT systems (listed in Appendix C) into a single grants management IT platform: the GMM SPARTA system. GMM SPARTA will ingest grant application information from their various collection points, and through the applications housed within the system, will manage the grant through its lifecycle. GMM SPARTA will support the five sequential phases of the grants management lifecycle – Pre-Award, Award, Post-Award, Closeout, and Post-Closeout – along with the two-continuous phases – Grant Program Management and Business Intelligence – for all grant programs. Having a consolidated system allows users, which includes DHS employees administering the grants and the grant recipients and sub-grantees, to access a single system and manage or participate in the grants process. The GMM program will also consolidate FEMA's grants operations, establishing a common grants management lifecycle and unifying business processes across grant programs when possible. These changes will improve the efficiency and effectiveness of FEMA's grant operations, thereby strengthening the Agency's ability to carry out its mission.

The GMM SPARTA system is hosted in the Federal Risk and Authorization Management Program (FedRAMP)-approved⁹ Amazon Web Services GovCloud (AWS). The GMM SPARTA system is a cloud-based platform in which applications are deployed within its boundaries. The GMM SPARTA platform is comprised of pre-production (Pre-PROD) and production (PROD) environments as well as a management segment.

Applications for the GMM SPARTA platform are first developed in the SPARTA-Engineering and Testing (SPARTA-ET) system, a separate IT system. FEMA will undergo Agile development to incrementally develop and deploy specific applications and functionalities to the GMM SPARTA platform. Agile development¹⁰ is an iterative approach to developing IT capabilities when requirements and solutions evolve through collaboration between self-organizing and cross-functional teams. Agile development promotes continuous adaptive planning, development, testing, and delivery/integration, and encourages rapid and flexible response to change. Agile is not one specific methodology, but is a conceptual framework

⁸ For more information on Individual Assistance, please See DHS/FEMA/PIA-049 Individual Assistance (IA) Program available at www.dhs.gov/privacy.

⁹ FedRAMP is a Government-wide program that provides a standardized approach to security assessment, authorization, and continuous monitoring for cloud products and services.

¹⁰ For more information on Agile, please see: https://www.dhs.gov/sites/default/files/publications/Instruction_102-01-004_Revision_00_Agile_Development_SIGNED_04-11-2016%281%29.pdf.



implemented through various agile methods that promote delivering working, tested, deployable IT solutions on an incremental basis to increase value, visibility, and adaptability, and to reduce program/project risk. Once an application is developed in SPARTA-ET, it is tested and vetted for application functionality and regulatory compliance. Once functionalities have been tested and vetted, it is automatically transferred to the GMM SPARTA platform's Pre-PROD environment.

The GMM SPARTA Pre-PROD environment stores duplicate copies of PII that exists in the production (i.e., live) environment for the purpose of testing the applications. The purpose of the Pre-PROD is to simulate the production environment as closely as possible so the GMM team can test applications in conjunction with other applications. Examples of such testing include User Acceptance and Performance. User Acceptance testing ensures that the efforts made during application development in SPARTA-ET were of value to the users. Performance testing must be conducted with production-quality data to ensure that an application can optimally function as expected within GMM SPARTA system. The Pre-PROD environment ensures that the applications have been created, tested, and are ready for production deployment.

The GMM SPARTA PROD environment is the final deployment environment for applications that have been fully vetted through scanning and testing. The PROD environment is where recipients, applicants, managers, grant, and grant-support personnel will be able to perform their grant-related duties. A list of PII data found in the PROD environment can be found in Section 2.1 of this document. As of the writing of this PIA, there are no applications in the production environment of the GMM SPARTA platform. Once operational, both federal and public users of GMM SPARTA will access the subsystem grants applications through a publicly accessible webpage. On the landing page, public users can request access to an application by providing a verifiable email address. GMM SPARTA will email a temporary token to the email address. Once the email address is verified by the user, an account is created. Federal users are required to enter their Personal Identify Verification (PIV) card and Personal Identity Number (PIN) in order to access GMM SPARTA.¹¹

FEMA implements role-based access controls throughout the GMM SPARTA system to ensure that data is visible to DHS personnel who have a germane business need. FEMA granularly implements roles at the individual grant program level. This ensures that even those personnel who are permitted access to SPARTA are only capable of viewing the data that is associated with the specific grant program to which the user was assigned.

The GMM SPARTA platform's management segment consists of software whose sole purpose is to perform maintenance and recovery functions such as vulnerability scanning and health and wellness checks of the platform. The management section employs tailored access controls, which allow for bi-directional communication of health and performance alerts. It also

¹¹ See DHS/ALL/PIA-014 Personal Identity Verification/Identity Management available at www.dhs.gov/privacy.



employs command and control features driven to preserve the integrity, the confidentiality, and the availability of the GMM SPARTA platform.

The GMM SPARTA system supports the following core functions:¹²

- Pre-award grants management functionality, including program development, application development, application reviews, and award determinations;
- The awarding of grants, including funding obligation and award notifications;
- Post-award grants management, including disbursement of funds, amendments, reporting, and grant monitoring;
- Grant closeout, including final reporting, final reports evaluation, final financial reconciliation, and the closing of grant projects and awards;
- Post-closeout grants management, including the tracking of post-closeout grant requirements;
- Grants program management functionality, including planning, audits, appeals, user management, user support, and workflow management; and
- Business intelligence, including data analytics, assessments, and trend analyses of disaster, non-disaster, and IA grants.

GMM SPARTA supports the following high-level technical requirements:¹³

- Providing a single platform that gives users the capability to perform the following grants management business operations:
 - Grant program planning and set-up;
 - Grant application development and review;
 - Processing grant awards and managing modifications to them;
 - Processing financial transactions;
 - Reporting and monitoring of award execution;
 - Award closeout;
 - Audits of compliance with policy and procedures;
 - Maintenance of grant records; and

¹² For more information on grant functions *see* DHS/FEMA/PIA-049 IA Program and DHS/FEMA/PIA-013 Grants Management Programs *available at* www.dhs.gov/privacy.

¹³ *See* FEMA Grants Management Modernization Program, Concept of Operations, version 1-1-1, 2016.



- Analysis of grant performance.
- Providing role assignment, authorization, and permissions based on defined user groups.
- Providing users the capability to develop the following grants management products:
 - Grant program plans;
 - Grant program announcements;
 - Grant registrations and applications;
 - Documentation of disaster damages;
 - Application review records;
 - Financial transaction records;
 - Grant award packages;
 - Amendments to grant awards;
 - Reports on award execution;
 - Results from grant award monitoring; and
 - Grant closeout records.
- Provide capability for users from different organizations to collaborate as they execute grants management processes.
- Providing recipient- or sub-recipient-centric grants case management capability. Specific capability required includes:
 - Tracking recipient/sub recipient data across grants programs;
 - Identifying recipient/sub recipient relationships; and
 - Tracking recipient/sub recipient progression through grants processes.
- Providing automated workflow management for the following grants management business processes:
 - Grant program planning and set-up;
 - Grant application development and review;
 - Processing grant awards and managing modifications to them;



- Reporting and monitoring of award execution;
- Award closeout; and
- Maintenance of grant records.
- Providing capability to support the following financial operations:
 - Initiating financial transactions;
 - Performing and reporting financial analyses;
 - Enabling financial audits; and
 - Providing controls on financial interactions.
- Integrating and displaying the following information in customizable views:
 - Program-level views of the workflow and financial status of multiple awards under an individual grant program;
 - Award-level views of the workflow and financial status and history of individual grants; and
 - Project-level views of the performance and financial status of multiple projects within a grant.
- Generating official grants files and records as users execute grants processes, and providing access to grant files and records.
- Providing capability for users to customize and perform the following analyses:
 - Analyses of historical grant awards and projects across geographic areas, recipients, grant programs, disasters, and years;
 - Performance analyses of individual grant programs;
 - Analysis of compliance with governing policies, standards, and regulations; and
 - Ad hoc data queries in support of custom analyses.

As stated above, FEMA is using the DHS Agile Development discipline during the development of GMM SPARTA, meaning FEMA incrementally adds functionality and applications to GMM SPARTA as part of the agile development process. FEMA will list all applications within the GMM SPARTA system in an appendix to this as GMM SPARTA adds new functionality that impacts PII. GMM will re-assess privacy implications of the system through the submission of additional Privacy Threshold Analyses (PTA) for applications, modules, proof of concepts, testing, and for operational uses of the GMM SPARTA solution that



do not fall under this PIA.¹⁴ FEMA will add these functions or applications to the appendix prior to FEMA using the functions or applications to collect, retain, or disseminate PII. The GMM SPARTA system resides within AWS facilities. AWS GovCloud, Contractor Owned, and Contractor Operated facilities, provides a cloud-based solution that is FedRAMP-approved through the General Services Administration's (GSA) Joint Authorization Board (JAB) and allows GMM SPARTA to have virtualized data assets that are Government-owned and Government-operated.

The GMM SPARTA system uses PII to authenticate and authorize system users, determine grant eligibility, determine which applications to award, process grant awards, process financial transactions, and ensure that grant recipients comply with grant requirements, as described above. For Individual Assistance programs, the GMM SPARTA system will use PII of disaster survivors to determine their eligibility for assistance, determine the amount of assistance to award them, provide hotel room lodging, process payments to them, allow them to check the status of their awards, process appeals of FEMA's determinations, verify their identities, refer them to the U.S. Small Business Administration (SBA) to determine their eligibility for SBA loans, determine their insurance holdings, and communicate with them.¹⁵

GMM SPARTA leverages the FEMA Enterprise Identity Management System (FEIMS) for user authentication and registration of internal FEMA users. FEIMS is FEMA's account provisioning tool for those IT systems that do not support PIV card authentication. At present, GMM SPARTA intends to register and manage external users (e.g., grant applicants and sub-recipients) locally. This is subject to change as other grants information systems are currently interfacing with the FEMA Account and Management System¹⁶ (FAMS) for external-user account management. As functionality for other grant systems is developed and deployed, FAMS integration may become a requirement. Both internal and external users have the ability to set up notifications through email to ensure the appropriate users are being notified at different milestones within the grants management lifecycle. The GMM SPARTA system collects PII from points of contact at grantee organizations to grant access to the GMM SPARTA system as well as for grant management purposes.

GMM SPARTA interfaces with DHS systems, external grants-related systems, and other FEMA systems to leverage shared services, when possible. For example, GMM SPARTA will interface with Authentication and Provisioning Services (APS),¹⁷ to leverage PIV-based

¹⁴ More information regarding the PTA process is available at <https://www.dhs.gov/compliance>.

¹⁵ See DHS/FEMA/PIA-049 Individual Assistance (IA) Program available at www.dhs.gov/privacy.

¹⁶ FAMS provides authentication services for FEMA. FAMS services both internal users (authorized FEMA employees and contractors) and external users (state, local, tribal, and territorial governments). Generally, FEMA uses this system for external user account management. See DHS/FEMA/PIA-031 Authentication and Provisioning Services (APS) available at www.dhs.gov/privacy.

¹⁷ For more information, see DHS/FEMA/PIA-031 Authentication and Provisioning Services (APS) available at www.dhs.gov/privacy.



authentication and support automation through cryptographic logon. GMM SPARTA will also interface with non-DHS external systems such as the Department of Human Health Services' grants.gov to facilitate the initial grant application process.¹⁸ Appendix E lists the interfaces for the GMM SPARTA system. GMM SPARTA interfaces with these systems through secure means at the level of security that is commensurate with the sensitivity of information being ingested by GMM SPARTA. The GMM SPARTA system will meet all applicable federal, department, and agency financial (OMB Circular A-127¹⁹) and security regulations and guidelines (DHS 4300 A Sensitive Systems Handbook²⁰) regarding auditability, compliance, privacy, and security. Examples of security implementation strategies include layered encryption and integrity schemes at the message, transport, application, and database levels.

The GMM SPARTA system will be fully operational by January 2020. FEMA will continue to use the ten legacy systems during the GMM SPARTA development. FEMA will regularly update this PIA as GMM SPARTA adds new functionality that impacts PII.

Typical Transactions with Non-Disaster and Disaster Grants

For non-disaster and disaster grants, the GMM SPARTA system will be used by grant recipients, grant sub-recipients, and FEMA grant administrators throughout the grants management lifecycle. During the Pre-Award and Award lifecycle phases, FEMA will typically use the system to set up new funding opportunities by specifying their requirements. Recipients will then use the system to discover the funding opportunities and apply for them—FEMA will collect information from the recipients regarding their organization and the work they propose under the grant. Sub-recipients may contribute to the application for some grant programs. FEMA will use the system to review applications, make award recommendations and determinations, and develop and communicate the grant award. Recipients will use the system to accept the award.

During the Post-Award phase, FEMA and recipients will use the system to manage grant activities. Recipients will use the system to request payments or request changes to the grant (e.g., amendments to the scope, extensions of deadlines). Recipients will also report on their expenditures and their progress in performing the work under the grant, in accordance with grant program requirements. The system will collect information on the recipient, grant expenditures, grant activities, and change requests. FEMA will use the system to review and

¹⁸ For more information about the HHS Grants Management System please visit the grants.gov website, available at <http://www.grants.gov> and the 06.3 HHS PIA for Grants.gov System, available at http://www.hhs.gov/pia/os_pia_summaries_fy12_q2.pdf.

¹⁹ OMB Circular A-127 prescribes policies and standards for executive departments and agencies to follow when managing their financial management systems. For more information see https://obamawhitehouse.archives.gov/omb/circulars_a127/.

²⁰ The DHS 4300A Sensitive Systems Handbook provides techniques and procedures for implementing the requirements of the DHS Information Security Program for DHS sensitive systems and systems that process sensitive information for DHS. For more information see <https://www.dhs.gov/publication/dhs-4300a-sensitive-systems-handbook>.



adjudicate change requests and to monitor the grant.

During Closeout, recipients will use the system to develop closeout reports, in accordance with grant program requirements. The system will collect information on the recipient, grant expenditures, and grant activities. Recipients may also request final payments at closeouts. FEMA will use the system to review closeout reports, reconcile grant finances, and close the grant. After closeout, recipients will report on their compliance with continuing grant requirements, and FEMA will use the system to monitor compliance with those requirements.

After closeout of an award, additional maintenance and monitoring, including unforeseen financial adjustments, recoupments, and property management (e.g., equipment decommissioning), may occur based on grant program requirements. Maintenance and monitoring should be consistent with the applicable statutes, regulations, and policies per the various program office requirements.

In addition, FEMA and recipients may use the system at any point in the grants lifecycle to generate business intelligence reports and analysis products; upload and view appeal determinations and appeals adjudications; request and provide user support; support grant audits; manage documentation; and track and manage workflows. The system may collect information from recipients regarding their organization, their grant activities, and appeals of FEMA determinations.

Typical Transactions for Individual Assistance Grants

For IA grants, recipients will not use the SPARTA system directly. Individuals will register for IA via the DisasterAssistance.gov website, or other mechanisms such as telephone or in-person registrations via Disaster Assistance Improvement Program²¹ (DAIP) system, and the GMM SPARTA system will receive these registrations via a system interface. The system will collect information on individuals' identities, their addresses, their insurance status, how they were impacted by disasters, and other information needed to determine grant eligibility.²² FEMA grants administrators will use the GMM SPARTA system to process IA registrations, including determining eligibility, making awards, and scheduling grant payments. FEMA will also use the system to track communications with individual grant applicants and recipients, appeals of determinations, and other grants management functions.

²¹ For more information on the Disaster Assistance Improvement Program, see DHS/FEMA/PIA-049 Individual Assistance (IA) Program available at www.dhs.gov/privacy

²² *Id.*



Section 1.0 Authorities and Other Requirements

1.1 What specific legal authorities and/or agreements permit and define the collection of information by the project in question?

Impact and associations of legal authorities can be found detailed in *Appendix F*.

- Homeland Security Act of 2002, Pub. L. No. 107-296 (codified as amended in 6 U.S.C. §§ 101-629)
- Implementing Recommendations of the 9/11 Commission Act of 2007 (9/11 Act), Pub. L. No. 110-53, 121 Stat. 266
- Department of Defense Authorization Act, 1986, Pub. L. No. 99-145 (codified as amended in various titles of the U.S. Code)
- McKinney-Vento Homeless Assistance Act of 1987, Pub. L. No. 100-77 (codified as amended in Titles 7 and 42 of the U.S. Code)
- Federal Fire Prevention and Control Act of 1974, Pub. L. No. 93-498 (codified as amended at 15 U.S.C. §§ 2201-2234)
- Annual Department of Homeland Security Appropriations Acts of 2016 and 2017
- Sandy Recovery Improvement Act of 2013
- American Recovery and Reinvestment Act of 2009
- Post-Katrina Emergency Management Reform Act of 2006, Pub. L. No. 109-295, 120 Stat. 1394, as amended
- Section 102 of the Maritime Transportation Security Act of 2002, Pub. L. No. 107-295 (codified as amended at 46 U.S.C. § 70107)
- Federal Financial Assistance Management Improvement Act of 1999
- Robert T. Stafford Disaster Relief and Emergency Assistance Act;
- Sections 203, 403, 404, 406, 407, and 417 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended
- National Historic Preservation Act of 1966, as amended, Pub.L. 89- 665, § 102, 16 U.S.C. § 470
- Clinger Cohen Act²³

²³ Clinger-Cohen Act available at <https://www.gpo.gov/fdsys/pkg/PLAW-104publ106/html/PLAW-104publ106.htm>



- Section 401 of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996
- The Debt Collection Improvement Act of 1996
- The Economy Act
- Section 4 of the Government Performance and Results Act of 2010
- Executive Order 12862, "Setting Customer Service Standards,"
- Executive Order 13411, "Improving Assistance for Disaster Victims,"
- 5 U.S.C. § 301
- Reorganization Plan No. 2 of 1970
- Executive Order 9397 "Numbering System for Federal Accounts Relating to Individual Persons," as amended by Executive Order 13478 "Amendments to Executive Order 9397 Relating to Federal Agency Use of Social Security Numbers."
- 44 U.S.C. § 3534 Federal Agency Responsibilities
- National Flood Insurance Act, 42 U.S.C. § 4100, as amended by the Bunning-Bereuter-Blumenauer Flood Insurance Reform Act of 2004, 42 U.S.C. § 4001, et seq.
- Single Audit Act of 1984, Pub. L. No. 98-502
- Federal Financial Assistance Management Improvement Act, Pub. L. No. 106-107 (1999)
- Improper Payments Information Act of 2002 (IPIA), Pub. L. No. 107-300
- Improper Payments Elimination and Recovery Act of 2010, Pub. L. No. 111-204
- Improper Payments Elimination and Recovery Improvement Act of 2012, Pub. L. No. 112-248 (2013)
- Federal Funding Accountability and Transparency Act of 2006, Pub. L. No. 109-282
- Digital Accountability and Transparency Act of 2014, Pub. L. No. 113-101
- Grants Oversight and New Efficiency Act, Pub. L. No. 114-117 (2016)



1.2 What Privacy Act System of Records Notice(s) (SORN(s)) apply to the information?

The following SORNs apply to grant management programs processed by the project:

- DHS/FEMA-004 Non-Disaster Grant Management Information Files System of Records,²⁴ which covers non-disaster grant information;
- DHS/FEMA-009 Hazard Mitigation Disaster Public Assistance and Disaster Loan Programs System of Records,²⁵ which covers disaster-related grants and loans;
- DHS/ALL-004 General Information Technology Access Account Records System (GITAARS) System of Records,²⁶ which covers the user information collected to grant access to the corresponding IT systems supporting FEMA's disaster and non-disaster grant programs.
- DHS/ALL-026 DHS Personal Identity Verification Management System SORN,²⁷ which covers the collection, use, and maintenance of personally identifiable information for the purpose of issuing credentials such as identification badges;
- DHS/FEMA-008 Disaster Recovery Assistance (DRA) Files SORN,²⁸ which covers IA disaster survivor information;
- DHS/ALL-021 Department of Homeland Security Contractors and Consultants SORN,²⁹ which covers the collection and maintenance of DHS Contractor and Consultants records; and
- DHS/ALL-023 Department of Homeland Security Personnel Security Management SORN,³⁰ which covers the contact and background information of DHS contractors and consultants contained in the Virginia Systems Repository IT system, which supports the IA program.

²⁴ DHS/FEMA-004 Non-Disaster Grant Management Information Files, 80 FR 13404 (March 13, 2015) *available at* <https://www.gpo.gov/fdsys/pkg/FR-2015-03-13/html/2015-05799.htm>.

²⁵ DHS/FEMA-009 Hazard Mitigation Disaster Public Assistance and Disaster Loan Programs System of Records, 79 FR 16015 (March 24, 2014), *available at* <https://www.gpo.gov/fdsys/pkg/FR-2014-03-24/html/2014-06361.htm>.

²⁶ DHS/ALL-004 General Information Technology Access Account Records System (GITAARS), 77 FR 70792 (November 27, 2012), *available at* <http://www.gpo.gov/fdsys/pkg/FR-2012-11-27/html/2012-28675.htm>.

²⁷ DHS/All-026 DHS Personal Identity Verification Management System System of Records, 47 FR 30301 (June 25, 2009), *available at* <https://www.gpo.gov/fdsys/pkg/FR-2009-06-25/html/E9-14905.htm>.

²⁸ DHS/FEMA-008 Disaster Recovery Assistance Files, 78 FR 25282 (April 30, 2013) *available at* <https://www.gpo.gov/fdsys/pkg/FR-2013-04-30/html/2013-10173.htm>.

²⁹ DHS/ALL-021 Department of Homeland Security Contractors and Consultants 73 FR 63179 (October 23, 2008) *available at* <https://www.gpo.gov/fdsys/pkg/FR-2008-10-23/html/E8-25205.htm>.

³⁰ DHS/ALL-023 Department of Homeland Security Personnel Security Management 75 FR 8088 (February 23, 2010) *available at* <https://www.gpo.gov/fdsys/pkg/FR-2010-02-23/html/2010-3362.htm>.



1.3 Has a system security plan been completed for the information system(s) supporting the project?

A System Security Plan (SSP) for the Grants Management Modernization – Streamlined Platform for Agile Release and Transformation Acceleration (GMM-SPARTA) is currently in development, and FEMA is working towards an Authority to Operate (ATO). The anticipated date of an ATO for the GMM SPARTA system is July 9, 2018. GMM SPARTA is participating in a DHS Agile ATO process that will allow the GMM team to add functionality to the system without having to through the standard DHS/FEMA waterfall method.³¹

1.4 Does a records retention schedule approved by the National Archives and Records Administration (NARA) exist?

Yes. GMM SPARTA inherits the records retention schedules currently used for the disaster, non-disaster, and IA grants programs.

- Under GRS 1.2, Item 010, grant and cooperative agreement program management records, records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, are temporary. These records should be destroyed six years after final action is taken on the file, but longer retention is authorized if required for business use.
- Under GRS-3.2, Item 010, Test files and data in the Pre-Prod environment are temporary and should be destroyed one year after the system is superseded by a new iteration or when no longer needed by the Agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system.
- Under GRS-5.4, Item 080, Housing Rental and Lease Records are temporary and should be destroyed three years after lease termination, lapse, reassignment, rejection of application, cancellation of lease, or conclusion of litigation, as applicable.
- Under GRS-5.5, Item 020, mail, printing, and telecommunication control records are temporary and should be destroyed when one year old or when superseded or obsolete, whichever is applicable, but longer retention is authorized, if required for business use.
- DAA-0563-2012-0002-0007 provides that all mission activities photographs that provide adequate and proper documentation of mission activities are permanent. They

³¹ Waterfall development methodology is a highly structured development process where all stages must be conducted sequentially until all requirements are fulfilled in a complete system.



- must be cut off at the end of the calendar year in which they were created. FEMA must transfer to NARA in three year blocks at the end of the last year of the block, along with any related documentation and external finding aids in hard copy or electronic form.
- Under N1-311-86-001, Item 4C6b, any correspondence with insurance carriers that hold policies on disaster applicants' residences are temporary. These files must be consolidated at the appropriate regional office upon termination of the disaster (when all families have been relocated to permanent housing; the audit, if one is made, has been accepted by both FEMA and the state; and all monies due have been received). These records should be retired to a Federal Records Center (FRC) one year after termination, and they should be destroyed three years after termination.
 - Under N1-311-86-001, Item 4C6c, correspondence files associated with the duplication of benefits are temporary. These files should be consolidated at the appropriate regional office upon closeout of Disaster Field Operations. They should be retired to an FRC one year after closeout, and destroyed three years after closeout.
 - Under N1-311-86-001, Item 4C10a, all IA program files, except those relating to temporary housing and Individual and Family Grant programs, which include other programs such as Disaster Unemployment Assistance, Crisis Counseling and Training, Legal Services, Superfund, Flood Plain Management, Duplication of Benefits, and the Cora Brown Fund, are temporary. They must be retired to inactive storage when two years old, and destroyed when six years, three months old.
 - Under N1-311-86-001, Item 4C10b, Temporary Housing Files, including copies of computer printouts scoreboards, Federal Coordinating Officer's digests, correspondence, and related records are temporary. They must be destroyed when database elements have been established and defined.
 - Under N1-311-86-001, Item 4C10c, records relating to mobile home and travel trailer program files, including copies of correspondence and procedures, are temporary. These records should be cut off at the end of the calendar year, and destroyed six years and three months after cutoff.
 - Under N1-311-86-001, Item 4C10d, files relating to permanent relocations under the Superfund and purchases of properties under the National Flood Insurance Act of 1968, as amended, 42 U.S.C. 4001, et seq., which include headquarters files relating to individual property owners, background data, addresses, value of property, negotiation records, and related records, are permanent. These records should be cut off at the conclusion of the project, retired to an FRC 3 years after cutoff, and then transferred to the National Archives in 5-year blocks 20 years after cutoff.
 - N1-311-00-001, Item 1 provides that customer services satisfaction surveys that have



- been filled out and returned by disaster applicants are temporary. They should be destroyed upon the transmission of the final report.
- N1-311-00-001, Item 2 requires that statistical and analytical reports that are based on survey responses and document trends and recommend programmatic changes to disaster assistance are temporary. They should be cut off at the close of the report, retired to an FRC 3 years after cutoff, and destroyed 20 years after cutoff.
 - N1-311-00-001, Item 3 requires that a composite of survey results per disaster are maintained in an agency-standard database. These records are temporary and should be destroyed when no longer needed for analytical purposes.
 - N1-311-86-001, Item 4B6b requires that documents created in developing protection criteria for shelters in private homes, including drawings, specifications, home protection surveys, and other records on required protection for individual families in their homes are temporary. They should be cut off at completion of the contract and destroyed 3 years after cutoff.
 - Per N1-311-04-05, Item 1, all records categories associated with September 11, 2001, and Hurricane Katrina are permanent, per the FEMA records disposition manual. This disposition instruction is applicable to records, both paper and electronic, regardless of format or media. These records are permanent, and they should be cut off when all activity has ceased for the particular operations after. They should be transferred to an FRC 1 year after cutoff and transferred to the National Archives 20 years after cutoff.
 - Per N1-311-04-05, Item 2, all records relating to Hurricane Katrina and September 11, 2001, which have temporary dispositions in the FEMA records disposition manual are temporary. Cutoff occurs when all activity has ceased for the particular operations area. They should be transferred to an FRC 1 year after cutoff and destroyed 75 years after cutoff.
 - Per N1-311-04-05, Item 3, all records associated with a domestic catastrophic event, to include September 11, 2001, and Hurricane Katrina are permanent, and should be cut off when all activity has ceased for the particular operations area. The records should be transferred to an FRC 1 year after cutoff, and transferred to the National Archives 20 years after cutoff. This category includes, but is not limited to, records relating to pre-response operations; the Presidential Declaration; Emergency Coordination (EC); Emergency Support (ES); Urban Search and Rescue response (US&R); Public Assistance (PA), including, but not limited to, project applications, original damage survey report, mission assignments, funding documents, project time extensions, applicant appeals, eligibility determinations, and documents on insurance requirement, policies, procedures; Individual Assistance (IA) records including, but not limited to, mission assignments, specific IA policies, and guidance/standard



operating procedures(s) and correspondence with state and local officials; and Mitigation. This disposition instruction is applicable to records, both paper and electronic, regardless of format or media.

- N1-311-86-1, Item 4C8b(1), provides that master occupant/applicant files, containing all original occupant-related documents, such as site requests, mobile home sales documents, leases, or contracts, are temporary. These records should be consolidated at the appropriate regional office at the end of Phase II, when applicants in shelters are moved to permanent housing, retired to an FRC one year after the files are consolidated, and destroyed six years three months after the files are consolidated.
- Per N1-311-86-1, Item 4C8b (2), provides that working field applicant and occupant files are temporary. They should be reviewed at the end of Phase I operations (when all qualified applicants have received temporary housing) to ensure all occupant-related original documents are in the master occupant/applicant files or Mobile Home Storage Program files, as appropriate. These files should be destroyed when FEMA stops providing services to the occupant.
- Under N1-311-86-1, Item 4C8b (4), control records and logs relating to temporary assistance program files are temporary. These records should be forwarded to the appropriate regional office at the end of Phase II, retired to an FRC one year after the end of Phase II, and destroyed six years and three months after the end of Phase II.
- Under N1-311-95-001, Item 1, U.S. Fire Administration (USFA) grant project files, containing correspondence, memoranda and letters, study reports, and other unsolicited items received for consideration for a grant or cooperative agreement that is later approved, are temporary. These records should be retired to the FRC at the end of the fiscal year when the grant or agreement is finalized, and destroyed three years after the cutoff or when no longer needed, whichever is sooner.
- Under N1-311-95-001, Item 2, USFA grant and cooperative agreement case files, containing approved applications, copies of financial records, supporting documents, statistical information, and related records pertaining to the award, administration, receipt, inspection, and payments of grants and cooperative agreements, are temporary. These records should be retired to the FRC at the end of the fiscal year when the grant or agreement is completed or closed, and destroyed six years and three months after cutoff.
- Under N1-311-95-001, Item 3, USFA final grant report, files containing the original grant report or equivalent document, including appendices or attachments, for the grant or cooperative agreement, are permanent. These records should be cut off at the end of the fiscal year, transferred to the FRC 2 years after cutoff, and transferred to National Archives 20 years after cutoff.



1.5 If the information is covered by the Paperwork Reduction Act (PRA), provide the OMB Control number and the agency number for the collection. If there are multiple forms, include a list in an appendix.

The information FEMA collects for its grant programs is covered by the PRA and collected through Information Collection Requests (ICRs) listed in Appendix B. ICRs stored in SPARTA that were originally supported by legacy grant management systems are as follows:

Disaster and Non-Disaster ICRs:

- Emergency Preparedness and Response Directorate Grants Administration Forms (Office of Management and Budget (OMB) 1660-0025);
- Assistance to Firefighters Grant Program-Grant Application Supplemental Information (OMB 1660-0054);
- Fire Management Assistance Grant Program (OMB 1660-0058);
- National Urban Search and Rescue Grant (OMB 1660-0073);
- Urban Areas Security Initiative (UASI) Non Profit Security Grant Program (NSGP) (OMB 1660-0110);
- Transit Security Grant Program (TSGP) (OMB 1660-0112);
- Tribal Homeland Security Grant Program (THSGP) (OMB 1660-0113);
- Port Security Grant Program (PSGP) (OMB 1660-0114);
- FEMA's Grants Reporting Tool (GRT) (OMB 1660-0117);
- FEMA Homeland Security Grant Program (HSGP) and Operation Stonegarden (OPSG) Grant Program (OMB 1660-0119);
- Regional Catastrophic Preparedness Grant Program (RCPGP) (OMB 1660-0123);
- Homeland Security Grant Program (HSGP) (OMB 1660-0125); and
- Emergency Management Performance Grant Program (OMB 1660-0126).
- Public Assistance Progress Report and Program Forms (OMB 1660-0017).
- Application for Community Disaster Loan Cancellation (OMB 1660-0082);



- Community Disaster Loan Program (OMB 1660-0083).

Individual Assistance ICRs:

- Disaster Assistance Registration (OMB 1660-0002);
- Federal Assistance to Individuals and Households Program (OMB 1660-0061);
- Manufactured Housing Operations Forms (OMB 1660-0030);
- Direct Housing Program (OMB 1660-0138);
- Debt Collection Financial Statement (OMB 1660-0011); and
- Applicant Sheltering Assessment Tool (OMB 1660-0042)

Section 2.0 Characterization of the Information

2.1 Identify the information the project collects, uses, disseminates, or maintains.

FEMA will not collect any new types of PII through the deployment of GMM SPARTA that was not collected in the legacy systems. FEMA will continue to collect the following PII to administer its grants programs:

Disaster and Non-disaster grants:

- Name of Organization's Designated Point of Contact (POC);
- POC Title;
- POC's office mailing address;
- POC's office phone number;
- POC's office cellphone number;
- POC's office fax number;
- POC's work e-mail address;
- Organization Name;
- Organization's Federal Employer Identification Number (EIN);
- Organization's Dun & Bradstreet (D&B) Data Universal Numbering System (DUNS) Number;³²
- User ID;
- Password;

³² The Data Universal Number System is a proprietary system developed and regulated by Dun & Bradstreet that assigns a unique numeric identifier to a single business entity.



- Organization's Bank Routing Number;
- Organization's Bank Account Number; and
- FEMA Disaster Number;³³

Individual Assistance grants:

Registration and Assistance Records:

- FEMA Registration ID;
- Applicant/Co-Applicant Information:
 - Full Name;
 - Social Security number (SSN) or Alien Registration Number (A-Number);
 - Signature;
 - Date of Birth;
 - Phone numbers;
 - Email addresses;
 - Position Title;
 - Employer Name;
 - Language(s) spoken;
 - Number of Dependents Claimed;
 - User ID;
 - Password;
 - Personal Identification Number (PIN);
- Witness Signature;
- Damaged Dwelling:
 - Addresses of the damaged dwelling and the applicant's current location (if other than the damaged dwelling);
 - County;
 - Geospatial location of dwelling; and
 - Information related to residence (type, own/rent, damage sustained).
- Disaster-Related Expenses;
- Emergency Needs (Food, Clothing, Shelter);
- Special Needs (Mobility, Mental, Hearing, Vision, Other Care);

³³ The FEMA Disaster Number is a unique identifier assigned to each Presidentially-declared disaster. It is not PII.



- Occupant and Household Information (for all occupants at the time of disaster):
 - Name (First Name, Middle Initial, Last Name);
 - Age;
 - Relationship to Applicant;
 - Dependent? (Yes/No);
 - Sex; and
 - Pre and Post-Disaster Income Information of Those Occupants 18 Years of Age or Older.
- Business Damage:
 - Self-Employment is Primary Income? (Yes/No); and
 - Business or Rental Property Affected? (Yes/No).
- Authorization for Electronic Funds Transfer of Benefits:
 - Institution Name;
 - Account Type;
 - Account Number and Routing Number; and
 - Average Balance.
- Comments and Correspondence from the Applicant;
- Supporting documents to show proof of occupancy or ownership and verify identity;
- Public Records Information for Identity Verification;
- Pre-registration Questionnaire Information;
- Disaster Loan Status (Rejected, Approved, Declined, Verified, Cancelled);
- Travel and accommodations-related information (e.g., flight information, travel assistance needs, companion information);
- Information related to determining eligibility for assistance: date of the disaster, application status, insurance information, types and amount of damage to the dwelling, results of the home inspection (including inspector's notes and determination);
- Landowner's Information (in cases in which FEMA is placing a manufactured housing unit on the landowner's land);
 - Name;
 - Address;



- Phone number; and
- Signature.
- Correspondence and documentation related to determining eligibility and appropriate housing unit size, type, and location for temporary housing assistance including: general correspondence; complaints, recoupment, appeals, oral hearings, and resolutions; requests for disbursement of payments; inquiries from tenants and landlords; information related to household access and functional needs; general administrative and fiscal information; payment schedules and forms; termination notices; information shared with the temporary housing program staff from other agencies to prevent the duplication of benefits; leases; contracts; specifications for repair of disaster damaged residences; reasons for revocation or denial of aid; sales information related to occupant purchase of housing units; and the status or disposition of housing applications.

DAIP information supplied by partner agencies:

- Change of Address Status Code (from Social Security Administration);
- Disaster Loan Event Status Code (Rejected, Approved, Declined, Verified, Cancelled) (from Small Business Administration);
- Pre-registration Questionnaire Information (from the U.S. Department of Labor);
- Pre-registration Questionnaire Session ID (from the U.S. Department of Labor);
- Food for Florida Pre-registration ID and Application Status (from the State of Florida); and
- U.S. Department of Housing and Urban Development (HUD) Household Data (from HUD).

Information provided by third parties:

- “Pass/Fail” flag (for identify verification provided by third-party identity verification service);
- Public records information for Identity Provider (IdP); and
- Contracted database that is used to validate and standardize the applicant’s address.

Information generated by IA during processing and returned to the DAIP IT system:

- FEMA Disaster Number;
- Application Status (“In-Process,” “Submitted,” “Approved,” or “Denied”);
- Housing Inspection Required (Y/N);



- Priority of Assistance;
- Type of Assistance being considered; and
- Time Stamps.

Information collected in order to generate a www.disasterassistance.gov account:

- User ID;
- Password; and
- Personal identification number (PIN).

Information collected by FEIMS to grant all personnel access to Automated Construction Estimator³⁴(ACE) and DAIP:³⁵

- User ID; and
- Password.

IT System Special Needs Option Information; and Specific Security Information Collected from POCs:

- Role Assignment and User Permissions;
- Unique username;
- Password; and
- Security Question, which is one of the following:
 1. What is your first pet's name?
 2. What is your father's middle name?
 3. What is your high school mascot?
 4. Who is your childhood best friend?

Post-Award Reporting:

- For most grant programs, recipients are required to report to FEMA on the activities they perform under the grant, the financial status of the grant, and their compliance with grant terms and conditions. Reporting can take place both periodically throughout the grant's period of performance and at closeout. FEMA uses a number of standard forms for post-award reporting, and these forms are listed in Appendix D. Information collected through these forms

³⁴ For more information on Automated Construction Estimator, see DHS/FEMA/PIA-049 Individual Assistance (IA) Program available at www.dhs.gov/privacy.

³⁵ For more information on DAIP, see DHS/FEMA/PIA-049 Individual Assistance (IA) Program available at www.dhs.gov/privacy.



includes:

- Name of reporting entity
- Address of reporting entity
- Congressional district of reporting entity
- Name of lobbying registrant
- Address of lobbying registrant
- Signature of certifying official
- Title of certifying official
- Telephone number of certifying official
- Email address of certifying official
- Recipient organization name
- Recipient organization address
- Recipient organization DUNS number
- Recipient organization employer identification number
- Recipient account number or identifying number
- Name of certifying official
- Address of certifying official
- Federal grant number
- Recipient account number
- Financial assistance identification number
- Name of payee
- Address of payee
- Name of report contact person
- Address of report contact person
- Email address of report contact person
- Phone number of report contact person
- Fax number of report contact person
- Description of real property
- Address of real property



- GPS coordinates of real property
- Real property ownership types

2.2 What are the sources of the information and how is the information collected for the project?

The primary information sources for GMM SPARTA are the U.S. Department Health and Human Services' Grants.gov and the FEMA DAIP/DAC system.

For disaster and non-disaster grants, as identified in section 2.1, FEMA collects information from officials and representatives (POCs) of states, local governments, territories, and tribal entities; port authorities; transit agencies; non-profit organizations; inter-city passenger rail systems; and (in rare instances) private companies from Grants.gov.

The primary source of information for IA grant programs originate from the DAIP/DAC system. The DAIP/DAC system directly collects information from the subject individual when he or she applies for disaster assistance.³⁶ For identity verification purposes, FEMA has contracted with an IdP authentication service to ensure that IA grant applicants are who they say they are. The identity verification process takes place in the DAIP/DAC system. FEMA may also receive applicant data from SBA or HUD, in the event that an applicant applies with either agency first. The data elements that FEMA receives are defined in the HUD-DHS/FEMA CMA³⁷ and the SBA-DHS/FEMA CMA.³⁸

2.3 Does the project use information from commercial sources or publicly available data? If so, explain why and how this information is used.

Yes, pursuant to the Office of Management and Budget (OMB) policy on the Use of a Universal Identifier by Grant Applicants,³⁹ GMM SPARTA is required to maintain the DUNS number for all disaster and non-disaster grant applicants. FEMA uses the DUNS number for tracking purposes and to validate address and POC information for grantees and sub-grantees.

For IA grants, FEMA contracts with a third-party IdP service for identity verification purposes. FEMA's DAIP/DAC system collects applicants' name, address, SSN, and date of birth

³⁶ For more information on DAIP, *see* DHS/FEMA/PIA-049 Individual Assistance (IA) Program *available at* www.dhs.gov/privacy.

³⁷ The SBA-FEMA CMA is currently being renewed. *See* Computer Matching Program between SBA and DHS/FEMA, 80 FR 57902 (September 25, 2015) *available at* <https://www.gpo.gov/fdsys/pkg/FR-2015-09-25/html/2015-24477.htm>.

³⁸ The HUD-FEMA CMA is currently being renewed. *See* Computer Matching Program between HUD and DHS/FEMA, 81 FR 63195 (September 14, 2016) *available at* <https://www.gpo.gov/fdsys/pkg/FR-2016-09-14/pdf/2016-22006.pdf>.

³⁹ *See* Use of a Universal Identifier by Grant Applicants, 68 FR 38402 (June 27, 2003) *available at* https://obamawhitehouse.archives.gov/sites/default/files/omb/assets/omb/fedreg/062703_grant_identifier.pdf.



and sends the data to the third-party IdP services to verify that a person with these attributes exists and the SSN is valid. The IdP then returns a “pass/fail” flag, based on a series of questions, to the DAIP/DAC system. The DAIP/DAC shares this indicator with GMM SPARTA as described in the IA PIA.⁴⁰

2.4 Discuss how accuracy of the data is ensured.

GMM SPARTA assumes the information it receives from DAIP/DAC and Grants.gov is accurate. Though information maintained within GMM SPARTA is not collected directly from grantees, the accuracy of the data within GMM SPARTA is ensured through the means described below.

For disaster and non-disaster grants, FEMA grant specialists verify information about the grantee including the name of the POC for the application, work address, work phone number, and work email address with the applicant organization. All grant application information is reviewed for accuracy throughout the lifecycle of the grant application by comparing information regularly submitted by grantees with programmatic and financial reports generated and reviewed by FEMA staff on a quarterly basis. POCs may also directly input the data into GMM SPARTA and have the opportunity to review grant application information for accuracy at any point in the grant lifecycle.

Since IA grant applicants personally complete their registrations either online through DAIP/DAC system or by hardcopy and then transferred as-is to GMM, the information is presumed to be accurate. IA grant applicants who opt to use the telephone registration process provide their information to the National Processing Service Center (NPSC) representative, who enters the data into the system. Survivors receive a hard-copy printout of their registration via a mail-out package and therefore are aware of their own registration information and informed that they can correct errors and update information either through the online portal at www.disasterassistance.gov or by calling the NPSC.

Regardless of the manner of registration, all applicants must pass the IdP in order to verify their identity.

2.5 Privacy Impact Analysis: Related to Characterization of the Information

Privacy Risk: There is a risk that more information is collected from grant applicants than is necessary.

Mitigation: This risk is mitigated because FEMA is required to follow already established, specific guidelines regarding the scope of information collected. Information required from grant applications collected is in accordance with FEMA policies and standard

⁴⁰ *Id.*



operating procedures. FEMA grant programs only collect information that is necessary to assess grant applications to determine award eligibility; the deployment of GMM SPARTA does not change the amount of PII collected.

Privacy Risk: There is a risk that GMM SPARTA could maintain inaccurate information concerning grant applicants that may impact their eligibility because the data are not collected directly from applicants.

Mitigation: This privacy risk is mitigated as FEMA provides opportunities for individuals to access and correct their information. Disaster and non-disaster grant applicants are able to review their applications prior to submission. Additionally, grant specialists check information submitted by grantees for accuracy and verify information about the grant applicant or grantee. The grant applicant is able to view and correct identified information before final submission in GMM SPARTA. Grant applicants may contact system administrators for the various grant management systems to request correction of information they have submitted at any stage of the application process. Grant applicants are provided notice of information correction procedures at the initial stage of the application process.

For IA grant applicants, FEMA mitigates this risk by sending each applicant a hard copy printout of his/her application, thus providing the applicant with knowledge of any errors that may exist within it. In addition, FEMA offers applicants multiple methods of correcting any discrepancy in their data so that GMM SPARTA will properly process their applications, such as making edits to their data via www.disasterassistance.gov, FEMA's mobile website <http://m.fema.gov/>, or contacting a NPSC representative via FEMA's toll-free assistance hotline. Moreover, GMM SPARTA and DAIP/DAC will share registrant's data virtually in real-time, so whenever an applicant updates his/her information through one of the above methods, the information is updated in GMM-SPARTA immediately thereafter. Lastly, FEMA verifies any IA grant applicant data received from other federal agencies against the applicant's SSN, and if inaccuracies are found in the received data, FEMA supplies the correct data from the applicant's FEMA file, which will automatically update HUD and SBA's files via the CMAs.

Section 3.0 Uses of the Information

3.1 Describe how and why the project uses the information.

GMM SPARTA imports information for its non-disaster and disaster grants through the Grants.gov system. FEMA collects, reviews, and evaluates grant applicants' supporting information to determine grant eligibility, facilitate communication through the grant lifecycle, and facilitate the award of grant funds. FEMA uses this information to generate reports summarizing grant activity. These reports are used to assist in the management and reporting of grant programs including: overall grant management; program specific progress; functions and monitoring; financial management; management of the grantee and sub-grantee (if available); and system administration. FEMA uses information collected post-award to enforce compliance;



assess progress; and review costs, financial reports, performance reports, and audits.

GMM SPARTA imports IA grant applicant information from the DAIP/DAC system. FEMA uses the IA grant applicant information collected for inspection management, which verifies IA grant applicant damage claims and assesses repair or replacement costs. IA grant applicants are required to submit supporting documents such as a driver's license or a government-issued picture ID, property title, tax bill, or utility bill for proof of occupancy. FEMA also uses subsets of applicants' PII for administrative purposes including: budgeting, sheltering, prioritizing assistance, and administering the appeals process. Further, FEMA shares IA grant applicant PII with participating partner agencies, SBA and HUD, which then use the information to contact applicants about additional assistance that may be available through a participating partner agency when the applicant does not choose to register for such assistance electronically.⁴¹

FEMA uses the IA grant applicant/co-applicant's SSN both as proof that the individuals are who they are representing themselves to be by verifying their identity through the IdP, as well as to ensure that the SSNs that were used as part of the application package do not receive duplicate benefits from FEMA or other sources.

FEMA uses data in pre-production testing predominantly for significant application releases to ensure the application's efficacy and the health of the application as a whole (e.g., Modifying the data of a legacy grant system). The Pre-PROD environment is a logically isolated, scaled-down version of production used solely for integration, acceptance, and performance testing where data must be as production-like as possible to ensure lowest level of discrepancies before production deployment. This environment is not used at the release of every feature, as most features are insignificant related to the scope of the application. Data used in the pre-PROD environment consists of snapshots of production data, is not updated, is isolated from the production environment, and is never used operationally. Data used in Pre-PROD is destroyed immediately after testing is finalized.

3.2 Does the project use technology to conduct electronic searches, queries, or analyses in an electronic database to discover or locate a predictive pattern or an anomaly? If so, state how DHS plans to use such results.

No.

3.3 Are there other components with assigned roles and responsibilities within the system?

During major disasters, FEMA may use support personnel from other federal agencies, such as the Internal Revenue Service (IRS), or from other DHS components as surge capacity

⁴¹ See DHS/FEMA/PIA-049 Individual Assistance (IA) Program available at www.dhs.gov/privacy.



force. As such, these personnel may be granted access to GMM SPARTA if they are supporting the IA grant application process. Grants personnel at DHS headquarters are also granted access to the GMM SPARTA system.

3.4 Privacy Impact Analysis: Related to the Uses of Information

Privacy Risk: Personnel could use the information in the GMM SPARTA system for purposes other than those for which it was originally collected.

Mitigation: FEMA mitigates this privacy risk in several ways. First, FEMA limits its data collection from GMM SPARTA users to only data that is required to process their respective applications. Second, datasets from GMM SPARTA are minimized to reduce the amount of PII that transverses FEMA IT systems and to ensure that only those FEMA programs and personnel with a need to know are able to access this PII. Third, FEMA also limits GMM SPARTA access to authorized users. Access is based on an individual's roles and responsibilities, and all users are required to sign a Rules of Behavior Agreement in order to access any FEMA system. Any individual, including IRS agents, discovered to have inappropriately accessed the GMM SPARTA system will face disciplinary action up to and including loss of security clearance and/or termination of employment. Lastly, the Information System Security Officer (ISSO) for GMM performs periodic system access reviews.

Privacy Risk: There is a risk that Amazon Web Services (AWS) may wish to use data hosted within the cloud computing environment for their own purposes.

Mitigation: This risk is mitigated. AWS is committed, through the contracting process, to abide by all DHS security and privacy requirements. AWS performs due diligence on its employees during the hiring process. AWS also trains its employees on data responsibility as well as audits their activities. Additionally, due to the encryption key management service within the AWS Cloud architecture, AWS personnel are incapable of using or redistributing any FEMA data processed and stored within AWS unless they are required to do so to comply with federal law, or with a valid and binding order of a governmental or regulatory body. These encryption keys are generated and maintained by the customer (FEMA).

Privacy Risk: There is a risk that using live data for pre-production testing will allow personnel with no business need to access applicant PII.

Mitigation: This risk is mitigated. The Pre-PROD environment is one of three environments in the GMM SPARTA system. All three environments have the same security controls. The Pre-PROD environment uses production data that is captured at a moment in time. The data does not update. When the GMM developers make a copy of the production data, it does not leave the boundaries of the GMM SPARTA system. Only application developers and system administrators have access to the Pre-PROD environment and only for the applications they are responsible for developing. Pre-PROD data is destroyed immediately after an application is tested.



Section 4.0 Notice

4.1 How does the project provide individuals notice prior to the collection of information? If notice is not provided, explain why not.

Notice is provided by way of this PIA and the SORNs listed in 1.2. FEMA also provides grant applicants a notice as required by the Privacy Act, 5 U.S.C. § 552a(e)(3). The Privacy Act notice is provided in both paper and electronic versions of the grant application. The notice states the reasons for collecting information, the consequences of failing to provide the requested information, and explains how the information is used. Additionally, a Privacy Notice is provided in hardcopy, electronic form, or verbally by NPSC staff to IA grant applicants requesting assistance.

4.2 What opportunities are available for individuals to consent to uses, decline to provide information, or opt out of the project?

During the registration process, prior to entering any PII, FEMA informs IA grant applicants, through the Privacy Notice, that all information provided is completely voluntary, however, failure to submit the necessary PII may result in the denial of disaster assistance. An IA grant applicant can also exit the registration process at any time prior to submitting the application, and his or her PII will be deleted.

For disaster and non-disaster grant applicants, individuals voluntarily submit information to FEMA for their organization's disaster or non-disaster grant application. The organizations can choose not to submit the information, but failure to do so prevents FEMA from considering their grant application.

For all grants, individuals are notified of the uses of their information prior to collection. All applicants give consent to the uses of their information by providing information on the grant application. FEMA does not use the information outside of the uses or scope outlined in this PIA, the applicable SORNs, and the notice provided on the relevant applications or systems. The PIA, SORNs, and Privacy Notices will be updated if FEMA anticipates a need for a new use for the information.

4.3 Privacy Impact Analysis: Related to Notice

Privacy Risk: Applicants or survivors may be unaware that their data is being used to test GMM SPARTA applications.

Mitigation: This risk is partially mitigated. This PIA serves as the only explicit notice that Applicant or survivor information will be used to test and develop GMM SPARTA applications; however, FEMA will only use data to test applications that support the program for which the information was initially collected. Additionally, only those with an authorized



need to know – i.e., those directly involved in the research, development, testing, and experimentation process – will have access to the data. Lastly, no operational decisions are made based on test results.

Privacy Risk: Applicants may be unaware of the collection and uses of their PII.

Mitigation: This risk is mitigated because notice is provided to applicants through the Privacy Notices on all the forms that applicants complete, including the online forms in the GMM SPARTA system, as well as verbally by the NPSC representative during a phone interview, this PIA, and by the applicable SORNs listed in 1.2.

Privacy Risk: The individuals applying for FEMA’s grant assistance might not receive a Privacy Notice informing them about what PII is collected and how it is used at the time their information is collected.

Mitigation: This risk is mitigated because FEMA provides notice of its information collection to facilitate the provision of its grant assistance in several ways. Methods include Privacy Notices on paper forms, web and mobile sites, and a verbal privacy notice provided by FEMA’s NPSC staff who provide telephone assistance to applicants. Lastly, this document and the applicable SORNs listed in 1.2 provide notice of FEMA’s collection of information for grant assistance programs.

Section 5.0 Data Retention by the project

5.1 Explain how long and for what reason the information is retained.

Live data is duplicated and transferred to the Pre-PROD environment for testing purposes. Data in the Pre-PROD environment is immediately deleted at the end of testing.

- Under GRS-3.2, Item 010, Test files and data in the Pre-Prod environment are temporary and should be destroyed one year after the system is superseded by a new iteration or when no longer needed by the Agency/IT administrative purposes to ensure a continuity of security controls throughout the life of the system.

Disaster and non-disaster grant application information is retained for audit, oversight operations, and appeal purposes.

- FEMA destroys grant administrative records and hard copies of unsuccessful grant applications files after two years in accordance with General Records Schedule (GRS) 3, Item 14.
- FEMA stores electronically received and processed copies of unsuccessful grant application files for three years from the date of denial and then deleted in accordance with GRS 3, Item 13.



- FEMA maintains grant project records for three years after the end of the fiscal year that the grant or agreement is finalized or when no longer needed, whichever is sooner, in accordance with National Archives and Records Administration (NARA) Authority N1-311-95-001, Item 1.
- FEMA retires grant final reports to the Federal Records Center (FRC) three years after cutoff and transfers them to NARA 20 years after cutoff in accordance with NARA Authority N1-311-95-001, Item 3.
- FEMA stores all other grant records for six years and three months from the date of closeout (when closeout is the date FEMA closes the grant in its financial system) and final audit and appeals are resolved then deleted in accordance with NARA Authority N1-311-95-001, Item 2; N1-311-01-008, Item 1; and N1-311-04-001, Item 1.

IA grant data is retained according to the records schedules defined in section 1.4, depending upon the type of record and the schedule which it belongs to.

- Under GRS 1.2, Item 010, grant and cooperative agreement program management records, records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, are temporary. These records should be destroyed six years after final action is taken on the file, but longer retention is authorized if required for business use.
- Under GRS-5.4, Item 080, Housing Rental and Lease Records are temporary and should be destroyed three years after lease termination, lapse, reassignment, rejection of application, cancellation of lease, or conclusion of litigation, as applicable.
- Under GRS-5.5, Item 020, mail, printing, and telecommunication control records are temporary and should be destroyed when one year old or when superseded or obsolete, whichever is applicable, but longer retention is authorized, if required for business use.
- DAA-0563-2012-0002-0007 provides that all mission activities photographs that provide adequate and proper documentation of mission activities are permanent. They must be cut off at the end of the calendar year in which they were created. FEMA must transfer to NARA in three year blocks at the end of the last year of the block, along with any related documentation and external finding aids in hard copy or electronic form.
- Under N1-311-86-001, Item 4C6b, any correspondence with insurance carriers that hold policies on disaster applicants' residences are temporary. These files must be consolidated at the appropriate regional office upon termination of the disaster (when



all families have been relocated to permanent housing; the audit, if one is made, has been accepted by both FEMA and the state; and all monies due have been received). These records should be retired to a Federal Records Center (FRC) one year after termination, and they should be destroyed three years after termination.

- Under N1-311-86-001, Item 4C6c, correspondence files associated with the duplication of benefits are temporary. These files should be consolidated at the appropriate regional office upon closeout of Disaster Field Operations. They should be retired to an FRC 1 year after closeout, and destroyed three years after closeout.
- Under N1-311-86-001, Item 4C10a, all IA program files, except those relating to temporary housing and Individual and Family Grant programs, which include other programs such as Disaster Unemployment Assistance, Crisis Counseling and Training, Legal Services, Superfund, Flood Plain Management, Duplication of Benefits, and the Cora Brown Fund, are temporary. They must be retired to inactive storage when 2 years old, and destroyed when six years, three months old.
- Under N1-311-86-001, Item 4C10b, Temporary Housing Files, including copies of computer printouts scoreboards, Federal Coordinating Officer's digests, correspondence, and related records are temporary. They must be destroyed when database elements have been established and defined.
- Under N1-311-86-001, Item 4C10c, records relating to mobile home and travel trailer program files, including copies of correspondence and procedures, e.g., acquisitions, technical standards, and guides; specimen contracts and procurement documents; data on mobile home programs at disaster sites; and working papers on manuals, instructions, and other issuances are temporary. These records should be cut off at the end of the calendar year, and destroyed six years and three months after cutoff.
- Under N1-311-86-001, Item 4C10d, files relating to permanent relocations under the Superfund and purchases of properties under Section 1362, which include headquarters files relating to individual property owners, background data, addresses, value of property, negotiation records, and related records, are permanent. These records should be cut off at the conclusion of the project, retired to an FRC three years after cutoff, and then transferred to the National Archives in 5-year blocks 20 years after cutoff.
- N1-311-00-001, Item 1 provides that customer services satisfaction surveys that have been filled out and returned by disaster applicants are temporary. They should be destroyed upon the transmission of the final report.
- N1-311-00-001, Item 2 requires that statistical and analytical reports that are based on survey responses and document trends and recommend programmatic changes to



disaster assistance are temporary. They should be cut off at the close of the report, retired to an FRC three years after cutoff, and destroyed 20 years after cutoff.

- N1-311-00-001, Item 3 requires that a composite of survey results per disaster are maintained in an agency-standard database. These records are temporary and should be destroyed when no longer needed for analytical purposes.
- N1-311-86-001, Item 4B6b requires that documents created in developing protection criteria for shelters in private homes, including drawings, specifications, home protection surveys, and other records on required protection for individual families in their homes are temporary. They should be cut off at completion of the contract and destroyed three years after cutoff.
- Per N1-311-04-5, Item 1, records pertaining to September 11, 2001, and Hurricane Katrina and all records categories associated with these events are permanent, per the FEMA records disposition manual. This disposition instruction is applicable to records, both paper and electronic, regardless of format or media. These records are permanent, and they should be cut off when all activity has ceased for the particular operations after. They should be transferred to an FRC one year after cutoff and transferred to the National Archives 20 years after cutoff.
- Per N1-311-04-5, Item 2, all records relating to Hurricane Katrina and September 11, 2001, which have temporary dispositions in the FEMA records disposition manual are temporary. Cutoff occurs when all activity has ceased for the particular operations area. They should be transferred to an FRC one year after cutoff and destroyed 75 years after cutoff.
- Per N1-311-04-5, Item 3, all records associated with a domestic catastrophic event, to include September 11, 2001, and Hurricane Katrina are permanent, and should be cut off when all activity has ceased for the particular operations area. The records should be transferred to an FRC 1 year after cutoff, and transferred to the National Archives 20 years after cutoff. This category includes, but is not limited to, records relating to pre-response operations; the Presidential Declaration; Emergency Coordination (EC); Emergency Support (ES); Urban Search and Rescue response (US&R); Public Assistance (PA), including, but not limited to, project applications, original damage survey report, mission assignments, funding documents, project time extensions, applicant appeals, eligibility determinations, and documents on insurance requirement, policies, procedures; Individual Assistance (IA) records including, but not limited to, mission assignments, specific IA policies, and guidance/standard operating procedures(s) and correspondence with state and local officials; and Mitigation. This disposition instruction is applicable to records, both paper and electronic, regardless of format or media.



- N1-311-86-1, Item 4C8b(1), provides that master occupant/applicant files, containing all original occupant-related documents, such as site requests, mobile home sales documents, leases, or contracts, are temporary. These records should be consolidated at the appropriate regional office at the end of Phase II (when all sheltered individuals and families have been moved to permanent housing), retired to an FRC one year after the files are consolidated, and destroyed six years three months after the files are consolidated.
- Per N1-311-86-1, Item 4C8b (2), provides that working field applicant and occupant files are temporary. They should be reviewed at the end of Phase I operations (when all qualified applicants have received temporary housing) to ensure all occupant-related original documents are in the master occupant/applicant files or Mobile Home Storage Program files, as appropriate. These files should be destroyed when FEMA stops providing services to the occupant.
- Under N1-311-86-1, Item 4C8b (4), control records and logs relating to temporary assistance program files are temporary. These records should be forwarded to the appropriate regional office at the end of Phase II, retired to an FRC one year after the end of Phase II, and destroyed six years and three months after the end of Phase II.
- Under N1-311-95-001, Item 1, USFA grant project files, containing correspondence, memoranda and letters, study reports, and other unsolicited items received for consideration for a grant or cooperative agreement that is later approved, are temporary. These records should be retired to the FRC at the end of the fiscal year when the grant or agreement is finalized, and destroyed three years after the cutoff or when no longer needed, whichever is sooner.
- Under N1-311-95-001, Item 2, USFA grant and cooperative agreement case files, containing approved applications, copies of financial records, supporting documents, statistical information, and related records pertaining to the award, administration, receipt, inspection, and payments of grants and cooperative agreements, are temporary. These records should be retired to the FRC at the end of the fiscal year when the grant or agreement is completed or closed, and destroyed six years and three months after cutoff.
- Under N1-311-95-001, Item 3, USFA final grant report, files containing the original grant report or equivalent document, including appendices or attachments, for the grant or cooperative agreement, are permanent. These records should be transferred to the FRC two years after cutoff, and transferred to National Archives 20 years after cutoff.



5.2 Privacy Impact Analysis: Related to Retention

Privacy Risk: There is risk that FEMA will retain information longer than necessary.

Mitigation: FEMA only retains the information in accordance with the established retention schedules above. System Administrators for each of the grant management systems and grant management specialists are responsible for paper applications and for deleting or archiving information in accordance with the retention schedules. An automated annual audit process exists for grant management systems. This risk is mitigated because FEMA follows all pertinent records schedules discussed in sections 1.4 and 5.1. In addition, the FEMA Records Branch provides trainings to inform FEMA programs of proper record retention, disposition requirements, records inventory training, file plan training, and file structure training to ensure that FEMA personnel are aware of the National Archives' requirements.

Privacy Risk: Due to the storage of data on a commercial platform, AWS, there could be a failure to adhere to FEMA retention guidelines and schedules.

Mitigation: This risk is mitigated. Due to the encryption key management service within the AWS Cloud architecture, AWS personnel are incapable of using or redistributing any FEMA data processed and stored within AWS unless they are required to do so to comply with federal law, or with a valid and binding order of a governmental or regulatory body. In the rare instances when AWS personnel have access to FEMA data because of a law enforcement requirement or court order, AWS is committed, through the contracting process, to abide by all FEMA record retention schedules and security requirements. These requirements are a mandatory part of all FEMA Statements of Work.

FEMA has access to AWS's cloud hosting environment and will periodically audit the vendor to ensure information is retained per the applicable retention schedules. Additionally, AWS is contractually obligated to allow the DHS Office of Inspector General to conduct periodic reviews to ensure that security and privacy requirements are being implemented and enforced.

Section 6.0 Information Sharing

6.1 Is information shared outside of DHS as part of the normal agency operations? If so, identify the organization(s) and how the information is accessed and how it is to be used.

Disaster and Non-disaster Grants

FEMA does not routinely share disaster and non-disaster grant information outside of DHS as part of normal agency operations.

Individual Assistance Grants

FEMA routinely shares IA grant information outside of DHS with federal, state, tribal, local, international, private sector, and voluntary entities, as defined in the Disaster Recovery



Assistance SORN,⁴² for the purposes of providing disaster assistance, meeting survivor needs, and preventing the duplication of benefits. FEMA's interagency partners are granted limited access to information as it relates to their programs, and applicants are automatically routed to SBA or HUD to determine their eligibility for benefits under their programs, depending on their income. In all cases, access to the data is limited and is granted based on a demonstrated need-to-know basis. Formalized Computer Matching Agreements (CMAs) are in place with SBA⁴³ and HUD⁴⁴ to prevent a duplication of benefits. Each CMA requires that FEMA and HUD, and FEMA and SBA, compare registration data to ensure that applicants are not receiving duplicate benefits. To do so, each agency compares its records to those of its partner by using the SSN and FEMA Registration ID as each applicant's unique identifier. However, when a match is found, an applicant's benefits are not automatically denied or reduced. FEMA personnel (or HUD or SBA) conduct a manual review of the match to ensure that the match is accurate. If and when this occurs, the agency that has awarded benefits may reduce or deny additional benefits.

Additionally, FEMA shares IA grant information with other external partners for various reasons. FEMA has partnered with the Social Security Administration to enable disaster applicants who are currently receiving Social Security benefits to automatically change their address at SSA within their www.disasterassistance.gov account to ensure continued receipt of benefits. FEMA may also share information provided by disaster survivors with the Food for Florida Program (FFF), which shares survivor data with the Florida Department of Children and Families (FDCF) and the Florida Northwood Shared Resource Center (FNSRC) to prequalify and preregister individuals for additional assistance. Lastly, FEMA may share IA grant information with a third-party identity service to verify the identity of FEMA applicants.⁴⁵

6.2 Describe how the external sharing noted in 6.1 is compatible with the SORN noted in 1.2.

As per 6.1 above, FEMA does not routinely share grant application information outside of DHS for disaster and non-disaster grants.

The external sharing of IA grant information discussed in 6.1 is done under Routine Uses F, H, and I of the Disaster Recovery Assistance SORN.⁴⁶ Routine Use F allows FEMA to share with its contractors when necessary for the purpose of providing disaster assistance. This routine

⁴² See DHS/FEMA-008 Disaster Recovery Assistance Files, 78 FR 25282 (April 30, 2013).

⁴³ The SBA-FEMA CMA is currently being renewed. See Computer Matching Program between SBA and DHS/FEMA, 80 FR 57902 (September 25, 2015). Available at <https://www.gpo.gov/fdsys/pkg/FR-2015-09-25/html/2015-24477.htm>.

⁴⁴ The HUD-FEMA CMA is currently being renewed. See Computer Matching Program between HUD and DHS/FEMA, 81 FR 63195 (September 14, 2016). Available at <https://www.gpo.gov/fdsys/pkg/FR-2016-09-14/pdf/2016-22006.pdf>.

⁴⁵ See DHS/FEMA/PIA-049 Individual Assistance (IA) Program available at www.dhs.gov/privacy.; DHS/FEMA-008 Disaster Recovery Assistance Files, 78 FR 25282 (April 30, 2013).

⁴⁶ See DHS/FEMA-008 Disaster Recovery Assistance Files, 78 FR 25282 (April 30, 2013).



use allows FEMA to share information with the text messaging service that is used to supply survivors with registration status change notifications. Routine Use H allows FEMA to share applicant information to prevent a duplication of benefits or to address the unmet needs of eligible, ineligible, or partially eligible FEMA applicants. This sharing is compatible with the original purpose of collection because FEMA conducts these information sharing activities in order to prevent a duplication of benefits and to assist in addressing applicants' unmet needs. Routine Use I allows FEMA to share with federal, state, tribal, or local government agencies; voluntary organizations; insurance companies; employers; any public or private entities; banks and financial institutions when an applicant's eligibility, in whole or in part, for IA benefits depends upon financial benefits already received or available from that source for similar purposes as necessary to determine benefits; and to prevent duplication of disaster assistance benefits. FEMA shares information with these entities to prevent a duplication of benefits, as well as to determine IA eligibility.

Additionally, FEMA memorializes external information sharing through a number of documents, including CMAs, Information Sharing Access Agreements (ISAA), FEMA-State Agreements, and Routine Use letters for ad hoc sharing. In this documentation, FEMA provides the receiving entity with the security requirements to ensure that the data is protected from third-party disclosure, and that survivor PII is protected according to industry-standard security practices.

Lastly, FEMA does not currently share user account information, but may in the future in accordance with the DHS/ALL- 004 General Information Technology Access Account Records System (GITAARS) SORN. FEMA will ensure any sharing is compatible with the original collection of information, the purpose of which is to provide authorized individuals access to, or allow them to interact with DHS information technology resources.

6.3 Does the project place limitations on re-dissemination?

Yes; FEMA places restrictions on re-dissemination. Contracts, MOUs, ISAA's, FEMA-State Agreements, and CMAs between FEMA and each participating entity cover security requirements for transmission of data, as well as the limitations on re-disseminating the data. Additionally, Service Level Agreements (SLA), and Interconnection Security Agreements (ISA) are in place with sharing partners detailing technical requirements for transmission and security of data between FEMA, partner agencies, and FEMA's contractors.

6.4 Describe how the project maintains a record of any disclosures outside of the Department.

The GMM team maintains audits logs of access of information within the GMM SPARTA system. All disclosure of records from GMM SPARTA are in accordance with DHS/FEMA-004 Non-Disaster Grant Management Information Files SORN; the DHS/FEMA-008 Disaster Recovery Assistance Files SORN; the DHS/FEMA-009 Hazard Mitigation



Disaster Public Assistance and Disaster Loan Programs SORN; and the DHS/ALL- 004 General Information Technology Access Account Records System (GITAARS) SORN. These disclosures are memorialized through various documents, including CMAs, ISAAs, FEMA-State Agreements, and Routine Use letters, which are maintained by appropriate program offices.

When an applicant or grantee makes a Freedom of Information Act (FOIA) request or a request under the Privacy Act and records are disclosed, such disclosures are recorded through the Information Management Division/Disclosure Branch's standard practices, consistent with the DHS Freedom of Information Act and Privacy Act Record Program SORN.⁴⁷

6.5 Privacy Impact Analysis: Related to Information Sharing

Privacy Risk: The information in the GMM SPARTA system could be erroneously disclosed.

Mitigation: FEMA mitigates the risk of unauthorized disclosure of GMM SPARTA information because external sharing is limited to requests in writing, pursuant to the routine uses in the respective SORNs and only for the minimum amount of data required to achieve a documented business purpose. Robust technical, management, and operational controls are implemented and sharing protocols are in place to confirm access to grant management systems. These access procedures limit access to individuals with a valid "need-to-know," which is also the case for paper applications. Additionally, grant management programs audit disclosures of grant applicant information.

Section 7.0 Redress

7.1 What are the procedures that allow individuals to access their information?

Applicants can contact the grant program office or project that initially collected the information or systems administrators for the various grant management systems where they originally applied. Users can also access their information by logging into the GMM SPARTA system. Grant applicants may consult the SORNs for additional information regarding how to access their information via Privacy Act or Freedom of Information Act (FOIA) request submitted to the FEMA Disclosure Office. Such requests should be sent to:

FEMA Information Management Division
Chief, Disclosure Branch
500 C Street, S.W., Mailstop 3172
Washington, D.C. 20472.

⁴⁷ See DHS/ALL/PIA-028 DHS FOIA and Privacy Act Records Program available at www.dhs.gov/privacy.



Individual Assistance grant applicants can access their information in several ways, as described in the IA Program PIA.⁴⁸ For example, if an applicant created an online account at www.disasterassistance.gov, the applicant may access his or her information by logging into the account using the User ID, password, and PIN that the applicant established when he or she created the account, or applicants may call the published disaster assistance toll-free number to check on the status of their application or access their records after providing registration ID.⁴⁹

7.2 What procedures are in place to allow the subject individual to correct inaccurate or erroneous information?

Applicants can correct inaccurate or erroneous information through the access methods identified in section 7.1.

7.3 How does the project notify individuals about the procedures for correcting their information?

GMM SPARTA users are notified of the procedures for correcting information prior to the collection of information through applicable SORNs, the Individuals and Household Program Unified Guidance,⁵⁰ the www.disasterassistance.gov portal, and this PIA.

Moreover, redress is provided to IA grant applicants requesting assistance through an appeals process. In addition, after registration through the DAIP system, each IA grant applicant receives a mail-out package, which includes an application guide with directions for redress in a section entitled, “I Want to Have My Case Reviewed Again (Appeal).”

7.4 Privacy Impact Analysis: Related to Redress

Privacy Risk: There is a risk that the GMM SPARTA system users are not able to correct erroneous information.

Mitigation: This risk is mitigated in several ways. For IA grant applicants, FEMA provides several means of redress and notice of procedures to applicants who wish to amend their registration information. FEMA provides applicants with a direct notice of redress in the mail-out packages sent to each applicant, as noted in Section 7.1 above.

For disaster and non-disaster grants, applicants can correct their information by contacting the grant program office, the project that initially collects the information, or systems administrators for the GMM SPARTA system. Additionally, FEMA manages this risk by informing grant applicants of procedures for correcting their policy information through this PIA

⁴⁸ See DHS/FEMA/PIA-049 Individual Assistance (IA) Program available at www.dhs.gov/privacy.

⁴⁹ For comprehensive list, see DHS/FEMA/PIA-049 Individual Assistance (IA) Program available at www.dhs.gov/privacy.

⁵⁰ For more information on the Individuals and Households Unified Guidance, see DHS/FEMA/PIA-049 Individual Assistance (IA) Program available at www.dhs.gov/privacy.



and the SORNs listed in Section 1.2.

Section 8.0 Auditing and Accountability

8.1 How does the project ensure that the information is used in accordance with stated practices in this PIA?

FEMA ensures the practices stated in this PIA by leveraging standard operating procedures (SOP), orientation and training, policies, rules of behavior, and annual user account auditing. The GMM SPARTA system uses role based access controls ensuring access to grant applicant information is both restricted and controlled. IT contractors handling the operations and maintenance of the system have limited access to the system to support the troubleshooting of technical system issues encountered on a day-to-day basis. FEIMS implements security access controls and administers users' roles and permissions based on organizational positions. Positions are assigned and approved by the employees' supervisors.

The GMM SPARTA system, and the FEMA systems it interfaces with, log all user activities and can be monitored or audited at any time. Users are warned that their activities are monitored and that they have no expectation of privacy in their use of the system. FEMA IT security teams routinely conduct audits to ensure that there is no misuse of data and that users are acting in accordance with FEMA's rules of behavior. FEMA also encrypts all applicant data while in transit and at rest.

8.2 Describe what privacy training is provided to users either generally or specifically relevant to the project.

All FEMA employees and contractors are required to complete FEMA Office of Cybersecurity Security Awareness Training and Privacy Awareness Training on an annual basis. FEMA requires that all contracts contain cyber hygiene and privacy clauses, which require that contract employees adhere to the requirements of the Privacy Act and other federal guidelines that mandate privacy controls. Supplementary security and privacy training is provided for those with additional security-related responsibilities.

8.3 What procedures are in place to determine which users may access the information and how does the project determine who has access?

Authorized FEMA personnel or contractors who handle the operations and maintenance of the grant management systems have position-specific access to the system to support the primary system function and troubleshoot technical system issues encountered on a day-to-day basis. The GMM SPARTA system uses role-based access controls to control user rights to both data and functionality. Permissions for access to data and functions used to manipulate the data



are defined for each FEMA position. Access permissions are based on the principles of separation of duties and least privilege.

All assigned FEMA employees and contractor staff receive appropriate privacy and security training and have necessary background investigations or security clearances for access to sensitive, private, or classified information. Robust SOPs and system user manuals describe user roles, responsibilities, and access privileges.

8.4 How does the project review and approve information sharing agreements, MOUs, new uses of the information, new access to the system by organizations within DHS and outside?

All external information sharing is memorialized via CMAs, ISAAs, ISAs, FEMA-State Agreements, or Routine Use letters. CMAs are reviewed by FEMA's Office of Chief Counsel, FEMA's Information Management Division (including the Privacy Branch), the Deputy Administrator of FEMA, and the DHS Data Integrity Board. All other contractually-based information sharing endeavors outside of FEMA are reviewed by the Office of Chief Counsel (by each party to the agreement), the Office of the Chief Information Officer, and the FEMA Privacy Branch for consistency with the SORNs listed in 2.1.

8.5 Privacy Impact Analysis: Related to the Accountability and Integrity of the Information.

Privacy Risk: A privacy risk exists that the volume and sensitivity of the data makes it a target of potentially malicious actors.

Mitigation: This risk has been mitigated by the implementation of encryption, auditing protections, and the adherence to federal cyber security requirements. FEMA uses industry-standard cybersecurity practices, including encryption of applicant data both in transit and at rest. Additionally, FEMA restricts access to applicant data to only those individuals with a demonstrated need to know in order to perform their official job functions.

Privacy Risk: The data maintained by Amazon Web Services (AWS) for the purposes of cloud hosting may be vulnerable to breach because security controls may not meet system security levels required by DHS.

Mitigation: This risk is mitigated. FEMA is responsible for all PII associated with the GMM SPARTA system, whether on a FEMA infrastructure or on a vendor's infrastructure, and it therefore imposes strict requirements on vendors for safeguarding PII data. This includes adherence to the DHS 4300A Sensitive Systems Handbook, which provides implementation criteria for the rigorous requirements mandated by DHS's Information Security Program.⁵¹

⁵¹ See <https://www.dhs.gov/publication/dhs-4300a-sensitive-systems-handbook>.



The privacy of grant applicants is further protected by contractual language written in the AWS contract requiring the safeguarding of FEMA PII data.

Responsible Officials

William H. Holzerland
Senior Director for Information Management
Federal Emergency Management Agency
Department of Homeland Security

Approval Signature

Original, signed copy on file with the DHS Privacy Office

Jonathan R. Cantor
Deputy Chief Privacy Officer
Department of Homeland Security



Appendix A: FEMA Grant Programs⁵²

Program	Purpose
GRANT CATEGORY 1. Mitigation: Hazards	
Hazard Mitigation Grant Program (HMGP)	Helps communities implement hazard mitigation measures following a Presidential major disaster declaration
Pre-Disaster Mitigation (PDM)	Assists states, territories, tribes, and local communities in implementing a sustained pre-disaster natural hazard mitigation program
Flood Mitigation Assistance (FMA)	Reduces or eliminates claims under the National Flood Insurance Program
GRANT CATEGORY 2. Mitigation: Risk Management	
Cooperating Technical Partners (CTP)	Enhances collaboration in maintaining up-to-date flood hazard maps and other flood hazard information
National Dam Safety Program (NDSP)	Encourages the establishment and maintenance of effective state programs intended to ensure dam safety, to protect human life and property, and to improve state dam safety programs
GRANT CATEGORY 3. Mitigation: Community Assistance	
Community Assistance Program - State Support Services Element (CAP-SSSE)	Provides technical assistance to communities in the National Flood Insurance Program (NFIP) and evaluate community performance in implementing NFIP floodplain management activities
GRANT CATEGORY 4. Mitigation: Earthquake	
National Earthquake Hazard Reduction Program (NEHRP)	Reduces the risks of life and property from future earthquakes in the United States through the establishment and maintenance of an effective earthquake risk reduction program
GRANT CATEGORY 5. Fire Preparedness	
Assistance to Firefighters Grants (AFG)	Meets the firefighting and emergency response needs of fire departments and nonaffiliated emergency medical service organizations
Staffing for Adequate Fire & Emergency Response Grants (SAFER)	Helps fire departments and volunteer firefighter interest organizations increase or maintain the number of trained, "front line" firefighters available in their communities
Fire Prevention & Safety Grants (FP&S)	Enhances the safety of the public and firefighters with respect to fire and fire-related hazards by assisting fire prevention programs and supporting firefighter health and safety research and development
GRANT CATEGORY 6. Preparedness: Homeland Security	
Emergency Management Performance Grants (EMPG)	Assists state, local, territorial, and tribal governments in preparing for all hazards
Operation Stonegarden Grant Program (OPSG)	Supports enhanced cooperation and coordination among law enforcement agencies in a joint mission to secure the United States' borders along routes of ingress

⁵² Sources: Catalog of Federal Domestic Assistance, grant program literature, grant program Notices of Funding Opportunity. Purpose statements were simplified and validated by the GMM Integrated Project Team (IPT).



State Homeland Security Program (SHSP)	Supports the implementation of State Homeland Security Strategies
Tribal Homeland Security Grant Program (THSGP)	Strengthens the Nation against risks associated with potential terrorist attacks
Urban Areas Security Initiative (UASI)	Addresses the unique planning, organization, equipment, training, and exercise needs of high-threat, high-density Urban Areas
UASI Nonprofit Security Grant Program (NSGP)	Supports physical security enhancements to non-profit organizations that are at high risk of a terrorist attack and located within an Urban Area Security Initiative (UASI)-eligible Urban Areas
Intercity Bus Security Grant Program (IBS)	Supports the creation of a sustainable program for the protection of intercity bus systems and the traveling public from terrorism
Intercity Passenger Rail Program (IPR)	Protects critical surface transportation infrastructure and the traveling public from acts of terrorism and increase the resilience of the Amtrak rail system
Port Security Grant Program (PSGP)	Supports maritime transportation infrastructure security activities
Transit Security Grant Program (TSGP)	Supports transportation infrastructure security activities
Countering Violent Extremism (CVE)	Develops new efforts and expand existing efforts at the community level to counter violent extremist recruitment and radicalization to violence
Complex Coordinated Terrorist Attacks Program (CCTA)	Builds and sustains capabilities of local, state, tribal, and territorial jurisdictions to enhance their preparedness for complex coordinated terrorist attacks
GRANT CATEGORY 7. Preparedness: Chemical	
Chemical Stockpile Emergency Preparedness Program (CSEPP)	Assists States and Local communities in efforts to improve their capacity to plan for and respond to accidents associated with the storage and ultimate disposal of chemical warfare materials
GRANT CATEGORY 8. Preparedness: Training	
Homeland Security Preparedness Technical Assistance Program (HSPTAP)	Builds State, Local, Tribal and Territorial (SLTT) capabilities to prevent, protect against, respond to, and recover from major events
Emergency Management Institute (EMI) Training Assistance	Defrays travel and per diem expenses of emergency management personnel who attend training courses conducted by the Emergency Management Institute
National Fire Academy (NFA) Training Assistance	Provides travel stipends to first responders and emergency managers attending Academy courses
Homeland Security National Training Program/National Domestic Preparedness Consortium (HSNTP/NDPC)	Supports nationwide training initiatives and further the mission of FEMA



Homeland Security National Training Program/Continuing Training Grant (HSNTP/CTG)	Develops and delivers innovative training programs that are national in scope and have an important role in the implementation of the National Preparedness System by supporting the building, sustainment, and delivery of core capabilities essential to achieving the National Preparedness Goal
State Fire Training System Grant (SFTS)	Strengthens the State's abilities to meet individual training mandates and bridge the gaps in their training programs with delivery of NFA courses and programs
GRANT CATEGORY 9. Preparedness: Standards	
Emergency Management Baseline Assessments Grant (EMBAG)	Supports the development of standards for emergency preparedness and response as well as a related assessment methodology for the evaluation of State, local and territorial emergency management organizations
National Incident Management System (NIMS)	Develops and deploys consistent systems for the request, dispatch, use, and return of resources needed to support local capabilities, and change outcomes for survivors
GRANT CATEGORY 10. Response: Search and Rescue	
Urban Search & Rescue (US&R) Readiness Cooperative Agreements	Develops and maintains a national urban search and rescue capability among the 28 task forces within the National Urban Search and Rescue Response System
Urban Search & Rescue (US&R) Response Cooperative Agreements	Pays for the Urban Search and Rescue Task Forces when they are activated for a disaster
GRANT CATEGORY 11. Recovery (Organizational/Government Assistance)	
Public Assistance (PA)	Provides assistance to state, tribal and local governments, and certain types of Private Nonprofit organizations so that communities can quickly respond to and recover from major disasters or emergencies declared by the President
Fire Management Assistance Grant (FMAG)	Mitigates, manages, and controls fire burning on publicly (non-federal) or privately owned forest or grassland that threatens such destruction as would constitute a major disaster
GRANT CATEGORY 12. Recovery (Individual Assistance)	
Housing Assistance	Provides financial assistance to individuals and households directly affected by a Presidentially declared disaster or emergency by providing the financial means or direct services for temporary housing, repair assistance, replacement assistance, or permanent or semi-permanent housing construction
Other Needs Assistance (ONA)	Provides financial assistance to individuals and households directly affected by a Presidentially declared disaster or emergency, who have other uninsured or under-insured, necessary expenses and serious needs and are unable to meet such expenses or needs through other means.
Crisis Counseling Program (CCP)	Assists individuals and communities in recovering from the challenging effects of natural and human-caused disasters through the provision of community-based outreach and psycho-educational services



Disaster Legal Services (DLS)	Provides legal assistance to low-income individuals who, prior to or as a result of a Presidentially declared disaster, are unable to secure legal services adequate to meet their disaster-related needs
Disaster Unemployment Assistance (DUA)	Provides temporary benefits to individuals whose employment or self-employment has been lost or interrupted as a direct result of a major disaster and who are not eligible for regular unemployment insurance
Disaster Housing Operations for Individuals and Households (DHOPS)	Addresses disaster-related housing needs of individuals and households suffering hardship within an area that by Presidential declaration has been designated as a disaster area
Cora Brown Fund	Supports disaster recovery for those survivors with unmet needs that cannot be addressed through other forms of assistance
Disaster Case Management Grants (DCM)	Provides a case manager as a single point of contact for a disaster survivor to develop and carry out a Disaster Recovery Plan
Emergency Food and Shelter National Board Program	Provides emergency economic assistance that keeps people off the streets, from being evicted from their homes, or with groceries to prevent hunger



Appendix B: OMB Forms

The following forms are used to collect applicant PII in order to provide disaster assistance:

<i>OMB Control Number</i>	<i>FEMA Form Number</i>	<i>Form Title</i>
1660-0002 <i>Disaster Assistance Registration</i>	009-0-1 (English)	Application/Registration for Disaster Assistance
	009-0-2 (Spanish)	Solicitud en Papel/Registro Para Asistencia De Desastre
	009-0-1T (English)	Tele-Registration Application for Disaster Assistance
	009-0-1Int (English)	Internet Application/Registration for Disaster Assistance
	009-0-2Int (Spanish)	Internet, Registro Para Asistencia De Desastre
	009-0-1S (English)	Smartphone Application for Disaster Assistance
	009-0-2S (Spanish)	Smartphone, Registro Para Asistencia De Desastre
	009-0-3 (English)	Declaration and Release Form
	009-0-4 (Spanish)	Declaración Y Autorización
	009-0-5 (English)	Temporary Housing Program- Receipt for Government Property
	009-0-6 (Spanish)	Recibo de la Propiedad del Gobierno
1660-0011 <i>Debt Collection Financial Statement</i>	127-0-1	Debt Financial Statement
1660-0017 <i>Public Assistance Progress Report and Program Forms</i>	90-49	Request for Public Assistance Project Worksheet (PW)
	90-91	
	90-91A	Project Worksheet—Damage Description and Scope of Work Continuation Sheet
	90-91B	Project Worksheet—Cost Estimate Continuation Sheet



	90-91C 90-91D 90-120 121 90-123 90-124 90-125 90-126 90-127 90-128	Project Worksheet—Maps and Sketches Sheet Project Worksheet—Photo Sheet Special Considerations Questions PNP Facility Questionnaire Force Account Labor Summary Record Materials Summary Record Rented Equipment Summary Record Contract Work Summary Record Force Account Equipment Summary Record Applicant’s Benefits Calculation Worksheet
1660-0025 <i>Emergency Preparedness and Response Directorate Grants Administration Forms</i>	20-15 20-16, A, B, C 20-17 20-18 20-19 20-20 76-10 089-9	Budget Information—Construction Summary Sheet for Assurances and Certifications Outlay Report and Request for Reimbursement for Construction Program Report of Government Property Reconciliation of Grants and Cooperative Agreements Budget Information—Non-construction Obligating Document for Award/Amendment Detailed Budget Worksheet
1660-0030 <i>Manufactured Housing Operations</i>	010-0-9 010-0-10 009-0-130 009-0-136 009-0-138	Request for Site Inspection Landowner’s Authorization Ingress-Egress Agreement Manufactured Housing Unit Maintenance Work Order Manufactured Housing Unit (MHU) Installation Work Order Manufactured Housing Unit Inspection Report
1660-0054 <i>Assistance to Firefighters Grant Program-Grant Application Supplemental Information</i>	080-0-2 080-0-2a	Assistance to Firefighters Grants (AFG) Application (General Questions and Narrative) Activity Specific Questions for AFG



		Vehicle Applicants
	080-0-2b	Activity Specific Questions for AFG Operations and Safety Applications
	080-0-3	Activity Specific Questions for Fire Prevention and Safety (FP&S) Applicants
	080-0-3a	Fire Prevention and Safety
	080-0-3b	Research and Development
1660-0058 <i>Fire Management Assistance Grant Program</i>	078-0-1 (previously FEMA Form 90-58)	Request for Fire Management Assistance Declaration
	089-0-24 (previously FEMA Form 90-133)	Request for Fire Management Sub-grant
	078-0-2 (previously FEMA Form 90-32)	Principal Advisor's Report
1660-0061 <i>Federal Assistance to Individuals and Households Program</i>	010-0-11	Administrative Option Selection
	010-0-12	Application for Continued Temporary Housing Assistance
	010-0-12S (Spanish)	Programa de Individuos y Familias Solicitud para Continuar la Asistencia de Vivienda Temporeramente
1660-0073 <i>National Urban Search and Rescue Grant</i>	089-10	Narrative Statement
	089-11	Performance Reports
	089-12	Extensions/Budget Changes
	089-13	Memorandum of Agreement Revisions
	089-14	Self Evaluations
	089-15	Task Force Deployment Data
1660-0082 <i>Application for Community Disaster Loan Cancellation</i>	90-5	Application for Loan Cancellation
1660-0083 <i>Community Disaster Loan Program</i>	090-0-1	Certification of Eligibility for Community Disaster Loans
	116-0-1	Promissory Note;
	085-0-1	Local Government Resolution—Collateral Security
	090-0-2	Application for Community Disaster Loan



1660-0110 <i>Urban Areas Security Initiative (UASI)</i>	089-25	NGSP Investment Justification Template
<i>Non Profit Security Grant Program (NSGP)</i>	089-24	NSGP Prioritization of the Investment Justifications
1660-0112 <i>Transit Security Grant Program (TSGP)</i>	089-4	TSGP Investment Justification
	089-4A	TSGP Investment Justification Background Document
	089-4B	TSGP Five-Year Security Capital and Operational Sustainment Plan
1660-0113 <i>Tribal Homeland Security Grant Program (THSGP)</i>	089-22	THSGP—Tribal Investment Justification Template
1660-0114 <i>Port Security Grant Program (PSGP)</i>	089-5	PSGP Investment Justification
1660-0117 <i>FEMA's Grants Reporting Tool (GRT)</i>	None	None
1660-0119 <i>FEMA Homeland Security Grant Program (HSGP) and Operation Stonegarden (OPSG) Grant Program</i>	089-16 089-20	OPSG Operations Order Report Operations Order Prioritization
1660-0123 <i>Regional Catastrophic Preparedness Grant Program (RCPGP)</i>	089-19 089-17 089-26	RCPGP Investment Justification Template RCPT Membership List RCGCP (Sample) Detailed Project Plan Template
1660-0125 <i>Homeland Security Grant Program (HSGP)</i>	089-1 089-16 089-20 089-0-27	HSGP Investment Justification (SHSP and UASI) OPSG Operations Order Report OPSG Inventory of Operation Orders Operation Stonegarden Daily Activity Report (DAR)
1660-0126 <i>Emergency Management Performance Grant Program</i>	None	None
1660-0138 <i>Direct Housing Program</i>	010-0-9 009-0-131 009-0-134 009-0-135 009-0-137 009-0-129	Request for Site Inspection Manufactured Housing Unit Sales Calculator Recertification Worksheet Temporary Housing Agreement Unit Pad Requirements Information Checklist Ready for Occupancy Status
1660-0142 <i>Applicant Sheltering Assessment</i>	009-0-42	Applicant Sheltering Assessment Tool



Appendix C: Legacy Grants Management Systems

Grant System	Grants Supported
Emergency Management Mission Integrated Environment (EMMIE)	Public Assistance (PA) Fire Management Assistance Grant (FMAG)
National Emergency Management Information System (NEMIS)-Public Assistance (PA)	Public Assistance (PA)
Individual Assistance (IA) (formerly NEMIS-IA)	Housing Assistance (HA) Other Needs Assistance (ONA) Disaster Housing Operations for Individuals and Households (DHOPS) Cora Brown Fund
NEMIS-Hazard Mitigation Grant Program (NEMIS-HMGP)	Hazard Mitigation Grant Program (HMGP)
Mitigation eGrants	Pre-Disaster Mitigation Grants (PDM) Flood Mitigation Assistance (FMA)
Environmental and Historic Preservation Management Information System (EMIS)	All grants programs where environmental and historic preservation (EHP) compliance is an issue.
Assistance Fire Grants (AFG) eGrant portal	Assistance to Firefighters Grants (AFG) Staffing for Adequate Fire & Emergency Response Grants (SAFER) Fire Prevention & Safety Grants (FP&S)
Non-Disaster Grants (ND Grants)	Cooperating Technical Partners (CTP) National Earthquake Hazard Reduction Program (NEHRP) National Dam Safety Program (NDSP) Emergency Food and Shelter National Board Program (EFSNBP) National Incident Management System (NIMS) Emergency Management Baseline Assessments Grant (EMBAG) Emergency Management Performance Grants (EMPG) State Homeland Security Program (SHSP) Urban Areas Security Initiative (UASI) UASI Nonprofit Security Grant Program (NSGP) Operation Stonegarden Grant Program (OPSG) Tribal Homeland Security Grant Program (THSGP) Intercity Bus Security Grant Program (IBSGP) Intercity Passenger Rail Program (IPR) Port Security Grant Program (PSGP) Transit Security Grant Program (TSGP) Countering Violent Extremism (CVE) Homeland Security National Training Program (HSNTP) Continuing Training Grant (CTG) Homeland Security National Training Program (HSNTP) National Domestic Preparedness Consortium (NDPC) Homeland Security Preparedness Technical Assistance Program (HSPTAP)



	State Fire Training System (SFTS) Countering Violent Extremism (CVE) Complex Coordinated Terrorist Attacks (CCTA) Urban Search & Rescue Readiness Cooperative Agreements (US&R Readiness)
Grants Reporting Tool (GRT)	State Homeland Security Program (SHSP) Urban Areas Security Initiative (UASI) UASI Nonprofit Security Grant Program (NSGP) Operation Stonegarden Grant Program (OPSG) Tribal Homeland Security Grant Program (THSGP)
FEMA Applicant Case Tracker (FAC-TRAX)	Public Assistance (PA)



Appendix D: Post-Award Reporting Forms

Form Name	OMB Number	OMB Expiration
Disclosure of Lobbying Activities (SF-LLL)	4040-0013	1/31/2019
Federal Financial Report (SF-425)	4040-0014	1/31/2019
Federal Financial Report (SF-425)	4040-0014	1/31/2019
Federal Financial Report Attachment (SF-425A)	4040-0014	1/31/2019
INSTRUCTIONS FOR THE SF-429 Real Property Status Report	4040-0016	1/31/2019
SF-270 Request for Advance or Reimbursement	4040-0012	1/31/2019
SF-271 Outlay Report and Request for Reimbursement for Construction Programs	4040-0011	1/31/2019
SF-429 Real Property Status Report (Cover Page)	4040-0016	1/31/2019
SF-429-A Real Property Status Report ATTACHMENT A (General Reporting)	4040-0016	1/31/2019
SF-429-B Real Property Status Report ATTACHMENT B (Request to Acquire, Improve or Furnish)	4040-0016	1/31/2019
SF-429-C Real Property Status Report ATTACHMENT C (Disposition or Encumbrance Request)	4040-0016	1/31/2019
Tangible Personal Property Report - Annual Report - SF-428-A	4040-0018	6/30/2020
Tangible Personal Property Report - Disposition Request/Report - SF-428-C	4040-0018	6/30/2020
Tangible Personal Property Report - Final Report - SF-428-B	4040-0018	6/30/2020
Tangible Personal Property Report - SF-428	4040-0018	6/30/2020
Tangible Personal Property Report - Supplemental Sheet - SF-428-S	4040-0018	6/30/2020



Appendix E: Interfaces for the SPARTA system

Name of Application	Description of Application	Interface Details	Direction of Data Exchange	Data Exchanged
Flood and parcel information service ⁵³	Commercial web service which provides access to address correction, national flood layer, and parcel information services	SPARTA will need to interact with the service for address correction, national flood layer, and parcel information services of disaster survivors.	Inbound (to GMM)	Address, Floodplain Mapping, and Parcel Data (to GMM)
Hotel lodging application ⁵⁴	Commercial hotel lodging application that allows FEMA to book hotel rooms	SPARTA will need to interface with the application to book hotel rooms for disaster survivors.	Bi-directional	Send: Eligible registrant lodging information Receive: Registrant billing information (to GMM)
Disaster Assistance Improvement Program ⁵⁵ (DAIP)	Disaster Assistance Improvement Program (DAIP) is an application that includes the Disaster Assistance Center (DAC) and allows individuals to register for FEMA grants	SPARTA must interface with DAIP to receive individual registrations.	Bi-directional	Send: IA disaster configuration Receive: registration intake (applications)
Data Lake ⁵⁶ (currently the EDW)	The Data Lake is central location where enterprise data is consolidated for cross-program reporting	SPARTA must interface directly with the Data Lake so that grant information data is available upon need throughout FEMA.	Bi-directional	Send/receive grants information
Disaster Emergency Coordination ⁵⁷ (DEC)	DEC is where disaster information is created and maintained	SPARTA will need to interact with DEC for disaster information.	Inbound (to GMM)	Receive disaster information

⁵³ For more information, see DHS/FEMA/PIA-045 Hazard Mitigation Planning and Flood Mapping Products and Services Support Systems available at www.dhs.gov/privacy.

⁵⁴ For more information, see DHS/FEMA/PIA-049 Individual Assistance (IA) Program available at www.dhs.gov/privacy.

⁵⁵ *Id.*

⁵⁶ For more information, see DHS/FEMA/PIA-026 Operational Data Store and Enterprise Data Warehouse available at www.dhs.gov/privacy.

⁵⁷ For more information, see DHS/FEMA/PIA-049 Individual Assistance (IA) Program available at www.dhs.gov/privacy.



Document Management ⁵⁸	Document Management system will be the document repository	SPARTA must interface directly with the Document Management system for access to documentation.	Bi-directional	Send: documents Receive: documents
Financial management solution ⁵⁹	FEMA's financial management solution	SPARTA must interface directly with financial management solution for financial data.	Bi-directional	Send: financial transaction requests Receive: financial transaction confirmations, Vendor Data, Commitment Data, ACCS Codes
Grants.gov ⁶⁰	All grant applications are submitted through Grants.gov, a central grants application submission point for everyone applying for federal grants. Once the grants application is submitted through grants.gov, it then gets downloaded to the associated application	SPARTA will need to interact with Grants.gov for grant information.	Bi-directional	Send: published solicitation Push delivery application confirmation Receive: download application and the list of available applications
Housing and Urban Development ⁶¹ (HUD)	HUD provides Fair Market Rental (FMR) information to FEMA to determine how much money registrants in different areas should receive for Rental Assistance	SPARTA must interact with HUD to determine the appropriate funds for housing Rental Assistance.	Inbound (to GMM)	Receives: Fair Market Rental (FMR) data from HUD.

⁵⁸ In development

⁵⁹ For more information, see DHS/FEMA/PIA-020 Web Integrated Financial Management Information (Web-IFMIS) available at www.dhs.gov/privacy.

⁶⁰ For more information, see DHS/FEMA/PIA-049 Individual Assistance (IA) Program available at www.dhs.gov/privacy.

⁶¹ Id.



Incident Management Coordination Assessment and Determination (IMCAD)	The IMCAD System provides emergency coordination information	SPARTA will need to interact with IMCAD to pull in relevant incident and disaster data.	Inbound (to GMM)	Receive: Incident And Disaster Data
FEMA Enterprise Identity Management System ⁶² (FEIMS)	The ISAAC System provides a framework to uniformly apply security and access controls for critical mission application	SPARTA will need to interact with ISAAC to determine if a specific user account has the rights required to complete an action.	Bi-directional	Send: Approvals (for subgrantees) Receive: user credentials, redirect and organizations
Identification verification service ⁶³	Commercial identification verification service that provides legal, professional, and risk solutions (to include fraud detection)	SPARTA will interface with the service for identification verification.	Bi-directional	Send: validation of verification of the user Receive: validations
Modernized insurance system ⁶⁴	Provides insurance data	SPARTA must interface with modernized insurance solution to obtain insurance data.	Bi-directional	Receive: Flood insurance information, Send: recipient information, property information, grant information
NEMIS ⁶⁵ (reference tables)	NEMIS provides standard tables, that includes information on FEMA divisions, program offices, etc	SPARTA must interface with the NEMIS reference tables to obtain standard FEMA data.	Bi-directional	Receive: Reference Data (FIPS Places), Environmental Laws Send: FIPS Subdivisions

⁶² For more information, see DHS/FEMA/PIA-031 Authentication and Provisioning Services (APS) available at www.dhs.gov/privacy.

⁶³ For more information, see DHS/FEMA/PIA-049 Individual Assistance (IA) Program available at www.dhs.gov/privacy.

⁶⁴ To be developed.

⁶⁵ *Id.*



Recipient Grants Management System ⁶⁶	Recipient Grants Management Systems provide recipient grants data	SPARTA will need to interface with Recipient Grants Management Systems for recipient grant information.	Bi-directional	Send/receive: Grants information
Small Business Administration ⁶⁷ (SBA)	SBA provides loans to registrants who are not eligible for IA	SPARTA will need to interface with the SBA for loan information.	Bi-directional	Send: Loan Referral Receive: Loan Decision

⁶⁶ To be developed.

⁶⁷ *Id.*



Appendix F: Authorities and Impacts

Authority	Impact	Impacted Grant Programs
<p>Robert T. Stafford Disaster Relief and Emergency Assistance Act</p>	<p>Authorizes the President to contribute up to 75 percent of the cost of hazard mitigation measures that the President has determined are cost effective and that substantially reduce the risk of future damage, hardship, loss, or suffering in any area affected by a major disaster (Sec 404)</p>	<p>HMGP</p>
	<p>Authorizes the President to provide technical and financial assistance to the State or local government principally to implement predisaster hazard mitigation measures that are cost-effective</p>	<p>PDM</p>
	<p>Authorizes the Administrator to conduct or arrange, by contract or otherwise, for training programs for the instruction of emergency preparedness officials and other persons in the organization, operation, and techniques of emergency preparedness</p>	<p>EMI Training Assistance</p>
	<p>Authorizes the President to make contributions to a state or local government for the repair, restoration, reconstruction, or replacement of a public facility damaged or destroyed by a major disaster and for associated expenses incurred by the government</p>	<p>PA</p>
	<p>Authorizes the President to provide assistance, including grants, equipment, supplies, and personnel, to any state or local government for the mitigation, management, and control of any fire on public or private forest land or grassland that threatens such destruction as would constitute a major disaster</p>	<p>FMAG</p>
	<p>Authorizes the President to establish a program of disaster preparedness</p>	<p>EMPG</p>
	<p>Authorizes the President to provide financial or other assistance to individuals and households to respond to the disaster-related housing needs of individuals and households who are displaced from their predisaster primary residences or whose predisaster primary residences are rendered uninhabitable, or with respect to individuals with disabilities, rendered inaccessible or uninhabitable, as a result of damage caused by a major disaster</p>	<p>HA</p>
	<p>Authorizes the President to provide financial assistance, and, if necessary, direct services, to individuals and households who, as a direct result of a major disaster, have necessary expenses and serious</p>	<p>ONA</p>



	needs in cases in which the individuals and households are unable to meet such expenses or needs through other means	
	Authorizes the President to provide professional counseling services, including financial assistance to State or local agencies or private mental health organizations to provide such services or training of disaster workers, to victims of major disasters in order to relieve mental health problems caused or aggravated by such major disaster or its aftermath	CCP
	Requires the President to assure that programs authorized by the Stafford Act are conducted with the advice and assistance of appropriate federal agencies and state and local bar associations whenever the President determines that low-income individuals are unable to secure legal services adequate to meet their needs as a consequence of a major disaster	DLS
	Authorizes the President to provide case management services, including financial assistance, to state or local government agencies or qualified private organizations to provide such services, to victims of major disasters to identify and address unmet needs	DCM
	Authorizes the President to provide to any individual unemployed as a result of a major disaster such benefit assistance as the president deems appropriate while such individual is unemployed for the weeks of such unemployment with respect to which the individual is not entitled to any other unemployment compensation	DUA
National Flood Insurance Act, 42 U.S.C. § 4100, as amended by the Bunning-Bereuter-Blumenauer Flood Insurance Reform Act of 2004, 42 U.S.C. § 4001, et seq.	Requires the Administrator of FEMA to carry out a program to provide financial assistance to States and communities, using amounts made available from the National Flood Mitigation Fund, for planning and carrying out activities designed to reduce the risk of flood damage to structures covered under contracts for flood insurance	FMA
	Authorizes the Administrator of FEMA to consult with, receive information from, and enter into any agreements or other arrangements with the head of any state or local agency, or to enter into contracts with any persons or private firms, in order that he or she may (1) identify and publish information with respect to all flood plain areas, including coastal areas located in the United States, that has special flood hazards, and (2) establish or update flood-risk zone data in all such areas, and make estimates with respect to the rates of	CTP



	probable flood-caused loss for the various flood risk zones for each of these areas	
	Authorizes the Administrator of FEMA to make grants, provide technical assistance, and enter into contracts, cooperative agreements, or other transactions, on such terms as he or may deem appropriate to accelerate the identification of risk zones within flood-prone and mudslide-prone areas	CAP-SSSE
Biggert-Waters Flood Insurance Reform Act of 2012	Requires the FEMA Administrator, in coordination with the Technical Mapping Advisory Council, to establish an ongoing program under which the Administrator shall review, update, and maintain National Flood Insurance Program rate maps	CTP
National Flood Insurance Reform Act of 1994	Requires the Administrator of FEMA to revise and update floodplain areas and flood risk zones	CTP
Stewart B. McKinney Homeless Assistance Act of 1987	Requires the Administrator of FEMA to award a grant to the Emergency Food and Shelter National Board for the purpose of providing emergency food and shelter to needy individuals through private nonprofit organizations and local governments	EFSNBP
National Dam Safety Program Act	Requires the FEMA Administrator to provide assistance to assist States in establishing, maintaining, and improving dam safety programs	NDSP
National Earthquake Hazards Reduction Act of 2004	Establishes the National Earthquake Hazards Reduction Program to promote the adoption of earthquake hazards reduction measures by federal, state, and local governments, national standards and model code organizations, architects and engineers, building owners, and others with a role in planning and constructing buildings, structures, and lifelines through grants, contracts, cooperative agreements, and technical assistance;	NEHRP
	Requires the FEMA Administrator to operate a program of grants and assistance to enable states to develop mitigation, preparedness, and response plans, prepare inventories and conduct seismic safety inspections of critical structures and lifelines, update building and zoning codes and ordinances to enhance seismic safety, increase earthquake awareness and education, and encourage the development of multi-state groups for such purposes	EMPG
Federal Fire Prevention and	Authorizes the Administrator of FEMA to award assistance to firefighters grants	AFG



Control Act of 1974	Authorizes the Administrator of FEMA to award fire prevention and safety grants	FP&S
	Requires the Administrator of FEMA to make grants directly to career fire departments, combination fire departments, and volunteer fire departments, in consultation with the chief executive of the state in which the applicant is located, for the purpose of increasing the number of firefighters to help communities meet industry minimum standards and attain 24-hour staffing to provide adequate protection from fire and fire-related hazards, and to fulfill traditional missions of fire departments that antedate the creation of the Department of Homeland Security.	SAFER
	Authorizes the establishment and operation of the National Academy for Fire Prevention and Control, including developing curricula, training programs, and other educational materials.	State Fire Training Systems Grant, NFA Training Assistance
Post-Katrina Emergency Management Reform Act of 2006 (PKEMRA)	Appropriates funding for the Emergency Management Performance Grant program	EMPG
	Authorizes the FEMA Administrator to make grants to administer the Emergency Management Assistance Compact consented to by the Joint Resolution entitled "Joint Resolution granting the consent of Congress to the Emergency Management Assistance Compact"	EMAC-NIMS
Homeland Security Act of 2002	Office for Domestic Preparedness shall have the primary responsibility within the Executive Branch of Government for the preparedness of the United States for acts of terrorism, including directing and supervising terrorism preparedness grant programs of the Federal Government for all emergency response providers	OPSG, SHSP, THSGP
	Authorizes federal, state, and local entities to share homeland security information to the maximum extent practicable, with special emphasis on hard-to-reach urban and rural communities	UASI
	Authorizes the Secretary evaluate the effectiveness of measures deployed to enhance the security of institutions, facilities, and infrastructure that may be terrorist targets	NSGP
	Authorizes coordination of preparedness efforts at the federal level, and working with all state, local, tribal, parish, and private sector emergency response providers on matters pertaining to combating terrorism, including training, exercises, and equipment support	HSPTAP, NFATA



	<p>Requires the Secretary of DHS to establish and promote a program to encourage technological innovation in facilitating the mission of the Department by encouraging and supporting innovative solutions to enhance homeland security, to include the establishment of a centralized federal clearinghouse for information relating to technologies that would further the mission of the Department for dissemination, as appropriate, to federal, state, and local government and private sector entities for additional review, purchase, or use; and the provision of guidance, recommendations, and technical assistance, as appropriate, to assist federal, state, and local government and private sector efforts to evaluate and implement the use of technologies</p>	<p>EMBAG, EMAC-NIMS, US&R Response System</p>
<p>9/11 Commission Act of 2007</p>	<p>Authorizes the Secretary to evaluate the security of intercity passenger bus and railroad stations, trains, and infrastructure, including security capital improvement projects that the Secretary determines enhance bus and railroad station security</p>	<p>IBSGP, IPR, TSGP</p>
	<p>Authorizes the Secretary to establish a program for making grants to eligible public transportation agencies for security improvements</p>	<p>TSGP</p>
	<p>Authorizes the Secretary to establish, operate, and maintain a National Domestic Preparedness Consortium within the Department</p>	<p>HSNTP/NDPC, HSNTP/CTG</p>
<p>Sandy Recovery Improvement Act of 2013</p>	<p>Establishes permanent work alternative procedures, debris removal alternative procedures, and a dispute resolution pilot program with associated changes to the appeals process. Required FEMA to coordinate with Federal Transit Administration on repairing and restoring public transportation systems. Required the FEMA Administrator to complete an analysis to determine whether an increase in the Public Assistance grant program small project threshold is appropriate. Authorized rulemaking to address reimbursement of straight-time force account labor costs for state, tribal, and local government employees performing emergency protective measures. Required FEMA to publish public assistance grants in excess of \$1 million on the internet within 24 hours of award. Requires the recipient/sub-recipient expenditure of obligated grant funds within 24 months or funds be returned to the agency. Directed the President to establish an expedited and unified environmental and historic preservation (EHP) process for disaster recovery actions.</p>	<p>PA</p>



	Requires FEMA to provide monthly reports to Congress and on the internet regarding DRF spending. Required FEMA to make recommendations for the development of a national strategy to reduce costs on future disasters. Provided federally-recognized Indian tribal governments the option to make their own request for a Presidential emergency or major disaster declaration independently of a state or to seek assistance under a declaration for a state.	All disaster grants
	Directs FEMA to provide more objective criteria for evaluating the need for assistance to individuals, to clarify the threshold for eligibility, and to speed a declaration of a major disaster or emergency under the Stafford Act. Affirmed FEMA's authority to lease multifamily rental units and provide them to individuals or households for use as direct temporary housing when cost effective	IA
	Provides FEMA the specific authority to pay for "child care" expenses as disaster assistance under the Other Needs Assistance (ONA) provision of the Individuals and Households Program in addition to funeral, medical, and dental expenses	ONA
	Directs FEMA to streamline HMGP activities and to adopt measures to expedite implementation of the program. Allowed FEMA to provide up to 25 percent of the estimated costs for eligible hazard mitigation measures to a state or tribal grantee before eligible costs are incurred. Allowed FEMA to implement, on a pilot basis, HMGP Administration by states.	HMGP
Maritime Transportation Security Act of 2002	Authorizes the Secretary to establish a grant program for making a fair and equitable allocation among port authorities, facility operators, and state and local agencies required to provide security services of funds to implement Area Maritime Transportation Security Plans and facility security plans.	PSGP
Department of Defense Authorization Act of 1986	Authorizes the Secretary provision eliminating aging stockpiles of Chemical Agents and Munitions stored within the United States.	CSEPP
DHS Appropriations Act of 2016	Authorizes funds to combat emergent threats from violent extremism and from complex, coordinated terrorist attacks.	CVE, CCTA
Department of Homeland Security	Appropriates funding for Operation Stonegarden	OPSG
	Appropriates funding for State Homeland Security	SHSP



Appropriations Act of 2017	Program	
American Recovery and Reinvestment Act of 2009	Authorizes and appropriates funds for the ARRA Transit Security Grant Program (TSGP), ARRA Port Security Grant Program (PSGP), ARRA Fire Station Construction Grants (SCG)	TSGP, PSGP, SCD
National Historic Preservation Act of 1966	Requires that, before approving or carrying out a federal, federally assisted, or federally licensed undertaking, federal agencies to take into consideration the impact that the action may have on historic properties	All
Clinger-Cohen Act	Makes the Director of the Office of Management and Budget responsible for improving the acquisition, use, and disposal of information technology by the Federal Government to improve the productivity, efficiency, and effectiveness of federal programs, including through dissemination of public information and the reduction of information collection burdens on the public. Requires the Director to oversee the development and implementation of standards and guidelines pertaining to Federal computer systems.	All
Personal Responsibility and Work Opportunity Reconciliation Act of 1996	Requires that an alien who is not a qualified alien is not eligible for any federal public benefit	All
Debt Collection Improvement Act of 1996	Establishes procedures to maximize collections of delinquent debts owed to the Government by ensuring quick action to enforce recovery of debts and the use of all appropriate collection tools; to minimize the costs of debt collection by consolidating related functions and activities and utilizing interagency teams; and to reduce losses arising from debt management activities by requiring proper screening of potential borrowers, aggressive monitoring of all accounts, and sharing of information within and among federal agencies.	All
Economy Act	Authorizes agencies to enter into agreements to obtain supplies or services from another agency	All
Government Performance and Results Act of 2010	Requires the head of each agency shall make available on a public website of the agency and to the Office of Management and Budget an update on agency performance	All



Executive Order 12862, "Setting Customer Service Standards"	Directs all executive departments and agencies that provide significant services directly to the public shall provide those services in a manner that seeks to meet a customer service standard	All
Executive Order 13411, "Improving Assistance for Disaster Victims,"	Establishes the policy of the Federal Government to ensure that individuals who are victims of a terrorist attack, natural disaster, or other incident that is the subject of an emergency or major disaster declaration under the Stafford Act, and who are thereby eligible for financial or other assistance delivered by any department or agency of the Executive Branch (federal disaster assistance) have prompt and efficient access to federal disaster assistance, as well as information regarding assistance available from state and local government and private sector sources	All disaster grants
5 U.S.C. § 301	Authorizes the head of an Executive department or military department to prescribe regulations for the government of his department, the conduct of its employees, the distribution and performance of its business, and the custody, use, and preservation of its records, papers, and property	All
Reorganization Plan No. 2 of 1970	Establishes Domestic Council and Office of Management and Budget	All
Executive Order 9397 "Numbering System for Federal Accounts Relating to Individual Persons" as amended by Executive Order 13478 "Amendments to Executive Order 9397 Relating to Federal Agency Use of Social Security Numbers"	Permits the use of social security numbers for accounts pertaining to individual persons	All Individual Assistance grants
44 U.S.C. § 3534 Federal Agency Responsibilities	Establishes federal agency responsibilities for information security	All
Single Audit Act of 1984	Establishes uniform audit requirements for state and local governments receiving federal financial	All grants made to state and



	assistance	local governments
Federal Financial Assistance Management Improvement Act	Establishes responsibilities for improving the effectiveness and performance of federal financial assistance programs; simplifying federal financial assistance application and reporting requirements; improving the delivery of services to the public; and facilitating greater coordination among those responsible for delivering such services	All
Improper Payments Information Act of 2002	Requires the head of each agency to, in accordance with guidance prescribed by the Director of the Office of Management and Budget, annually review all programs and activities that it administers and identify all such programs and activities that may be susceptible to significant improper payments	All
Improper Payments Elimination and Recovery Act of 2010	Amends the Improper Payments Information Act of 2002 in order to prevent the loss of billions in taxpayer dollars	All
Improper Payments Elimination and Recovery Improvement Act of 2012	Intensifies efforts to identify, prevent, and recover payment error, waste, fraud, and abuse within federal spending	All
Federal Funding Accountability and Transparency Act of 2006	Requires the Office of Management and Budget to ensure the existence and operation of a single searchable website, accessible by the public at no cost to access, that includes information for each federal award	All
Digital Accountability and Transparency Act of 2014	Establishes requirements for expanding the Federal Funding Accountability and Transparency Act of 2006 by disclosing direct federal agency expenditures and linking federal contract, loan, and grant spending information to programs of federal agencies to enable taxpayers and policy makers to track federal spending more effectively; establishing Government-wide data standards for financial data and providing consistent, reliable, and searchable Government-wide spending data that is displayed accurately for taxpayers and policy makers on USASpending.gov; simplifying reporting for entities receiving federal funds by streamlining reporting requirements and reducing compliance costs while improving transparency; improving the quality of data submitted to	All



	USASpending.gov by holding federal agencies accountable for the completeness and accuracy of the data submitted; and applying approaches developed by the Recovery Accountability and Transparency Board to spending across the Federal Government.	
Grants Oversight and New Efficiency Act	Requires the Office of Management and Budget to instruct each agency to submit to Congress and HHS a report that lists each federal grant award held by such agency; provides the total number of federal grant awards, including the number of grants by time period of expiration, the number with zero dollar balances, and the number with undisbursed balances; describes the challenges leading to delays in grant closeout; and explains, for the 30 oldest federal grant awards, why each has not been closed out	All