



Privacy Impact Assessment

for the

Individual Assistance (IA) Systems

DHS Reference No. DHS/FEMA/PIA-059

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Homeland
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Abstract

The U.S. Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA), Office of Response and Recovery (ORR), Individual Assistance (IA) Division manages FEMA's Individual Assistance programs. The Individual Assistance programs rely on a portfolio of information technology (IT) systems and multiple applications to provide disaster recovery assistance, such as food and shelter, to individuals under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act), as amended, following a presidentially declared disaster. This Privacy Impact Assessment (PIA) focuses on the information technology systems and supporting subsystems used by the Individual Assistance programs. The Individual and Households Program is covered in a separate, forthcoming Privacy Impact Assessment.

Overview

Individual Assistance is authorized when a Governor or Tribal Chief Executive requests federal assistance and the President of the United States declares a major disaster or emergency. The Individual Assistance 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 Individual Assistance Division operates various programs that require FEMA to collect, use, maintain, and share personally identifiable information (PII) and sensitive personally identifiable information (SPII) from applicants. This is accomplished through the use of forms, applications, and various information technology systems.

The primary funding for Individual Assistance programs is the Disaster Relief Fund, an appropriation against which FEMA can direct, coordinate, manage, and fund eligible response and recovery efforts associated with domestic major disasters and emergencies that overwhelm State resources pursuant to the Stafford Act. In January 2018, FEMA published a Privacy Impact Assessment titled "Individual Assistance (IA) Program."¹ That Privacy Impact Assessment covered: Individual Assistance information technology systems, the Individual and Households Program, and the Voluntary Agency Coordination and Community Services Branch. To provide additional clarity about each of these three topics, FEMA is separating the previous Individual Assistance Privacy Impact Assessment into separate Privacy Impact Assessments: this Individual Assistance information technology systems Privacy Impact Assessment and an Individual and Households Program Privacy Impact Assessment.

The use of these information technology systems enables FEMA to administer its assistance programs, fulfill the needs of applicants, and help provide and improve the customer

¹ See U.S. DEPARTMENT OF HOMELAND SECURITY, FEDERAL EMERGENCY MANAGEMENT AGENCY, PRIVACY IMPACT ASSESSMENT FOR INDIVIDUAL ASSISTANCE, DHS/FEMA/PIA-049 (2018), available at <https://www.dhs.gov/privacy-documents-fema>. This Privacy Impact Assessment will be retired upon completion of the two new Privacy Impact Assessments.



service experience by making relevant information more accessible to FEMA personnel providing Individual Assistance services, thus reducing the overall wait time for individuals who have requested Individual Assistance services. The personally identifiable information stored in each system is restricted to only that which is necessary to allow the system to operate and FEMA personnel to perform their daily job functions.

The following systems and applications support Individual Assistance:²

- Automated Construction Estimator (ACE): Automated Construction Estimator is used by Inspection Management contractors and FEMA personnel to perform in person assessments of real and personal property damage resulting from a disaster post-declaration.
- Contact Center Capability Modernization Program (C3MP):³ Provides Contact Center Services for the National Processing Service Centers (NPSC), servicing all inbound calls (i.e., 1-800-621-FEMA) from disaster survivors to FEMA's 750+ Call Center agents at three National Processing Service Center locations in Denton, Texas, Winchester, Virginia, and Hyattsville, Maryland, as well as telework locations across the country, and "surge" agents pulled from other parts of FEMA and the FEMA reserve corps. The platform also supports FEMA's Enterprise Service Desk (ESD) and the FEMA Finance Center (FFC) contact centers with staffs of over 100 agents each. Capabilities include Interactive Voice Response (IVR), intelligent routing of call traffic, audio and screen recording and evaluation for quality assurance, and workforce management (call volume forecasting, work schedules, and adherence monitoring).
- Disaster Assistance Improvement Program (DAIP): The Disaster Assistance Improvement Program manages the Disaster Assistance Center (DAC) application, which supports online registration intake, call center registration intake, and online applicant inquiry. The Disaster Assistance Improvement Program also supports a service-oriented architecture data exchange with the U.S. Department of Housing and Urban Development (HUD) and the U.S. Small Business Administration (SBA). In addition to online registrations, the site sponsors more than 70 forms of disaster assistance available from the various partners. Referral and manual application information is available on all forms of assistance that do not yet have online applications. Community resource information and disaster news feeds are also

² Additional details regarding the Individual Assistance systems are detailed in Appendix A.

³ See U.S. DEPARTMENT OF HOMELAND SECURITY, FEDERAL EMERGENCY MANAGEMENT AGENCY, PRIVACY IMPACT ASSESSMENT FOR CONTACT CENTER CAPABILITY MODERNIZATION PROGRAM (C3MP), DHS/FEMA/PIA-043 (2017 and subsequent updates), *available at* <https://www.dhs.gov/privacy-documents-fema>.



available to help individuals, families, and businesses prepare for, respond to, and recover from disasters. The Disaster Assistance Improvement Program is in the process of migrating to the Survivor Online Application & Resources system. The capabilities will remain the same, but it will be hosted in a new location and on a new system.⁴

- **Emergency Support Functions 6 – Support System (ESF6-SS):** The system is used to give disaster survivors the location of American Red Cross (ARC) shelters along with provided services and allows internal National Shelter System staff the ability to edit shelter information and open shelters in areas the American Red Cross does not serve. This system interfaces with Red Cross information to assist disaster survivors and integrates with the FEMA mobile app.⁵ The Disaster Recovery Center Disaster Operations Tool (DRC DOT) allows users to search for Disaster Recovery Centers (DRC), add new Disaster Recovery Centers, track available services, monitor the number of visitors, as well as run reports on this data. The Disaster Recovery Center Locator allows disaster survivors to search for Disaster Recovery Centers via the FEMA web or mobile app.
- **Field Assessment and Collection Tools (FACT):** Geospatial data collection and information portal providing data analytics and visualization capabilities to support field operation decision making. FEMA Headquarters and Regional staff use the Disaster Recovery Center Site Survey Inspection (SSI) tool while deployed to the field to collect information about existing fixed facilities in a disaster area that may be able to support Disaster Recovery Center operations. Information is used to assess the viability of a particular facility and determine if it should be opened as a Disaster Recovery Center site. Disaster Survivor Assistance (DSA) Teams use the Disaster Survivor Assistance tool while deployed to the field to collect information about their environmental observations, interactions with survivors, and community contacts offering services to survivors following a disaster. Information is used to make operational decisions regarding where to send critical resources. FEMA Headquarters and Regional staff use the Preliminary Damage Assessment (PDA) tool while deployed to the field to collect information about the extent of damage sustained to homes and public infrastructure following a disaster. Information is used to inform

⁴ See U.S. DEPARTMENT OF HOMELAND SECURITY, FEDERAL EMERGENCY MANAGEMENT AGENCY, PRIVACY IMPACT ASSESSMENT FOR THE DISASTER ASSISTANCE INFORMATION IMPROVEMENT PROGRAM, DHS/FEMA/PIA-043 (2012 and subsequent updates), *available at* <https://www.dhs.gov/privacy-documents-fema>.

⁵ See U.S. DEPARTMENT OF HOMELAND SECURITY, FEDERAL EMERGENCY MANAGEMENT AGENCY, PRIVACY IMPACT ASSESSMENT FOR THE FEMA SMARTPHONE APPLICATION, DHS/FEMA/PIA-030 (2013), *available at* <https://www.dhs.gov/privacy-documents-fema>.



major declaration requests and decisions. FEMA Headquarters staff use the Survivor Sheltering Assessment (SSAT) tool while deployed to the field to collect information regarding housing needs of survivors in congregate shelters following a disaster. Information is used to assist survivors in finding alternate, transitional housing until they are able to return to their residence.

- Individual Assistance: FEMA operates the Individual Assistance System (formerly National Emergency Management Information System (NEMIS)-IA) to house survivor case files. This system serves as the master database used by FEMA to administer its assistance programs and make disaster assistance decisions. This system supports the Individual Housing Program process end to end (e.g., disaster administration, data intake from the Disaster Assistance Improvement Program system and Survivor Online Application & Resources system, inspections, eligibility determination, case processing, appeals, recertifications, housing, incoming and outgoing correspondence). The system supports disaster relief (e.g., temporary housing, direct assistance, financial assistance) to individuals and/or households whose property has been damaged or destroyed and whose losses are not covered by insurance. In conjunction with the states, the Individual Assistance program may also provide assistance for disaster-related necessary expenses for uninsured or underinsured through the Other Needs Assistance (ONA) program. The system collects disaster survivor information at the initial intake when the survivor first contacts FEMA to register for assistance. Individual Assistance is not a “public facing” system. The system also collects personally identifiable information from original data sources (besides the survivor applicants themselves), including state, local, tribal and territorial (SLTT) agencies; other federal agencies; and third-party verification sources.
- Recovery Cloud Environment (RCE):⁶ The Recovery Cloud Environment is classified as a major application existing as a tenant under the FEMA Enterprise Cloud (FEC) within Amazon Web Services GovCloud. The Recovery Cloud Environment is expected to support Individual Housing Program, Other Needs Assistance, Direct Housing, and most Virginia Systems Repository (VSR) functionalities.
- Individual Assistance’s Survivor Online Application & Resources (SOAR): This will be the replacement system for the Disaster Assistance Improvement Program system. The same capabilities will persist— content management for www.disasterassistance.gov front end; online registration intake and applicant

⁶ See U.S. DEPARTMENT OF HOMELAND SECURITY, FEDERAL EMERGENCY MANAGEMENT AGENCY, PRIVACY IMPACT ASSESSMENT FOR THE RECOVERY CLOUD ENVIRONMENT, DHS/FEMA/PIA-043 (2017 and subsequent updates), available at <https://www.dhs.gov/privacy-documents-fema>.



inquiry, call center registration intake, and a transfer agent that will provide the mechanism to share data with other government entities.

- Virginia Systems Repository (VSR): The Virginia Systems Repository is a multifaceted environment supporting numerous operations to deploy applications and services which enable enhanced disaster survivor support, including the expedited gathering and dissemination of disaster survivor and operational data within the FEMA Enterprise, other government entities, and organizations providing disaster support. Virginia Systems Repository applications assist with tracking, monitoring, and processing disaster data related to the Individual Assistance Program. Applications support a wide range of operations including contract management, performance management, quality management, customer service, and case processing.
- Streamlined Platform for Agile Release and Transformation Acceleration (SPARTA):⁷ The system is used to provide states, tribes, and territories or qualified private organizations the opportunity to submit a federal award application for FEMA consideration for the Emergency Food and Shelter Program (EFSP) or Disaster Case Management (DCM) programs under the Voluntary Agency Coordination and Community Services program in Individual Assistance. This system will allow the applicant and FEMA better visibility and real-time data throughout the lifecycle of the federal award.

As new Individual Assistance Program systems are developed, they will be added to Appendix A of this Privacy Impact Assessment.

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?

Section 408 of the Stafford Act⁸ authorizes FEMA 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 needs that they are unable to meet through other means.⁹

Section 312 of the Stafford Act prohibits persons, businesses, and other entities from receiving benefits from a loss that would duplicate financial assistance under other programs, from

⁷ See U.S. DEPARTMENT OF HOMELAND SECURITY, FEDERAL EMERGENCY MANAGEMENT AGENCY, PRIVACY IMPACT ASSESSMENT FOR GRANTS MANAGEMENT MODERNIZATION (GMM), DHS/FEMA/PIA-052 (2018 and subsequent updates), available at <https://www.dhs.gov/privacy-documents-fema>.

⁸ 42 U.S.C. §§ 5121-5207.

⁹ 42 U.S.C. § 5174; 44 CFR §§ 206.110-120.



insurance, or from any other source.¹⁰ Section 408(i) of the Stafford Act also requires the President to develop a system that verifies the identity and address of those receiving assistance under this section to provide reasonable assurance that payments are made only to an individual or household that is eligible for such assistance.¹¹ FEMA uses the Social Security number (SSN) to verify an individual's identity when they apply for assistance and ensure that no duplication of benefits occurs between FEMA, the Small Business Administration, or U.S. Department of Housing and Urban Development with respect to any individual applicant.

Under Section 502 of the Stafford Act, the President may declare an emergency. For any such emergency, when authorized, FEMA may provide assistance in accordance with Section 408 and pursuant to Section 502(a)(6) of the Stafford Act.¹²

A state,¹³ locality, tribe, and/or territory may request Transitional Sheltering Assistance from FEMA under emergency or major disaster declarations that include federal assistance to individuals and households under Section 408 of the Stafford Act and emergency sheltering pursuant to either Section 403 (Public Assistance) or 502 (Emergency Assistance) of the Stafford Act.

Other legal authorities and agreements include:

- The Homeland Security Act of 2002¹⁴ assigns FEMA the responsibility to reduce the loss of life and property and protect the nation from all hazards, including natural disasters, acts of terrorism, and other human-caused disasters, by leading and supporting the nation in a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery, and mitigation.
- Computer Matching and Privacy Protection Act of 1988 (5 U.S.C. § 552a); Computer Matching Agreements (CMA) document the sharing and use of data in Individual Assistance systems. The Clinger Cohen Act¹⁵ provides guidance for multiagency investments and guidance for interagency support.
- Section 401 of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996¹⁶ defines which noncitizens are not qualified for federal public benefits.
- The Debt Collection Improvement Act of 1996¹⁷ requires the head of an executive agency to collect the taxpayer identification number before making a payment to an

¹⁰ 42 U.S.C. § 5155; 44 CFR § 206.191.

¹¹ 42 U.S.C. § 5174(i).

¹² 42 U.S.C. § 5192(a)(6).

¹³ For purposes of this Privacy Impact Assessment, "state" refers to the fifty states and the District of Columbia.

¹⁴ 6 U.S.C. §§ 313-314

¹⁵ 40 U.S.C. §§ 11303 and 11318.

¹⁶ 8 U.S.C. § 1611.

¹⁷ 31 U.S.C. §§ 3325(d), 3711(g), and 7701(c)(1).



individual; requires that a debt or claim owed to the United States that has been delinquent for 180 days be turned over by the head of the agency to the Secretary of the Treasury; and requires that the head of each federal agency require any person doing business with that agency furnish to that agency such person's taxpayer identifying number.

- The Economy Act¹⁸ permits the head of an agency or major organizational unit within an agency to place an order for goods and services with another major organizational unit within that agency or go to another agency for those goods and services.
- Section 4 of the Government Performance and Results Act of 2010¹⁹ requires the head of each agency to publish an annual report on agency performance on a public website and send the report to the Office of Management and Budget.
- Executive Order 12862,²⁰ "Setting Customer Service Standards," requires agencies to set customer service standards, report on customer service, and develop customer service plans to improve the customer service that the agency provides to the public.
- Executive Order 13411,²¹ "Improving Assistance for Disaster Victims," improves disaster assistance for the public by providing centralized access to all federally funded disaster assistance programs and requiring FEMA to strengthen controls designed to prevent improper payments and other forms of fraud, waste, and abuse.
- Reorganization Plan No. 2 of 1970²² requires the President to improve economy and efficiency in the U.S. Government and make a study of each agency to determine how the agency can be better organized, improve appropriations, assign activities to services, and regroup services.
- Executive Order 9397,²³ "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."
- Executive Order 13985,²⁴ "Advancing Racial Equity and Support for Underserved Communities Through the Federal Government."

¹⁸ 31 U.S.C. § 1535.

¹⁹ 31 U.S.C. § 1116.

²⁰ Executive Order 12862, "Setting Customer Service Standards," 58 Fed. Reg. 176 (September 14, 1993).

²¹ Executive Order 13411, "Improving Assistance for Disaster Victims," 71 Fed. Reg. 52729 (September 6, 2006).

²² 31 U.S.C. § 1111.

²³ Executive Order 9397, "Numbering System for Federal Accounts Relating to Individual Persons," 8 Fed. Reg. 16095 (November 30, 1943).

²⁴ Executive Order 13985, "Advancing Racial Equity and Support for Underserved Communities Through the Federal Government," 86 Fed. Reg. 7009 (January 20, 2021).



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

The applicant information in the Individual Assistance Systems is covered by the DHS/FEMA-008 Disaster Recovery Assistance (DRA) Files System of Records Notice.²⁵ The DHS/ALL-004 General Information Technology Access Account Records System (GITAARS) System of Records Notice²⁶ covers the user information collected to grant access to the Individual Assistance information technology systems. The DHS/ALL-021 Department of Homeland Security Contractors and Consultants System of Records Notice²⁷ and the DHS/ALL-023 Department of Homeland Security Personnel Security Management System of Records Notice²⁸ cover the contact and background information of DHS contractors and consultants contained in the Virginia Systems Repository information technology system.

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

All systems referenced in this Privacy Impact Assessment have existing and current System Security Plans (SSP).

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

Yes, Individual Assistance data is retained according to the applicable records schedules depending upon the type of record and the schedule to which it belongs. The applicable General Records Schedules (GRS) and specific retention schedules are outlined in Section 5 below.

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 below forms are used to collect survivor personally identifiable information, in order to provide Individual Assistance services and disaster assistance. Appendix B maintains the relevant list as well and will be updated as appropriate.

²⁵ See DHS/FEMA-008 Disaster Recovery Assistance Files, 87 Fed. Reg. 7852 (February 10, 2022), available at <https://www.dhs.gov/systemrecords-notices-sorns>.

²⁶ DHS/ALL-004 General Information Technologies Access Accounts Records System 77 Fed. Reg. 70792 (November 27, 2012).

²⁷ DHS/ALL-021 Department of Homeland Security Contractors and Consultants 73 Fed. Reg. 63179 (October 23, 2008).

²⁸ DHS/ALL-023 Department of Homeland Security Personnel Security Management 75 Fed. Reg. 8088 (February 23, 2010).



- OMB 1660-0002 Disaster Assistance Registration
- OMB 1660-0061 Federal Assistance to Individuals and Households Program
- OMB 1660-0030 Manufactured Housing Operations Forms
- OMB 1660-0138 Direct Housing Program
- OMB 1660-0011 Debt Collection Financial Statement
- OMB 1660-0142 Survivor Sheltering Assessment Tool

Section 2.0 Characterization of the Information

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

(a) Registration and Assistance Records:

- Disaster number
- FEMA registration identification
- Applicant/co-applicant information:
 - Full name
 - SSN or A-Number
 - Citizenship status
 - Signature
 - Date of birth
 - Phone numbers
 - Email addresses
 - Mailing addresses
 - Language(s) spoken
 - Number of dependents claimed
- Witness name and 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
 - Applicant phone number(s)
 - Information related to residence (accessibility, type, own/rent, damage sustained)
- Disaster-related expenses
- Emergency needs (e.g., food, clothing, shelter)
- Disability-related needs and accommodations (e.g., sign language interpreter, assistive listening device, braille, wheelchair access, mobility, mental, hearing, vision, or other needs and accommodations)
- Occupant and household information (for all occupants at the time of disaster):
 - Name (first name, middle initial, last name)
 - Age
 - Relationship to applicant
 - Dependent? (Y/N)
 - Sex
 - Pre- and post-disaster income information of occupants 18 years of age or older
 - Tribal membership status (if applicable)
- Business damage:
 - Self-employment is primary income? (Y/N)
 - Business or rental property affected? (Y/N)
- Authorization for electronic funds transfer of benefits:
 - Institution name
 - Account type
 - Account number and routing number
- Comments and correspondence from the applicant
- Supporting documents that show proof of occupancy or ownership of a dwelling and/or verify identity. This includes, but is not limited to:



- Driver's license
- State/Federal issued photo identification
- Mortgage payment receipts
- Real property insurance
- Tax receipts or property tax bill
- Property title
- Contract for deed
- Voter registration card
- Death certificate and will
- Maintenance receipts
- Public records information for identity verification
- Pre-registration questionnaire information
- Disaster loan status (i.e., approved, declined, verified, appealed, or cancelled)
- Travel and accommodations related information (e.g., flight information, travel assistance needs, companion information)
- Information related to determining eligibility for assistance including date of the disaster, application status, insurance information, types, and amount of damage to the dwelling, supporting documentation (e.g., death certificates, invoices, receipts, and documentation to support accommodations or access and functional need requests and repairs) and results of the home inspection (including inspector's notes and determination)
- Landowner's or landlord's information (in cases where FEMA is placing a manufactured housing unit on the individual's land or for other temporary housing assistance):
 - Name
 - Address
 - Phone number
 - Signature
- Correspondence and documentation related to determining eligibility and appropriate housing unit size, type, and location for temporary housing



assistance including:

- General correspondence
- Complaints
- 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
- Status or disposition of housing applications
- Recoupment, appeals, and/or arbitration (oral hearings) of such determinations
- Notice of Potential Debt letter
- Notations and reports of decisions for disaster or similar financial awards and assistance from other FEMA Programs, federal and state agencies, insurance companies, employers, banks, financial, power/utility companies, health care providers, safety/rescue services, and public or private entities as they relate to determinations of applicants' eligibility for Individual Housing Program disaster assistance
- Unsolicited information concerning an individual's suspected or actual exposure to illness during a public health emergency including, but not limited to, quarantine or isolation orders

(b) Inspection Reports:



- Inspection reports contain applicants' personally identifiable information (as outlined above) and results of assessments of damaged real property; personal property; and goods, which may include descriptions and photographic images of an applicant's home and personal items; video and/or audio of the inspection conducted on the home; and notations of cleaning, sanitizing, and debris removal by contractors and partnering agencies. Inspection reports may also include the Inspector ID.

(c) Assistance from Other Sources:

- Other files independently kept by the state, local, tribal, and territorial government, voluntary organizations, or other source of assistance that contain records of persons who request disaster aid including for the "Other Needs" assistance provision of the Individual Housing Program administrative files and reports required by FEMA. The state, local, tribal and territorial governments, voluntary organizations, and other sources of assistance keep the same type of information about individuals as described above under registration, inspection, and temporary housing assistance records.
- Records of assistance from the FEMA National Flood Insurance Program (NFIP) to avoid duplication of benefits (name, address, disaster assistance coverage required code, policy number, policy effective date, policy coverage building, policy coverage contents, new policy date, and expiration date).

(d) Customer Service Survey Responses:

- Demographic information (e.g., race, ethnicity, religion, gender, sex, nationality, age, disability, English language proficiency, economic status, income level, and marital status).
- Responses to customer service and customer satisfaction survey questions.

(e) Investigation results that may contain the name and address of the applicants to support recoupment, appeals, oral hearings, or other legal proceedings to recover disaster assistance.

Information provided by third parties:

- "Pass/Fail" flag (for identity verification and provided by third-party identity verification service)
- Public records information for Identity Proofing (IdP)



- Contracted database that is used to validate and standardize the applicant's address²⁹

Information generated by Individual Assistance during processing and returned to the Disaster Assistance Improvement Program system:

- FEMA disaster number (generated by FEMA and provided to survivors)
- Application status (i.e., in-process, submitted, approved, or denied)
- Housing inspection required (Y/N)
- Priority of assistance
- Type of assistance being considered
- Time stamps

Information collected by the FEMA Enterprise Identity Management System to grant access to Automated Construction Estimator, Individual Assistance System, and Disaster Assistance Improvement Program:

- User ID
- Password

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

FEMA directly collects information from the subject individual when they apply for disaster assistance. FEMA uses several electronic and hardcopy forms to collect survivor personally identifiable information. These forms are contained in Appendix B.

FEMA may receive applicant data from HUD or SBA if a survivor applies with either agency first. The details of this sharing and the data elements that FEMA receives are defined in the SBA-DHS/FEMA Computer Matching Agreement³⁰ and the HUD-DHS/FEMA Computer Matching Agreement.³¹

2.3 Does the project use information from commercial sources or

²⁹ FEMA uses a contractor to provide standardized addresses to verify that the address the applicant entered matches standardized formatting and to ensure accuracy.

³⁰ See Office of Disaster Assistance, U.S. Small Business Administration, "Privacy Act of 1974; Matching Program," 86 Fed. Reg. 48461, (August 30, 2021), available at <https://www.dhs.gov/publication/computer-matching-agreements-and-notices>.

³¹ See Office of Administration, Department of Housing and Urban Development, "Privacy Act of 1974; Matching Program," 87 Fed. Reg. 7859 (February 10, 2022), available at <https://www.dhs.gov/publication/computer-matching-agreements-and-notices>.



publicly available data? If so, explain why and how this information is used.

The Disaster Assistance Improvement Program / Survivor Online Application & Resources and Individual Assistance systems utilize information from several commercial sources, such as LexisNexis, Core Logic, and RS Means. These services are critical to the Individual Assistance programs to support fraud detection and prevention measures as well as ensuring data accuracy and consistency. The information from LexisNexis supports identity verification and validation services to ensure applicants are who they say they are. LexisNexis is a third-party computer-assisted legal research database that offers comprehensive online legal, news, and personal records information. LexisNexis uses publicly available information—and information that is not publicly available—to locate and verify data such as addresses, phone numbers, and associations. A limited number of FEMA Disaster Assistance Improvement Program staff will use LexisNexis, but only to verify survivor personally identifiable information or to obtain necessary identifying data FEMA is otherwise lacking. The information from Core Logic provides address correction and geospatial services. This ensures Individual Assistance utilizes the most accurate address information in communicating with disaster survivors. The information from RS Means provides a three-tiered (Low/Medium/High) cost of geographically based construction materials. This information helps ensure Individual Assistance provides the appropriate amount of home repair assistance.

2.4 Discuss how accuracy of the data is ensured.

Survivors receive a hard-copy printout of their registration via a mail-out package and, therefore, are aware of their own registration information and are informed that they can correct errors and update information either through the online portal at www.disasterassistance.gov or by calling the National Processing Service Centers. The mail-out packages include guidance on the appeals process as well as a redress notice. Because survivors themselves are the source of the information, it is assumed that the survivor will verify the accuracy of information. The integrity of the data is maintained by the security controls on the individual information technology systems, as well as auditing procedures, as required by DHS policy.

To monitor their application status or update their information, survivors may establish an online account at www.login.gov and gain limited access to their own data. Only survivors that wish to gain access will need to create an account. Otherwise, an account is not required to receive assistance. Additionally, and according to the contract between FEMA and the Identity Proofing vendor, the Identity Proofing provider is required to guarantee accuracy of the data sent to FEMA.

The information FEMA receives from HUD and SBA undergoes verification to include the applicant's SSN. FEMA then verifies that the personally identifiable information provided by HUD and SBA matches the corresponding information provided by the applicant. Further, data



accuracy is provided through the Computer Matching Agreements³² between DHS/FEMA and those two agencies.

2.5 Privacy Impact Analysis: Related to Characterization of the Information

Privacy Risk: There is a risk the Individual Assistance systems could maintain inaccurate information about disaster assistance applicants, particularly when the data is collected from other federal agencies—in the event that the applicant applies with HUD or SBA first.

Mitigation: This risk is mitigated. FEMA mitigates this privacy risk by verifying any applicant data received from other federal agencies against the applicant’s SSN. 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 files via the Computer Matching Agreements.

Privacy Risk: There is a risk a survivor may inadvertently provide inaccurate information.

Mitigation: This risk is mitigated. FEMA mitigates this risk when verifying the applicant’s personally identifiable information by asking for the applicant’s name, address, Registration ID (or SSN, if they do not know their Registration ID), and last four of the SSN (if the survivor supplied their Registration ID). FEMA also sends each applicant a hard-copy printout of their application. This procedure provides the applicants with various opportunities to check for any application errors and the process for correcting any inaccurate data.

Additionally, FEMA offers applicants multiple methods of correcting any discrepancy in their data to assure that the Individual Assistance program will properly process their applications. Survivors may edit their data via www.disasterassistance.gov, via FEMA’s mobile website at <http://m.fema.gov/>, or by contacting a National Processing Service Center representative via FEMA’s toll-free Disaster Assistance Helpline: 1-800-621-3362.

Privacy Risk: There is a risk the identity verification “pass/fail” flag could inaccurately fail or pass an individual affecting their recovery benefits.

Mitigation: This risk is mitigated. To mitigate the risk of an erroneous failure, FEMA has set up a manual review process for applicants who received a “fail” flag. In order to mitigate the risk of an inaccurate “pass,” DHS/FEMA has contracted with a third-party Identity Proofing service that is contractually required to guarantee data accuracy, and then FEMA verifies the information with the applicant in the event of a “fail” flag. FEMA also conducts routine data accuracy reviews from this service by sampling passed applications for data accuracy.

³² A computer matching program is a computerized comparison of two or more automated systems of records for the purpose of establishing or verifying eligibility or compliance as it relates to cash or in-kind assistance or payments under federal benefit programs.



Section 3.0 Uses of the Information

3.1 Describe how and why the project uses the information.

The Individual Assistance Program systems use information for three broad purposes: 1) to provide and lead applicants to disaster assistance, 2) to verify identity, address disaster-related unmet needs of survivors, and prevent duplication of benefits and fraud, and 3) to allow FEMA to assess the quality of its programs and provide applicants with accurate and complete assistance.

The Individual Assistance Program systems use applicant data to provide disaster assistance to applicants. This includes determining eligibility for FEMA services. FEMA uses applicant data to identify unmet needs. FEMA also uses the information collected for inspection management, which verifies survivor damage claims and assesses the repair or replacement costs of their pre-disaster residency. Survivors are required to submit supporting documents such as a driver's license or a government-issued picture identification, property title, tax bill, or utility bill for proof of occupancy.

FEMA also uses subsets of applicants' personally identifiable information for administrative purposes including budgeting, sheltering, prioritizing assistance, and administering the appeals process. FEMA uses applicant data to refer applicants to all sources of disaster assistance. Specifically, FEMA shares survivor personally identifiable information with participating partner agencies, SBA and HUD, who then use the information to contact survivors about additional assistance that may be available through a participating partner agency when the survivor does not choose to register for such assistance electronically with FEMA.

The Individual Assistance Program systems use sensitive personally identifiable information to verify applicants' identities. FEMA uses the applicant/co-applicant's SSN(s) for the following purposes. First, it is used as proof that the individuals are who they are representing themselves to be. In addition, FEMA ensures the SSN used as part of the application package only receive benefits once, rather than receiving additional, duplicate benefits from FEMA or other sources. SSNs are also used to verify identities through the Identity Proofing service, which identifies and prevents possible fraudulent activity in anticipation of or after a presidentially declared major disaster or emergency. The Identity Proofing service also uses applicant information to prevent a duplication of federal government efforts and benefits.

The Individual Assistance Program uses applicant data to assess FEMA's disaster assistance programs for equality, equity, and customer satisfaction. The program also facilitates FEMA's efforts to assess and improve the customer experience it provides to those receiving FEMA assistance.

New uses of the information include the use of the Virginia Systems Repository Call Out And Reporting System to identify unmet needs of survivors. In the previous Individual Assistance



Privacy Impact Assessment, FEMA described its use of the Virginia Systems Repository Call Out And Reporting System to remind staff that FEMA needs to contact a survivor to gather additional information. In this update, FEMA documents its use of the Virginia Systems Repository Call Out And Reporting System to identify unmet needs of survivors that are *not* related to FEMA benefits. Generally, an unmet disaster-related need is an un-resourced item, support, or assistance that representatives from authorized partners have verified as necessary for the survivor to recover from the disaster. Disaster survivor resources may include insurance payments, federal direct assistance, non-federal entity assistance, voluntary/faith- and community-based organization assistance, and personal resources. The additional or unmet needs may include but are not limited to basic, immediate emergency needs such as food, clothing, shelter, or first aid and long-term needs such as housing, essential personal property, and financial, physical, emotional, moving and storage, childcare, or spiritual well-being needs. FEMA will utilize information in the Virginia Systems Repository Call Out And Reporting System to contact survivors, collect additional information as to any unmet needs, and refer the survivor to additional resources.

An additional new use of information of Individual Assistance will be the sharing of some survivor personally identifiable information with the U.S. Department of the Treasury, Bureau of Fiscal Services (BFS) to assist Individual Assistance with identifying potentially fraudulent applications for funeral assistance benefits. Additional details of this information sharing are described in Section 6.0.

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, FEMA does not use the Individual Assistance Program systems to conduct electronic searches, queries, or analyses in an electronic database to discover or locate a predictive pattern or an anomaly.

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

No, there are no other DHS components with assigned roles within the Individual Assistance Program systems.

3.4 Privacy Impact Analysis: Related to the Uses of Information

Privacy Risk: There is a risk FEMA's use of a third-party Identity Proofing service and commercial data provider to provide identity authentication may result in a legitimate survivor being denied the benefit of creating an account to request benefits because of inaccurate



information.

Mitigation: This risk is mitigated. FEMA mitigates the risk of inaccurate information through agreements it has in place with the third-party Identity Proofing service that require a certain level of accuracy. The Identity Proofing service verifies an individual's identity by validating the applicant's responses to verification questions against the Identity Proofing service's database of amalgamated public records data to ensure that the applicant is the person that is applying for FEMA benefits. FEMA also conducts routine data accuracy reviews from this service by sampling passed applications for data accuracy.

Privacy Risk: There is a risk the third-party Identity Proofing service could use the identity verification information for purposes other than those specifically permitted by FEMA.

Mitigation: This risk is mitigated. FEMA puts into place a contractual arrangement stating that the Identity Proofing service may not use the information for any purpose other than providing FEMA the data it is contractually obligated to provide. Violation of these terms will result in a cause of action against the Identity Proofing service.

Privacy Risk: There is a risk FEMA personnel could use the information in the Individual Assistance program for purposes other than those for which it was originally collected.

Mitigation: This risk is mitigated. FEMA has defined Routine Uses in the Disaster Recovery Assistance (DRA) System of Records Notice, which limit the sharing of any data only for approved purposes.³³ FEMA limits its data collection from Individual Assistance applicants to only data that is required to process disaster assistance applications. The Individual Assistance datasets are minimized to reduce the amount of personally identifiable information that transverses FEMA information technology systems and to ensure that only those FEMA programs and personnel with a need to know are able to access this personally identifiable information. FEMA also limits information technology system 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 systems. Any individual discovered to have inappropriately accessed any of the Individual Assistance information technology systems will face disciplinary action up to and including loss of security clearance and/or termination of employment. Further, the appropriate Information System Security Officer (ISSO) for Individual Assistance program systems performs periodic system access reviews.

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

³³ See DHS/FEMA-008 Disaster Recovery Assistance Files, 87 Fed. Reg. 7852 (February 10, 2022), available at <https://www.dhs.gov/systemrecords-notices-sorns>.



not.

Notice is provided by way of this Privacy Impact Assessment and the DHS/FEMA-008 Disaster Recovery Assistance (DRA) System of Records Notice. In addition, a Privacy Act Statement³⁴ is provided in hardcopy, electronic form, or verbally by National Processing Service Centers (NPSC) staff to survivors requesting assistance prior to the collection of personally identifiable information. The notice explains why FEMA collects the survivor's personally identifiable information, what it is used for, with what agencies or entities the data is shared, the consequences of failure to submit the personally identifiable information, and the legal authorities for collecting and sharing survivor personally identifiable information.

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

Disaster survivor applicants provide information to FEMA via registration or forms on the www.disasterassistance.gov website. During the registration process, prior to entering any personally identifiable information, FEMA informs the survivor, through the Privacy Notice and Privacy Act Statement, that failure to submit the necessary personally identifiable information may result in the denial of disaster assistance. A survivor can also exit the registration process at any time prior to submitting the application, and their personally identifiable information will be deleted.

4.3 Privacy Impact Analysis: Related to Notice

Privacy Risk: There is a risk that survivors (specifically dependents) may be unaware of the collection and uses of their personally identifiable information.

Mitigation: This risk is partially mitigated. Notice is provided to survivors through the Privacy Notices and/or Privacy Act Statements on all the forms that survivors complete, including the online forms, as well as verbally by the National Processing Service Centers' representative during a phone interview adhering to standard operating procedures and established processes for call center agents. National Processing Service Center representatives cannot proceed without the survivor acknowledging and accepting the Privacy Act Statement. Additional notice is provided through this Privacy Impact Assessment and the DHS/FEMA-008 Disaster Recovery Assessment (DRA) System of Records Notice. However, head of households may complete all necessary forms on behalf of other family members/dependents, so direct notice to those individuals may not be provided.

Section 5.0 Data Retention by the Project

³⁴ See Appendix B: OMB 1660-002: FEMA Form 009-0-1.



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

Individual Assistance data is retained according to the applicable records schedules depending upon the type of record and the schedule to which it belongs.

- Disaster Assistance Program 8-1 Headquarters Activity (Disaster Assistance Program – Individual Assistance Division) Files; and Individual Assistance Program Files; (All Individual Assistance Program files, including other programs such as Disaster Unemployment Assistance, Crisis Counseling Assistance and Training Program, Legal Services, Superfund, Flood Plain Management, Duplication of Benefits, Other Needs Assistance Funeral Assistance, and the Cora Brown Fund; but, excluding those program files relating to temporary housing and Individual Housing Program programs) must be retired to inactive storage when two years old and destroyed when six years and three months old in accordance with N1- 311-86-1, Item 4C10a.
- Disaster Assistance Program 8-2 Headquarters Activity (Disaster Assistance Program – Individual Assistance Division) Files; Temporary Housing Files; Copies of computer printouts scoreboards; Federal Coordinating Officer’s digests; correspondence; and related records must be destroyed three years after close of the operation (when database elements have been defined).
- 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 first, but longer retention is authorized, if required for business use.
- Under DAA-0563-2012-0002-0007, all photographs of mission activities that provide adequate and proper documentation of mission activities are permanent and must be cut off at the end of the calendar year in which they were created. FEMA must transfer these photographs 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 survivors’ 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 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 a Federal Records Center one year after closeout and destroyed three years after closeout.
- Under N1-311-86-001, Item 4C10a, all Individual Assistance 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 Assistance and Training Program, 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 and 3 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, 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 a Federal Records Center three years after cutoff, and then transferred to NARA in five-year blocks 20 years after cutoff.
- Under N1-311-00-001, Item 1, customer service 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.
- Under N1-311-00-001, Item 2, statistical and analytical reports based on survey responses, document trends, and programmatic changes to disaster assistance are temporary. They should be cut off at the close of the report, retired to a Federal Records Center three years after cutoff, and destroyed 20 years after cutoff.



- Under N1-311-00-001, Item 3, composites 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.
- Under N1-311-86-001, Item 4B6b, documents created while 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 upon completion of the contract and destroyed three years after cutoff.
- Per N1-311-04-5, Item 3, all records associated with a domestic catastrophic event, including September 11, 2001, and Hurricane Katrina, are permanent and should be cut off when all activity has ceased for the operations area. The records should be transferred to the Federal Records Center one year after cutoff and transferred to NARA 20 years after cutoff. This category includes, but is not limited to, records relating to pre-response operations; a Presidential Declaration; Emergency Coordination (EC); Emergency Support (ES); Urban Search and Rescue response (US&R); Public Assistance records 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 requirements, policies, procedures; Individual Assistance records including, but not limited to, mission assignments, specific Individual Assistance policies, guidance, standard operating procedures, and correspondence with state and local officials; and Mitigation. This disposition instruction is applicable to paper and electronic records regardless of format or media.
- Under N1-311-86-1, Item 4C8b(1), 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 have been moved to permanent housing), retired to a Federal Records Center one year after consolidating the files, and destroyed six years and three months after consolidating the files.
- Per N1-311-86-1, Item 4C8b(2), 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 a Federal Records Center one



year after the end of Phase II, and destroyed six years and three months after the end of Phase II.

- Under N1-311-89-5, Item 1 (Disaster Assistance Program-4 [104-009-4] Disaster Assistance Program-4-1), retire to off-site storage one year after final audit and applicant appeals are resolved and completed and destroy six years three months after final audit and applicant appeals are resolved and completed.
- Disaster Assistance Program-14 through 14-3 N1-311-00-01. Surveys conducted of disaster assistance applicants to assess customer service satisfaction levels with disaster response. These surveys are conducted in response to EO 12862, “Setting Customer Service Standards,” The customer service assessment forms that have been filled out and returned by disaster assistance applicants are temporary records and destroyed upon transmission of the final report. The statistical and analytical reports resulting from these assessments are temporary records retired three years after the final report cutoff and destroyed 20 years after the report cutoff.

5.2 Privacy Impact Analysis: Related to Retention

Privacy Risk: There is a risk Individual Assistance programs will retain the data for a longer period than necessary and not in accordance with the NARA-approved records schedules.

Mitigation: This risk is mitigated. FEMA follows all pertinent records schedules. FEMA’s Records Liaison periodically reviews the records to remove those ready for disposition and will develop additional business rules if needed consistent with this schedule. In addition, the FEMA Records Branch provides training to inform FEMA programs of proper record retention, disposition requirements, records inventory, file plans, and file structure to ensure that FEMA personnel are aware of data retention requirements.

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.

FEMA routinely shares personally identifiable information outside of DHS with federal, state, tribal, local, private sector, and volunteer entities, as defined in the Disaster Recovery Assistance System of Records Notice,³⁵ 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

³⁵ See DHS/FEMA-008 Disaster Recovery Assistance Files, 87 Fed. Reg. 7852 (February 10, 2022), available at <https://www.dhs.gov/systemrecords-notices-sorns>.



automatically routed to the SBA and/or HUD to determine their eligibility for benefits under those agencies' programs, depending on the applicants' 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 are in place with the SBA and HUD to prevent a duplication of benefits. Each Computer Matching Agreement 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 match occurs, the agency that has awarded benefits may reduce or deny additional benefits.

U.S. Department of Housing and Urban Development (HUD):

FEMA and HUD share information in order to prevent applicants from receiving duplicate benefits from either agency, as well as to quickly transition applicants and their families from the temporary relief programs provided by FEMA into longer-term relief programs administered by HUD.³⁶ HUD uses FEMA data to assess damage and allocate Community Development Block Grant Disaster Recovery (CDBG-DR) funds to the most impacted states and local governments (grantees). Those grantees administer Community Development Block Grant Disaster Recovery programs that provide aid to disaster survivors, most often by funding housing rehabilitation. Community Development Block Grant Disaster Recovery assistance is meant to address unmet needs that remain after a disaster survivor has received insurance proceeds and any aid from FEMA or the SBA. The Computer Matching Agreement between HUD and FEMA enables HUD and Community Development Block Grant Disaster Recovery grantees to identify these unmet needs, as well as to prevent recipients from receiving duplicate benefits.

HUD may also use FEMA data to help disaster survivors through its standard programs, such as public housing and housing choice vouchers. Survivors receiving temporary housing assistance from FEMA who also have very low incomes may be eligible for HUD housing assistance. HUD identifies these individuals using FEMA data and helps them to transition from temporary FEMA assistance to longer-term HUD assistance.

FEMA and HUD perform a computer match on the following data elements:

- Access and Functional Needs (Y/N)
- Alternate Current Contact Phone Number
- Applicant Current Phone Number

³⁶ See <https://www.hud.gov/info/disasterresources>.



- Applicant Date of Birth
- Applicant Email Address
- Applicant Last 4 Digits of SSN
- Applicant Last, First Name
- Cause(s) of Damage from Inspection
- Census Block Group ID (if applicable)
- Co-applicant Current Phone Number
- Co-applicant Date of Birth
- Co-applicant SSN
- Co-applicant Last, First Name
- Current Hotel Name
- Current Hotel Street Address, City, County
- Current Location (as identified in applicant registration and applicant information screen)
- Current Mailing Street Address, City, County, State, and 5 Digit Zip Code with 4 Digit Extension
- Damaged Dwelling Latitude and Longitude
- Damaged Street Address, City, County, State, and 5 Digit Zip Code with 4 Digit Extension
- Dependents (Number in Household)
- Destroyed Flag (Y/N)
- Direct Housing – Latest Currently Licensed-in Date
- Direct Housing First Licensed-in Date (FEMA’s authority to allow an applicant to reside in a Direct Housing Unit)
- FEMA Disaster Number
- FEMA Registration Number
- Flood Zone
- Flood Zone High Water Mark Location



- Gross Income (as reported at Registration)
- Habitability Repairs Required (Y/N)
- High Water Depth in Inches
- High Water Mark Location
- Household Member Age (Age range) - Under 5 years, 5 to 17 years, 18 to 64 years, 65 and above
- Household Member First Name and Last Name
- Initial Rental Assistance Approved Date
- Inspection Completion(Y/N)
- Insurance Settlement Flood Amount
- Insurance Settlement Other Amount
- Insurance Types (Insurance Code)
- Last Continued Temporary Housing Assistance Date
- Level of Damage
- Non-Compliant with Flood Insurance Requirement (NCOMP) Flag (Y/N)
- Number of Household Members
- Owner/Renter
- Personal Property Assistance Flood Damage Approved Amount
- Personal Property Flood Damage FEMA Verified Loss Amount
- Personal Property Total FEMA Verified Loss Amount
- Personal Property Total FEMA Verified Loss Amount (Aggregated for all PERSONAL PROPERTY FEMA Verified Loss (one field replaces all fields related to personal property damage))
- Primary Residence (RI) (Yes/No)
- Real Property Flood Damage FEMA Verified Loss Amount
- Real Property Total FEMA Verified Loss Amount (Aggregated for all REAL PROPERTY FEMA Verified Loss, one field replaces all fields related to real property damage)



- Primary Residence (RI) (Yes/No)
- Repair Assistance Flood Damage Approval Amount
- Residence Type
- SBA Home and Personal Property Referral Flag (Y/N)
- Total Housing Assistance Approved Amount (Aggregated Eligibility Amount)
- Total Housing Assistance Approved Flood Damage Amount
- Total Other Needs Assistance Approved Amount (Aggregated Eligibility Amount)
- Total Other Needs Assistance Flood Damage Approved Amount
- Total Personal Property Assistance Amount (Aggregated Eligibility Amount)
- Total Personal Property Assistance Approved Amount (Aggregated Eligibility Amount)
- Total Personal Property Assistance Flood Damage Amount
- Total Repair Assistance Approved Amount (Aggregated Eligibility Amount)
- Total Repair Assistance Flood Damage Amount
- Total Replacement Assistance Approved Amount (Aggregated Eligibility Amount)

Small Business Administration (SBA) Loans:

Through Other Needs Assistance (ONA), the SBA provides low-interest, long-term loans to assist individuals and households with Personal Property Assistance, Transportation Assistance, and a Group Flood Insurance Policy (GFIP) certificate. To determine a survivor's eligibility for an SBA loan, the survivor must meet an income threshold. This determination is part of the Individual Assistance application process, and if a survivor passes the income threshold minimum of \$33,000 per year, FEMA routes their application to the SBA, where SBA evaluates the survivor on their suitability to receive a low-interest loan. SBA returns a status once the survivor's loan eligibility has been determined. This information is made available to the survivor via their online account, or via telephone, in the event that an individual does not have an online account. SBA uses information provided by FEMA, as part of the Computer Matching Agreement, in order to contact those survivors who are eligible for the SBA loan program and did not create an online account at www.disasterassistance.gov. FEMA may provide additional assistance to supplement the SBA's assistance once an SBA eligibility determination has been made.

FEMA and the SBA compare records including but not limited to the following data elements:



- FEMA Registration identification number
- SSN
- Name
- Address
- Date of birth
- Damaged property information
- Insurance policy data
- Property occupant data
- Vehicle registration data, and,
- Flood zone and flood insurance data

FEMA Programs/Systems:

Application Status Messaging

The Individual Housing Program uses a third-party text message service to provide disaster survivors with registration status change notifications, should they opt-in. The text message notifications to a survivor’s mobile device are available for a select number of registration status changes. Short Message Service (SMS) status notifications either in English or Spanish are sent from the Disaster Assistance Improvement Program to the third-party text message service, which dispatches the notification to a survivor’s mobile phone. Status notifications only contain the FEMA Registration ID and are available for a variety of events. The table below maps the events with the corresponding Short Message Service notifications sent to a survivor’s mobile phone:

Event	Short Message Service Notification
Opt-in Confirmation	“FEMA ID##### To complete your subscription to FEMA’s text messaging service reply YES to accept or STOP to decline.”
Welcome Notification	“FEMA ID ##### You are now set up to get text messages when your application status changes on DisasterAssistance.gov. Reply STOP to end this text message service.”
Eligibility Decision	“FEMA ID ##### Status updated. Log in to DisasterAssistance.gov to check status. Reply STOP to end this text message service.”
Request for Information	“FEMA ID##### More information needed. Log in to DisasterAssistance.gov for details. Reply STOP to end this text message service.”



Inspection	“FEMA ID##### A FEMA Inspector was unable to contact you. Your case is on hold. Call 1-800-621-FEMA (3362). Reply STOP to end this text message service.”
Opt-out Confirmation	“FEMA ID##### You have stopped FEMA’s text messaging service. Continue to check status at DisasterAssistance.gov.”

The Short Message Service capability is expected to reduce the number of calls to FEMA National Processing Service Centers and visits to www.disasterassistance.gov by providing timely status change notifications without requiring applicants to call the National Processing Service Centers or check the survivor’s application status online. This potential system load reduction would be especially beneficial to FEMA and to disaster survivors in catastrophic events when a surge of survivors need assistance from FEMA’s National Processing Service Centers and use web applications capacities.

FEMA warns participants not to reply to text messages to minimize the risk of sending personally identifiable information.

Transitional Sheltering Assistance (TSA)

FEMA may provide Transitional Sheltering Assistance at the request of a declared state, territory, or tribal (STT) government. The intent of Transitional Sheltering Assistance is to provide temporary sheltering for survivors as they transition from emergency shelters to temporary or permanent housing solutions. When an applicant first applies for disaster assistance, an eligibility determination is made automatically, and personally identifiable information is only shared if the applicant is found eligible. If found eligible for Transitional Sheltering Assistance, the following applicant information may be shared with lodging providers in order to transition the applicant into short-term accommodations:

- FEMA Registration ID
- Disaster Number
- Yes/No flag indicating approval for Transitional Sheltering Assistance
- Start Date of applicant’s eligibility for Transitional Sheltering Assistance
- End Date of applicant’s eligibility for Transitional Sheltering Assistance
- Applicant’s/Co-Applicant’s First Name
- Applicant’s/Co-Applicant’s Middle Name
- Applicant’s/Co-Applicant’s Last Name
- Last 4 digits of applicant’s and co-applicant’s SSN



- Applicant and co-applicant's Dates of Birth
- Total number of occupants

6.2 Describe how the external sharing noted in 6.1 is compatible with the System of Records Notice noted in 1.2.

The external information sharing discussed in Section 6.1 is done under Routine Uses H, I and J of the Disaster Recovery Assistance System of Records Notice.³⁷ Routine Use H allows FEMA to share with its contractors when necessary for the purpose of providing disaster assistance. This routine use allows FEMA to share information with the text messaging service that is used to supply survivors with registration status change notifications. Routine Use I 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 J 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 Individual Assistance 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 Individual Assistance eligibility.

Additionally, FEMA memorializes external information sharing through a number of documents, including Computer Matching Agreements, Information Sharing Access Agreements (ISAA), FEMA-State Agreements, and Routine Use letters. 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 personally identifiable information is protected according to industry-standard security practices.

6.3 Does the project place limitations on re-dissemination?

The contracts, memorandums of understanding (MOUs), Information Sharing Access Agreements, FEMA-State Agreements, and Computer Matching Agreements 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 HUD and SBA detailing technical requirements for transmission and security of data between FEMA, partner agencies, and FEMA's

³⁷ See DHS/FEMA-008 Disaster Recovery Assistance Files, 87 Fed. Reg. 7852 (February 10, 2022), available at <https://www.dhs.gov/systemrecords-notices-sorns>.



contractors.

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

FEMA routinely shares personally identifiable information outside of DHS with those entities defined in the Disaster Recovery Assistance System of Records Notice for the purposes of providing disaster assistance, meeting survivor needs, and preventing the duplication of benefits. These disclosures are memorialized through various documents, including Computer Matching Agreements, Information Sharing Access Agreements, FEMA-State Agreements, and Routine Use letters, which are maintained by the Office of Response and Recovery (ORR).

When a survivor 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 Freedom of Information Act/Privacy Act System of Records Notice.³⁸

6.5 Privacy Impact Analysis: Related to Information Sharing

Privacy Risk: There is a risk survivor personally identifiable information could be shared with agencies outside of DHS for purposes other than those outlined in Section 6.1.

Mitigation: This risk is mitigated. Individual Assistance only shares personally identifiable information with other entities and agencies pursuant to the sharing agreements. FEMA reviews these agreements every three years or as changes are made to the interface and annually reviews appropriate security documents for any newly identified risks. Any newly identified risks will be mitigated between the partnering agencies in accordance with applicable laws.

If a user is found through FEMA's auditing processes to have shared personally identifiable information for other purposes, that user may face disciplinary action up to and including loss of employment or loss of security clearance.

Privacy Risk: The information in the Individual Assistance information technology systems could be erroneously disclosed.

Mitigation: This risk is mitigated. FEMA only shares the information in Individual Assistance outside of DHS pursuant to Privacy Act exceptions and the routine uses found in the Disaster Recovery Assistance System of Records Notice,³⁹ and only pursuant to information

³⁸ See DHS/ALL-001 Department of Homeland Security (DHS) Freedom of Information Act (FOIA) and Privacy Act (PA) Record System, 79 Fed. Reg. 6609 (February 4, 2014), available at <https://www.dhs.gov/system-records-notices-sorns>.

³⁹ See DHS/FEMA-008 Disaster Recovery Assistance Files, 87 Fed. Reg. 7852 (February 10, 2022), available at <https://www.dhs.gov/system-records-notices-sorns>.



agreements signed by FEMA and the external entity, or in response to a written request submitted to and approved by the FEMA Disclosure Office.

Privacy Risk: There is a risk survivors could accidentally provide an inaccurate mobile phone number, and FEMA text messages could be sent to the wrong mobile phone, potentially giving a third-party access to the survivor's application information.

Mitigation: This risk is mitigated. Any information sent by FEMA in text messages only comprises the type of update that has been made to the account and the FEMA Registration ID. An individual who receives a text from FEMA cannot access another applicant's personally identifiable information without either verifying the applicant's identity to a National Processing Service Center representative⁴⁰ or logging into their www.disasterassistance.gov account. In addition, because applicants provide their own mobile phone number, that number is presumed to be correct. Applicants can review their information, including opt-in text messaging, by accessing their online account via www.disasterassistance.gov.

Section 7.0 Redress

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

Survivors can access their information in the following ways.

- If a survivor created an online account at www.login.gov, the survivor may access their information by logging into the account using the User ID, password, and PIN that the survivor established when they created the account.
- Survivors may call the published disaster assistance toll-free number to check on the status of their application or access their records after providing their registration ID.
- Survivors receive a hard copy of their completed FEMA Form 009-0-1 as part of the mailout package to the survivor after registration, which includes a notice of redress.
- Survivors may visit a Disaster Recovery Center to discuss or review their case files.
- Survivors may request their applicant file.

⁴⁰ Applicants initially verify their identity with National Processing Service Centers personnel by providing either their full SSN or Registration ID. National Processing Service Centers personnel will query NEMIS-IA by either the SSN or the Registration ID, and will then ask the survivor to provide the last 4 of the SSN (in cases in which the applicant provided the Registration ID), first and last name, and the damaged address. Should a survivor provide any of this information inaccurately, National Processing Service Centers personnel will tell the applicant that the call cannot proceed, as they have failed to verify their identity. Per policy, National Processing Service Centers personnel are forbidden from revealing any application information to an unauthenticated caller.



- Non-citizen survivors may request their records by going to the DHS Freedom of Information Act website and completing the online form.
- Survivors who are U.S. citizens or lawful permanent residents may submit a Privacy Act request pursuant to DHS's Privacy Act Regulations.

In rare cases, housing inspectors may collect and enter applicant information into Automated Construction Estimator to modify or correct their information within the Individual Assistance Systems. Requests for Privacy Act protected information must be made in writing and clearly marked as a "Privacy Act Request." The requester must clearly indicate their name, the nature of the records sought, and the required verification of identity. Requests should be sent to:

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

Survivors may correct certain data entered inaccurately via www.disasterassistance.gov by logging into their account and making the appropriate corrections. If online access is not available, or if preferred, the survivor can contact a National Processing Service Center and correct information (after verifying their identity). In addition, survivors may notify FEMA in writing of the error or inaccuracy and provide FEMA with the correct information.⁴¹ Survivors may send requests for their applicant file to the Disclosure Officer at:

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

Survivors may also request a copy of their file by contacting the National Processing Service Centers, which is generally a more expedient way of correcting information. For data that needs to be corrected by an external agency, a request can be made to that agency in accordance with their applicable policies. If a survivor fails the Identity Proofing checks for identity when applying for assistance, they can still complete a registration through a National Processing Service Center representative. However, the survivor still must submit proof of their identity to receive disaster assistance.

⁴¹ See Individuals and Households Program Unified Guidance, FP 104-009-03 (September 2016), p. 27, available at https://www.fema.gov/sites/default/files/2020-05/IHP_Unified_Guidance_FINAL_09272016_0.pdf.



When a survivor who has not passed identity verification applies, the survivor receives an ineligible decision notification telling them that FEMA was unable to verify their identity, along with a request for the documentation needed from the survivor to overturn the verification failure. FEMA does not provide the information from the Identity Proofing service to the survivor, as FEMA does not have details as to why the survivor failed the check. All applications that fail the identity verification process are manually reviewed by FEMA personnel. If the survivor fails the Identity Proofing identity authentication when attempting to check the status of their application via the online account, the survivor is instructed to either return to the website and attempt again or contact National Processing Service Centers.

National Processing Service Centers representatives can retrieve the survivor's registration form and ask a series of questions from the details of the registration to ensure the survivor submitted the registration. If the survivor correctly answers the questions, National Processing Service Centers are permitted to discuss the status of the survivor's registration, and the survivor will be allowed to change their current mailing address. Survivors who need to change their SSN or bank account information are required to mail in proof of a change before this information will be changed.

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

Survivors may correct certain data that they entered inaccurately via www.disasterassistance.gov by logging into their account and making the appropriate corrections. If online access is not available, or if the survivor prefers, they may contact a National Processing Service Center and correct information (after verifying their identity). As noted above in Section 7.1, survivors may notify FEMA in writing of the error or inaccuracy and provide FEMA with the correct information. However, survivors may also request a copy of their file by contacting a National Processing Service Center, which is generally a more expedient way of correcting information. For data that needs to be corrected from by external agency, a request can be made to that agency in accordance with their applicable policies. If a survivor fails the Identity Proofing checks for identity when applying for assistance, they may still complete a registration through a National Processing Service Center representative. However, the survivor must submit proof of their identity in order to receive disaster assistance. When a survivor who has not passed identity verification submits an application, the survivor receives an ineligible decision notification telling them that FEMA was unable to verify their identity, as well as all documentation the survivor can provide in order to overturn the verification failure. FEMA does not provide the information from the Identity Proofing service to the survivor, as FEMA does not have details as to why the survivor failed the check.

All applications that fail the identity verification process are manually reviewed by FEMA



personnel. If the survivor fails the Identity Proofing identity authentication when attempting to check the status of their application via their online account, the survivor is instructed to either return to the website and attempt again or contact a National Processing Service Center, where a representative retrieves the survivor's registration form and again asks a series of questions from the details of the registration to ensure the survivor submitted the registration. If the survivor correctly answers the questions, a National Processing Service Centers is permitted to discuss the status of the survivor's registration, and the survivor will be allowed to change their current mailing address. Survivors who need to change their SSN or bank account information are required to mail in proof of a change before this information will be changed.

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

Survivors are notified of the procedures for correcting information prior to the collection of information through the Disaster Recovery Assistance System of Records Notice,⁴² the Individual Housing Program Unified Guidance,⁴³ the www.disasterassistance.gov portal, and this Privacy Impact Assessment. Moreover, redress is provided to survivors requesting assistance through the appeals process. In addition, and after registration through the Disaster Assistance Improvement Program system, each 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 Individual Assistance disaster applicants may be unaware of the redress procedures or how to correct their information.

Mitigation: This risk is mitigated. FEMA provides several means of redress and notice of procedures to applicants who wish to amend their disaster assistance registration information. FEMA provides applicants with direct notice of redress in the mail-out packages sent to each applicant. FEMA also provides redress through National Processing Service Centers representatives, whom applicants may contact toll-free via telephone. For example, National Processing Service Centers representatives may assist applicants with correcting their information as well as assist them with further processing their application.

In addition, FEMA manually reviews applications that return a "fail" flag from its third-party Identity Proofing service and informs applicants of how they can provide additional information to verify identity. This mitigates the impact upon the applicant should FEMA receive

⁴² See DHS/FEMA-008 Disaster Recovery Assistance Files, 87 Fed. Reg. 7852 (Feb. 10, 2022) available at <https://www.dhs.gov/system-records-notices-sorns>.

⁴³ Individuals and Households Program Unified Guidance, FP 104-009-03 (September 2016), available at https://www.fema.gov/sites/default/files/2020-05/IHP_Unified_Guidance_FINAL_09272016_0.pdf.



erroneous information from its third-party Identity Proofing service. Lastly, the Disaster Recovery Assistance System of Records Notice and this document provide notice of redress processes to disaster assistance applicants.

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 Privacy Impact Assessment?

All Individual Assistance information technology systems 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. FEMA information technology security teams routinely conduct audits to ensure that there is no misuse of Individual Assistance data and that users are acting in accordance with FEMA's rules of behavior. FEMA Enterprise Identity Management System (FEIMS) implements the security access controls and administers users' roles and permissions based on organizational positions, which are assigned and approved by the employees' supervisors based on need to know. Contractors handling the operations and maintenance of any system have limited access to the system to support the troubleshooting of technical system issues encountered on a day-today basis. 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 provided role-based training and mandatory FEMA Office of Cybersecurity Security Awareness Training and Privacy Awareness Training. As DHS employees, each user is required to complete annual security training which includes the Rules of Behavior to which each employee is expected to adhere. This training also complies with FEMA Cyber Security Division policy and records are maintained by FEMA Cyber Security Division. Supplementary security and privacy training is provided for those with additional security-related responsibilities, as well as the intake and leadership personnel in the National Processing Service Centers.

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

All Individual Assistance information technology systems use role-based access controls to control user rights to both data and functionality. Permissions for access to the 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 "need to know."



To access an initial account in any of the Individual Assistance information technology systems, FEMA employees and contractors requiring access to an Individual Assistance information technology system must send a request to the approving official within FEMA Office of Response and Recovery (ORR). State, local, tribal and territorial users who have access to the Individual Assistance System State Web module must follow a similar process. State, local, tribal and territorial users complete an electronic Security Agreement (eISA) through the Office of the Chief Information Officer to obtain a FEMA badge and laptop or are processed by DHS to obtain access to the DHS network. Information technology contractors handling the operations and maintenance of the system also have limited access to the system to support the troubleshooting of technical system issues encountered on a day-to-day basis. The FEMA Enterprise Identity Management System implements the security access controls and administers users' roles and permissions based on organizational positions, which are assigned and approved by the employees' supervisors.

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 Computer Matching Agreements, Information Sharing Access Agreements, FEMA-State Agreements, or Routine Use letters. Computer Matching Agreements 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.⁴⁴ 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 DHS/FEMA-008 Disaster Recovery Assistance (DRA) System of Records Notice.⁴⁵

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

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

Mitigation: This risk is partially mitigated. FEMA has implemented the use of encryption and auditing protections for survivor information. FEMA uses industry-standard cybersecurity practices, including encryption of survivor data while in transit and at rest. Additionally, FEMA

⁴⁴ CMAs are reviewed at least annually. For more information about the DHS Data Integrity Board, *see* https://www.dhs.gov/sites/default/files/publications/computer-match-directive-262-01_0.pdf.

⁴⁵ *See* DHS/FEMA-008 Disaster Recovery Assistance Files, 87 Fed. Reg. 7852 (February 10, 2022), *available at* <https://www.dhs.gov/system-records-notices-sorns>.



restricts access to survivor data to only those individuals with a demonstrated need to know in order to perform their official FEMA job functions. The National Processing Service Centers staff are required to work exclusively within the information technology systems, and they are not permitted to take handwritten notes. FEMA managers then monitor National Processing Service Centers staff, as well as provide assistance to applicants. FEMA also records applicant telephone calls as a means of quality assurance and to improve customer service.⁴⁶

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Approval Signature

Original, signed copy on file with the DHS Privacy Office.

Mason C. Clutter
Chief Privacy Officer
U.S. Department of Homeland Security
(202) 343-1717

⁴⁶ See DHS/FEMA-002 Quality Assurance Recording System of Records, 82 Fed. Reg. 32564 (July 17, 2017), available at <https://www.dhs.gov/system-records-notices-sorns>.



Appendix A:

Individual Assistance Information Technology Systems

(updated August 13, 2024)

- Automated Construction Estimator (ACE)
 - Contact Center Capability Modernization Program (C3MP)
 - Disaster Assistance Improvement Program (DAIP) and Individual Assistance Survivor Online Application & Resources (SOAR) Portal
 - Emergency Support Functions 6 – Support System (ESF6-SS)
 - Field Assessment and Collection Tool (FACT)
 - Individual Assistance (IA) System – (formerly NEMIS – Individual Assistance (IA))
 - Recovery Cloud Environment
 - Virginia Systems Repository (VSR)
 - Streamlined Platform for Agile Release and Transformation Acceleration (SPARTA)
-



Automated Construction Estimator (ACE)

Program/System:

The Federal Emergency Management Agency (FEMA), Office of Response and Recovery (ORR), Recovery Technology Programs Directorate (RTPD)/Automated Construction Estimator

Purpose and Use:

Automated Construction Estimator (ACE) provides the capability for field inspectors to inspect properties and electronically record information pertaining to the damage caused by a disaster. Automated Construction Estimator receives specific registrant data from the Individual Assistance (IA) System, the system that maintains the disaster survivor's application information and is used to administer the Individual Assistance program. The Automated Construction Estimator system uses Individual Assistance data to process housing inspections and does not typically collect any new personally identifiable information. The Individual Assistance System sends data, including applicant name, address, and phone number, to the Automated Construction Estimator system based on the inspections assigned to a specific inspector. The housing inspectors, which include FEMA staff and FEMA contractors, use the information to verify application data with the applicant (i.e., conduct ID check, verify the address and phone number(s) of the applicant) and to capture relevant information needed to verify property damage through a visual inspection. Each housing inspector only has access to their assigned registrations.

During the inspection, the housing inspector collects information related to the damage sustained by the property. No additional personally identifiable information is collected during a typical housing inspection. In rare cases, inspectors may collect and enter information into Automated Construction Estimator to modify applicant information within the Individual Assistance System or to add a co-applicant (this could include modifying or updating the address depending on the case). In such instances, the information is transmitted to the Individual Assistance System and is subject to the same "system checks" as all other information entered into Individual Assistance System.

Upon completion of the inspection, the inspector transmits the inspection data from Automated Construction Estimator back to Individual Assistance System via a secure connection, so that the Individual and Households Program can make an eligibility determination. Once uploaded to Individual Assistance System, the data is automatically purged from Automated Construction Estimator. The result of the housing inspection is used by FEMA to determine the level of assistance provided to the survivor.

System Access:

Housing inspectors use FEMA-provided tablets that have the mobile application installed on them. Inspectors use a username and password to access Automated Construction Estimator.



Individuals affected:

- Disaster survivors
- FEMA's in-house and contracted inspectors and inspection staff

Sources of Information:

Automated Construction Estimator receives information from Individual Assistance System about the survivor, including the Individual Assistance applicant's name, address, and phone number. This data is used by the inspector to ensure the correct property is inspected. The inspector verifies this information with the survivor and may collect modified/updated information from the survivor to update the survivor's application in the Individual Assistance System. During the inspection, the inspector makes observations and may document the damage through photographs.

Data Elements:

Information related to the damaged property is collected and entered into the Automated Construction Estimator System during the inspection. No personally identifiable information is collected during a typical inspection. However, in rare circumstances, personally identifiable information may be corrected in Automated Construction Estimator so that the information can be updated in the Individual Assistance System. This corrected data, listed below, is not held in Automated Construction Estimator, it is pushed to Individual Assistance System.

- Applicant's name
- Applicant's Registration ID (seen by inspector, but not editable)
- Applicant's date of birth
- Applicant's age
- Applicant's home address
- Applicant's mailing address
- Applicant's damaged address phone number
- Applicant's phone number(s) (current, cell, alternate)
- Applicant's email address
- Household member names
- Household member relationship to applicant
- Household member age



- Co-Registrant SSN (only if inspector adds Co-Registrant at time of inspection, but not required)
- Information regarding damage to the property

System of Records Notice Coverage:

- DHS/FEMA-008 Disaster Recovery Assistance Files
-



Contact Center Capability Modernization Program (C3MP)⁴⁷

Program/System:

The Federal Emergency Management Agency (FEMA), Office of Response and Recovery (ORR), Recovery Technology Programs Directorate (RTPD)/Contact Center Capability Modernization Program

Purpose and Use:

Contact Center Capability Modernization Program is a suite of web-applications used to provide call center customer service to all disaster applicants requesting assistance under a Stafford Act declared emergency. FEMA's Office of the Chief Information Officer uses Contact Center Capability Modernization Program to provide IT Helpdesk support to FEMA employees and contractors. Additionally, the Office of the Chief Finance Officer (OCFO), FEMA Finance Center (FFC) uses Contact Center Capability Modernization Program. During disasters, C3MP use may be expanded to support other FEMA Offices.

Contact Center Capability Modernization Program serves the following four major functions:

Interactive Voice Response (IVR): The Interactive Voice Response is mainly used as an Auto-Attendant that provides intelligent routing instructions for phone calls originating from disaster survivors. The system queries callers for their language preference (English, Spanish, Russian, Creole, Mandarin, Vietnamese, Samoan, Arabic, and other languages) and the state and zip code where their damaged property is located before routing to a live agent.

Only disaster survivors requesting an automated update of their eligibility status are prompted for additional identifying information including their FEMA registration identification number, last four digits of their SSN and date of birth. After verification is complete, the disaster survivor receives a recorded message concerning their eligibility. The caller then has the option to route to a live agent or end the call.

For disaster assistance filing, Contact Center Capability Modernization Program routes the disaster survivor to a live agent who performs the application interview. Contact Center Capability Modernization Program interfaces with FEMA's Operational Data Store (ODS) to process an automatic account status request. The system uses information from the Enterprise Data Warehouse (EDW)/Operational Data Store, allowing disaster survivors to retrieve their eligibility status and information.

⁴⁷ See U.S. DEPARTMENT OF HOMELAND SECURITY, FEDERAL EMERGENCY MANAGEMENT AGENCY, PRIVACY IMPACT ASSESSMENT FOR CONTACT CENTER CAPABILITY MODERNIZATION PROGRAM, DHS/FEMA/PIA-043 (2017 and subsequent updates), available at <https://www.dhs.gov/privacy-documents-fema>.



During periods of high call volume with longer wait times, the system will prompt the disaster survivor with an option to receive a callback instead of waiting on hold. If this option is chosen, the system will prompt the user to enter the phone number that they wish to use to receive the call back. The phone number entered will be replayed to ensure accuracy. This system does not allow disaster survivors to file a claim via keypad inputs.

Contact Center Core Functionality: The Contact Center Core functionality encompasses the hardware, software and reporting capabilities for all incoming calls transferred from the Interactive Voice Response. This function provides FEMA contact centers the ability to assign agents to the correct line of business, intelligently route callers to the next available agent assigned to the appropriate line of business and report on these lines of business using contact center metrics.

Workforce Management: Workforce management provides the ability to track and assign resources to meet all Lines of Business (LOB) within the Enterprise. It provides the forecasting and day-to-day management of all metrics related to the Contact Center environment. The system allows for the most efficient manner of managing a virtual staff in multiple locations. It provides seamless enterprise engagement through advanced forecasting, scheduling, tracking, adherence monitoring, and seat planning capabilities.

Audio and Screen Recordings: Audio call and screen recordings support internal employee and contractor performance evaluation, training, and quality assurance to improve service to our customers. Phone call and screen recordings capture information about the FEMA employees and/or contractors as they provide customer service during phone interaction and case review. The focus of call recording is on the quality of the employee and contractor performance, thus the capture of personally identifiable information is merely incidental.

Individuals Affected :

- Disaster survivors
- FEMA employees and contractors

Data Elements:

Interactive Voice Response collects the following from survivors requesting an application status update:

- Date of birth
- Last four of SSN
- Zip code
- Registration ID
- Callback phone number



- Mother's maiden name

The Workforce Management function collects the following from FEMA employees and contractors:

- First and Last name
- Email address
- Network user ID
- Seniority date
- Effective hire date

Audio and or Screen recordings contain the following information from disaster survivors:

- First and Last name
- SSN
- Home address
- Phone number
- Email address
- Personal financial information, including:
 - Bank name
 - Bank account information (routing and account numbers, and electronic funds transfer information)
 - Homeowners or flood insurance (Y/N)
 - Individual or household income
 - Number of occupants in home
 - Dollar amount of disaster survivor loss

Audio and or Screen recordings contain the following information from FEMA employees and disaster survivors who call into the FEMA Finance Center:

- First and last name
- Phone number
- Blanket number (this is the Group Travel Authorization number, which is mostly used for disaster and larger training groups)



- Employee number (this number is generated by IFMIS, FEMA Finance Center's financial system)
- Disaster travel (disaster name and number)
- Training name
- Employee number
- Travel location
- Supervisor's name
- Dates of travel

System of Records Notice Coverage:

- OPM/GOVT-1 General Personnel Records
- DHS/ALL-004 General Information Technology Access Account Records System (GITAARS)
- DHS/ALL-008 Accounts Receivable System of Records
- DHS/FEMA-002 Quality Assurance Recording System of Records
- DHS/FEMA-008 Disaster Recovery Assistance Files
- DHS/FEMA-009 Hazard Mitigation Disaster Public Assistance and Disaster Loan Programs

Disaster Assistance Improvement Program and Individual Assistance Survivor



Online Application & Resources (SOAR) Portal

Program/System:

U.S. Department of Homeland Security, Federal Emergency Management Agency (FEMA), Office of Response and Recovery (ORR), Recovery Technology Programs Division (RTPD), Disaster Assistance Improvement Program and Individual Assistance (IA) Survivor Online Application & Resources (SOAR) portal.

Purpose and Use:

The SOAR Portal supports the Disaster Assistance Improvement Program as a centralized portal for survivors registering with Individual Assistance. Survivors can apply for disaster assistance in one of the following ways: visit the website www.disasterassistance.gov (mobile or full desktop site), call the FEMA Disaster Assistance Helpline and speak to a Recovery Service Center (RSC) representative, register directly with a member of the DSA cadre, or apply using paper forms (See Appendix B) at a Disaster Recovery Center.

If a survivor chooses to register in person with a Disaster Survivor Assistance cadre member, the DSA cadre member collects the survivor's personally identifiable information using a FEMA-issued mobile device and enters it directly into Disaster Assistance Improvement Program/Survivor Online Application & Resources. If a survivor calls the Disaster Assistance Helpline, a Recovery Service Center representative will read a Privacy Notice, collect the survivor's personally identifiable information, and enter it into the Disaster Assistance Improvement Program/Survivor Online Application & Resources.

Regardless of the method of registration, the information collected from survivors is initially entered into the Disaster Assistance Improvement Program/Survivor Online Application & Resources. Disaster Assistance Improvement Program/Survivor Online Application & Resources then disseminates the information to the Individual Assistance System and the other Individual Assistance information technology systems that require the information to facilitate the Individual Assistance process. Disaster Assistance Improvement Program/Survivor Online Application & Resources disseminates information based on an eligibility determination.

When a survivor initiates a request for disaster assistance, FEMA requests the survivor's name, address, SSN, and date of birth. Disaster Assistance Improvement Program/Survivor Online Application & Resources validates user accounts through the government website, www.login.gov to help prevent fraud.

In the event of a "fail" flag, FEMA staff will directly review the accuracy of the name spelling, date of birth, and SSN recorded in the registration with the applicant. If the applicant's identity still remains flagged as "fail," and FEMA cannot validate that particular applicant's identity, FEMA staff will ask if there is another household member whose name and SSN could



be used to complete the registration for the household. If so, FEMA staff will restart the registration using that individual's information as the primary registrant. If no other household member can verify their own identity, the caller will be advised that assistance cannot be processed without identity verification and the caller should submit identity verification documents to FEMA via fax or mail as soon as possible. The initial application may be completed without identity verification, but assistance determinations will not occur until after FEMA validates the applicant's identity.

System Access:

Disaster Assistance Improvement Program/Survivor Online Application & Resources internal components are only accessible to approved FEMA employees and contractors via the intranet or the FEMA Virtual Private Network (VPN) portal.

Individuals Affected :

- Disaster assistance applicants
- FEMA Recovery Service Center (RSC) agents, caseworkers, and Disaster Survivor Assistance (DSA) teams
- IT system administrators

Sources of Information:

The information in Disaster Assistance Improvement Program/Survivor Online Application & Resources is collected directly from the survivor themselves. In addition, Disaster Assistance Improvement Program/Survivor Online Application & Resources collects information from DHS employees, and call center contractors. Survivors either call the FEMA Disaster Assistance Helpline, fill out a paper form, or apply online. The data requested is the same as FEMA Form 009-0-1 (English), "Application/Registration for Disaster Assistance," which collects personally identifiable information and non-personally identifiable information regarding survivor needs after a Presidential declaration for IA.

Data Elements: N/A

Basic Registration Data:

- Applicant Information:
 - Name (Prefix, First Name, Middle Initial, Last Name)
 - Language Spoken
 - Date of birth
 - SSN
 - Email Address



- Contact Information:
 - Mailing Address (Street, Apt/Lot, City, State, Zip, County/Parish/Municipality (county data is not collected on paper Form 009-0-1))
 - Current Phone Number and Notes
 - Alternate Phone Number and Notes
 - Cell Phone Number
- Disability/Health Information:
 - Type of disability
 - Language/Communication Preference
 - Daily functionality Impact
 - Medical or Daily Disability related Assisted Devices
- Damaged Dwelling Information:
 - Damaged Property Address (Street, Apt/Lot, City, State, Zip, County/Parish/Municipality)
 - Damage Dwelling Phone Number
 - Alternate Damaged Dwelling Phone Number
 - Cause of Damage
 - Type of Damage Sustained (Home, Personal Property, Utilities Out)
 - Residence Type
 - Is it a Primary Residence? (Yes/No)
 - Own or Rent
 - Is Home Accessible?
 - Mandatory Evacuation (Yes/No)
 - Due to Disaster (Yes/No)
- Home/Personal Property Insurance (Type, Insurance Company Name)
- Disaster Related Expenses (Medical, Dental, Funeral, Insurance Companies)
- Disaster Related Vehicle Damage:



- Vehicle Information (Year, Make, Model)
- Extent of Damage
 - Damaged (Yes/No)
 - Drivable (Yes/No)
- Vehicle Insurance (Comprehensive, Liability, Insurance Company Name)
- Vehicle Registered? (Yes/No)
- Other Expenses: Child Care
- Emergency Needs (Food, Clothing, Shelter)
- Special Needs (Mobility, Mental, Hearing, Vision, Other Care)
- Disability or language need (Sign language interpreter, CART (Communication Access Real-time Translation) (in person or remote), Text messages to communicate, Assistive listening device, Braille, Large Print, Face-to-face assistance (reader or writer), Wheelchair access, language, other than English— selections: Arabic, Mandarin, Other (if selected, entry box generates), Russian, Samoan, Spanish, Vietnamese))
 - Disability that affects survivor’s ability to perform activities of daily living or requires an assistive device (Mobility, Cognitive/Development Disabilities/Mental Health, Hearing or Speech, Vision, Self-Care, Independent Living, Other—text box, Prefer Not to Answer)
 - Disability-related assistive devices or medically required equipment/supplies services damaged, lost, or disrupted because of the disaster (e.g., Power or manual wheelchair, Scooter, Prosthesis, Oxygen or respiratory equipment, medical equipment that depends on electricity, assistive technology device for hearing or vision, such as hearing aid, screen enlarging software), Personal-care devices such as a shower bench, bedside commode, Hoyer lift, or lift chair, Environmental control or alerting devices, Adaptive van or vehicle, Walker, cane or crutches, Medication or medical supplies including adult diapers and catheters Medication or medical supplies including adult diapers and catheters, Service animal, Personal assistance services/in-home care, Dialysis, and Other (if select, entry box generates)
- Occupant Information (for all occupants at time of disaster):
 - Name (First Name, Middle Initial, Last Name)
 - SSN (for co-applicant only)



- Age
- Relationship to Applicant
- Dependent? (Yes/No)
- Business Damage:
 - Self-Employment is Primary Income? (Yes/No)
 - Business or Rental Property Affected? (Yes/No)
- Number of Dependents Claimed
- Combined Family Pre-Disaster Gross Income (By Period)
- Authorization for Electronic Funds Transfer of Benefits:
 - Institution Name
 - Account Type
 - Account Number and Routing Number
- Authorization for Postal or Email Notification
- Comments from the Applicant (not to include PII)
- FEMA Representative Name (if filling out the form)
- Applicant's certification of citizenship or legal permanent resident status and declaring their eligibility for FEMA assistance.

Triage Questions if Survivor indicates they have damaged property

- How would applicant rate the damage of primary dwelling? (1-5)
- DAIP presents this as a multiple-choice question with the following options:
 - I had minor damage, but I am able to live in my home.
 - I had damage to my home or personal property that requires a lot of repairs. I may not be able to live in my home.
 - I had damage to my home or personal property that requires major repairs. I am not able to live in my home.
 - My home was completely destroyed.
 - Unknown

Information Provided by Third Parties



- “Pass/Fail” flag (for identify verification provided by third-party identity verification service)
- Third party address database (for address correction)
- Confidence Code/Score (1–100) provided by LexisNexis

Information Generated by IA during Processing and Returned to DAIP/Disaster Assistance Center

- FEMA Disaster Number (generated by FEMA; provided to survivors via NPSCs, Disaster Recovery Centers)
- Application Status (“In-Process,” “Submitted,” or “Approved”)
- Housing Inspection Required (Y/N)
- Priority of Assistance
- Type of Assistance being considered
- Time Stamps

DAIP/DAC Information Supplied by Partner Agencies

- Disaster Loan Event Status Code from the U.S. Small Business Administration (Rejected, Approved, Declined, Verified, Cancelled)
- HUD Household Data from the U.S. Department of Housing and Urban Development

Personnel or contractors that enter information for disaster survivors must have the proper role in their FEMA Enterprise Identity Management System account to access the system and enter information.

System of Records Notice Coverage:

- DHS/FEMA-008 Disaster Recovery Assistance Files



Emergency Support Function 6 – Support System (ESF6-SS)

Program/System:

U.S. Department of Homeland Security, Federal Emergency Management Agency (FEMA), Office of Response and Recovery (ORR), Recovery Technology Programs Division (RTPD), Emergency Support Function 6 – Support System (ESF6-SS)

Purpose and Use:

Emergency Support Function 6 – Support System provides federal, state, and local emergency management professionals in the public and private sectors the capability to view, manage, and report on emergency shelter related information. Emergency Support Function 6 – Support System stores, retrieves, updates, and reports on shelter information including management operation, population, and incident information to improve response operations and communications with survivors. Emergency Support Function 6 – Support System can track virtually any type of shelter or facility used in response to disasters. These may include traditional shelters (i.e., pet shelters, kitchens, points of distribution (PODs), warehouses, warming, cooling, and respite centers, and embarkation, debarkation, and reception processing sites).

Emergency Support Function 6 – Support System displays information about the individual facility locations that provide sheltering services in response to a disaster or other emergency. Emergency Support Function 6 – Support System also contains an enhanced Geographic Information System (GIS) mapping function that allows emergency management professionals to view shelter locations, critical infrastructure, flood plains, fault lines, and numerous other geospatial elements, in real time. Emergency Support Function 6 – Support System features maps and views that the state, local, or tribal government could potentially post on a website to show citizens where open shelters are located and which features are included (i.e., accessible shelters for individuals with disabilities).

Throughout the disaster recovery phase, Emergency Support Function 6 – Support System can share sheltering facility locations with the American Red Cross National Sheltering System to ensure both systems are up to date. This information is shared in a bi-directional manner. No personally identifiable information is shared during this data exchange.

All user access information is retained in the FEMA Enterprise Identity Management System (FEIMS). Emergency Support Function 6 – Support System only uses the User ID and retains associated activity within the application for quality assurance auditing purposes. No other identifying information about the user is collected or retained in Emergency Support Function 6 – Support System. The following information is collected from the shelters:



- Position/Title of person to authorize use of the facility (i.e., Shelter Coordinator, Shelter Planning Administrator). The name of the individual will not be collected.
- Office/Business Phone number of the authorizing official for use of the facility.
- Alternate Position/Title of person to open facility (i.e., Alternate Shelter Coordinator, Alternate Shelter Planning Administrator). The name of the individual will not be collected.
- Alternate Office/Business Phone number of authorizing official to open the facility.

System Access:

N/A

Individuals Affected :

Users of Emergency Support Function 6 – Support System

Sources of Information:

Users of Emergency Support Function 6 – Support System

Data Elements:

User ID (stored in FEMA Enterprise Identity Management System (FEIMS))

System of Records Notice Coverage:

Not Applicable.



Field Assessment and Collection Tool (FACT)

Program/System:

The Federal Emergency Management Agency (FEMA), Office of Response and Recovery (ORR), Recovery Technology Programs Directorate (RTPD), Individual Assistance.

Purpose and Use:

The Field Assessment and Collection Tool improves the FEMA Recovery Directorate's operational readiness to collect, analyze, and manage operationally relevant data by simplifying the processes and tool sets to quickly develop, deploy and enhance field and analytic capabilities critical to program delivery decision making. The Field Assessment and Collection Tool enables streamlined business processes for conducting Preliminary Damage Assessments (PDAs) and collecting situational awareness information from survivors and members of affected communities following a disaster and provides a standard toolkit of collection tools to quickly meet emergent disaster needs. Implementation of the Field Assessment and Collection Tool improves decision making based on situational information, reduces ramp up time for users by implementing intuitive, easy-to-use tools, and improves the protection of operationally relevant information by implementing appropriate legal, privacy, and security mechanisms.

The Field Assessment and Collection Tool warns approved users not to store any sensitive personally identifiable information, whether located on a map layer, in a dataset, or in direct storage. There is a banner at the top of each page that warns users not to post or store sensitive personally identifiable information in Field Assessment and Collection Tool applications. The Field Assessment and Collection Tool provides approved mission relevant data for stakeholders to leverage in value-added ways such as: research, analysis, application development, and other purposes. The Field Assessment and Collection Tool also provides an agile development and testing platform for applications to be made available to FEMA Recovery to meet emergent disaster needs.

FEMA employees or contractors who require access to the Field Assessment and Collection Tool must provide their full name and email address to obtain an account. Preliminary Damage Assessment, Disaster Survivor Assistance (DSA), Disaster Recovery Center Site Selection Inspection (SSI), and Survivor Sheltering Assessment Tool (SSAT) product owners, along with the Field Assessment and Collection Tool Delivery Team, review access requests and vet the individual for system use before access is granted. Users are assigned roles and rights consistent with their "need to know."

The Field Assessment and Collection Tool is hosted in Amazon Web Services (AWS) GovCloud West and leverages commercial-off-the-shelf (COTS) Environmental Systems Research Institute (ESRI) geospatial products to include:



- ArcGIS Server with Portal – server and web-based user administration, data storage, content hosting, publishing, and service orchestration for other Environmental Systems Research Institute commercial-off-the-shelf products
- ArcMonitor – system health monitoring and alerting tool
- Survey 123 for ArcGIS – mobile data collection tool
- Collector for ArcGIS – mobile data collection and mapping tool
- Operations Dashboard for ArcGIS – web-based data visualization tool
- Workforce for ArcGIS – mobile work assignment tool
- Navigator for ArcGIS – mobile navigation tool
- ArcGIS Field Maps – combined app for Workforce, Collector, and Navigator
- Quick Capture for ArcGIS – mobile data collection tool
- VertiGIS Studio – reporting and workflow tools integrated with ArcGIS

These products work as an integrated suite to provide FEMA with a solution to collect, validate, analyze, visualize, and share information necessary to support disaster operations decision making.

The applications included under this system and leveraging the above commercial-off-the-shelf products include:

Preliminary Damage Assessment (PDA)

The Preliminary Damage Assessment (PDA) tool is a FEMA IT capability that resides in the Field Assessment and Collection Tool system and enables the federal government to capture and verify the physical location of where damage has occurred after a disaster. The information collected is used to obtain a better understanding of how much damage has occurred to determine whether a federal disaster declaration is warranted.

If a FEMA partner—state, local, tribal, and territorial—has GIS system capability and can export a File Geodatabase to share with FEMA, that Initial Damage Assessment (IDA) data can be ingested into Field Assessment and Collection Tool Preliminary Damage Assessment for FEMA personnel to validate as part of the joint Preliminary Damage Assessment.

Under Title 44 Code of Federal Regulations (CFR) §206.33, FEMA is responsible for performing joint preliminary damage assessments with state, local, tribal, and territorial partners after an incident has occurred in order to determine the impact, magnitude, and severity of damage from an incident. Typically, the state, local, tribal, and territorial partners will conduct an initial damage assessment and report results to FEMA. Once FEMA properly



assesses the damage of a given location or area, it will determine whether additional validation or a joint Preliminary Damage Assessment is necessary. Ultimately, FEMA analyzes information collected during the Preliminary Damage Assessment to assess the overall impact of the disaster on a state and determine whether the state's capability to recover has been exceeded. The analysis and resulting determinations, factor into the decision to declare a Presidentially-declared federal disaster and what type of assistance is made available to survivors and communities, such as the Individual Assistance (IA) or Public Assistance (PA) programs. A data connection with the FEMA Emergency Coordination system shares incident ID and Preliminary Damage Assessment ID to correctly relate Preliminary Damage Assessment data in the Field Assessment Collection Tool with the follow-on disaster declaration in Emergency Coordination.

FEMA collects Preliminary Damage Assessment data in the field using the FEMA approved standard form on the Environmental Systems Research Institute commercial-off-the-shelf application Survey123 on a mobile device, such as an iPhone or iPad. The information is then transmitted to the Field Assessment Collection Tool central database and analyzed remotely by FEMA. Data is automatically removed from the mobile device after it is successfully transferred to Field Assessment Collection Tool. FEMA analyzes the data using mapping tools such as Environmental Systems Research Institute's ArcGIS platform, including aerial imagery taken of an event, and may conduct follow on validation checks in the field.

Data collection may involve face-to-face conversation with disaster survivors. The nature of the information maintained in the system will include description of damage corresponding to areas on a certain date after an incident. For instance, a report will contain notations such as, "Flood level is approximately 10 feet high in the 0-100 block on Elm Street in zip code 11111." Data elements describing the area include state, city name, county name, township name, 5-digit zip code, street block number, longitudinal/latitudinal location, and street address. Additional information may include the GPS coordinates for the residential unit, whether the current occupant is the owner or renter of the property, information about the insurance status of the property (insured or not insured), and whether this is a secondary home for the individual.

While the home address and location information may be collected, no additional personally identifiable information associated with the disaster survivor or homeowner is collected during the Preliminary Data Assessment process. Any information collected during the Preliminary Data Assessment process is only associated with the address, geographic location, or property impacted by the disaster. Address information is collected and used as a data/mapping point (i.e., pin drop on a map) to assess the damage of a geographic area and support determinations on whether a federal disaster declaration is warranted. The information may also help FEMA determine the scope of assistance that would be made available through various assistance programs. The Preliminary Data Assessment process and the information



gathered during the process does not affect the individual disaster survivors, or their Individual Assistance application (should they apply). Individual IA determinations are made through a separate process; the Preliminary Data Assessment information is not matched with the individual's Individual Assessment application.

Public Assistance also conducts damage assessments on public infrastructure, such as roads and bridges. Geographical information is collected for PA assessments, with additional data about category of work and nature of damage. The only personally identifiable information that may be collected during the Preliminary Data Assessment process is the name and work contact information of the state, local, tribal, or territorial government official representing the point of contact (POC) for public infrastructure (e.g., bridges, roads, water treatment plants) being assessed. This information is collected for accountability, verification, and follow-up purposes.

In addition, due to COVID-19, there has been a sharp increase in virtual Preliminary Data Assessments being conducted nationwide, through which FEMA staff assess disaster damage remotely using photographs and datasets submitted by state, local, tribal, and territorial partners following their initial damage assessments (IDAs). Previously, the only way for staff to enter damage assessments into Field Assessment Collection Tool was to manually fill out a survey for each home or public infrastructure site on the Survey123 for ArcGIS application on a mobile device. In order to continue using the tools and features that are a part of the Field Assessment Collection Tool system, FEMA staff needed the capability to upload these state, local, tribal, and territorial datasets into the Field Assessment Collection Tool system.

This capability was accomplished by building an upload function into the Field Assessment Collection Tool. Several measures were taken to mitigate the risk of any excess sensitive personally identifiable information that might have the potential to be included within the state, local, tribal, and territorial initial damage assessment datasets. State, local, tribal, and territorial partners first will be required to submit their data in a schema that matches the approved standard information collection schema developed and currently in use by FEMA. If the state, local, tribal, or territorial dataset contains extra information, it will be excluded from upload and only the fields matching FEMA's standard information collection schema will be included. This initial part of the process will exclude any extra information that is outside the scope of the official Joint preliminary data assessment process.

Next, there is required human review of the data uploaded to ensure it does not contain any personally identifiable information, other than the home address and location information previously identified as necessary for collection. After the visual confirmation that no additional personally identifiable information exists within the dataset, the dataset will be published to a special staging review layer within the Field Assessment Collection Tool to be accessed by the authorized assessment team assigned to the preliminary data assessment. At this point, the data



has still not been released into the authoritative layer where the official data lives. The assessment team will now thoroughly review the dataset to remotely assess the disaster damage. When the assessment is complete, records will be marked as valid and thus released into the authoritative data layer. The types of information FEMA staff will use to perform their damage assessments virtually will be the same as the information typically collected and analyzed when working in the field.

Specific language already exists on the Field Assessment Collection Tool homepage and on subsequent pages warning users that sensitive personally identifiable information should not be provided. The Field Assessment Collection Tool warns approved users not to store any personally identifiable information, whether located on a map layer, in a dataset or in direct storage. There is a banner at the top of each page that warns users not to post or store personally identifiable information in Field Assessment Collection Tool applications.

Internal mitigation measures mentioned in preceding paragraphs address steps to prevent state, local tribal, or territorial collected personally identifiable information from making its way onto FEMA servers. Any information collected during FEMA's Joint preliminary data assessment process is only associated with the address, geographic location, or property impacted by the disaster.

Address information is collected and used as a data/mapping point (i.e., pin drop on a map) to assess the damage of a geographic area and support determinations on whether a federal disaster declaration is warranted.

Disaster Survivor Assistance (DSA)

The Disaster Survivor Assistance Tool is a FEMA information technology capability that resides in the Field Assessment Collection Tool system and enables Disaster Survivor Assistance teams to capture operationally relevant information regarding the consequences of a disaster for individuals and local communities following a Presidential Declaration for Individual Assistance. Through use of the Disaster Survivor Assistance Survey123 application, Disaster Survivor Assistance personnel interact with disaster survivors and capture observations related to the impacts of the disaster through several surveys. The Disaster Survivor Assistance cadre may capture general information, including whether the individual has applied for assistance. This information allows FEMA and decision makers to better understand the severity and impact of the disaster and supports better planning of financial assistance and other possible aid provided to survivors. The Disaster Survivor Assistance cadre may also capture observations and photographs related to damage sustained due to a disaster (e.g., downed powerlines, fallen trees). When selected, the pins reveal which person submitted the observation and photo. Photos of individual survivors or DSA personnel are not captured.

An ongoing issue with the Disaster Survivor Assistance Tool has been data integrity



between reported registrations in the tool and registrations properly accounted to Disaster Survivor Assistance within the IA System. In order for Disaster Survivor Assistance and other FEMA partners to conduct analysis on the data to reduce data discrepancy and identify gaps in Disaster Survivor Assistance cadre member training, Disaster Survivor Assistance added Registration ID and Registrant First and Last Name to the Survivor Interaction Survey. The data collected by this tool will only be used and analyzed internally by FEMA and will not be shared outside the agency. In addition, the fields will be hidden on the operational maps and dashboards so that they may be only accessed for data integrity analysis directly from the database. Specific language will remain on Field Assessment Collection Tool pages notifying users that sensitive personally identifiable information is not allowed. DSA users will be trained on what information is allowed in their surveys in the same manner as Survivor Sheltering Assessment Tool users.

Disaster Survivor Assistance publishes the Survivor Interaction Aggregate Layer to the FEMA internal geoportal for use in the National Response Coordination Center (NRCC) and Federal Coordinating Officers (FCOs). This layer aggregates data to report Disaster Recovery Number and Survey Count, the number of survivor interactions per assignment grid area; it does not include any personally identifiable information.

Survivor Sheltering Assessment Tool (SSAT)

The Survivor Sheltering Assessment Tool collects information from designated DHS, FEMA, and state, local, tribal, and territorial partners regarding the housing needs of individuals and families currently in shelters so that services and assistance to transition them out of shelters and into temporary housing solutions can be provided quickly. FEMA staff collects and compares the collected data from shelter residents with survivor registration data in the National Emergency Management Information System – Individual Assistance to determine:

- Has the person in the shelter registered?
- What is the status of the registration, if registered? Are resources such as Transitional Sheltering Assistance eligibility or financial rental assistance, available to the survivor?
- If registered and not eligible, is there casework that could be performed to identify eligibility?

If not registered, information would be provided to the Joint Field Office (JFO) for a registration strike team to travel to the shelter and register the survivor.

Aggregated reports would be built to support Joint Field Office planning activities for shelter depopulation to ensure that survivors are transitioned as quickly as possible to housing solutions that best meet their needs. Additionally, this survey tool can be used to provide a geospatial and/or aggregated view of everyone with whom the sheltering team has talked.



Disaster Recovery Center Site Survey Inspection Tool (DRC SSI)

The Disaster Recovery Center utilizes Environmental Systems Research Institute ArcGIS Survey 1-2-3 (Survey 1-2-3) applications on mobile devices and creates a standard information collection schema to make the Disaster Recovery Center Site Survey Inspection process and resulting analysis more efficient than the previous pencil and paper process.

The Disaster Recovery Center Site Survey Inspection electronic format will provide Disaster Recovery Center stakeholders (FEMA staff and FEMA partners) with electronic templates to capture the following data regarding each potential Disaster Recovery Center location: location of the potential Disaster Recovery Center, driving directions, safety, security, building specifications, e.g., room dimensions, work around requirements, telecommunications capability, and accessibility compliance.

This data allows FEMA to make proactive Disaster Recovery Center selections, report on-going and historic Disaster Recovery Center site inspection efforts, and manage stakeholder site inspection operations.

Through this information technology capability, FEMA collects Disaster Recovery Center Site Survey Inspection data in the field using a DHS/FEMA approved commercially off the shelf application called Survey 1-2-3 on a mobile device, such as an iPhone or iPad. The information is then transmitted to the Field Assessment Collection Tool central database (previously DMSE Central Database) where FEMA analyzes the data using mapping tools hosted within the FACT system boundary. Survey 1-2-3 mobile users will receive policy guidance to either empty the sent folder in Survey 1-2-3 at a specified interval or to uninstall Survey 1-2-3 after their surveys are submitted and they are no longer performing the work.

Information collected during the Disaster Recovery Center Site Survey Inspection process is only associated with potential Disaster Recovery Center facility locations within the disaster area. Public address information is collected and used as data/mapping points (i.e., pin drops on a map) to visualize the locations within a disaster area. For auditing purposes, the application also collects name, username, phone number, and email address of the government officials conducting the Disaster Recovery Center Site Survey Inspection and the point of contact for potential Disaster Recovery Center facilities. The information is required to maintain a system of record of inspections of all potential Disaster Recovery Center federal facility locations for auditing compliance with the system authority to operate. The forms also collect each facility point of contact's personal information, additional facility service phone numbers, and include multiple comment fields and the Physical Security Assessment form, which permits the attachment photos of potential security concerns (i.e., broken window). Photos of individuals are not captured. See Section 2 for full list of personally identifiable information collected.

Disaster Recovery Center Kit Tracking Tool (DRC KTT)



Prior to fielding this tool, the regional warehouses would communicate the quantity of Disaster Recovery Center Kits requested with the Acquisitions Property Officer (APO) at the disaster site and ship the Disaster Recovery Center Kits to the Joint Field Office or staging area. When the kit was received, it was scanned again by Acquisitions Property Officer and distributed to Logistics for Disaster Recovery Center assignment. After the kit was scanned at disaster arrival, there were no further electronic movement logs, except for a Property Transfer Receipt, but this document does not register the kit's contents.

The new Disaster Recovery Center Kit Tracking Tool will provide stakeholders (i.e., Logistics, Acquisitions Property Officer, Disaster Recovery Center Coordinator) with information including a movement log of the physical Disaster Recovery Center Kit (i.e., from Joint Field Office to Disaster Recovery Center, Mobile Disaster Recovery Center, and vice versa until kit returns to host warehouse), whether the kit is mission capable, and what items are needed for the kit to be mission capable.

No personally identifiable information is collected or stored in Disaster Recovery Center Kit Tracking Tool

National Football League (NFL) Site Selection Inspection Tool Pilot

The Disaster Recovery Center Unit is participating in the FEMA National Football League "Facilities Vision of Tomorrow" working group, which is participating in "a study that would detail best practices for stadium construction in terms of ensuring stadiums are best positioned to serve federal, state, territorial, tribal, and local governments, the private sector, and voluntary and faith-based community organizations in responding to and recovering from potential threats and hazards." The working group has identified Field Assessment Collection Tool technologies in general and the Disaster Recovery Center tools in particular as meeting the needs identified for the working group's pilot examples to brief the FEMA Administrator and senior leadership. The NFL Pilot will use the Disaster Recovery Center Site Survey Inspection survey templates and collect the same data elements (see Section 2 for full list of personally identifiable information collected). The tools will be, like all Field Assessment Collection Tool applications, available only to internal FEMA staff.

Data Elements:

Regarding system users, Field Assessment Collection Tool stores the following information related to an individual user. System users are FEMA employees.

- First Name
- Last Name
- Email address



- Username
- Password
- Secret Question and Answer (for self-service password resets)
- Language Preference
- Role
- Profile Visibility Preference

The Field Assessment Collection Tool collects the following data by application:

Preliminary Damage Assessment (PDA)

During the Preliminary Damage Assessment process, FEMA collects information on the levels of damage to homes and infrastructure. For homes, FEMA collects information describing:

- The type of dwelling (single family, multi-family, manufactured home)
- Level of damage to the home (destroyed, major, minor, affected, inaccessible, unaffected)
- Whether the home is insured (yes, no, or unknown)
- Whether the home is occupied by the owner or a renter (or “unknown”)
- Whether the home is occupied at least six months out of the year (yes, no, unknown)
- The street address (house number, street name, city, county, state, zip code)
- GPS point in case the street address is inaccurate/indeterminable (coordinates)

The Preliminary Damage Assessment may also capture an image of the damage to the dwelling. Images contain metadata including GPS-determined location, time, date, and camera settings. No additional personally identifiable information or identifying information about the individual homeowner or disaster survivor is collected during the Preliminary Damage Assessment process.

For Preliminary Damage Assessments conducted on public infrastructure, the personally identifiable information collected is limited to the name and work contact information of the state, local, tribal, and territorial government official conducting the Preliminary Damage Assessment and the point of contact for public infrastructure. Preliminary Damage Assessment data related to public infrastructure is shared with the FEMA Applicant Case Tracker (FAC-Trax) system.

Disaster Survivor Assistance (DSA)



Survivor Interaction

- Location
- Registration Status/Registration ID
- Registrant First Name and Last Name
- Revisit
- Update/Inquiry
- Referral
- Notes
- Access Inform Report (AIR) (Situational Awareness)
- Category
- Type [Emerging or Critical]
- Notes [including Imagery]
- Community Contact
 - Name [First and Last]
 - Title
- Organization name
- Organization type
- Organization address
- Organization phone
- Organization fax
- Organization email
- Organization services, notes
- Information for Communication Contact application includes points of contact for services such as state, local, and tribal fire departments, Post Offices, churches, and the Red Cross.

Survivor Sheltering Assessment Tool (SSAT)

The following personally identifiable information elements are collected from individual survivors at the shelters:



- FEMA Registration ID (if available)
- First Name
- Last Name
- Damaged Dwelling Address
- Mobile Phone #

Other non-personally identifiable information elements collected:

- Date
- Shelter Name
- County
- Owner/Renter
- Pre-Disaster HUD Housing such as Section 8, subsidized housing (Y/N)
- Pre-Disaster Homeless (Y/N)
- Identified Available Rental (Y/N)
- Plan to return to Pre-Disaster Residence (Y/N)
- Will Live with Family or Friends (Y/N)
- Waiting on DD (Damaged Dwelling) to become accessible (Y/N)
- Inaccessible due to Road Closure (Y/N)
- Inaccessible due to Water Receding (Y/N)
- Identified available housing or hotel resource but not within reasonable commuting distance (Y/N)
- Cannot find affordable housing resource (Y/N)
- Cannot find short term lease (Y/N)

Transportation issues –

- Transportation disaster damage, need assistance for repairs (Y/N)
- No desire to relocate out of state within 50 - 100-mile radius (Y/N)
- Need specialized medical equipment (e.g., sensory, mobility, accessibility) (Y/N)



- Cannot meet with inspector (Y/N)
- Cannot get to desired area to look for housing (Y/N)
- Need funds to move household belongings (Y/N)
- Utilities not currently operable (Y/N)
- Electricity not currently operable (Y/N)
- Expected date of utility restoration (if known) (Y/N)
- Nowhere for pet to board (Y/N)
- Type of pet(s)
- Need voluntary agencies to assist with mucking out home (Y/N)
- # Adults (18+)
- # Children (Under 18)
- Consent to Share (Y/N)
- Notes (a note will be on the form warning users not to collect personally identifiable information)

Disaster Recovery Center Site Survey Inspection (SSI) Tool Public address information is collected and used as data/mapping point (i.e., pin drop on a map)

- FEMA Staff Name
- FEMA Staff Username
- FEMA Staff Phone number
- FEMA Staff Email address
- Facility Point of Contact

FEMA Form 143-3-1-1

- Facility Point of Contact name
- Facility Point of Contact title
- Twenty-two comment fields, only one is a large comment field that can realistically contain personally identifiable information

Disaster Recovery Center Site Survey

- FEMA Team Member Name



- Facility Point of Contact name
- Facility Point of Contact office phone number
- Facility Point of Contact mobile phone number
- Facility Point of Contact alternate number
- Site Director name
- Latitude of Facility
- Longitude of Facility

Security – Facility Inspection Template

- Facility Point of Contact name
- Comments Field

Logistics (LOG) LOG – Facility Inspection Template

- Facility Point of Contact name
- Facility Point of Contact title
- Facility Point of Contact office phone number
- Facility Point of Contact email address
- Facility Point of Contact mobile phone number
- Phone Service Provider Contact Number
- Cable Provider Contact Number
- FEMA Safety Officer name and initial
- FEMA Security Officer name and initial
- FEMA IT representative name and initial
- FEMA Disability integration Specialist/OER name and initial
- FEMA External Support-Logistics name and initial
- FEMA Disaster Recovery Center Group Supervisor or Point of Contact name and initial

Safety – Facility Inspection Template

- Facility Safety Officer name



- Facility Safety Officer signature
- Facility Point of Contact name
- Facility Point of Contact information
- Support Picture Fields
- Facility Address

National Football League Site Selection Inspection Tool Pilot (the data collected is the same as the Disaster Recovery Center Site Survey Inspection tool)

- Public address information is collected and used as data/mapping point (i.e., pin drop on a map)
 - FEMA Staff Name
 - FEMA Staff Username
 - FEMA Staff Phone number
 - FEMA Staff Email address
 - Facility Point of Contact

FEMA Form 143-3-1-1

- Facility Point of Contact name
- Facility Point of Contact title
- Twenty-two comment fields, only one is a large comment field that can realistically contain personally identifiable information

NFL Site Survey

- FEMA Team Member Name
- Facility Point of Contact name
- Facility Point of Contact office phone number
- Facility Point of Contact mobile phone number
- Facility Point of Contact alternate number
- EM Director name
- Latitude of Facility
- Longitude of Facility



Security – Facility Inspection Template

- Facility Point of Contact name
- Comments Field

Logistics (LOG) LOG – Facility Inspection Template

- Facility Point of Contact name
- Facility Point of Contact title
- Facility Point of Contact office phone number
- Facility Point of Contact email address
- Facility Point of Contact mobile phone number
- Phone Service Provider Contact Number
- Cable Provider Contact Number
- FEMA Safety Officer name and initial
- FEMA Security Officer name and initial
- FEMA IT representative name and initial
- FEMA Disability integration Specialist/OER name and initial
- FEMA External Support-Logistics name and initial
- FEMA Disaster Recovery Center Group Supervisor or Point of Contact name and initial

Safety – Facility Inspection Template

- Facility Safety Officer name
- Facility Safety Officer signature
- Facility Point of Contact name
- Facility Point of Contact information
- Support Picture Fields
- Facility Address

System of Records Notice Coverage:

- DHS/FEMA-008 Disaster Recovery Assistance Files



- DHS/ALL-002 Department of Homeland Security (DHS) Mailing and Other Lists System
 - DHS/ALL-004 General Information Technology Access Account Records System (GITAARS)
-



Individual Assistance (IA) System – (formerly NEMIS - Individual Assistance (IA))

Program/System:

The Federal Emergency Management Agency (FEMA), Office of Response and Recovery (ORR), Recovery Technology Programs Directorate (RTPD), Individual Assistance (IA).

Purpose and Use:

The IA System will replace the National Emergency Management Information System (NEMIS) Individual Assistance System. The Individual Assistance System is the information technology system that houses survivor case files. This system is the master database that FEMA uses to administer its assistance programs and make disaster assistance decisions.

Individual Assistance supports disaster relief (e.g., temporary housing, unemployment assistance, financial assistance) to individuals and/or households whose property has been damaged or destroyed and whose losses are not covered by insurance. In conjunction with the states, the IA Program also assists with disaster-related necessary expenses for uninsured or underinsured through the Other Needs Assistance (ONA) program. Individual Assistance System collects disaster survivor personally identifiable information and sensitive personally identifiable information at the initial intake when the survivor first contacts FEMA to register for assistance.

System and Sub-System Interaction

Individual Assistance uses Oracle databases and consists of numerous integrated subsystems with both client and web-based component modules. These are responsible for processing disaster survivor registrations that FEMA takes via the Disaster Assistance Improvement Program/Disaster Assistance Center and the Automated Construction Estimator System (ACE).

The Individual Assistance modules work as a cohesive set to process survivors' applications and to automate survivor communications including paper mail and for letter content; automated business rules and manual processing to check for and prevent duplication of benefits; survivor assistance registration; damaged property inspection assignment and review (on-site damage inspections are within a separate application); incoming and outgoing correspondence; helpline; interactive voice recognition; and direct housing assistance.

Internal Connections

The following additional internal connections were described in the previous Privacy Impact Assessment.

- Disaster Assistance Improvement Program (DAIP)/Survivor Online Application & Resources (SOAR)
- Automated Construction Estimator (ACE)



- Document Management and Records Tracking System (DMARTS)⁴⁸
- National Flood Insurance Program PIVOT (PVT) System
- Operational Data Store (ODS) and Enterprise Data Warehouse (EDW)⁴⁹

External Sharing

LexisNexis

The purpose of this external sharing is to verify identity. Disaster Survivor first and last name, email address, SSN, birthdate, address, and phone number are provided to LexisNexis for validation. This is considered sensitive personally identifiable information; and as such, is privacy sensitive.

Update #2: FEMA Individuals and Households Program (IHP) is expanding use of LexisNexis services in support of combatting fraud, which has significantly increased in recent years. In addition to identity validation services described above, FEMA, using the same information already provided to LexisNexis, will use ThreatMetrix for Government, and Bank Account verification services as outlined below. The ThreatMetrix services require collection and co-location of device data with unique FEMA personally identifiable information identifier to reside within the LexisNexis system for six months.

ThreatMetrix for Government

- Collects computer and mobile device information when applicants use FEMA's Disaster Registration Application to apply for assistance and sends directly to LexisNexis ThreatMetrix servers, where LexisNexis analyzes device information against known public and proprietary databases and services, and in conjunction with attributes provided by FEMA from the registration process (e.g., name, SSN), aggregates that device information with the unique FEMA identifier to provide to FEMA a score on the probability of that device information and digital identity being fraudulent.
 - Data collected from end user devices includes:
 - Operating system
 - Operating system language

⁴⁸ See U.S. DEPARTMENT OF HOMELAND SECURITY, FEDERAL EMERGENCY MANAGEMENT AGENCY, PRIVACY IMPACT ASSESSMENT FOR THE DOCUMENT MANAGEMENT AND RECORDS TRACKING SYSTEM (DMARTS), DHS/FEMA/PIA-009 (2018 and subsequent updates), available at <https://www.dhs.gov/privacy-documents-fema>.

⁴⁹ See U.S. DEPARTMENT OF HOMELAND SECURITY, FEDERAL EMERGENCY MANAGEMENT AGENCY, PRIVACY IMPACT ASSESSMENT FOR THE OPERATIONAL DATA STORE AND ENTERPRISE DATA WAREHOUSE, DHS/FEMA/PIA-026 (2018 and subsequent updates), available at <https://www.dhs.gov/privacy-documents-fema>.



- Installed version of Flash plugin
- Unique identifier generated by Flash
- “Smart ID” generated by LexisNexis, combining elements all attributes.
 - Analyzes the innumerable connections between devices, locations, past behaviors, and anonymized personal information. This enables agencies to proactively recognize the same returning user behind multiple devices, email addresses, physical addresses, and account names.
 - Returns a risk assessment “confidence” score based on device data and activity associated with those devices and the digital identity.

FEMA Individual Assistance will use the risk assessment returned by LexisNexis as a business rule in determining which registrations might require further manual scrutiny and to rule out any potentially fraudulent activity. FEMA will not make decisions based solely on the risk assessment provided by LexisNexis.

System Access:

Individual Assistance System applications and services are internal to FEMA and only accessible to approved FEMA employees, contractors, and approved state users via the intranet or the FEMA Secure Sockets Layer Virtual Private Network portal.⁵⁰

Individuals Affected :

- Disaster assistance applicants
- FEMA RSC agents and caseworkers
- IT System administrators
- State users

Sources of Information:

Interconnected systems within DHS:

- Disaster Assistance Improvement Program /Survivor Online Application & Resources
- Automated Construction Estimator System
- Disaster Financial Support Capability

⁵⁰ As Secure Sockets Layer Virtual Private Network allows external users to securely access FEMA’s network. This technology works through the web browser and all data flows as if it is on the internal FEMA network.



- Document Management and Records Tracking System
- Contact Center Capability Modernization Program
- Operational Data Store
- Enterprise Data Warehouse
- National Flood Insurance Program Pivot

Data Elements:

This information is recorded on an electronic version of FEMA 009-0-1 Application / Registration for Disaster Assistance (OMB 1660-0002) and used among FEMA, federal, state, and local disaster agencies. The data Individual Assistance System store includes:

Registration and Assistance Records:

- FEMA Disaster number
- FEMA registration ID
- Applicant/co-applicant information:
 - Full name
 - SSN or A-Number
 - Signature
 - Date of birth
 - Phone numbers
 - Email addresses
 - Position title and number of years
 - Employer name
 - Language(s) spoken
 - Number of dependents claimed
 - User ID
 - Password
 - Personal identification number (PIN)
- Witness signature
- Damaged dwelling:



- Address of the damaged dwelling and the applicant's current location (if other than the damaged dwelling)
- Damaged dwelling phone number
- Alternate damaged phone number
- Cause of damage
- Type of damage sustained (home, personal property, utilities out)
- Is it a primary residence? (Y/N)
- Is the home accessible (mandatory evacuation – Y/N, due to disaster – Y/N)
- Information related to residence (type, own/rent, damage sustained)
- Home/personal property insurance (type, insurance company name)
- Disaster-related expenses (medical, dental, funeral, insurance companies)
- Disaster related vehicle damage:
 - Vehicle information (year, make, model)
 - Extent of damage (damaged – Y/N, drivable – Y/N)
 - Vehicle insurance (comprehensive, liability, insurance company)
 - Vehicle registered? (Y/N)
- Other expenses: childcare
- Emergency needs (food, clothing, shelter)
- Special needs (mobility, mental, hearing, vision, other care)
- Occupant and Housing Information (for all occupants at the time of disaster):
 - Name (first name, middle initial, last name)
 - Age
 - Relationship to applicant
 - Dependent? (Y/N)
 - Sex
 - Pre- and post-disaster income information of those occupants 18 years of age or older



- Business damage:
 - Self-employment is primary income? (Y/N)
 - Business or rental property affected? (Y/N)
- Number of dependents claimed
- Combined family pre-disaster gross income (by period)
- Authorization for electronic funds transfer of benefits:
 - Institution name
 - Account type
 - Account number and routing number
 - Average balance
- Authorization for postal or email notification
- Comments and correspondence from the applicant
- Supporting documents to show proof of occupancy or ownership and verify identity such as:
 - Driver's license or government-issued picture ID
 - Property title
 - Tax bill
 - Utility bill
- Public records information for identity verification
- Pre-registration questionnaire information
- Disaster loan status (rejected, approved, declined, verified, cancelled)
- Travel and accommodations related information (light 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 note and determination)
 - Landowner's information (in case 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 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

Triage questions if survivor indicates they have damaged property:

- How would you rate the damage of your primary dwelling? (1-5)
- Disaster Assistance Improvement Program/Survivor Online Application & Resources presents this as a multiple-choice question with the following options:
 - I had minor damage, but I can live in my home.
 - I had damage to my home or personal property that requires a lot of repairs. I may not be able to live in my home.
 - I had damage to my home or personal property that requires major repairs. I am not able to live in my home.
 - My home was destroyed.
 - Unknown

Supplementary Case Data:

- Waiver of Debt Letter of Appeal
- Receipts
- Notice of debt
- Invoices



- Record of payments including refunds or overdue bills
- Record of satisfaction of debt or referral for further action
- Correspondence and documentation with debtors and creditors

System of Records Notice Coverage:

- DHS/FEMA-008 Disaster Recovery Assistance Files
-



Recovery Cloud Environment⁵¹

Program/System:

Federal Emergency Management Agency (FEMA), Office of Response and Recovery (ORR), Recovery Directorate, Recovery Technology Programs Division (RTPD), Recovery Cloud Environment (RCE)

Purpose and Use:

Recovery Cloud Environment is designated as a major application tenant under the FEMA Enterprise Cloud (FEC) hosted on Amazon Web Services (AWS) GovCloud. Recovery Cloud Environment is intended to be the environment for the modernized replacement of existing legacy on-premises systems and new capabilities. In Recovery Cloud Environment, this will be achieved using cloud native technologies, flexible microservices and application programming interfaces (APIs), and data storage services that are readily adaptable to satisfy emergent or planned Recovery program needs, comply to Section 508 standards, and are adaptable to new security parameters to protect personally identifiable information. The modernized system(s) will be designed to be scalable and configurable in support of FEMA mission demands. Recovery Cloud Environment became operational in late 2023.

RCE consists of modernized infrastructure components designed to support multiple subsystems. Subsystems currently under development are:

1. Individual Recovery Information System (IRIS) is expected to replace legacy Individual Assistance modules for Inspection Management (IM), Administration Tool – IA (Admin-IA) Java Auto Determination Environment (JADE), State Export, Mailroom Utility Module (MUM), and Housing Operations Management Enterprise System (HOMES). Individual Recovery Information System is also expected to incorporate capabilities from Virginia Systems Repository applications Inspection Management Review (IMR), Callout and Review System (CARS), Inspections Suitability Tracker (STRK), Autodialer, and Applicant Services Dashboard (ASD, aka “Preshift”) within the next 5 to 10 years.

2. Accessible Communications for Survivor Support Helpline (ACSSH) is a new capability for deaf or hard-of-hearing disaster survivors to provide video calling with Individual Housing Program agents who are skilled in American Sign Language and/or speech-to-text chats in multiple languages. It is a customized version of ACE Direct open-

⁵¹ See U.S. DEPARTMENT OF HOMELAND SECURITY, FEDERAL EMERGENCY MANAGEMENT AGENCY, PRIVACY IMPACT ASSESSMENT FOR RECOVERY CLOUD ENVIRONMENT, DHS/FEMA/PIA-043 (2017 and subsequent updates), available at <https://www.dhs.gov/privacy-documents-fema>.



source software and provided to FEMA by the Federal Communications Commission (FCC).

Other subsystems can be added to Recovery Cloud Environment to meet Recovery capability requirements.

System Access:

Recovery Cloud Environment is part of the FEC Amazon Web Services Organization managed by FEMA Office of Chief Technical Officer (OCTO). However, Recovery Cloud Environment system owner manages access within its security boundaries for development, testing, staging, training, and production environments. RCE system administrator(s), Information System Security Officer (ISSO), and quality assurance personnel may access RCE through the Amazon Web Services Individual Access Management (IAM) console as members of specific user groups. User group permissions meet need to know and separation-of-duties cybersecurity guidance.

Individual Recovery Information System future services are internal to FEMA and only accessible to approved FEMA employees, contractors, and state, local, tribal, and territorial partners having PIV or PIV-I credentials.

2. Accessible Communications for Survivor Support Helpline PIV-authenticated end users are intended to use Login.Gov until such time as FEMA Identity and Credential Management (ICAM) releases replacement of FEMA Enterprise Identity Management System for enterprise-wide authentication and authorization capabilities.

Individuals Affected:

FEMA employees and contractors who are engaged in developing Recovery Cloud Environment subsystems. In the future, FEMA employees, contractors, state, local, tribal, and territorial partners, and disaster assistance applicants.

Sources of Information:

Individual Recovery Information System is expected to maintain information from Individual Assistance and Survivor Online Application & Resources systems.

Accessible Communications for Survivor Support Helpline may contain incidental individual information within recorded videocall or speech-to-text chats. Registration number may be requested for call details.

Recovery Cloud Environment infrastructure contains FEMA employee and contractor user credentials such as email address, username, password for purposes of development, testing, training, and system administration.

Data Elements:



Recovery Cloud Environment contains no operational data elements in a production environment.

System of Records Notice Coverage:

Recovery Cloud Environment contains no operational data elements in a production environment.



Virginia Systems Repository (VSR)

Program/System:

The Federal Emergency Management Agency (FEMA), Office of Response and Recovery (ORR), Recovery Technology Programs Directorate (RTPD), Individual Assistance (IA).

1. Call Out and Reporting System (CARS)

Purpose and Use:

FEMA is including VSR CARS in this Privacy Impact Assessment update to reflect a new use. FEMA now uses VSR CARS to identify unmet needs of survivors that are not related to FEMA benefits. These unmet needs may include county disaster assistance programs as well as disaster specific assistance provided to survivors with unmet needs through long term recovery groups. The FEMA Data Sharing with Oregon Recovery Partners is one example of this new use of VSR CARS.

CARS is the process that FEMA uses to communicate with disaster survivors to determine whether their needs have been met. Disaster survivors respond to FEMA through the CARS process by answering a series of questions.

The IA Program registration data will be extracted from the IA System. Applicant information is updated in the IA System when applicants call the FEMA Helpline, applicants make changes to their account on disasterassistance.gov, or FEMA completes home inspections and makes award determinations.

System Access:

VSR applications and service are internal to FEMA and only accessible to approved FEMA employees and contractors via the intranet or the FEMA Secure Sockets Layer Virtual Private Network portal. Counties that are a party to Information Sharing Access Agreements can ask FEMA IA employees and contractors to contact registered applicants to validate unmet needs. FEMA will not share data on applicants without unmet needs. For applicants who have unmet needs, FEMA IA will identify unmet needs and analyze the sub-dataset needed: Housing Assistance (HA), Other Needs Assistance (ONA), or Medical (MED). FEMA IA will send an initial report to the counties. FEMA IA will send weekly update reports to counties on changes to the applicant data.

Individuals Affected:

- Disaster assistance applicants
- FEMA Recovery Service Center (RSC) agents and caseworkers
- IT system administrators



- FEMA housing inspectors

Sources of Information:

All personally identifiable information within VSR is collected directly from the applicant, employee, or contractor, or is replicated for the Enterprise Data Warehouse (EDW), Operational Data Store (ODS), or IA System. All information collected directly from an individual is entered by a FEMA employee, contractor, or the individual themselves.

Data Elements:

- Applicant's name
- Home address
- Phone numbers
- Email address
- Registration number
- Assistance eligibility status
- Information on pre-disaster income and expenses
- Special needs
- Applicant assistance status

Information Collected about FEMA-Contracted Housing Inspector:

- Inspector's name
- Home address
- Phone number
- Location
- Clearance information
- Performance review score
- Inspector number
- Applicant complaints against the inspector

Information Collected from Federal and Contract Employees:

- Employee Username

System of Records Notice Coverage:

- DHS/FEMA-008 Disaster Recovery Assistance Files
- DHS/ALL-004 General Information Technology Access Account Records System (GITAARS)



- DHS/ALL-021 Department of Homeland Security Contractors and Consultants
- DHS/ALL-023 Department of Homeland Security Personnel Security Management

2. Decommissioned Systems

Since the previous renewal of the program, FEMA has removed and decommissioned seven applications from VSR: Web Recoupment Calculator, Individual Housing Program Dashboard, Task Order Administration, NPSC, Electronic Personnel Data System, CALLOUT, and Customer Service System.



Grants Technology Division- Streamlined Platform for Agile Release and Transformation Acceleration (SPARTA)

Program/System:

The Federal Emergency Management Agency (FEMA), Grants Technology Division (GTD), Streamlined Platform for Agile Release and Transformation Acceleration (SPARTA).

Purpose and Use:

The Grants Technology Division (GTD) uses the Streamlined Platform for Agile Release and Transformation Acceleration (SPARTA) to administer and manage 40-plus FEMA grant programs through a single grants management IT platform. GTD SPARTA ingests grant application information from various collection points, and through the applications housed within the system, to manage grants through their respective lifecycles. SPARTA consolidates the grants functionalities of the following FEMA legacy IT systems:

- Emergency Management Mission Integrated Environment (EMMIE)
- National Emergency Management Information System (NEMIS)-Public Assistance (PA)
- Individual Assistance (IA) (formerly NEMIS-IA)
- NEMIS-Hazard Mitigation Grant Program (NEMIS-HMGP)
- Mitigation eGrants (MTeGrants)
- Environmental and Historic Preservation Management Information System (EMIS)
- Assistance to Firefighter Grants (AFG) eGrant portal/Assistance to Firefighter Grants Cloud (AFGC)
- Non-Disaster Grants (ND Grants)/Non-Disaster Grants Cloud (NDGC)
- Grants Reporting Tool Cloud (GRTC)
- FEMA Applicant Case Tracker (FAC-TRAX)

System Access:

FEMA implements role-based access controls throughout the GTD SPARTA system to ensure that data is visible to users who have a 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 and/or organization to which the user was assigned.



The GTD SPARTA system uses personally identifiable information 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.

Individuals Affected:

- Members of the public
- FEMA employees and contractors

Data Elements:

- 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
- User ID
- Password
- Organization's Bank Routing Number
- Organization's Bank Account Number
- FEMA Disaster Number

Individual Assistance grants: Registration and Assistance Records:

- FEMA Registration ID
- Applicant/Co-Applicant Information:
 - Full Name



- SSN or 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)
- 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 Disaster Assistance Improvement Program (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 Estimator (ACE) and the Disaster Assistance Improvement Program (DAIP):

- 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:
 - What is your first pet's name?
 - What is your father's middle name?
 - What is your high school mascot?
 - 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 several standard forms for post-award reporting. Information collected through these forms 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 or 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, and
- Real property ownership types

System of Records Notice Coverage:

- DHS/FEMA-004 Non-Disaster Grant Management Information Files
- DHS/FEMA-008 Disaster Recovery Assistance Files



- DHS/FEMA-009 Hazard Mitigation Disaster Public Assistance and Disaster Loan Programs
- DHS/ALL-004 General Information Technology Access Account Records System (GITAARS), and
- DHS/ALL-026 Department of Homeland Security Personal Identity Verification Management System



Appendix B:

OMB Control Numbers and Associated Forms

The following forms are used to collect survivor personally identifiable information to provide Individual Housing Program services and disaster assistance:

- OMB 1660-0002 Disaster Assistance Registration
- OMB 1660-0005 Housing Inspection Services
- OMB 1660-0030 Manufactured Housing Operations Forms
- OMB 1660-0061 Federal Assistance to Individuals and Households Program
- OMB 1660-0138 Direct Housing Program
- OMB 1660-0011 Debt Collection Financial Statement
- OMB 1660-0042 Survivor Sheltering Assessment Tool



**Appendix C:
Abbreviation Table**

Abbreviation	Explanation
ACE	Automated Construction Estimator System
AFG	Assistance to Firefighters Grants
C3MP	Contact Center Capability Modernization Program
CARS	Call Out and Reporting System
CART	Communication Access Real Time Translation
CDBG	Community Development Block Grant
COTS	Commercially Off the Shelf
DAC	Disaster Assistance Center
DAIP	Disaster Assistance Improvement Program
DFSC	Disaster Financial Support Capability
DMARTS	Document Management and Records Tracking System
DMSE CE	Disaster Management Support Environment Cloud Environment
DRC	Disaster Recovery Center
EC	Emergency Coordination
EDW	Enterprise Data Warehouse
EMIS	Environmental and Historic Preservation Management System
EMMIE	Emergency Management Mission Integrated Environment
ES	Emergency Support
ESRI	Environmental Systems Research Institute



FACT	Field Assessment and Collection Tools
FEIMS	FEMA Enterprise Identity Management System
FIID	Fraud Internal Investigation Division
GMM	Grant Management Modernization
GRT	Grants Reporting Tool
HMA	Hazard Mitigation Assistance
HMGP	Hazard Mitigation Grant Program
HUD	United States Department of Housing and Urban Development
IA	Individual Assistance
IA System	Individual Assistance System (replaced National Emergency Management Information System, also known as NEMIS)
IDA	Initial Damage Assessment
IHP	Individual and Households Program
IT	Information Technology
KTT	Kit Tracking Tool
ODS	Operational Data Store
ONA	Other Needs Assistance
ORR	Office of Response and Recovery
PA	Public Assistance
PDA	Preliminary Damage Assessment
PIA	Privacy Impact Assessment
PII	Personally Identifiable Information
RRAD	Recovery Reporting and Analytics Division
RTPD	Recovery Technology Programs Directorate
SBA	United States Small Business Administration



SLTT	State, Local, Tribal, and Territorial
SPARTA	Streamlined Platform for Agile Release and Transformation Acceleration
SPII	Sensitive Personally Identifiable Information
SSI	Site Survey Inspection Tool
TSA	Transitional Sheltering Assistance
US&R	Urban Search and Rescue Response
USACE	United States Army Corps of Engineers
VSR	Virginia Systems Repository