



**Privacy Impact Assessment Update  
for the**

**Document Management and Records  
Tracking System  
(DMARTS)**

**DHS/FEMA/PIA-009(b)**

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## Abstract

The U.S. Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA), Mission Support Bureau (MSB), Office of the Chief Information Officer (OCIO) uses the Document Management and Records Tracking System (DMARTS) to store and retrieve documents for several FEMA program areas. FEMA is updating the Privacy Impact Assessment (PIA) previously published on May 15, 2013. The update will reflect changes that have occurred to DMARTS since the original PIA was published. Changes include: (1) a description of new DMARTS applications and clarification on legacy applications, as well as a description of personally identifiable information (PII) collections associated with these new functions; and (2) an update to the Appendix to include new Office of Management and Budget (OMB) forms/collections.

## Overview

In the PIA published on May 15, 2013,<sup>1</sup> FEMA described the Agency's use of the DMARTS. OCIO operates DMARTS, which serves as an electronic document and records management system to support FEMA's mission to help citizens recover from presidentially declared disasters. DMARTS is a document repository system that allows users to better manage and search documents to process information and assistance. DMARTS consolidates document management functions from multiple systems into a single, integrated records management system to: (1) streamline the disaster assistance application process; (2) aid in accurate and proper benefit determination; (3) assist in eliminating the duplication of effort and benefits; and (4) to help the agency maintain the most up-to-date and accurate information on disaster applicants.

## Reason for the PIA Update

The original DMARTS PIA documented the collection and use of information from the National Emergency Management Information System-Individual Assistance (NEMIS-IA) and the Automated Construction Estimating application (ACE).<sup>2</sup> FEMA is publishing this PIA Update to: (1) describe new DMARTS applications and provide clarification on legacy applications, as well as describe PII collections associated with these new functions; and (2) include new forms from Office of Management and Budget (OMB) collections 1660-0011 and 1660-0061.

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<sup>1</sup> See DHS/FEMA/PIA-009(a) Document Management and Records Tracking System (DMARTS) (May 15, 2013), available at [https://www.dhs.gov/sites/default/files/publications/privacy\\_pia\\_fema\\_009a\\_2013.pdf](https://www.dhs.gov/sites/default/files/publications/privacy_pia_fema_009a_2013.pdf).

<sup>2</sup> For more information on NEMIS-IA and ACE, see DHS/FEMA/PIA-49 Individual Assistance (IA) Program (January 11, 2018), available at <https://www.dhs.gov/sites/default/files/publications/privacy-pia-fema-049-ia-january2018.pdf>.



The PIA update will provide a more detailed description of the DMARTS applications that were omitted from the original PIA and describe new applications introduced since the original PIA was published. The previously omitted and newly added applications collect a variety of PII, which will be covered in the Characterization of the Information section of this document.

## **Application Updates**

### *DMARTS Mailroom*

The DMARTS Mailroom application is not new to DMARTS; however, the original PIA omitted a description of the application. This PIA update provides clarity and identifies data collected and maintained by the Mailroom.

FEMA uses the DMARTS Mailroom application to link documentation received from disaster survivors with the correct FEMA Registration ID in NEMIS-IA. NEMIS-IA is the IT system that houses survivor case files and is the master database that FEMA uses to administer its assistance programs and make disaster assistance decisions. When a disaster survivor requests individual assistance after a presidentially declared disaster, FEMA saves the survivor's registration information in NEMIS-IA. Once the registration process is complete, survivors may provide their supporting documentation to FEMA in several ways. They may fax documents directly to the DMARTS fax server, which then converts it to an image file, uploads it to the Mailroom, and then indexes it to the appropriate record. Users may also submit documents electronically if they have an online account via [www.disasterassistance.gov](http://www.disasterassistance.gov) or the FEMA mobile website, or mail hardcopy documents to the Disaster Assistance general mailing address.

Once documents are placed in the DMARTS Mailroom index queue, a FEMA Indexer physically views each document. Using information contained on the document, the indexer searches for the registration information in NEMIS-IA and associates a FEMA Registration ID and disaster number to each document. This process is referred to as indexing. Once the documents are properly indexed, NEMIS-IA will ingest the data using a database view. Once the data is ingested into NEMIS-IA, FEMA case workers use a link located in the registrant's NEMIS-IA file to retrieve the document from the DMARTS Mailroom. This aides the FEMA case worker with making a claim determination. Documents that have been indexed are stored only in the DMARTS Mailroom application and accessed via a secure link from inside the NEMIS-IA file.

The Mailroom application streamlines the disaster assistance application process by receiving and storing registrant correspondence documents in a single location for later retrieval. The documents typically received from disaster survivors include medical bills, rent receipts, and insurance claim information. FEMA requires this information in order to verify identities of applicants, process Individual Assistance (IA) applications, and to determine how much assistance to provide. These documents may contain PII including, but not limited to, the full name, home



address, phone number, registrant ID,<sup>3</sup> and Social Security number (SSN) of the disaster survivor. While FEMA provides a list of suggested or approved documentation and instructs individuals to submit only the requested information, applicants may submit additional documentation containing a broad array of highly sensitive PII such as photographs of a damaged dwelling or damaged property, citizenship and identification documentation, scanned copies of passports or SSN cards, medical bills containing diagnoses and protected health information, and voided copies of checks used to pay rent. All documentation received will be saved in DMARTS and linked to the registrant's information in NEMIS-IA.

DMARTS Mailroom may also contain information provided by the applicant related to debt collection financial statements. The PII may include, names, dates of birth, SSNs, phone numbers, home address, income information (including pay stubs), checking and savings account numbers, and the Federal Income tax return including Schedule C (self-employment) and/or Schedule E (supplemental income) when applicable. Appendix A has been updated to include the Debt Collection Financial Statement as an information source via OMB Collection 1660-0011.

*Enterprise DocBase Individual Assistance – Technical Assistance Contracts (EDB IA-TAC) and Enterprise DocBase Public Assistance – Technical Assistance Contracts (EDB PA-TAC)*

The IA-TAC is not a new application to DMARTS, but a description of the application was omitted from the original PIA. FEMA primarily uses the EDB IA-TAC and EDB PA-TAC applications to provide an invoice payment approval workflow for FEMA contractors who provide disaster assistance services. The contractors submit invoices requiring payment into the IA-TAC and PA-TAC applications, which begins an invoice approval workflow.

The DMARTS IA-TAC team and the DMARTS PA-TAC team consist of contractors and FEMA staff who create, manage, and distribute documents, such as invoices, generated by the FEMA TAC teams. The documents are used to acquire program and Disaster Recovery Center support; for temporary housing group site design and construction; and for the hauling and installing of temporary housing units after a disaster. IA-TAC and PA-TAC invoices and supporting documentation can be uploaded into the DMARTS system via the FEMA Access Management System,<sup>4</sup> or inside the DMARTS application using an upload tool. Only FEMA employees with the appropriate access rights can use the upload tool within DMARTS. The data typically contains the full name, contact information (address and telephone number), and travel costs associated with the services rendered as well as the FEMA contract information.

*Enterprise DocBase Office of the Chief Financial Officer (EDB OCFO)*

The EDB OCFO is a new application in DMARTS. It is used to provide OCFO users with digital storage and retrieval of scanned paper documents ready to be archived. These documents

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<sup>3</sup> FEMA assigns the applicant a unique registrant ID number when he or she registers with FEMA.

<sup>4</sup> Available to FEMA employees and contractors at <https://esevices.fema.gov/famsVuWeb/home>.



relate to expenses incurred by FEMA employees who assist with disaster assistance. Documents may include invoices, travel vouchers, purchase card documents, and contract documents. Invoices and contracts can contain various types of PII, including name, address, and phone number. FEMA purchase card documents may contain bank account numbers. These documents are stored in DMARTS for audit requests and archival storage. Users are able to upload archival-ready OCFO documents into the DMARTS system using the internal OCFO upload feature within DMARTS. The OCFO SharePoint production site is the source system for OCFO documents and DMARTS is granted read-only access to the documents. OCFO users' access is limited to the OCFO applications within DMARTS. Access to specific DMARTS applications is granted based on the user's role.

### *Enterprise DocBase Office of the Chief Procurement Officer (EDB OCPO)*

The EDB OCPO application is a new application that provides OCPO users with digital storage and the ability to retrieve scanned documents related to procurements rendered during disaster assistance. These documents typically contain FEMA contract numbers and modification numbers. Users are able to import supporting documents or search for their documents within the EDB OCPO application. Paper OCPO procurement documents are scanned on a FEMA scanner and moved to a FEMA cyber security-approved and encrypted external hard drive. The OCPO documents are then manually uploaded into the DMARTS for searchable storage. OCPO data may contain information relating to FEMA personnel travel vouchers, typically name and phone number. Information is listed on the procurement documents, as well as in FEMA contracts. Employees in OCPO are granted access to DMARTS for the purposes of searching, auditing, and viewing archived contracts and supporting documentation. OCPO users' access is limited to the OCPO applications within DMARTS.

### *DMARTS DocumentServices*

DMARTS DocumentServices is a new application used to create, read, update, and delete documents in DMARTS. DocumentServices serves as a repository of documents for use by the Emergency Management Mission Integrated Environment (EMMIE) system, the Hazard Mitigation Grant Program (HMGP) system, and NEMIS-IA.

The EMMIE system is primarily used by FEMA to process Public Assistance (PA) grant applications from states, local government, tribal governments, private, and non-private entities. PA data was not previously stored in DMARTS. Previously, the EMMIE team maintained documents related to PA in a legacy content management system.<sup>5</sup> The legacy content management system is in the process of being decommissioned and the documents have been

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<sup>5</sup> See DHS/FEMA/PIA-013 Grant Management Programs (February 19, 2015), available at [https://www.dhs.gov/sites/default/files/publications/privacy\\_pia\\_FEMA\\_GrantManagementPrograms\\_February2015.pdf](https://www.dhs.gov/sites/default/files/publications/privacy_pia_FEMA_GrantManagementPrograms_February2015.pdf).



migrated into DMARTS. The EMMIE documents stored in DMARTS relate to state, local, tribal, and territorial governments, as well as private non-profit entities. The documents are supporting documentation for PA grants applications and may contain PII such as names and business contact information of the state, local, tribal, or territorial government official or representative.

The Hazard Mitigation Grant Program (HMGP) system<sup>6</sup> is a grant application and management system FEMA uses to complete the full grant lifecycle of the Hazard Mitigation Grant Program. FEMA uses HMGP to incorporate modifications that may help mitigate the risk of future loss or damages into the reconstruction process. HMGP is the source system and first point of entry for the HMGP documents that are stored in DMARTS. PII related to HMGP may include, name, business contact information, damaged property address, and mailing address. EMMIE and HMGP documents are imported into DMARTS using the same interface, which includes a strong encryption algorithm compatible with Transport Layer Security.<sup>7</sup> The encryption mechanism ensures that EMMIE, HMGP, and DMARTS maintain confidentiality, integrity, and availability of the information. NEMIS-IA currently uses DMARTS Document Services to store ACE and e-correspondence documents. Information related to DMARTS use of ACE data can be found in the original DMARTS PIA.<sup>8</sup>

All three systems have connectivity with DMARTS. DMARTS serves as the repository for the information and consolidates document management functions from multiple systems into a single integrated records management system. The FEMA Enterprise Identity Management System (FEIMS)<sup>9</sup> provides authentication services for all DMARTS applications. During the authentication process, FEMA supervisors grant FEMA users the needed FEIMS role to access specific DMARTS applications on a “need to know” basis. The “need to know” is determined by job description and duties as assigned by FEMA management. Once the FEMA user has an approved DMARTS application FEIMS role, the user will be able to log in to the required DMARTS application using his or her FEMA Personal Identity Verification (PIV) card and personal identification number (PIN). All DMARTS applications are secured using FEMA secure socket layer (SSL)<sup>10</sup> protocols and procedures approved by FEMA cyber security.

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<sup>6</sup> See DHS/FEMA/PIA-025 Hazard Mitigation Grant Program (HMGP) System (June 28, 2012), available at <https://www.dhs.gov/sites/default/files/publications/privacy-pia-fema-025-2012.pdf>.

<sup>7</sup> Transport layer security (TLS) is a protocol that provides communication security between client/server applications that communicate with each other over the Internet. It enables privacy, integrity, and protection for the data that is transmitted between different nodes on the Internet.

<sup>8</sup> See DHS/FEMA/PIA-009(a) Document Management and Records Tracking System (DMARTS) (May 15, 2013), available at [https://www.dhs.gov/sites/default/files/publications/privacy\\_pia\\_fema\\_009a\\_2013.pdf](https://www.dhs.gov/sites/default/files/publications/privacy_pia_fema_009a_2013.pdf).

<sup>9</sup> FEIMS is FEMA’s account provisioning tool for those IT systems that do not support Personal Identity Verification card authentication.

<sup>10</sup> A secure socket layer (SSL) is a protocol which creates a secure connection between a client and the server over which to send information. SSL works by using a cryptographic system that uses two keys to encrypt data.



## Forms Update

Since the original PIA, the following forms have been added. These forms are used to collect PII in order to make a disaster assistance claim determination, or to assess and collect debts that are owed to the Federal Government (such as if a disaster survivor receives incorrect assistance payments and must repay FEMA):

- FEMA Form 010-0-12, Individuals and Households Program (IHP) - Application for Continued Temporary Housing;
- FEMA Form 010-0-11, Individuals and Households Program (IHP) - Other Needs Assistance Administrative Options Selection;
- FEMA Form 010-0-12S, Programa De Individuos Y Familias Solicitud Para Continuar La Asistencia De Vivienda Temporera; and
- FEMA Form 127-0-1, Debt Collection Financial Statement.

Please see Appendix A for a full list of forms and OMB Control Numbers covered by this PIA.

## Privacy Impact Assessment

### Authorities and Other Requirements

In addition to the authorities identified in the original PIA, the following authorities permit the collection and maintenance of information:

- The Debt Collection Improvement Act of 1996, 31 U.S.C. 3711(g); Section 401 of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996, 8 U.S.C. § 1611;
- The Clinger Cohen Act,<sup>11</sup> which provides guidance for multiagency investments and guidance for interagency support;
- 44 C.F.R. §§ 206.110-119, Federal assistance to individuals and households; and
- 44 C.F.R. § 206.191, Duplication of benefits.

In addition to the SORNs described in the original PIA, this PIA update adds the following SORNs:

- DHS/FEMA-004 Non-Disaster Grant Management Information Files System of Records,<sup>12</sup> which covers non-disaster grant information;

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<sup>11</sup> 40 U.S.C §§ 11303 and 11318.

<sup>12</sup> DHS/FEMA-004 Non-Disaster Grant Management Information Files, 80 FR 13404 (March 13, 2015).



- DHS/FEMA-009 Hazard Mitigation Disaster Public Assistance and Disaster Loan Programs,<sup>13</sup> which covers disaster-related grants and loans;
- DHS/ALL-008 Accounts Receivable,<sup>14</sup> which covers the debt collection forms; and
- DHS/FEMA-008 Disaster Recovery Assistance Files,<sup>15</sup> which covers the sharing of any documentation that survivors upload.

DMARTS was originally granted an Authority to Operate (ATO) in October 2007. Several ATOs have been renewed, the latest of which was approved on August 31, 2015, expiring on July 10, 2017. FEMA is pursuing a new ATO due to migration efforts from the IBM Federal Data Center in Rocket Center, West Virginia, to the DHS Virtual Data Center (VDC) in Clarksville, Virginia, and plans to issue the new ATO upon completion of this PIA. The migration has no impact on how PII is handled.

## Characterization of the Information

DMARTS collects information through NEMIS-IA, ACE, HMGP, and EMMIE. These source systems collect information from external sources such as individuals, states, or agencies applying for disaster assistance. In addition, EMMIE and HMGP collect information on FEMA contracts, FEMA invoicing, and FEMA travel vouchers. EMMIE documents are currently being migrated into DMARTS as part of an end-of-life system decommissioning process. These documents will be stored in DMARTS and retrieved when needed, to be viewed using a secure link from inside the source systems. All other document information is stored in the source systems and a unique document key and document identifier is used to retrieve the documents using the secure link from DMARTS. DMARTS also receives documents containing information from FEMA Form 127-0-1 Debt Collection Financial Statement.

In addition to the data elements identified in the original PIA, DMARTS receives and stores the following information:

### *Individual Assistance Records:*

- SSN;
- Applicant/Registrant name;
- Registration Identification (ID);
- Home Street Address;
- Home Zip Code;

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<sup>13</sup> DHS/FEMA-009 Hazard Mitigation Disaster Public Assistance and Disaster Loan Programs, 79 FR 16015 (March 24, 2014).

<sup>14</sup> DHS/ALL-008 Accounts Receivable System of Records, 80 FR 58289 (September 28, 2015).

<sup>15</sup> DHS/FEMA-008 Disaster Recovery Assistance Files, 78 FR 25282 (April 30, 2013).



- Phone;
- Images of damage provided by the disaster survivor;
- Date of Appeal Letter;
- Date of Signature;
- Amount of Mortgage;
- Amount of Real Estate Tax;
- Amount of Home Owners Insurance;
- Amount of Housing Rent;
- Amount of Water Bill;
- Amount of Electric Bill;
- Amount of Gas Bill;
- Amount of Oil Bill;
- Amount of Propane Bill;
- Amount of Sewer Bill;
- Amount of Trash Bill;
- Amount of Other Expense (e.g., medical bills or any other expenses not listed);
- Landlord Name;
- Landlord Phone Number;
- Applicant Income Information;
- Type of Expense;
- Occupant Name;
- Gross Pay Amount;
- Statement Date;
- Start Date;
- End Date;
- Income Source;
- Rental Address;
- Lease Start Date;
- Co-Pay Amount;
- Deductible Amount;
- Total Amount Billed;
- Net Settlement Amount;
- Insurance Company Name;
- Insurance Type;
- Insurance Coverage Type;
- Loss Date;



- Claim Date;
- Date of Purchase;
- Purchase Amount;
- Receipt Amount; and
- Policy Effective Date.

*Public Assistance Records:*

- Email Address of FEMA Finance Center staff;
- Contractor Address;
- Contractor Phone;
- Contracting Officer (CO);
- Contract Period of Performance Dates;
- Contract Ceiling Amounts;
- Contract Obligated Amount;
- Task Order Obligated Amount;
- Task Order Period of Performance (POP) Dates;
- Disaster Number;
- Task Order Description;
- Contract Line Item Number;
- Accounting Code Classification Structure (ACCS) Number;
- Contracting Office Representative (COR) Name;
- COR Number;
- Point of Contact (POC) Office Address;
- POC Office Phone Number;
- POC Office Cell Number;
- POC Office Fax Number;
- POC email address; and
- Organization Name.

*OCFO records:*

- First Name;
- Middle Initial;
- Last Name;
- Address;
- Phone Number;
- Accounts Receivable ID;
- DMARTS Document Index;



- Order Number;
- Contract Number;
- DMARTS Document ID;
- Intragovernmental Payment and Collection (IPAC) Number;
- Mission Assignment Number;
- Accomplish Date;
- Region;
- Agency;
- Forms;
- Reports;
- Training Certificates;
- Vendor;
- Transaction Amount;
- Approving Official First Name;
- Approving Official Last Name;
- Traveler First Name;
- Traveler Last Name;
- Travel End Date;
- Travel Voucher Number;
- Amendment Number;
- Correction Number; and
- Authorization Number.

*OCPO records:*

- Document Type;
- First Name;
- Middle Initial;
- Last Name;
- Phone number;
- Procurement Instrument Identifier (PIID);
- Parent PIID; and
- DMARTS Document ID.

*Information collected by FEIMS to grant all personnel access to DMARTS:*

- User PIV card; and
- PIN.



DMARTS captures application information contained in NEMIS-IA provided by disaster assistance applicants, FEMA disaster field operations, and Regional Office staff.

DMARTS assumes the accuracy of the information that it receives from other FEMA systems because these source systems generally house information received directly from the applicant and are validated when possible. Regarding information contained in NEMIS-IA, FEMA ensures accuracy of the data within IA by sending every applicant seeking IA a hard copy printout of his or her original application, which provides an opportunity to identify any errors in the original application submitted to FEMA. Additionally, FEMA offers applicants multiple methods of correcting any discrepancy in their data to assure that the IA program will properly process their applications. Survivors may edit their data online or by contacting a National Processing Service Center (NPSC) representative via FEMA's toll-free Disaster Assistance Helpline.

**Privacy Risk:** There is a risk that DMARTS may contain source system data that may be inaccurate.

**Mitigation:** This risk is mitigated by the fact that DMARTS receives data either from FEMA source systems or directly from the individual to whom the data pertains. DMARTS presumes the accuracy of the information that it receives from other FEMA systems. If a redress request is filed, FEMA corrects the data within the underlying source systems. Once FEMA updates the information in the source systems (NEMIS-IA, HMGP, ACE, and EMMIE), these corrections or updates are matched with the applicant's registration number and the updates are uploaded into DMARTS.

**Privacy Risk:** Applicants for disaster assistance may upload more sensitive PII (SPII) than is necessary to document their disaster losses.

**Mitigation:** This risk is partially mitigated. FEMA has no control over the types of documents that applicants submit and does not audit the types of documents that have been submitted to cull out those that are unnecessary. However, NPSC agents do make recommendations on the types of documents that applicants should provide as proof of occupancy or ownership so as to limit the types of SPII that applicants choose to upload. Furthermore, applicants can request for specific documents or pages to be deleted from their files, and FEMA will comply as long as eligibility decisions were not made using the specific document as support. Additionally, while extraneous PII may be uploaded into DMARTS, FEMA will only use the information that is relevant to processing disaster assistance applications. FEMA will not use any information uploaded into DMARTS for reasons beyond the purpose of collection.

**Privacy Risk:** An applicant's information may be inaccurately indexed by FEMA personnel.

**Mitigation:** This risk is partially mitigated. There is currently no established mechanism for auditing indexed files. However, when most documents are added to an applicant's DMARTS



file, the entire file is flagged for review by FEMA staff to address the request. At this time, FEMA staff will review all documents in the file, and if a document is identified as having been incorrectly indexed, FEMA staff will report it to the Mailroom for removal. Additionally, staff are retrained on indexing as needed, and refresher trainings are conducted frequently.

## **Uses of the Information**

DMARTS Mailroom consolidates document management functions from multiple systems and information collection forms into a single integrated records management system to (1) streamline the disaster assistance application process; (2) aid in accurate and proper benefit determination; (3) assist in eliminating the duplication of effort and benefits; (4) assist in any fraud investigations for processing recoupment; and (5) to help the agency maintain the most up to date and accurate information on disaster applicants.

DMARTS OCFO and DMARTS OCPO use DMARTS to archive old contracts and travel vouchers for later search and retrieval. This is typically used to satisfy audit requests; however, there are business cases that require the retrieval of archival information that may be relevant to an in-process contract.

IA uses DMARTS as the repository for documentation supporting an application for disaster assistance where survivors can mail, fax, or upload any documentation necessary to prove occupancy, ownership, proof of identity, etc.

**Privacy Risk:** FEMA could use the information within DMARTS for purposes other than for the purposes for which it was collected.

**Mitigation:** FEMA mitigates this privacy risk in two ways: first, FEMA requests only the information that is required to process disaster assistance applications. Second, FEMA limits access in DMARTS to authorized users whose access is based on their roles and responsibilities and who have signed Rules of Behavior (RoB) documentation and Non-Disclosure Agreements (NDA).

## **Notice**

The previous PIA accurately describes the notice FEMA provides with regard to the information it collects and stores in DMARTS. FEMA provides notice of DMARTS collection of information using Privacy Act statements on all forms (both electronic and paper-based) collecting information from the public.



## Data Retention by the Project

The information in DMARTS is retained according to the following schedules:

- ACC-1-1: Financial Transaction Records (Official record held in the office of record.): These records are temporary and should be destroyed six years after final payment or cancellation, but longer retention is authorized, if required for business use.
- ACC-1-2: Financial Transaction Records (All other copies): These records are temporary, and should be destroyed when business use ceases.
- DAP-4-1: Public Assistance Files (Headquarters and Regional Files): These records are temporary and should be cut off when final audit and applicant appeals are resolved and completed. They should be retired to a Federal Records Center (FRC) one year after cutoff. These records should be destroyed six years and three months after cutoff.
- DAP-4-5: Public Assistance Files (Electronically received and processed disaster assistance grants for Public Assistance): These records are temporary, and the files should be deleted six years and three months after the grant closed, and the final audit and appeals are resolved and completed.
- DAP-7: Individual and Family (IFG) Program Files: These records are temporary, and should be closed out when the disaster contract is terminated. They should be retired to an FRC one year after closeout, and destroyed three years after closeout.
- DAP-8-1 Headquarters Activity (Disaster Assistance Program Individual Assistance (IA Division) Files (IA Program Files): These records are temporary, and they should be retired to inactive storage when two years old. They should be destroyed when six years and three months old.
- DAP-8-2: Headquarters Activity (Disaster Assistance Program Individual Assistance (IA Division) Files (Temporary Housing Files): These records are temporary and should be destroyed three years after close of the operation (when database elements have been defined).
- PRC-3-1: Financial Transaction Records (Official record held in the office of record): These records are temporary and should be destroyed six years after final payment or cancellation, but longer retention is authorized, if required for business use.
- PRC-3-2: Financial Transaction Records (All other copies): These records are temporary and should be destroyed when business use ceases.

This information is retained for FEMA business purposes including but not limited to processing of financial transactions, processing recoupment, processing public assistance grants, and processing individual assistance applications. These records will be destroyed and/or retired according to the schedules identified above.



**Privacy Risk:** DMARTS may retain information for longer than necessary to fulfill FEMA's mission.

**Mitigation:** FEMA mitigates this privacy risk by minimizing the length of time it retains data in the system in accordance with the mission of its assistance programs. In addition, users are trained on proper procedures with respect to records retention and disposal. Records retention information is written into the DMARTS user manual and Standard Operating Procedures. DMARTS is capable of automatically removing old files, as necessary and appropriate in accordance with the records schedule.

## **Information Sharing**

There are no changes to any information sharing that was described in the original PIA as part of this PIA update.

Information from FEMA Form 127-0-1 Debt Collection Financial Statement may be shared with the Department of Treasury (Treasury) for the purposes of debt collection. Information shared with the Treasury is covered by the DHS/ALL-008 Accounts Receivable System of Records under Routine Use J, which allows DHS to share with other federal agencies that provide financial management services for DHS Components under a cross-servicing agreement for purposes such as budgeting, purchasing, procurement, reimbursement, reporting, and collections functions. This information sharing is also covered by a Statement of Work (SOW) between Treasury and FEMA, which binds the financial institutions acting on behalf of Treasury to protect that information from unauthorized access and/or release.

**Privacy Risk:** There is a privacy risk that Treasury will share the information received from FEMA for purposes beyond the collection of debts owed to FEMA.

**Mitigation:** This risk is mitigated by language in the SOW between FEMA and Treasury that binds Treasury to protect this information from unauthorized disclosure and to only those uses outlined in the SOW.

**Privacy Risk:** There is a privacy risk that the financial institutions working on behalf of Treasury will share the information they receive with unauthorized third parties.

**Mitigation:** This risk is mitigated by language in the SOW between FEMA and Treasury that binds these Financial Institutions from further sharing the information they receive from FEMA and Treasury.



## **Redress**

There previous PIA accurately describes the redress, access, and correction procedures related to information in DMARTS. The changes described in this update do not impact or poses any redress risks.

## **Auditing and Accountability**

There are no changes to how DMARTS ensures the information is used in accordance with stated practices in this PIA update, nor have there been any changes related to privacy training since the original PIA publication. FEMA information systems, including DMARTS, use role-based access control mechanisms to control access to both data and functionality to only FEMA users with an authorized need to know for the information and specific applications. This type of access control ensures that users only have access to the data that is appropriate to their user role and not all data contained within DMARTS. Permissions for access to the data and functions used to manipulate the data have been pre-defined for each FEMA position, based on the principles of separation of duties and need to know. This policy pertains to both full-time and disaster assistance personnel (including contractors).

## **Responsible Official**

William H. Holzerland  
Senior Director for Information Management  
Office of the Chief Administrative Officer  
Federal Emergency Management Agency  
U.S. Department of Homeland Security

## **Approval Signature**

[Original, signed copy on file with the DHS Privacy Office]

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Philip S. Kaplan  
Chief Privacy Officer  
Department of Homeland Security



## **APPENDIX A: FEMA Forms and OMB Control Numbers**

### **OMB Control No. 1660-0061 Federal Assistance to Individuals and Households Programs:**

- FEMA Form 010-0-11 (formerly FEMA Form 90-153), “Individual and Households Program (IHP) – Other Needs Assistance Administrative Option Selection”;
- FEMA Form 010-0-12 (English), “Application for Continued Temporary Housing Assistance”;
- FEMA Form 010-0-12S (Spanish), “Solicitud para Continuar la Asistencia de Vivienda Temporera”

### **OMB Control No. 1660-0002, Disaster Assistance Registration:**

- FEMA Form 009-0-1 (English), Application/Registration for Disaster Assistance;
- FEMA Form 009-0-1T (English), Tele-Registration, Application for Disaster Assistance;
- FEMA Form 009-0-1Int (English), Internet Application/Registration for Disaster Assistance;
- FEMA Form 009-0-1S (English), Smartphone, Disaster Assistance Registration;
- FEMA Form 009-0-2 (Spanish), Solicitud en Papel / Registro Para Asistencia De Desastre;
- FEMA Form 009-0-2Int (Spanish), Internet, Registro Para Asistencia De Desastre;
- FEMA Form 009-0-2S (Spanish) Smartphone, Registro Para Asistencia De Desastre;
- FEMA Form 009-0-3 (English), Declaration and Release Form;
- FEMA Form 009-0-4 (Spanish), Declaración Y Autorización;
- FEMA Form 009-0-5 (English), Temporary Housing Program-Receipt for Government Property; and
- FEMA Form 009-0-6 (Spanish), Recibo de la Propiedad del Gobierno.

### **OMB Control No. 1660-0011**

- FEMA Form 127-0-1 Debt Collection Financial Statement



## **APPENDIX B: Privacy Act Notice**

### **PRIVACY ACT NOTICE**

**AUTHORITY:** FEMA collects, uses, maintains, retrieves, and disseminates the records within this system under the authority of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (the Stafford Act), Pub. L. No. 93-288, as amended, 42 U.S.C. §§ 5121-5207; 6 U.S.C. §§ 776-77, 795; the Debt Collection Improvement Act of 1996, 31 U.S.C. §§ 3325(d), 7701(c) (1); the Government Performance and Results Act, Pub. L. No. 103-62, as amended; Reorganization Plan No. 3 of 1978; Executive Order 13411, "Improving Assistance for Disaster Victims," August 29, 2006; and Executive Order 12862 "Setting Customer Service Standards," September 11, 2003, as described in this notice.

**PRINCIPAL PURPOSE(S):** This information is being collected for the primary purpose of determining eligibility and administering financial assistance under a Presidentially-declared disaster. Additionally, information may be reviewed internally within FEMA for quality assurance purposes and used to assess FEMA's customer service to disaster assistance applicants. Under the authority of the Stafford Act, FEMA collects the Social Security number (SSN) to verify an applicant's identity and to prevent a duplication of benefits.

**ROUTINE USE(S):** FEMA may share the personal information of U.S. citizens and lawful permanent residents contained in their disaster assistance files outside of FEMA as generally permitted under 5 U.S.C. § 552a(b) of the Privacy Act of 1974, as amended. FEMA may share the personal information of non-citizens, as permitted by the DHS/FEMA/PIA-049 Individual Assistance (IA) Program (January 11, 2018) and DHS/FEMA/PIA-015 Quality Assurance Recording System (Aug. 15, 2014) PIAs. This includes sharing your personal information with federal, state, tribal, local agencies and voluntary organizations to enable individuals to receive additional disaster assistance, to prevent duplicating your benefits, or for FEMA to recover disaster funds received erroneously, spent inappropriately, or through fraud as necessary and authorized by routine uses published in DHS/FEMA-008 Disaster Recovery Assistance Files Notice of System of Records, 78 Fed. Reg. 25,282 (Apr.30, 2013) and upon written request, by agreement or as required by law.

**CONSEQUENCES OF FAILURE TO PROVIDE INFORMATION:** The disclosure of information, including the SSN, on this form is voluntary; however, failure to provide the information requested may delay or prevent the individual from receiving disaster assistance.

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