

US Department of Health and Human Services

Privacy Impact Assessment

Date Signed:

10/06/2017

OPDIV:

OS

Name:

Tracking Accountability in Government Grants System DQDA

PIA Unique Identifier:

P-6824599-028744

The subject of this PIA is which of the following?

Minor Application (stand-alone)

Identify the Enterprise Performance Lifecycle Phase of the system.

Operations and Maintenance

Is this a FISMA-Reportable system?

Yes

Does the system include a Website or online application available to and for the use of the general public?

Yes

Identify the operator.

Agency

Is this a new or existing system?

Existing

Does the system have Security Authorization (SA)?

Yes

Indicate the following reason(s) for updating this PIA.

PIA Validation

Describe in further detail any changes to the system that have occurred since the last PIA.

Tracking Accountability in Government Grants System (TAGGS) and Data Quality Database Application (DQDA) were consolidated into one system/boundary.

Describe the purpose of the system.

The TAGGS program provides a single system within HHS for collecting, storing and reporting financial assistance awarded by the 11 HHS Operating Divisions (OPDIVs) to support the Federal Funding Accountability and Transparency Act (FFATA) and both internal and external stakeholders providing transparency of federal funds displaying how tax payers' money is spent. TAGGS is a management tool for HHS and its database collects and submits information about HHS grants data to USASpending.gov and makes the data available to the public.

TAGGS allows internal users, Congress, government agencies, interest groups, & the general public the ability to query the database for info on all HHS' domestic & international grants (from 1995 forward).

It monitors and tracks 11 HHS operating divisions grant awards' submission statuses to their respective Centers of Excellence (COE) systems through use of the Key Performance Indicators (KPI).

DQDA is a data quality tool using metrics to measure Completeness, Timeliness, and Accuracy, defined below:

Completeness is a measure of submitted fields that are non-blank. It is expressed as a percentage derived by dividing the number of fields containing data over the total number of record fields available to contain data. The simple algorithm captures this performance metric during each submission cycle, to be viewed in aggregated or disaggregated format. TAGGS standard interface file (SIF) and FFATA submission file formats contain the total range of reportable fields.

The Timeliness metric measures the time difference between the reporting due date as predetermined by federal law, statute, regulation or policy and the actual date of posting in the respective system. The Timeliness percentage is calculated by dividing the number of records received that achieve the performance threshold for a specified period, by the total number of records received. Note that only new records are measured. The calculation measures the difference between the date received in TAGGS and the award's Action Issue Date. Legislation mandates a maximum of 5 days from the Action. Issue Date (award date) until available in TAGGS. Downstream reporting in USASpending (FFATA) is required within 30 days.

Accuracy is a metric where values are obtained from an alternate authoritative data source, or system of record, such as the CFDA.gov database. DQDA calculates Accuracy as a percentage of validated fields whose data matches that in the system of record.

Describe the type of information the system will collect, maintain (store), or share.

TAGGS collects and maintains current and past grant award information, congressional district of grantees, grant program names, recipient (grantee) business names (Project Director, Principle Investigator, and other points of contact), grantee recipients' locations (organizations' states, cities, zip codes, and/or congressional districts), awarding OpDivs, transaction amounts (or sum of transactions) and fiscal year of grants.

Direct contractors have access to the system via the same user name and password which is also stored at triple I.

A disclaimer notifying users that they are following external links to websites not owned or operated by HHS is incorporated on the website.

The Data Quality Database Application (DQDA) is a business support tool that monitors and tracks the 11 HHS operating divisions grant awards' submission statuses to their respective Centers of Excellence (COE) systems through use of three key performance indicators (KPI): completeness, timeliness, and accuracy. DQDA incorporates these measures to HHS portfolio and data managers with a tool that quickly identifies and measures data quality in terms of a performance standard.

DQDA shares, collects and utilizes the same grants data stored in the TAGGS database but with a different purpose and that purpose is to evaluate the performance of data as it travels from the source COE systems-to-TAGGS-to-USASpending.gov. There is no way for any PII to be reported out of DQDA.

DQDA is available internal-only to HHS users and not the general public or other federal agencies.

DQDA uses credentialing requiring a user name and password to access the system. The credentials are stored on the same database server as the TAGGS website which is maintained by Triple I. It is located behind the HHS firewall and inaccessible to the general public.

Provide an overview of the system and describe the information it will collect, maintain (store), or share, either permanently or temporarily.

TAGGS is HHS's central repository for all HHS grant transaction data. It allows users to view standard TAGGS-generated reports or query the database for current and past grant award information. Congressional district, grant program name, recipient (grantee) business name, recipient location (state, city, zip, and/or congressional district), awarding OpDiv, transaction amount (or sum of transactions) and fiscal year are some commonly searched TAGGS fields. These fields are not associated with any individual, but the legal business address information as found on General Services Administration (GSA's) SAM.gov website.

TAGGS tracks obligated grant funds of mandatory and discretionary grant programs at the transaction level.

Office of Grant System Modernization (OGSM) uses TAGGS data to track grant program funding and the distribution of awards across the fiscal year, provide award data for grant program oversight reviews, and to develop reports in responses to inquiries from within HHS that may originate from a number of offices within the Office of the Secretary (OS) and the OpDivs.

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DQDA utilizes the same grants data stored in the TAGGS database for a different purpose; and that purpose is to evaluate the performance of data as it travels from the source COE systems-to-TAGGS-to-USASpending.gov. There is no way for any PII to be reported out of DQDA.

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Does the system collect, maintain, use or share PII?

Yes

Indicate the type of PII that the system will collect or maintain.

Name

E-Mail Address

Mailing Address

User name and password

Indicate the categories of individuals about whom PII is collected, maintained or shared.

Employees

Public Citizens

Business Partner/Contacts (Federal/state/local agencies)

Vendor/Suppliers/Contractors

Information on employees is limited to names only of federal grant managers and administrators.

How many individuals' PII is in the system?

10,000-49,999

For what primary purpose is the PII used?

The personally identifiable information (PII) is used to track grant program funding and the distribution of awards across the fiscal year, provide award data for grant program oversight reviews, and to develop reports in response to inquiries from within HHS that may originate from a number of offices within the Office of the Secretary (OS) and the OpDivs.

TAGGS also provides HHS a tool to respond to Freedom of Information Act (FOIA) requests as well as other requests for grant information from the public, other executive agencies, the White House, and Congress.

Information is shared with the Office of Management and Budget (OMB) to be published on USAspending, as described previously. However, this information will not include PII.

The records to be maintained in this system are not about individuals, but are about grants to entities, so the Privacy Act does not apply to them and no SORN is required. Names and contact information of HHS and grantee entity representatives (i.e., PII), will be used to query the system, but the records retrieved will not be about the contact persons

Data is validated against data in grants.gov to verify individuals are valid recipients, but this is not a "data matching" process as defined by the Computer Matching Act.

Describe the secondary uses for which the PII will be used.

Not applicable. No Secondary use.

Identify legal authorities governing information use and disclosure specific to the system and program.

42 US Code, The Public Health and Welfare. This is the Title of the US Code that implements HHS and provides it with the legal authority to operate.

Are records on the system retrieved by one or more PII data elements?

No

Not Applicable

Identify the sources of PII in the system.

Government Sources

Within OpDiv

Other Federal Entities

Non-Governmental Sources

Public

Private Sector

Identify the OMB information collection approval number and expiration date

Not applicable

Is the PII shared with other organizations?

Yes

Identify with whom the PII is shared or disclosed and for what purpose.

Within HHS

TAGGS collects and maintains current and past grant award information, congressional district of grantees, grant program names, recipient (grantee) business names (Project Director, Principle Investigator, and other points of contact), grantee recipients' locations (organizations' states, cities, zip codes, and/or congressional districts), awarding OpDivs, transaction amounts (or sum of transactions) and fiscal year of grants. It remains internal to HHS for research purposes to improve the TAGGS user experience. Only three TAGGS contract personnel have direct access to the data table where PII is physically stored; however, only the TAGGS application administrator would routinely access this information. Access is required in order to route the request, comment, or issue to the government, or contractor, personnel tasked with answering the respondent, or resolving a problem.

Other Federal Agencies

Only three TAGGS contract personnel have direct access to the data table where PII is physically stored; however, only the TAGGS application administrator would routinely access this information. Access is required in order to route the request, comment, or issue to the government, or contractor, personnel tasked with answering the respondent, or resolving a problem.

Private Sector

Only three TAGGS contract personnel have direct access to the data table where PII is physically stored; however, only the TAGGS application administrator would routinely access this information. Access is required in order to route the request, comment, or issue to the government, or contractor, personnel tasked with answering the respondent, or resolving a problem.

Describe any agreements in place that authorizes the information sharing or disclosure.

Data is validated against the System for Award Management (SAM) from GSA.

Describe the procedures for accounting for disclosures.

N/A

Describe the process in place to notify individuals that their personal information will be collected. If no prior notice is given, explain the reason.

During the application process the Principle investigators (the person who is receiving the award) name is required on the SF-424 (application for grants). Their name is listed as the grant recipient in TAGGS, as a result they are aware of the collection of their PII. DQDA contains aggregated data only and no individual data.

Is the submission of PII by individuals voluntary or mandatory?

Voluntary

Describe the method for individuals to opt-out of the collection or use of their PII. If there is no option to object to the information collection, provide a reason.

If a principle investigator wished to opt out then the government has no way of knowing who to send the award funding too. A blank check is not an option and neither is not submitting their name. DQDA does not contain or display any individual information, rather most of the data is aggregated. The DQDA is a site that we use internally for statistical reporting. No PII information is available.

Process to notify and obtain consent from individuals whose PII is in the system when major changes occur to the system.

Any change to the original agreement is made through the generation of a new notice of agreement. DQDA does not contain or display any individual information, all of the data is aggregated.

Describe the process in place to resolve an individual's concerns when they believe their PII has been inappropriately obtained, used, or disclosed, or that the PII is inaccurate.

A formal process does not exist, however, if concerned the users can contact the TAGGS team via the website and a timely and appropriate response will be given. This method of contact has been the primary source for users since the existence of TAGGS. PII is not available on the DQDA site. NO PII.

Describe the process in place for periodic reviews of PII contained in the system to ensure the data's integrity, availability, accuracy and relevancy.

The TAGGS systems and its data is continuously maintained and monitored by the contractor TAGGS admins. All data collected from feeder systems is verified for authenticity and rejected if PII is detected. TAGGS adheres to all Cyber-security annual certification and accreditation requirements and also the 3-year Authority-to-Operate requirements. Disclosure outside of TAGGS (DQDA) is not permitted.

Identify who will have access to the PII in the system and the reason why they require access.

Users:

Data entry

Administrators:

Direct Contractors who need access to respond to user inquiries.

Developers:

Adjustments for OMB requirements.

Contractors:

Direct Contractors acting as System administration.

Describe the procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII.

Only three TAGGS contract administrators have direct access to the data table where PII is physically stored; however, only the TAGGS application administrator would routinely access this information. PII data is not contained within the DQDA Data.

Describe the methods in place to allow those with access to PII to only access the minimum amount of information necessary to perform their job.

The contract administrators have been granted administrative authority by HHS security team to manage and maintain the TAGGS systems. Administrative and technical controls deny access to all other non-vetted personal. PII data is not contained within the DQDA Data.

Identify training and awareness provided to personnel (system owners, managers, operators, contractors and/or program managers) using the system to make them aware of their responsibilities for protecting the information being collected and maintained.

All employees take Annual HHS Information Systems Security Awareness Training; and the Annual HHS Privacy Training.

Describe training system users receive (above and beyond general security and privacy awareness training).

The direct contractor team must take the additional Code of Ethics and Business Conduct Live Training, or within 30-days of employment.

Do contracts include Federal Acquisition Regulation and other appropriate clauses ensuring adherence to privacy provisions and practices?

Yes

Describe the process and guidelines in place with regard to the retention and destruction of PII.

The Tracking Accountability in Government Grants System (TAGGS), N1-468-10-002, is an extensive tool developed by the Department of Health and Human Services (HHS) Office of Grants. The TAGGS database is a central repository for grants awarded by all HHS Operating Divisions (OPDIVs). TAGGS tracks obligated grant funds at the transaction level. It allows internal users, Congress, government agencies, interest groups, and the general public the ready ability to query the database for information on all HHS domestic and international grants. Data is from 1995 to the present. The disposition of the grant case files is covered by NCI-235-80-01, item 201-27, a Master file. The central repository maintains all HHS grant transaction data - current and past grant award information, Congressional district, grant program name, recipient (grantee) name, recipient location (state, City, zip, and/or congressional district), and awarding OPDIV transaction amount (or sum of transactions). It also includes summary abstracts of some grant projects. The grants are closed after final audit or payment of grant.

Describe, briefly but with specificity, how the PII will be secured in the system using administrative, technical, and physical controls.

Administrative Controls: The PII information is written to a single Oracle table on the TAGGS Production database server. Only three security-vetted TAGGS system administrators have access to this table. These administrators use multiple-factor authentication to log onto the TAGGS database server.

Technical Controls: The TAGGS Production database server, and its resident PII data table, is protected by two separate network firewalls that are continuously monitored by HHS Office of Information Security. TAGGS undergoes security scanning. Found vulnerabilities receive immediate attention, evaluated, corrected, and/or patch updated.

Physical Controls: The TAGGS Production database server is located in the Managed Application Hosting Center (MAHC), and physically controlled by the hosting contractor, Triple-i. Physical access to the center is restricted to badged Triple-I employees only. The MAHC also provides system maintenance, backup services along with intrusion detection and firewalls.

DQDA is housed in the same architecture as TAGGS, therefore, protected by the same security measures. However, DQDA is only for internal HHS use and does not collect any PII data.

Identify the publicly-available URL:

<https://taggs.hhs.gov>

DQDA is not visible or accessible for public use or persons out of the HHS boundary.

Does the website have a posted privacy notice?

No

Does the website use web measurement and customization technology?

Yes

Select the type of website measurement and customization technologies is in use and if it is used to collect PII.

Session Cookies that do not collect PII.

Persistent Cookies that do not collect PII.

Other technologies that do not collect PII:

Webtrends Analytic Tool

Does the website have any information or pages directed at children under the age of thirteen?

No

Does the website contain links to non- federal government websites external to HHS?

No

Is a disclaimer notice provided to users that follow external links to websites not owned or operated by HHS?

No