



Privacy Impact Assessment

For

Strategic Plan Quarterly Performance Reporting (QPR) Database

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Point of Contact, System Owner, and Author:

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1. System Information.

Describe the system - include system name, system acronym, and a description of the system, to include scope, purpose and major functions. Indicate whether the system is new or existing and whether or not the PIA is new or being updated from a previous version; specify whether the system is “agency” or “contractor.”

This is a new PIA for a new agency system named the Strategic Plan Quarterly Performance Reporting (QPR) Database.

The Performance Improvement Office (PIO) partners with the U.S. Department of Education’s program offices to ensure compliance with the Department’s Strategic Plan as required by GPRA MA-2010 and Office of Management and Budget (OMB) Circular A-11. The central point for reporting to and coordination with OMB is the PIO. Prior to the creation of the Strategic Plan Quarterly Performance Reporting (QPR) database, the PIO used Word Templates: 22 templates each quarter for the initial request sent via e-mail to each office, then 22 submissions were returned via e-mail. This equates to 44 templates being tracked per quarter per fiscal year. The change request process was also handled via these submitted template requests sent via email and their subsequent return to the PIO. Without the QPR Database, the possibility exists for inaccuracy in performance metrics or strategic goal team leadership information due to improper vetting during the approval process. Other regulatory reporting requirements (i.e., Annual Performance Report - Appendix A, Agency Priority Goals (APGs) quarterly reporting, Summary of Findings to OMB) also utilize data and information from the QPR Database.

This Access database removes much of the manual work required of the program offices for quarterly reporting compliance.

- The QPR database provides a centralized tool that strategic goal teams access to perform their quarterly reporting responsibilities; it also assists the goal teams in the management of their performance metrics by providing performance results data- trending year-over-year; additionally, it captures quarterly actuals and provides actual-to-target percentages so that Goal Teams can gauge their progress towards meeting their performance targets.
- The QPR database automates the performance metric change request process noted in paragraph one, above. Performance metric changes and strategic leadership changes must be reviewed and approved either by senior leadership internally, or, in the case of an external (public) metric, OMB. Prior to the database these change requests were submitted via the same Word templates referenced in the opening paragraph; at times change requests would be missed and not processed, or changes would occur without the proper approvals being obtained.
- The QPR database centralizes and consolidates supporting documentation pertaining to assumptions and methodologies related to each performance metric, metric formulation, and data verification and validation; the database further strengthens the integrity of the performance reporting process.
- The QPR database documents data quality, limitations and improvements required to be reported in the Department’s Annual Report Appendix A.
- The QPR database provides the data used to report to OMB mid-year and end-of-year on strategic objective progress assessments, documents this information, and makes it accessible to each goal team.
- The QPR database provides an easily accessible central location for performance resources (GPRA guidance, OMB A-11 guidance, the PIO SharePoint site, etc.).



- The QPR database will also house the quarterly information collected for APGs (currently collected via 6 additional Word Templates each quarter).

2. Legal Authority.

Cite the legal authority to collect and use this data. What specific legal authorities, arrangements, and/or agreements regulate the collection of information?

Compliance with the Department's strategic plan as required by GPRA MA-2010 and OMB Circular A-11.

3. Characterization of the Information.

What elements of personally identifiable information (PII) are collected and maintained by the system (e.g., name, social security number, date of birth, address, phone number)? What are the sources of information (e.g., student, teacher, employee, university)? How is the information collected (website, paper form, on-line form)? Is the information used to link or cross-reference multiple databases?

The system collects strategic goal owner/leader and strategic objective owner/leader names, official ED titles, and ED e-mail addresses. The source of this information is the goal team and senior leadership; the information is collected via quarterly email data calls to each strategic goal team (please refer to the 44 Word Templates prior to the creation of the QPR Database; question 1, paragraph 1). Any changes made to the strategic goal/objective owners/leaders information must be approved by Senior Leadership, and if for an external (public) metric, OMB. This information is not used to cross-link databases. The information is housed within the QPR database to perform quarterly and annual reporting of these metrics internally to ED, and publicly to OMB regarding external metrics and performance.gov.

4. Why is the information collected?

How is this information necessary to the mission of the program, or contributes to a necessary agency activity? Given the amount and any type of data collected, discuss the privacy risks (internally and/or externally) identified and how they were mitigated.

The database provides the program offices with a centralized tool that strategic goal teams access when they perform their quarterly reporting responsibilities. It also assists the goal teams in the management of their performance metrics by providing performance results which may be data trending year-over-year; the database also captures quarterly actuals and provides actual-to-target percentages so that goal teams can gauge their progress towards meeting performance targets.

For external metrics (those reported publicly), we are required to report this information in the Department's Annual Performance Report, and at performance.gov.

Access to this information is limited by network permissions and managed by the system owner, and processed via the ISSO. Unless someone is granted access to the shared drive folder where the database is housed, the information cannot be accessed. Currently, access has been granted to specific members of each goal team who will be entering and managing this data and the PIO who is responsible for strategic plan performance reporting on behalf of the Department.



5. Social Security Number (SSN).

If an SSN is collected and used, describe the purpose of the collection, the type of use, and any disclosures. Also specify any alternatives that you considered, and why the alternative was not selected. If system collects SSN, the PIA will require a signature by the Assistant Secretary or designee. If no SSN is collected, no signature is required.

Quarterly Performance Reporting (QPR) Database does not collect, store, or maintain social security numbers.

6. Uses of the Information.

What is the intended use of the information? How will the information be used? Describe all internal and/or external uses of the information. What types of methods are used to analyze the data? Explain how the information is used, if the system uses commercial information, publicly available information, or information from other Federal agency databases.

The information is used to comply with regulatory reporting requirements such as: quarterly performance reporting, the Annual Performance Report - Appendix A, Agency Priority Goals quarterly reporting, and Summary of Findings to OMB.

7. Internal Sharing and Disclosure.

With which internal ED organizations will the information be shared? What information is shared? For what purpose is the information shared?

This information is shared with ED's Principal Offices, the Office of the Deputy Secretary and Office of the Secretary for the purposes of performance improvement and the sharing of progress towards agency strategic goals and strategic objectives.

8. External Sharing and Disclosure.

With what external entity will the information be shared (e.g., another agency for a specified programmatic purpose)? What information is shared? For what purpose is the information shared? How is the information shared outside of the Department? Is the sharing pursuant to a Computer Matching Agreement (CMA), Memorandum of Understanding or other type of approved sharing agreement with another agency?

The external (public) metric information is shared with OMB and posted on performance.gov as required by GPRA-MA of 2010 and OMB Circular A-11.

9. Notice.

Is notice provided to the individual prior to collection of their information (e.g., a posted Privacy Notice)? What opportunities do individuals have to decline to provide information (where providing the information is voluntary) or to consent to particular uses of the information (other than required or authorized uses), and how individuals can grant consent?

A Privacy Notice that meets the requirements of the Privacy Act, 5 U.S.C. 552a(e)(3), is not required in this situation since the information being collected is not part of a System of Records and the information is not retrieved by personal identifier.



10. Web Addresses.

List the web addresses (known or planned) that have a Privacy Notice.

There is no existing or planned website.

11. Security.

What administrative, technical, and physical security safeguards are in place to protect the PII? Examples include: monitoring, auditing, authentication, firewalls, etc. Has a C&A been completed? Is the system compliant with any federal security requirements?

The system is being offered the same protections as provided under the Educate contract via a Memorandum of Understanding that is being drafted by the ISSO. Further, permissions are managed by the system owner and Information System Security Officer (ISSO). The database is located on the network; unless someone is granted access to the shared drive folder where the database is housed, the information cannot be accessed. Current access has been granted to specific members of each goal team who will be entering and managing this data for each team, and the PIO who is responsible for strategic plan performance reporting on behalf of the Department.

12. Privacy Act System of Records.

Is the information within the system retrieved by personal identifier? If so, is a system of records being created or altered under the Privacy Act, 5 U.S.C. 552a? Is this a Department-wide or Federal Government-wide SORN? If a SORN already exists, what is the SORN Number?

Information within the system is not retrieved by name or personal identifier, so a System of Records Notice is not required.

13. Records Retention and Disposition.

Is there a records retention and disposition schedule approved by the National Archives and Records Administration (NARA) for the records created by the system development lifecycle AND for the data collected? If yes – provide records schedule number:

Records are maintained and disposed of in accordance with the Department's Records Disposition Schedule for Program Management Files (ED 066); NARA disposition authority: N1-441-10-1.