US Department of Health and Human Services

Privacy Impact Assessment

Date Signed:

11/14/2016

OPDIV:

AHRQ

Name:

Children's Health Insurance Program Reauthorization Act (CHIPRA)

PIA Unique Identifier:

P-4557193-455270

The subject of this PIA is which of the following?

Minor Application (child)

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.

Contractor

Is this a new or existing system?

New

Does the system have Security Authorization (SA)?

Yes

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

Describe the purpose of the system.

The Children's Health Insurance Program Reauthorization Act (CHIPRA) of 2009 was signed into law by President Obama in January 2009. Since that time, AHRQ and the Centers for Medicare & Medicaid Services (CMS) have been working together to implement selected provisions of the legislation related to children's health care quality. This system supports a CHIPRA website that allows for the collaboration and information sharing necessary to fulfill a number of requirements under Title IV of CHIPRA. The system provides information on the identification of an initial core set of children's health care quality measures; the implementation and information related to the CHIPRA Pediatric Quality Measures Program using grants and contracts; and, an evaluation of CMS's Quality Demonstration project awards for modeling a Children's Electronic Health Record Format. This application also provides information on these activities and links to additional AHRQ and CMS resources on children's health care quality. Finally, the website provides a listing of AHRQ and CMS cooperative grants that are provided to CHIPRA Pediatric Healthcare Quality Measures Program Centers of Excellence (COE).

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

The system supports a website that collects and consolidates several resources, including AHRQ Impact Case Studies, Assistance on Health Initiatives, and Measurement and Reporting Tools that are made available for public consumption. The website also provides Information regarding AHRQ's National Evaluation of the CHIPRA Quality Demonstration Grant Program, and information on the evolving format for a children's electronic record format.

The type of information that is collected and shared by the system includes a listing of partnerships and collaboration for18 States that are implementing projects in five general categories: the use of quality measures, health information technology applications, provider-based delivery models, use of a model format for pediatric electronic health records, and other innovative approaches to improve quality. Information in the form of research reports are also provided by the website for public consumption on the various goals and milestones for implementing CHIPRA. State level grant information and reports include point of contact information, to include a name, organization, phone number, mailing address, and email address. In addition, a listing of CHIPRA national evaluation team is provided on the website, listing first and last name. Individuals that choose to follow CHIPRA program and project updates can also submit their email address to follow list serves. In addition, direct contractors AHRQ email and password are collected to provision account access for system development and maintenance purposes.

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

The system collects statistical data, results from studies, and anonymized reports are provided to the system for publication to the website. This information is provided in the form of case studies, statistical information, and current status of grants research provided by state level sections with specific information about current projects and reports. State level grant information and reports include point of contact information, to include a name, organization, phone number, mailing address, and email address. In addition, a listing of CHIPRA national evaluation team is provided on the website, listing first and last name. Individuals that choose to follow CHIPRA program and project updates can also submit their email address to follow list serves. System administrators and developers also provide a first and last name and AHRQ email address so that an account can be provisioned for access to the system.

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

Phone Numbers

System administrator and developer username and password

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

Public Citizens

How many individuals' PII is in the system?
100-499

For what primary purpose is the PII used?
The application collects a very limited amount of PII, in the form of email, to provide updates the CHIPRA programs via list serves and to provide a point of contact, in the form of name, phone number, email address, and mailing address, for a specific program or research project so that individuals may contact the program for more information. AHRQ employees and direct contractors provide PII for the system owner to provision accounts for system development and maintenance.

Describe the secondary uses for which the PII will be used.
N/A

Identify legal authorities governing information use and disclosure specific to the system and program.
Section 913 and 306 of the Public Health Service (PHS) Act (42 U.S.C. § 299b-2 and 242k(b)). Sections 924(c) and 308(d) of the PHS Act (42 U.S.C. 299c-3(c) and 242m(d)) provide authority for protecting restrictions on identifiable information about individuals.

Are records on the system retrieved by one or more PII data elements?
No

Identify the sources of PII in the system.
Email

Online

Government Sources
Within OpDiv

Non-Governmental Sources
Public

Identify the OMB information collection approval number and expiration date

N/A

Is the PII shared with other organizations?

No

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

Members of the public may elect to receive program news and updates by providing their email. Message provided at the point of collection states "To sign up for updates or to access your subscriber preferences, please enter your E-mail address." Individuals may also choose to provide their PII for the purpose of providing a point of contact for individuals to follow up on a specific piece of research or project. All PII provided to the program is not collected unless the individual chooses to provide the information. AHRQ employees and direct contractors are aware that they must provide an AHRQ email and name for account provision.

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.

Members of the public may choose to provide an email in order to receive program news and updates, however email submission is not necessary to view news and updates on the CHIPRA website. Individuals may also provide PII to provide a point of contact for specific projects or programs. As information is voluntary there is no option to object to the collection of information.

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

Members of the public, who elect to provide an email address, or information to serve as a point of contact for a specific project or research, will be alerted via email for any changes in the use of their email. PII collected is only used to provide email updates of program or research projects, or to identify a point of contact for a program or a research project. No other determinations are made about individuals using this collected PII. It is not anticipated that any major change that occurs to the system will not affect the way in which this PII is used, and as a result there is no planned notification in place to obtain consent of continued use of the PII.

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.

Members of the public may contact the program by mail, phone or email through the CHIPRA website to address a concern with any suspected inappropriate use or disclosure of PII. Any reported inappropriate use or disclosure is addressed directly by the system owner.

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

PII is used only for the purpose of receiving updates about CHIPRA programs or projects, or to provide for a point of contact for specific projects or programs. The information is assumed accurate at the time of submission for this purpose. Once submitted an individuals' PII is no longer used for any other purpose. As a result, no reviews are conducted to ensure the data's integrity, accuracy, and relevancy.

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

Administrators:

Administrators have access to PII in order to release program news and updates to members of the public who have elected to receive information.

Developers:

Developers have access to the system to provide system maintenance, ensure system operations, and maintain the system website.

Contractors:
Direct contractors who serve as system administrators and developers.

Describe the procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII.
Developers are not firewalled from the limited PII within the system, however the role of the developer does not require use or view of PII to incorporate data into applicant profiles that may be received through email. Roles are defined and established by the AHRQ CHIPRA business owner point of contact and users are assigned access and privileges by a system administrator under the direction and approval of the CHIPRA business owner.

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.
Once roles for accessing the CHIPRA system are assigned and approved by the business owner a system administrator assigns access based upon the role. Each role within the system is segregated by the ability to access the system, and PII within the system. Roles are managed by the system owner and any authorized individual who needs additional access to the system, and to the PII that resides on the system, must be approved by the system owner before additional levels of access is granted.

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 AHRQ employees and direct contractors that support the AHRQ CHIPRA system must complete the AHRQ annual Information Technology Security and Privacy Annual Training.

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

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.
No records schedule currently exists for this system. Records will be maintained until a records schedule has been identified.

Describe, briefly but with specificity, how the PII will be secured in the system using administrative, technical, and physical controls.
The administrative controls used in this system include controls for all direct contractors with system security roles and responsibilities to take specialized security training from security certification bodies, vendors, etc. The technical controls used on this system include Role based identification. It is done to enforce access restrictions. Administrations are only given the rights to read write and execute on their roles. Physical controls include, but are not limited to the use of locked cabinets to store server hardware, which are housed in an access-controlled, secure data center. All controls are documented fully in the Security Assessment Report (SAR).

Identify the publicly-available URL:
http://www.ahrq.gov/policymakers/chipra/index.html

Note: web address is a hyperlink.

Does the website have a posted privacy notice?
Yes

Is the privacy policy available in a machine-readable format?
Yes

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.

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?
Yes

Is a disclaimer notice provided to users that follow external links to websites not owned or operated by HHS?
No