

Signed Date: 7/9/2018

**Acronyms**

- ATO - Authorization to Operate
- CAC - Common Access Card
- FISMA - Federal Information Security Management Act
- ISA - Information Sharing Agreement
- HHS - Department of Health and Human Services
- MOU - Memorandum of Understanding
- NARA - National Archives and Record Administration
- OMB - Office of Management and Budget
- PIA - Privacy Impact Assessment
- PII - Personally Identifiable Information
- POC - Point of Contact
- PTA - Privacy Threshold Assessment
- SORN - System of Records Notice
- SSN - Social Security Number
- URL - Uniform Resource Locator

**General Information**

<b>PIA Name:</b>	HRSA - IM CoIIN - QTR3 - 2019 - HRSA367954	<b>PIA ID:</b>	1078744
<b>Legacy PIA ID:</b>		<b>Title:</b>	HRSA - Infant Mortality Collaborative Improvement and Innovation Network 2.0

**PTA**

<b>PTA - 1A:</b>	Identify the Enterprise Performance Lifecycle Phase of the system	Operations and Maintenance
<b>PTA - 1B:</b>	Is this a FISMA-Reportable system?	Yes
<b>PTA - 2:</b>	Does the system include a website or online application?	No
<b>PTA - 2A:</b>	Are any of the URLs listed accessible by the general public (to include publicly accessible log in and internet websites/online applications)?	

**URL Details**

Type of URL	List Of URL	
Other	https://ikndata.insurekidsnow.gov/WebExternal/Login.aspx (Administrative website	
Other	PII collected as a means of contacting system users). http://insurekidsnow.gov/ (Publicly available provider data	
Other	no PII available). The IKN Data Management system pushes provider data to an application embedded within an iframe on http://insurekidsnow.gov/, a website maintained by CMS (not within the system boundary). If there are cookies on that website, this system has no control over that.	
<b>PTA - 3:</b>	Is the system or electronic collection, agency or contractor operated?	Contractor
<b>PTA - 3A:</b>	Is the data contained in the system owned by the agency or contractor?	
<b>PTA - 5A:</b>	If yes, Date of Authorization	4/9/2019
<b>PTA - 5B:</b>	If no, Planned Date of ATO	7/31/2018
<b>PTA - 8:</b>	Please give a brief overview and purpose of the system by describing what the functions of the system are and how the system carries out those functions?	Collaborative Improvement and Innovation Networks (CoIINs) are multidisciplinary teams of federal, state, and local leaders working together

to tackle a common problem. Using technology to remove geographic barriers, grantees with a collective vision share ideas, best practices, and lessons learned, and track their progress toward similar benchmarks and shared goals. ColIN provides a way for grantees to self-organize, forge partnerships, and take coordinated action to address complex issues through structured collaborative learning, quality improvement, and innovative activities. The overall goal of ColIN is to reduce infant mortality in the participating states. Abt Associates will serve as the Infant Mortality (IM) ColIN Data and Technical Assistance (DATA) Contractor. Abt Associates is a direct contractor to HRSA but is not operating using agency credentials. The purpose of the DATA team is to provide ColIN teams with a common platform and ColIN infrastructure to meet IM ColIN initiative aims and ColIN team-specific aims. Abt is contracted to build out the IM ColIN 2.0 platform that will provide ColIN grantee teams with a web-based shared workspace for communication, collaborative learning and for tracking grantee's data. The IM ColIN and its participating grantee teams strive to reduce infant mortality in areas with high annual rates of, as well as disparities in, infant mortality and related perinatal outcomes.

**PTA - 9:**

List and/or describe all the types of information that are collected (into), maintained, and/or shared in the system regardless of whether that information is PII and how long that information is stored.

Participant's first names, last names, organization names, and email addresses will be used to create user accounts and profiles for the ColIN system. This information is only needed for this purpose, and participants have agreements in place for working on the ColIN system. This information is used to set user level permissions and distinguish between the different ColIN team users. The information entered into the system by participants include ColIN-wide and Team-specific data into the platform and view reports summarizing their data over time. Data entered into the platform will include six initiative-wide measures Infant Mortality Rate, Neonatal Mortality Rate, Post-neonatal Mortality Rate, Preterm-Related Mortality Rate, Sudden Unexpected Infant Death Rate, and Preterm Births for which IM ColIN participants will obtain data from state vital statistics offices and then enter it into the platform. IM ColIN Team-specific measures will include outcome and/or balancing measures to be developed by the Teams with assistance from the data team. These Team-specific measures (for example, percentage of infants sleeping on back) will complement the initiative-wide measures and be used to measure quality improvement and progress towards improvements in infant mortality. For all measures, participants will enter the following information into the platform: numerators and denominators for rates/percentages or counts, time/frequency, data source, and notes annotating the data (such as preliminary vs. final).

**PTA -9A:**

Are user credentials used to access the system?

<b>PTA - 9B:</b>	Please identify the type of user credentials used to access the system.	
<b>PTA - 10:</b>	Describe why all types of information is collected (into), maintained, and/or shared with another system. This description should specify what information is collected about each category of individual	IM ColIN 2.0 is a web-based platform built in Amazon Web Services (AWS) cloud platform. Users log in using a username and password. Each grantee is assigned to a ColIN team and user permission levels are set accordingly. There are 3 levels of user permissions: -Level 1 Administrator Privileges: Ability to read, write, upload, and edit all pages. -Level 2 Ability to read, write, and upload to indicated ColIN pages and respective state team pages. -Level 3 Ability to read, write, and upload to respective state(s) team page. IM ColIN platform is a collaboration site as well as a secure web-based/online data dashboard allowing participating organizations to report monthly quantitative and qualitative information on team-specific, common measures (i.e., outcome and process measures) that track progress towards the team aim. The system allows for limited access to the information/data by only users with log-on credentials. The system cannot be accessed without log-on credentials. One function of the IM ColIN platform is to track quantitative process and/or outcome measure data that will be displayed on the data dashboard website and used to measure improvement. ColIN grantee teams will enter initiative-wide and Team-specific data into the platform and view reports summarizing their data over time. Data entered into the platform will include six initiative-wide measures (for example, infant mortality rate) for which IM ColIN grantees will obtain data from state vital statistics offices and then enter it into the platform. IM ColIN Team-specific measures will include outcome and/or balancing measures to be developed by the Teams with assistance from the Data and Technical Assistance (DATA) team. These Team-specific measures (for example, percentage of infants sleeping on back) will complement the initiative-wide measures and be used to measure quality improvement and progress towards improvements in infant mortality.
<b>PTA - 10A:</b>	Are records in the system retrieved by one or more PII data elements?	Yes
<b>PTA - 10B:</b>	Please specify which PII data elements are used.	
<b>PTA - 11:</b>	Does the system collect, maintain, use, or share PII?	Yes

**PIA**

<b>PIA - 1:</b>	Indicate the type of PII that the system will collect or maintain
<b>PIA - 2:</b>	Indicate the categories of individuals about whom PII is collected, maintained, or shared
<b>PIA - 3:</b>	Indicate the approximate number of individuals whose PII is maintained in the system
<b>PIA - 4:</b>	For what primary purpose is the PII used?
<b>PIA - 5:</b>	Describe any secondary uses for which the PII will be used (e.g., testing, training, or research)
<b>PIA - 7:</b>	Identify legal authorities, governing information use and disclosure specific to the system and program

<b>PIA - 8:</b>	Provide the number, title, and URL of the Privacy Act System of Records Notice (SORN) that is being used to cover the system or indicate whether a new or revised SORN is in development.
<b>PIA - 9:</b>	Identify the sources of PII in the system
<b>PIA - 9A:</b>	Identify the OMB information collection approval number or explain why it is not applicable.
<b>PIA - 9B:</b>	Identify the OMB information collection expiration date.
<b>PIA - 10:</b>	Is the PII shared with other organizations outside the system's Operating Division?
<b>PIA - 11:</b>	Describe the process in place to notify individuals that their personal information will be collected. If no prior notice is given, explain the reason
<b>PIA - 12:</b>	Is the submission of PII by individuals voluntary or mandatory?
<b>PIA - 13:</b>	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
<b>PIA - 14:</b>	Describe the process to notify and obtain consent from the individuals whose PII is in the system when major changes occur to the system (e.g., disclosure and/or data uses have changed since the notice at the time of original collection). Alternatively, describe why they cannot be notified or have their consent obtained
<b>PIA - 15:</b>	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. If no process exists, explain why not
<b>PIA - 16:</b>	Describe the process in place for periodic reviews of PII contained in the system to ensure the data's integrity, availability, accuracy, and relevancy. Please address each element in your response. If no processes are in place, explain why not
<b>PIA - 17:</b>	Identify who will have access to the PII in the system and the reason why they require access
<b>PIA - 18:</b>	Describe the administrative procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII
<b>PIA - 19:</b>	Describe the technical methods in place to allow those with access to PII to only access the minimum amount of information necessary to perform their job
<b>PIA - 20:</b>	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
<b>PIA - 21:</b>	Describe training system users receive (above and beyond general security and privacy awareness training).
<b>PIA - 23:</b>	Describe the process and guidelines in place about the retention and destruction of PII. Cite specific NARA records retention schedule(s) and include the retention period(s)
<b>PIA - 24:</b>	Describe how the PII will be secured in the system using administrative, technical, and physical controls. Please address each element in your response
<b>PIA - 25:</b>	Describe the purpose of the web site, who has access to it, and how users access the web site (via public URL, log in, etc.). Please address each element in your response
<b>PIA - 26:</b>	Does the website have a posted privacy notice?

<b>PIA - 27:</b>	Does the website use web measurement and customization technology?
<b>PIA - 27A:</b>	Select the type of website measurement and customization technologies is in use and if it is used to collect PII
<b>PIA - 28:</b>	Does the website have any information or pages directed at children under the age of thirteen?
<b>PIA - 28B:</b>	Is there a unique privacy policy for the website and does the unique privacy policy address the process for obtaining parental consent if any information is collected?
<b>PIA - 29:</b>	Does the website contain links to non-federal government websites external to HHS?