

1. OPDIV	National Institutes of Health
2. PIA Unique Identifier	
2a. Name	NIGMS Scientific Information Reporting System (SIRS)
3. The subject of this PIA is which of the following?	Minor Application (child)
3a. Identify the Enterprise Performance Lifecycle Phase of the system.	Operational
3b. Is this a FISMA-Reportable system?	No
4. Does the system include a Website or online application available to and for the use of the general public?	No
<u>Accept / Reject Status</u>	Undefined
Question 4 Comment	
5. Identify the operator.	Agency
6. Point of Contact (POC)	
POC Title	Project Manager
POC Name	Christy Tran
POC Organization	NIGMS
POC Email	christy.tran@nih.gov
POC Phone	301 594 2680
<u>Accept / Reject Status</u>	Undefined
Question 6 Comment	
7. Is this a new or existing system?	New

8. Does the system have Security Authorization (SA)?	Yes
<u>Accept / Reject Status</u>	Undefined
Question 8 Comment	
8a. Date of Security Authorization	5/15/2018
9. Indicate the following reason(s) for updating this PIA. Choose from the following options.	PIA Validation (PIA Refresh/Annual Review)
Other	
<u>Accept / Reject Status</u>	Undefined
Question 9 Comment	
10. Describe in further detail any changes to the system that have occurred since the last PIA.	The National Institutes of Health (NIH) implemented an NIH-wide information technology (IT) realignment, which requires all IT resources to reevaluate related privacy controls. As a result of the realignment, this system is now subset of the NIGMS Information Technology Infrastructure System (NITI). The SIR's functions remain unchanged.
<u>Accept / Reject Status</u>	Undefined
Question 10 Comment	
11. Describe the purpose of the system.	SIRS replaced the functionality of APRSIS, a non-NIGMS System. SIRS support the tracking of NIGMS grants through the submittal of grantee Annual Progress Reports (APRs). It will provide NIGMS the ability to generate internal reports and have easy access to data necessary for Congressional reporting.
<u>Accept / Reject Status</u>	Undefined

Question 11 Comment	
12. Describe the type of information the system will collect, maintain (store), or share. (Subsequent questions will identify if this information is PII and ask about the specific data elements.)	The system collects: grant data; research data; institutional profile data; personnel roster data; evaluation data; publication data; subproject data; research highlight data and facility data.
<u>Accept / Reject Status</u>	Undefined
Question 12 Comment	
13. Provide an overview of the system and describe the information it will collect, maintain (store), or share, either permanently or temporarily.	SIRS is a web application developed and managed by NIGMS. Access to the system is restricted to NIGMS staff / IRMB support staff and grantees with NIH Commons accounts. Data from the system is maintained in the NIGMS Oracle Databases. SIRS collects and maintains grant and research data provided by the grantee, in addition to grant information provided by IMPAC II. The research information includes specifics like evaluation updates regarding significant unexpected outcomes; presentation information; and the reporting of at least 3 notable scientific advances. SIRS will also collect and maintain contact data on personnel from the institution. The contact information collected will include name, business e-mail addresses and business phone numbers. The data collected in SIRS will be maintained in SIRS and will not be shared with other systems.
<u>Accept / Reject Status</u>	Undefined
Question 13 Comment	
14. Does the system collect, maintain, use or share PII?	Yes
<u>Accept / Reject Status</u>	Undefined
Question 14 Comment	

15. Indicate the type of PII that the system will collect or maintain.	Name E-Mail Address Phone Numbers Degrees Position Title Research Data
<u>Accept / Reject Status</u>	Undefined
Question 15 Comment	
16. Indicate the categories of individuals about whom PII is collected, maintained or shared.	Public Citizens
<u>Accept / Reject Status</u>	Undefined
Question 16 Comment	Principal Investigators - Contact Information; and Institutions - Research data
17. How many individuals' PII is in the system?	100-499
<u>Accept / Reject Status</u>	Undefined
Question 17 Comment	
18. For what primary purpose is the PII used?	Principal Investigators: To identify and contact grantees; Institutions: To support the annual reporting process.
<u>Accept / Reject Status</u>	Undefined
Question 18 Comment	

19. Describe the secondary uses for which the PII will be used (e.g. testing, training or research)	Principal Investigators: The PII /contact information is only utilized to contact the Principal Investigators. Institutions: The PII / research information is only utilized to track grant success.
Accept / Reject Status	Undefined
Question 19 Comment	
20. Describe the function of the SSN.	Not Applicable.
Accept / Reject Status	Undefined
Question 20 Comment	
20a. Cite the legal authority to use the SSN.	Not Applicable.
21. Identify legal authorities governing information use and disclosure specific to the system and program.	The legal authority to operate and maintain this Privacy Act records system is 5. U.S.C. 301; 42 U.S.C. 217a, 241, 282(b)(6), 284a, and 288. 48 CFR Subpart 15.3 and Subpart 42.15.
22. Are records on the system retrieved by one or more PII data elements?	Yes
Accept / Reject Status	Undefined
Question 22 Comment	
22a. Identify the number and title of the Privacy Act System of Records Notice (SORN) that is being used to cover the system or identify if a SORN is being developed.	
Published:	09-25-0036 (Inherited via IMPAC 2 SORN)
Published:	
Published:	

In Progress	Undefined
23. Identify the sources of PII in the system.	Government Sources – Within the OpDiv
<u>Accept / Reject Status</u>	Undefined
Question 23 Comment	
23a. Identify the OMB information collection approval number and expiration date.	OMB# 0925-0735 03/31/2019
24. Is the PII shared with other organizations?	No
<u>Accept / Reject Status</u>	Undefined
Question 24 Comment	
24a. Identify with whom the PII is shared or disclosed and for what purpose.	
Within HHS	No
Other Federal Agency/Agencies	No
State or Local Agency/Agencies	No
Private Sector	No
24b. Describe any agreements in place that authorizes the information sharing or disclosure (e.g. Computer Matching)	Not applicable.

Agreement, Memorandum of Understanding (MOU), or Information Sharing Agreement (ISA)).	
24c. Describe the procedures for accounting for disclosures.	Not applicable.
25. Describe the process in place to notify individuals that their personal information will be collected. If no prior notice is given, explain the reason.	Individuals are aware as part of the grant application process that they will be required to provide information for yearly progress reports submitted to the NIH.
<u>Accept / Reject Status</u>	Undefined
Question 25 Comment	
26. Is the submission of PII by individuals voluntary or mandatory?	Voluntary
<u>Accept / Reject Status</u>	Undefined
Question 26 Comment	
27. 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.	Submission is voluntary since application to receive grants from the Institutional Development Awards (IDeA) program and The Native American Research Centers for Health (NARCH) initiative is voluntary.
<u>Accept / Reject Status</u>	Undefined
Question 27 Comment	

28. 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.	There will be no substantive changes to data uses. Information is collected in order to evaluate the progress of grantees and compile reports on the status of each program.
<u>Accept / Reject Status</u>	Undefined
Question 28 Comment	
29. 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.	Individuals can submit an IT help desk ticket which is sent to the NIGMS Information Resources Management Branch (IRMB) to report any issues. Individuals also have the option to be directed to the IC's privacy policy page which includes an e-mail address where users can direct their concerns.
<u>Accept / Reject Status</u>	Undefined
Question 29 Comment	
30. Describe the process in place for periodic reviews of PII contained in the system to ensure the data's integrity, availability, accuracy	Principal Investigators (PI): Data is obtained from IMPAC II and when PI's submit their annual progress reports annually and they have the opportunity to update their contact information to ensure integrity, accuracy and availability. Institutions: Research data is submitted annually. During the submission process, data can be changed to support accuracy and relevancy. After the submission process, the data cannot be changed.

and relevancy. If no processes are in place, explain why not.	
<u>Accept / Reject Status</u>	Undefined
Question 30 Comment	
31. Identify who will have access to the PII in the system and the reason why they require access.	
Users	Yes (external PIs and internal NIGSM Users)
Administrators	Yes
Developers	Yes
Contractors	Yes
Others	Undefined
32. Describe the procedures in place to determine which system users (administrators, developers, contractors, etc.) may access PII.	External Users - Principal Investigators and Institutions will only have access to their respective contact and research data in the production system. Internal NIGMS staff will have access to all the data, including PII, in the production system. The system developers and administrators, who are direct contractors supporting NIGMS, have access to the production system.
<u>Accept / Reject Status</u>	Undefined
Question 32 Comment	
33. 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.	Determinations are made based on Role based access controls and least privilege. User rights are provisioned based on controls within the system, allowing users only access to the minimum amount of PII necessary to perform their job.

<u>Accept / Reject Status</u>	Undefined
Question 33 Comment	
34. 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.	According to NIH policy, all personnel (employees and direct contractors) must complete the annual mandatory security, privacy and information management awareness training prior to the use of, or access to, information systems. There are four categories of mandatory IT training (Information Security, Counterintelligence, Privacy Awareness, and Records Management).
<u>Accept / Reject Status</u>	Undefined
Question 34 Comment	
35. Describe training system users receive (above and beyond general security and privacy awareness training).	External Users are exempt from training due to access provided by Era Commons accounts. All NIGMS Staff, including the SIRS System Administrators and Developers are required to take the general security and privacy awareness training. In addition. SIRS System Administrators and Developers are considered personnel with IT Security responsibilities. These individuals are required to take additional security training.
<u>Accept / Reject Status</u>	Undefined
Question 35 Comment	
36. Do contracts include Federal Acquisition Regulation and other appropriate clauses ensuring adherence to privacy provisions and practices?	Yes
<u>Accept / Reject Status</u>	Undefined

Question 36 Comment	
37. Describe the process and guidelines in place with regard to the retention and destruction of PII. Cite specific records retention schedules.	The majority of PII is collected from IMPAC II and is administered by ERA commons. PII not collected through IMPAC II is evaluated in accordance with the NARA record retention schedule: E-0002, Official case files of funded grants, unfunded grants, and award applications, appeals and litigation records: DAA-0443-2013-0004-0002.
Accept / Reject Status	Undefined
Question 37 Comment	
38. Describe, briefly but with specificity, how the PII will be secured in the system using administrative, technical, and physical controls.	Website access will be managed via NTFS and Single Sign-On. The server on which the Administrative interface is hosted will be available only on the NIGMS internal network and is protected by AD account and password. The web front end is hosted on a server in the NIGMS Public DMZ and is protected by AD account and password and sits behind NIH enterprise Single Sign-On. Only users with access will be able to access the system. Active Directory will be employed for internal user authentication and external users will use Commons accounts. Additionally, various physical access control measures are in place to protect the system / data including the implementation of ID badges, guard stations at specific locations and the utilization of key card access at specific entry points / during specific hours. Specifically, the system code / Hdw components are located in a secure room with restricted Card Key access in Building 12. The data is contained in Oracle and is only accessible with role-based access.
Accept / Reject Status	Undefined
Question 38 Comment	
39. Identify the publicly-available URL.	https://sirs.nigms.nih.gov
Accept / Reject Status	Undefined

Question 39 Comment	
40. Does the website have a posted privacy notice?	Yes
<u>Accept / Reject Status</u>	Undefined
Question 40 Comment	
40a. Is the privacy policy available in a machine-readable format?	No
41. Does the website use web measurement and customization technology?	No
<u>Accept / Reject Status</u>	Undefined
Question 41 Comment	
41a. Select the type of website measurement and customization technologies is in use and if it is used to collect PII. (Select all that apply).	
Web Beacons	No
Collects PII?	Undefined
Web Bugs	No
Collects PII?	Undefined
Session Cookies	No
Collects PII?	Undefined
Persistent Cookies	No
Collects PII?	Undefined
Other ...	
Collects PII?	Undefined

42. Does the website have any information or pages directed at children under the age of thirteen?	No
<u>Accept / Reject Status</u>	Undefined
Question 42 Comment	
42a. 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?	Not applicable
43. Does the website contain links to non-federal government websites external to HHS?	No
<u>Accept / Reject Status</u>	Undefined
Question 43 Comment	
43a. Is a disclaimer notice provided to users that follow external links to websites not owned or operated by HHS?	Not applicable

REVIEWER QUESTIONS: The following section contains Reviewer Questions which are not to be filled out unless the user is an OPDIV Senior Officer for Privacy.

1. Are the questions on the PIA answered correctly, accurately, and completely?	Undefined
Reviewer Notes	
<u>Accept / Reject Status</u>	Undefined
Question 1 Comment	
2. Does the PIA appropriately communicate the purpose of PII in the system and is the purpose justified by appropriate legal authorities?	Undefined
Reviewer Notes	
<u>Accept / Reject Status</u>	Undefined
Question 2 Comment	
3. Do system owners demonstrate appropriate understanding of the impact of the PII in the system and provide sufficient oversight to employees and contractors?	Undefined
Reviewer Notes	
<u>Accept / Reject Status</u>	Undefined
Question 3 Comment	
4. Does the PIA	Undefined

appropriately describe the PII quality and integrity of the data?	
Reviewer Notes	
<u>Accept / Reject Status</u>	Undefined
Question 4 Comment	
5. Is this a candidate for PII minimization?	Undefined
Reviewer Notes	
<u>Accept / Reject Status</u>	Undefined
Question 5 Comment	
6. Does the PIA accurately identify data retention procedures and records retention schedules?	Undefined
Reviewer Notes	
<u>Accept / Reject Status</u>	Undefined
Question 6 Comment	
7. Are the individuals whose PII is in the system provided appropriate participation?	Undefined
Reviewer Notes	
<u>Accept / Reject Status</u>	Undefined
Question 7 Comment	
8. Does the PIA raise any concerns about	Undefined

the security of the PII?	
Reviewer Notes	
<u>Accept / Reject Status</u>	Undefined
<u>Accept / Reject Status</u>	Undefined
Question 8 Comment	
9. Is applicability of the Privacy Act captured correctly and is a SORN published or does it need to be?	Undefined
Reviewer Notes	
<u>Accept / Reject Status</u>	Undefined
<u>Accept / Reject Status</u>	Undefined
Question 9 Comment	
10. Is the PII appropriately limited for use internally and with third parties?	Undefined
Reviewer Notes	
<u>Accept / Reject Status</u>	Undefined
Question 10 Comment	
11. Does the PIA demonstrate compliance with all Web privacy requirements?	Undefined
Reviewer Notes	
<u>Accept / Reject Status</u>	Undefined
Question 11 Comment	

12. Were any changes made to the system because of the completion of this PIA?	Undefined
Reviewer Notes	
Accept / Reject Status	Undefined
Question 12 Comment	
General Comments	
Status and Approvals	
IC Status	Undefined
OSOP Status	Undefined
OPDIV Senior Official for Privacy Signature	
HHS Senior Agency Official for Privacy	