

U.S. Department of Commerce International Trade Administration (ITA)



Privacy Impact Assessment for the Lotus Notes

Reviewed by: _____, Bureau Chief Privacy Officer

- ☐ Concurrence of Senior Agency Official for Privacy/DOC Chief Privacy Officer
- ☐ Non-concurrence of Senior Agency Official for Privacy/DOC Chief Privacy Officer

Signature of Senior Agency Official for Privacy/DOC Chief Privacy Officer

Date

U.S. Department of Commerce Privacy Impact Assessment International Trade Administration/Lotus Notes

Unique Project Identifier: 2384

Introduction: System Description

Provide a description of the system that addresses the following elements:

The response must be written in plain language and be as comprehensive as necessary to describe the system.

(a) Whether it is a general support system, major application, or other type of system

Major Application

(b) System location

The system is located in AWS on ITA network (DMZ/internal).

(c) Whether it is a standalone system or interconnects with other systems (identifying and describing any other systems to which it interconnects)

Standalone system

(d) The way the system operates to achieve the purpose(s) identified in Section 4

The ITA Lotus Notes System is based upon n-tier architecture for flexibility and reusability. Several servers are being used to support various layers of the system that include web (presentation), application, and database layer. The following section provides a brief description of each layer.

1) Presentation Layer: The topmost layer of the application that displays information related to the services provided by the information system. It communicates with the application layer and sends or displays information via web page (comprising static and dynamic content) to both authenticated and non-authenticated ITA end-users and external clients. The web servers used are IBM HTTP Server (Apache) and IBM Domino HTTP Server running on Windows 2016 platform.

2) Application Layer: Controls application's functionality. It utilizes authentication and authorization services from the infrastructure and communicates with the database and presentation layers. The application servers used are WebSphere Application Server (WAS) and IBM Domino Server running on Windows 2016 platform.

3) Database Layer: Provides data persistence and access layer. The back-end database DB2.

(e) How information in the system is retrieved by the user

The Lotus Notes application provides access through a web page/browser. Access to Lotus Notes is available from the ITA network. Users must first connect/authenticate to Citrix or Cisco

Any Connect an prior to gaining access to Lotus Notes. At which point a user must authenticate into Lotus Notes using their Lotus Notes credentials.

(f) *How information is transmitted to and from the system*

Information is transmitted through secure HTTPS connections.

(g) *Any information sharing conducted by the system*

Lotus Notes is a standalone system that has no interconnections. Information is not shared with any other system.

(h) *The specific programmatic authorities (statutes or Executive Orders) for collecting, maintaining, using, and disseminating the information*

15 U.S.C. 1512

(i) *The Federal Information Processing Standards (FIPS) 199 security impact category for the system*

Moderate.

Section 1: Status of the Information System

1.1 Indicate whether the information system is a new or existing system.

_____ This is a new information system.

_____ This is an existing information system with changes that create new privacy risks.

(Check all that apply.)

| Changes That Create New Privacy Risks (CTCNPR) | | | | | |
|---|--|------------------------|--|------------------------------------|--|
| a. Conversions | | d. Significant Merging | | g. New Interagency Uses | |
| b. Anonymous to Non-Anonymous | | e. New Public Access | | h. Internal Flow or Collection | |
| c. Significant System Management Changes | | f. Commercial Sources | | i. Alteration in Character of Data | |
| j. Other changes that create new privacy risks (specify): | | | | | |

_____ This is an existing information system in which changes do not create new privacy risks, and there is not a SAOP approved Privacy Impact Assessment.

_____ This is an existing information system in which changes do not create new privacy risks, and there is a SAOP approved Privacy Impact Assessment (version 01-2015 or 01-2017).

X_____ This is an existing information system in which changes do not create new privacy risks, and there is a SAOP approved Privacy Impact Assessment (version 01-2019 or later).

Section 2: Information in the System

- 2.1 Indicate what personally identifiable information (PII)/business identifiable information (BII) is collected, maintained, or disseminated. *(Check all that apply.)*

| Identifying Numbers (IN) | | | | | |
|---|--|-----------------------|--|--------------------------|--|
| a. Social Security* | | f. Driver's License | | j. Financial Account | |
| b. Taxpayer ID | | g. Passport | | k. Financial Transaction | |
| c. Employer ID | | h. Alien Registration | | l. Vehicle Identifier | |
| d. Employee ID | | i. Credit Card | | m. Medical Record | |
| e. File/Case ID | | | | | |
| n. Other identifying numbers (specify): | | | | | |
| *Explanation for the business need to collect, maintain, or disseminate the Social Security number, including truncated form: | | | | | |

| General Personal Data (GPD) | | | | | |
|---|---|---------------------|---|-----------------------------|--|
| a. Name | X | h. Date of Birth | | o. Financial Information | |
| b. Maiden Name | | i. Place of Birth | | p. Medical Information | |
| c. Alias | | j. Home Address | | q. Military Service | |
| d. Gender | | k. Telephone Number | X | r. Criminal Record | |
| e. Age | | l. Email Address | X | s. Physical Characteristics | |
| f. Race/Ethnicity | | m. Education | | t. Mother's Maiden Name | |
| g. Citizenship | | n. Religion | | | |
| u. Other general personal data (specify): | | | | | |

| Work-Related Data (WRD) | | | | | |
|---------------------------------------|---|--|---|--|--|
| a. Occupation | | e. Work Email Address | X | i. Business Associates | |
| b. Job Title | X | f. Salary | | j. Proprietary or Business Information | |
| c. Work Address | X | g. Work History | | k. Procurement/contracting records | |
| d. Work Telephone Number | X | h. Employment Performance Ratings or other Performance Information | | | |
| l. Other work-related data (specify): | | | | | |

| Distinguishing Features/Biometrics (DFB) | | | | | |
|--|--|--------------------------|--|--------------------------|--|
| a. Fingerprints | | f. Scars, Marks, Tattoos | | k. Signatures | |
| b. Palm Prints | | g. Hair Color | | l. Vascular Scans | |
| c. Voice/Audio Recording | | h. Eye Color | | m. DNA Sample or Profile | |
| d. Video Recording | | i. Height | | n. Retina/Iris Scans | |
| e. Photographs | | j. Weight | | o. Dental Profile | |
| p. Other distinguishing features/biometrics (specify): | | | | | |

| | | | | | |
|--|---|------------------------|---|----------------------|--|
| System Administration/Audit Data (SAAD) | | | | | |
| a. User ID | X | c. Date/Time of Access | X | e. ID Files Accessed | |
| b. IP Address | | f. Queries Run | X | f. Contents of Files | |
| g. Other system administration/audit data (specify): | | | | | |

| |
|------------------------------------|
| Other Information (specify) |
| |
| |

2.2 Indicate sources of the PII/BII in the system. *(Check all that apply.)*

| | | | | | |
|---|--|---------------------|--|--------|---|
| Directly from Individual about Whom the Information Pertains | | | | | |
| In Person | | Hard Copy: Mail/Fax | | Online | X |
| Telephone | | Email | | | |
| Other (specify): | | | | | |

| | | | | | |
|---------------------------|---|-------------------|---|------------------------|--|
| Government Sources | | | | | |
| Within the Bureau | X | Other DOC Bureaus | X | Other Federal Agencies | |
| State, Local, Tribal | | Foreign | | | |
| Other (specify): | | | | | |

| | | | | | |
|------------------------------------|--|----------------|---|-------------------------|--|
| Non-government Sources | | | | | |
| Public Organizations | | Private Sector | X | Commercial Data Brokers | |
| Third Party Website or Application | | | | | |
| Other (specify): | | | | | |

2.3 Describe how the accuracy of the information in the system is ensured.

| |
|---|
| <p>The PII information such as employee name, telephone number, email address, Job Title is entered through Lotus Notes White pages during onboarding process through New User Request and is verified by OCIO Customer Support. Financial transactions are reconciled by CBS on daily basis.</p> |
|---|

2.4 Is the information covered by the Paperwork Reduction Act?

| | |
|---|---|
| X | Yes, the information is covered by the Paperwork Reduction Act. |
|---|---|

| | |
|--|---|
| | Provide the OMB control number and the agency number for the collection. OMB number: 0625-0217 |
| | No, the information is not covered by the Paperwork Reduction Act. |

- 2.5 Indicate the technologies used that contain PII/BII in ways that have not been previously deployed. *(Check all that apply.)*

| Technologies Used Containing PII/BII Not Previously Deployed (TUCPBNPD) | | | |
|---|--|--|--|
| Smart Cards | | Biometrics | |
| Caller-ID | | Personal Identity Verification (PIV) Cards | |
| Other (specify): | | | |

| | |
|---|--|
| X | There are not any technologies used that contain PII/BII in ways that have not been previously deployed. |
|---|--|

Section 3: System Supported Activities

- 3.1 Indicate IT system supported activities which raise privacy risks/concerns. *(Check all that apply.)*

| Activities | | | |
|--------------------|--|----------------------------------|--|
| Audio recordings | | Building entry readers | |
| Video surveillance | | Electronic purchase transactions | |
| Other (specify): | | | |

| | |
|---|--|
| X | There are not any IT system supported activities which raise privacy risks/concerns. |
|---|--|

Section 4: Purpose of the System

- 4.1 Indicate why the PII/BII in the IT system is being collected, maintained, or disseminated. *(Check all that apply.)*

| Purpose | | | |
|---|---|--|--|
| For a Computer Matching Program | | For administering human resources programs | |
| For administrative matters | X | To promote information sharing initiatives | |
| For litigation | | For criminal law enforcement activities | |
| For civil enforcement activities | | For intelligence activities | |
| To improve Federal services online | | For employee or customer satisfaction | |
| For web measurement and customization technologies (single-session) | | For web measurement and customization technologies (multi-session) | |
| Other (specify): | | | |

Section 5: Use of the Information

- 5.1 In the context of functional areas (business processes, missions, operations, etc.) supported by the IT system, describe how the PII/BII that is collected, maintained, or disseminated will be used. Indicate if the PII/BII identified in Section 2.1 of this document is in reference to a federal employee/contractor, member of the public, foreign national, visitor or other (specify).

The general personal data and work-related data is collected from federal employee/contractor (including foreign service nationals) as PII in the Whitepages module. The Whitepages module serves as the system of record for user profile management.
No BII (private/public sector company information) is collected.

- 5.2 Describe any potential threats to privacy, such as insider threat, as a result of the bureau's/operating unit's use of the information, and controls that the bureau/operating unit has put into place to ensure that the information is handled, retained, and disposed appropriately. (For example: mandatory training for system users regarding appropriate handling of information, automatic purging of information in accordance with the retention schedule, etc.)

All the information is collected over SSL connection using RSA 2048 bit/SHA 256 encryption. The data is stored in IBM Lotus Notes databases that resides on internal ITA Network behind ITA NOC approved firewall. All this application data must be retained as is for the operations and continuity of the Information System.

Additionally, insider threats exist within the system. This is mitigated with the requirements that all users are required to complete annual security awareness training in order to maintain access to the system.

Section 6: Information Sharing and Access

- 6.1 Indicate with whom the bureau intends to share the PII/BII in the IT system and how the

PII/BII will be shared. *(Check all that apply.)*

| Recipient | How Information will be Shared | | |
|-------------------------------------|--------------------------------|---------------|---------------|
| | Case-by-Case | Bulk Transfer | Direct Access |
| Within the bureau | | | |
| DOC bureaus | | | |
| Federal agencies | | | |
| State, local, tribal gov't agencies | | | |
| Public | | | |
| Private sector | | | |
| Foreign governments | | | |
| Foreign entities | | | |
| Other (specify): | | | |

| | |
|---|---|
| X | The PII/BII in the system will not be shared. |
|---|---|

6.2 Does the DOC bureau/operating unit place a limitation on re-dissemination of PII/BII shared with external agencies/entities?

| | |
|---|---|
| | Yes, the external agency/entity is required to verify with the DOC bureau/operating unit before re-dissemination of PII/BII. |
| | No, the external agency/entity is not required to verify with the DOC bureau/operating unit before re-dissemination of PII/BII. |
| X | No, the bureau/operating unit does not share PII/BII with external agencies/entities. |

6.3 Indicate whether the IT system connects with or receives information from any other IT systems authorized to process PII and/or BII.

| | |
|---|---|
| | Yes, this IT system connects with or receives information from another IT system(s) authorized to process PII and/or BII. Provide the name of the IT system and describe the technical controls which prevent PII/BII leakage: |
| X | No, this IT system does not connect with or receive information from another IT system(s) authorized to process PII and/or BII. |

6.4 Identify the class of users who will have access to the IT system and the PII/BII. *(Check all that apply.)*

| Class of Users | | | |
|----------------|--|----------------------|---|
| General Public | | Government Employees | X |

| | | |
|------------------|---|--|
| Contractors | X | |
| Other (specify): | | |

Section 7: Notice and Consent

- 7.1 Indicate whether individuals will be notified if their PII/BII is collected, maintained, or disseminated by the system. *(Check all that apply.)*

| | | |
|---|--|------------------|
| X | Yes, notice is provided pursuant to a system of records notice published in the Federal Register and discussed in Section 9. | |
| X | Yes, notice is provided by a Privacy Act statement and/or privacy policy. The Privacy Act statement and/or privacy policy can be found at: https://emenuapps.ita.doc.gov/ePublic/Privacy_Act_Notice.htm . | |
| | Yes, notice is provided by other means. | Specify how: |
| | No, notice is not provided. | Specify why not: |

- 7.2 Indicate whether and how individuals have an opportunity to decline to provide PII/BII.

| | | |
|---|---|--|
| X | Yes, individuals have an opportunity to decline to provide PII/BII. | Specify how: User dependent decision. They simply do not proceed with completing the form if they don't want to provide PII. |
| | No, individuals do not have an opportunity to decline to provide PII/BII. | Specify why not: |

- 7.3 Indicate whether and how individuals have an opportunity to consent to particular uses of their PII/BII.

| | | |
|---|--|--|
| | Yes, individuals have an opportunity to consent to particular uses of their PII/BII. | Specify how: |
| X | No, individuals do not have an opportunity to consent to particular uses of their PII/BII. | Specify why not: Information provided is for user personnel files. It is only used for this. |

- 7.4 Indicate whether and how individuals have an opportunity to review/update PII/BII pertaining to them.

| | | |
|---|---|--|
| X | Yes, individuals have an opportunity to review/update PII/BII pertaining to them. | Specify how: The information collected using OMB approved form is available in read-only mode, upon submission. User would need to contact an administrator to update their information. |
| | No, individuals do not have an | Specify why not: |

| | | |
|--|--|--|
| | opportunity to review/update PII/BII pertaining to them. | |
|--|--|--|

Section 8: Administrative and Technological Controls

8.1 Indicate the administrative and technological controls for the system. *(Check all that apply.)*

| | |
|---|--|
| | All users signed a confidentiality agreement or non-disclosure agreement. |
| X | All users are subject to a Code of Conduct that includes the requirement for confidentiality. |
| X | Staff (employees and contractors) received training on privacy and confidentiality policies and practices. |
| X | Access to the PII/BII is restricted to authorized personnel only. |
| X | Access to the PII/BII is being monitored, tracked, or recorded. Explanation: Access is being monitored via audit logs. |
| X | The information is secured in accordance with the Federal Information Security Modernization Act (FISMA) requirements. Provide date of most recent Assessment and Authorization (A&A): <u>3/31/2021</u> <input type="checkbox"/> This is a new system. The A&A date will be provided when the A&A package is approved. |
| X | The Federal Information Processing Standard (FIPS) 199 security impact category for this system is a moderate or higher. |
| X | NIST Special Publication (SP) 800-122 and NIST SP 800-53 Revision 4 Appendix J recommended security controls for protecting PII/BII are in place and functioning as intended; or have an approved Plan of Action and Milestones (POA&M). |
| X | A security assessment report has been reviewed for the information system and it has been determined that there are no additional privacy risks. |
| X | Contractors that have access to the system are subject to information security provisions in their contracts required by DOC policy. |
| X | Contracts with customers establish DOC ownership rights over data including PII/BII. |
| X | Acceptance of liability for exposure of PII/BII is clearly defined in agreements with customers. |
| | Other (specify): |

8.2 Provide a general description of the technologies used to protect PII/BII on the IT system. *(Include data encryption in transit and/or at rest, if applicable).*

| |
|--|
| <p>The Lotus Notes databases are behind the firewall (internal network). Access to the database is limited to the Application Development team and system administrator(s) only. Access to the Web application is limited to internal application users over SSL connection using RSA 2048 bit/SHA 256 encryption only. Users are required to authenticate themselves. User roles are set up based on least privilege principle.</p> |
|--|

Section 9: Privacy Act

9.1 Is the PII/BII searchable by a personal identifier (e.g, name or Social Security number)?

☒ Yes, the PII/BII is searchable by a personal identifier.

☐ No, the PII/BII is not searchable by a personal identifier.

9.2 Indicate whether a system of records is being created under the Privacy Act, 5 U.S.C. § 552a. *(A new system of records notice (SORN) is required if the system is not covered by an existing SORN).*

As per the Privacy Act of 1974, "the term 'system of records' means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual."

| | |
|---|--|
| X | Yes, this system is covered by an existing system of records notice (SORN). Provide the SORN name, number, and link. <i>(list all that apply):</i> COMMERCE/DEPT-18 Employees Personnel Files Not Covered by Notices of Other Agencies. https://www.osec.doc.gov/opog/PrivacyAct/SORNs/DEPT-18.html |
| | Yes, a SORN has been submitted to the Department for approval on (date). |
| | No, this system is not a system of records and a SORN is not applicable. |

Section 10: Retention of Information

10.1 Indicate whether these records are covered by an approved records control schedule and monitored for compliance. *(Check all that apply.)*

| | |
|---|---|
| X | There is an approved record control schedule. Provide the name of the record control schedule: 36 CFR Subchapter B—Records Retention |
| | No, there is not an approved record control schedule. Provide the stage in which the project is in developing and submitting a records control schedule: |
| X | Yes, retention is monitored for compliance to the schedule. |
| | No, retention is not monitored for compliance to the schedule. Provide explanation: |

10.2 Indicate the disposal method of the PII/BII. *(Check all that apply.)*

| Disposal | | | |
|---|--|-------------|--|
| Shredding | | Overwriting | |
| Degaussing | | Deleting | |
| Other (specify): There is no planned method for the disposal of PII collected by the system if a user is removed, or if the system were to be disposed/retired. | | | |

Section 11: NIST Special Publication 800-122 PII Confidentiality Impact Level

- 11.1 Indicate the potential impact that could result to the subject individuals and/or the organization if PII were inappropriately accessed, used, or disclosed. *(The PII Confidentiality Impact Level is not the same, and does not have to be the same, as the Federal Information Processing Standards (FIPS) 199 security impact category.)*

| | |
|---|---|
| X | Low – the loss of confidentiality, integrity, or availability could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals. |
| | Moderate – the loss of confidentiality, integrity, or availability could be expected to have a serious adverse effect on organizational operations, organizational assets, or individuals. |
| | High – the loss of confidentiality, integrity, or availability could be expected to have a severe or catastrophic adverse effect on organizational operations, organizational assets, or individuals. |

- 11.2 Indicate which factors were used to determine the above PII confidentiality impact level. *(Check all that apply.)*

| | | |
|---|---------------------------------------|--|
| | Identifiability | Provide explanation: |
| | Quantity of PII | Provide explanation: |
| | Data Field Sensitivity | Provide explanation: non-sensitive information. |
| X | Context of Use | Provide explanation: The use is limited to ITA employees/contractors only. |
| | Obligation to Protect Confidentiality | Provide explanation: |
| | Access to and Location of PII | Provide explanation: Located on ITA servers |
| | Other: | Provide explanation: |

Section 12: Analysis

- 12.1 Identify and evaluate any potential threats to privacy that exist in light of the information collected or the sources from which the information is collected. Also, describe the choices that the bureau/operating unit made with regard to the type or quantity of information collected and the sources providing the information in order to prevent or mitigate threats to privacy. (For example: If a decision was made to collect less data, include a discussion of this decision; if it is necessary to obtain information from sources other than the individual, explain why.)

The potential for insider threats exists within the system. This is mitigated with the requirements that all users are required to complete annual security awareness training in order to maintain access to the system.

12.2 Indicate whether the conduct of this PIA results in any required business process changes.

| | |
|---|--|
| | Yes, the conduct of this PIA results in required business process changes. Explanation: |
| X | No, the conduct of this PIA does not result in any required business process changes. |

12.3 Indicate whether the conduct of this PIA results in any required technology changes.

| | |
|---|--|
| | Yes, the conduct of this PIA results in required technology changes. Explanation: |
| X | No, the conduct of this PIA does not result in any required technology changes. |

Points of Contact and Signatures

| | |
|---|---|
| <p>Information System Security Officer or System Owner Name: Jeff Hall Office: OCIO-TTDS Phone: 202-482-4934 Email: Jeffrey.G.Hall@trade.gov</p> <p>I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.</p> <p>Signature: <u>JEFFREY HALL</u> <small>Digitally signed by JEFFREY HALL</small> Date signed: <u>2022.02.01 11:48:48 -05'00'</u></p> | <p>Information Technology Security Officer Name: Joe Ramsey Office: OCIO IS Phone: 202-482-2785 Email: joe.ramsey@trade.gov</p> <p>I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.</p> <p>Signature: _____ Date signed: _____</p> |
| <p>Privacy Act Officer Name: Chad Root (Acting) Office: OCIO IS-Comp Phone: 202-482-1883 Email: chad.root@trade.gov</p> <p>I certify that the appropriate authorities and SORNs (if applicable) are cited in this PIA.</p> <p>Signature: <u>TIMOTHY ROOT</u> <small>Digitally signed by TIMOTHY ROOT</small> Date signed: <u>2022.02.01 12:49:34 -05'00'</u></p> | <p>Authorizing Official Name: May Cheng (Acting) Office: OCIO CIO-DCIO Phone: 202-482-3801 Email: may.cheng@trade.gov</p> <p>I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.</p> <p>Signature: _____ Date signed: _____</p> |
| <p>Bureau Chief Privacy Officer Name: Chad Root (Acting) Office: TSI IS-Comp Phone: 202-482-1883 Email: chad.root@trade.gov</p> <p>I certify that the PII/BII processed in this IT system is necessary and this PIA ensures compliance with DOC policy to protect privacy.</p> <p>Signature: <u>TIMOTHY ROOT</u> <small>Digitally signed by TIMOTHY ROOT</small> Date signed: <u>2022.02.01 12:49:53 -05'00'</u></p> | |

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