

**U.S. Department of Commerce  
U.S. Patent and Trademark Office**



**Privacy Impact Assessment  
for the  
Legal Document Management System-Cloud (LDMS-C)**

Reviewed by: Henry J. Holcombe, 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

**Users, Holcombe, Henry** Digitally signed by Users, Holcombe, Henry  
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Signature of Senior Agency Official for Privacy/DOC Chief Privacy Officer

Date

## U.S. Department of Commerce Privacy Impact Assessment USPTO Legal Document Management System-Cloud (LDMS-C)

**Unique Project Identifier: EBPL-LT-02-00**

### **Introduction: System Description**

*Provide a brief description of the information system.*

The Legal Document Management System-Cloud (LDMS-C) is a commercial Software as a Service (SaaS) implemented with Federal Risk and Authorization Management Program (FedRAMP)- authorized NetDocuments software. This SaaS will support the Office of General Counsel's (OGC) document management requirements as they provide advice to USPTO clients on the full range of federal agency legal issues: fiscal, procurement, rulemaking, administrative law, labor and employment, and information law. The system provides a centralized repository for easy storage, search, and retrieval of documents relating to legal matters.

Address the following elements:

*(a) Whether it is a general support system, major application, or other type of system*  
LDMS-C is FedRAMP-authorized commercial SaaS and minor application.

*(b) System location*  
LDMS-C is SaaS hosted in NetDocuments Cloud in Microsoft Azure U.S. Government (Virginia and Texas).

*(c) Whether it is a standalone system or interconnects with other systems (identifying and describing any other systems to which it interconnects)*  
LDMS-C is hosted in the NetDocuments Cloud in Microsoft Azure U.S. Government Cloud and accessed by users via a web browser. It interconnects with the following systems:

#### **Identity, Credential, and Access Management-Identity as a Service (ICAM-IDaaS):**

ICAM-IDaaS is the USPTO system by which users are authenticated to enable single sign-on (SSO) to LDMS-C.

**PTONet:** PTONet provides the common network that connects all USPTO applications and network access for employees, contractors, Public Search Room visitors to applications and systems in information technology (IT)-East and IT-West data centers.

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

LDMS-C is an application located within the NetDocuments Cloud hosted in Microsoft Azure Cloud that will be accessible to the Office of General Law (OGL) to develop a centralized repository of USPTO documents pertaining to legal advice and guidance in support of the USPTO mission. It will enable for efficient document storage, retrieval, search, redaction, versioning, sharing, and knowledge management.

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

LDMS-C is a web application that allows authorized users to access and view information in the system using a web browser.

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

LDMS-C users use a web browser to make a Hypertext Transfer Protocol Secure (HTTPS) connection to the web application.

(g) *Any information sharing*

LDMS-C does not share any information outside of the USPTO.

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

LDMS-C supports Office of General Counsel (OGC), Office of General Law (OGL). OGL provides advice and written legal opinions on areas concerning the administration and management of the USPTO. The OGL also represents USPTO in various administrative proceedings. As such, there are several authorizing statutes including but not limited to 5 U.S.C. 301, Federal Rules of Civil Procedures, Freedom of Information Act, Privacy Act, Administrative Procedures Act, Principles of Federal Appropriations Law (Red Book), Federal Advisory Committee Act, Merit System Principles, E.O. 10450, E.O. 11478, E.O. 12107, and E.O. 12564.

(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	<input type="checkbox"/>	d. Significant Merging	<input type="checkbox"/>	g. New Interagency Uses <input type="checkbox"/>

b. Anonymous to Non-Anonymous	<input type="checkbox"/>	e. New Public Access	<input type="checkbox"/>	h. Internal Flow or Collection	<input type="checkbox"/>
c. Significant System Management Changes	<input type="checkbox"/>	f. Commercial Sources	<input type="checkbox"/>	i. Alteration in Character of Data	<input type="checkbox"/>
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.

## **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.)*

<b>Identifying Numbers (IN)</b>					
a. Social Security*	<input checked="" type="checkbox"/>	f. Driver's License	<input checked="" type="checkbox"/>	j. Financial Account	<input checked="" type="checkbox"/>
b. Taxpayer ID	<input checked="" type="checkbox"/>	g. Passport	<input checked="" type="checkbox"/>	k. Financial Transaction	<input checked="" type="checkbox"/>
c. Employer ID	<input checked="" type="checkbox"/>	h. Alien Registration	<input type="checkbox"/>	l. Vehicle Identifier	<input type="checkbox"/>
d. Employee ID	<input checked="" type="checkbox"/>	i. Credit Card	<input checked="" type="checkbox"/>	m. Medical Record	<input checked="" type="checkbox"/>
e. File/Case ID	<input checked="" type="checkbox"/>				
n. Other identifying numbers (specify):					
<p>*Explanation for the business need to collect, maintain, or disseminate the Social Security number, including truncated form:</p> <p>*The LDMS-C is a document repository comprised of emails containing legal advice and attachments from the Office of General Law. The marked categories identified above and below may be included in this system, by virtue of being included in email correspondence, or attached document, that is saved to LDMS-C. The Social Security Number would be incidentally a piece of a record. We estimate that it is rare for any of this private information to be included, but in light of OGC operations that involve employee matters, it is possible.</p> <p>This system is not used as a primary means for collecting, maintaining, or disseminating any of the data listed in 2.1. The PII/BII that is incidentally contained in these emails is in reference to federal employees, contractors and members of the public.</p>					

<b>General Personal Data (GPD)</b>					
a. Name	<input checked="" type="checkbox"/>	h. Date of Birth	<input checked="" type="checkbox"/>	o. Financial Information	<input checked="" type="checkbox"/>
b. Maiden Name	<input checked="" type="checkbox"/>	i. Place of Birth	<input checked="" type="checkbox"/>	p. Medical Information	<input checked="" type="checkbox"/>
c. Alias	<input checked="" type="checkbox"/>	j. Home Address	<input checked="" type="checkbox"/>	q. Military Service	<input checked="" type="checkbox"/>
d. Gender	<input checked="" type="checkbox"/>	k. Telephone Number	<input checked="" type="checkbox"/>	r. Criminal Record	<input checked="" type="checkbox"/>
e. Age	<input checked="" type="checkbox"/>	l. Email Address	<input checked="" type="checkbox"/>	s. Marital Status	<input checked="" type="checkbox"/>
f. Race/Ethnicity	<input checked="" type="checkbox"/>	m. Education	<input checked="" type="checkbox"/>	t. Mother's Maiden Name	<input type="checkbox"/>

g. Citizenship	<input checked="" type="checkbox"/>	n. Religion	<input checked="" type="checkbox"/>		
u. Other general personal data (specify):					

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

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

System Administration/Audit Data (SAAD)					
a. User ID	<input checked="" type="checkbox"/>	c. Date/Time of Access	<input checked="" type="checkbox"/>	e. ID Files Accessed	<input checked="" type="checkbox"/>
b. IP Address	<input checked="" type="checkbox"/>	f. Queries Run	<input checked="" type="checkbox"/>	f. Contents of Files	<input type="checkbox"/>
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	<input type="checkbox"/>	Hard Copy: Mail/Fax	<input type="checkbox"/>	Online	<input type="checkbox"/>
Telephone	<input type="checkbox"/>	Email	<input checked="" type="checkbox"/>		
Other (specify):					

Government Sources					
Within the Bureau	<input checked="" type="checkbox"/>	Other DOC Bureaus	<input checked="" type="checkbox"/>	Other Federal Agencies	<input checked="" type="checkbox"/>

State, Local, Tribal	<input checked="" type="checkbox"/>	Foreign	<input type="checkbox"/>		
Other (specify):					

<b>Non-government Sources</b>					
Public Organizations	<input checked="" type="checkbox"/>	Private Sector	<input checked="" type="checkbox"/>	Commercial Data Brokers	<input type="checkbox"/>
Third Party Website or Application			<input checked="" type="checkbox"/>		
Other (specify):					

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

<p>LDMS-C will follow an established process for publishing and deleting materials in the NetDocuments repository. Once searchable, the materials will be secured using appropriate administrative, physical, and technical safeguards in accordance with the National Institute of Standards and Technology (NIST) and FedRAMP security controls (encryption, access control, and auditing). Mandatory IT awareness and role-based training is required for staff who have access to the system and address how to handle, retain, and dispose of data. All access has role-based restrictions and individuals with privileges have undergone vetting and suitability screen. The USPTO maintains an audit trail and performs random, periodic reviews (quarterly) to identify unauthorized access and changes as part of verifying the integrity of administrative account holder data and roles. Inactive accounts are deactivated and roles are deleted from the application.</p>
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### 2.4 Is the information covered by the Paperwork Reduction Act?

<input type="checkbox"/>	Yes, the information is covered by the Paperwork Reduction Act. Provide the OMB control number and the agency number for the collection.
<input checked="" type="checkbox"/>	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.)

<b>Technologies Used Containing PII/BII Not Previously Deployed (TUCPBNPD)</b>			
Smart Cards	<input type="checkbox"/>	Biometrics	<input type="checkbox"/>
Caller-ID	<input type="checkbox"/>	Personal Identity Verification (PIV) Cards	<input type="checkbox"/>
Other (specify):			

<input checked="" type="checkbox"/>	There are not any technologies used that contain PII/BII in ways that have not been previously deployed.
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## Section 3: System Supported Activities

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

Activities			
Audio recordings	<input type="checkbox"/>	Building entry readers	<input type="checkbox"/>
Video surveillance	<input type="checkbox"/>	Electronic purchase transactions	<input type="checkbox"/>
Other(specify): Click or tap here to enter text.			

<input checked="" type="checkbox"/>	There are not any IT systems supported activities which raise privacy risks/concerns.
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#### **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	<input type="checkbox"/>	For administering human resources programs	<input type="checkbox"/>
For administrative matters	<input checked="" type="checkbox"/>	To promote information sharing initiatives	<input type="checkbox"/>
For litigation	<input checked="" type="checkbox"/>	For criminal law enforcement activities	<input type="checkbox"/>
For civil enforcement activities	<input type="checkbox"/>	For intelligence activities	<input type="checkbox"/>
To improve Federal services online	<input type="checkbox"/>	For employee or customer satisfaction	<input type="checkbox"/>
For web measurement and customization technologies (single-session)	<input type="checkbox"/>	For web measurement and customization technologies (multi-session)	<input type="checkbox"/>
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).

<p>The LDMS-C is a document repository comprised of emails containing legal advice and attachments from the Office of General Law.</p> <p>The PII/BII that is incidentally contained in these emails is in reference to federal employees, contractors and members of the public.</p>
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- 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.)

In the event of computer failure, insider threats, or attack against the system by adversarial or foreign entities, any potential PII data stored within the system could be exposed or corrupted. To avoid a breach, the system has certain security controls in place to ensure that information is handled, retained, and disposed of appropriately. Access to individual's PII is controlled through the application, and all personnel who access the data must first authenticate to the system at which time an audit trail is generated when the database is accessed. These audit trails are based on application server out-of-the-box logging reports reviewed by the Information System Security Officer (ISSO) and System Auditor and any suspicious indicators such as browsing will be immediately investigated and appropriate action taken. Also, system users undergo annual mandatory training regarding appropriate handling of information. The system is FedRAMP approved and consequently is FIPS 140-3 compliant.

In addition to policies and training, this system may be accessed only by a very limited number of individuals that include attorneys, paralegals, information technology (IT) support staff, and a small number of administrative support staff. This population is highly experienced in accessing and protecting private/confidential information in light of the sensitive matters with which OGL regularly works.

LDMS-C has put certain security controls in place to ensure that information is handled, retained, and disposed of appropriately. For example, advanced encryption is used to secure the data both during transmission and while stored at rest. Access to individual's PII is controlled through the application and all personnel who access the data must first authenticate to the system at which time an audit trail is generated when the database is accessed. USPTO requires annual security role-based training and annual mandatory security awareness procedure training for all employees. All offices of the USPTO adhere to the USPTO Records Management Office's Comprehensive Records Schedule that describes the types of USPTO records and their corresponding disposition authority or citation.

## **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	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DOC bureaus	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Federal agencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State, local, tribal gov't agencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Public	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Private sector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Foreign governments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Foreign entities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other(specify):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<input type="checkbox"/>	The PII/BII in the system will not be shared.
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6.2 Does the DOC bureau/operating unit place a limitation on re-dissemination of PII/BII shared with external agencies/entities?

<input type="checkbox"/>	Yes, the external agency/entity is required to verify with the DOC bureau/operating unit before re-dissemination of PII/BII.
<input type="checkbox"/>	No, the external agency/entity is not required to verify with the DOC bureau/operating unit before re-dissemination of PII/BII.
<input checked="" type="checkbox"/>	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.

<input checked="" type="checkbox"/>	<p>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:</p> <p>LDMS-C connects with ICAM-IdaaS, which provides authentication and authorization services to all enterprise USPTO applications and information systems. PTONet provides the common network that connects all USPTO applications and network access for employees, contractors, Public Search Room visitors to applications and systems in IT-East and IT-West data centers.</p> <p>LDMS-C has put certain security controls in place to ensure that information is handled, retained, and disposed of appropriately. For example, advanced encryption is used to secure the data both during transmission and while stored at rest. Access to individual's PII is controlled through the application and all personnel who access the data must first authenticate to the system at which time an audit trail is generated when the database is accessed. USPTO requires annual security role-based training and annual mandatory security awareness procedure training for all employees. All offices of the USPTO adhere to the USPTO Records Management Office's Comprehensive Records Schedule that describes the types of USPTO records and their corresponding disposition authority or citation.</p>
<input type="checkbox"/>	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	<input type="checkbox"/>	Government Employees (OGL only)	<input checked="" type="checkbox"/>
Contractors	<input checked="" type="checkbox"/>		
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.)*

<input type="checkbox"/>	Yes, notice is provided pursuant to a system of records notice published in the Federal Register and discussed in Section 9.	
<input type="checkbox"/>	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: <a href="https://www.uspto.gov/privacy-policy">https://www.uspto.gov/privacy-policy</a>	
<input checked="" type="checkbox"/>	Yes, notice is provided by other means.	Specify how: This system will consist of attorney and paralegal work product that may incidentally contain BII/PII. Any PII and/or BII contained in this system is initially collected and stored in other systems. If and when that happens, employees receive notice of the collection upon collection (through Privacy Act and Paperwork Reduction Act notices).
<input type="checkbox"/>	No, notice is not provided.	Specify why not:

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

<input type="checkbox"/>	Yes, individuals have an opportunity to decline to provide PII/BII.	Specify how:
<input checked="" type="checkbox"/>	No, individuals do not have an opportunity to decline to provide PII/BII.	Specify why not: The system is not set up to collect PII/BII directly from individuals. Any changes required would be the responsibility of the source system.

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

<input type="checkbox"/>	Yes, individuals have an opportunity to consent to particular uses of their PII/BII.	Specify how:
<input checked="" type="checkbox"/>	No, individuals do not have an opportunity to consent to particular uses of their PII/BII.	Specify why not: The system is not set up to collect PII/BII directly from individuals. Opportunity to consent would be the responsibility of the source system.

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

<input type="checkbox"/>	Yes, individuals have an opportunity to review/update PII/BII pertaining to them.	Specify how:
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<input checked="" type="checkbox"/>	No, individuals do not have an opportunity to review/update PII/BII pertaining to them.	Specify why not: The system does not collect PII/BII directly from individuals. Any changes required would be the responsibility of the source system.
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## Section 8: Administrative and Technological Controls

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

<input checked="" type="checkbox"/>	All users signed a confidentiality agreement or non-disclosure agreement.
<input checked="" type="checkbox"/>	All users are subject to a Code of Conduct that includes the requirement for confidentiality.
<input checked="" type="checkbox"/>	Staff (employees and contractors) received training on privacy and confidentiality policies and practices.
<input checked="" type="checkbox"/>	Access to the PII/BII is restricted to authorized personnel only.
<input checked="" type="checkbox"/>	Access to the PII/BII is being monitored, tracked, or recorded. Explanation: Audit logs.
<input checked="" type="checkbox"/>	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): 9/9/2022 <input type="checkbox"/> This is a new system. The A&A date will be provided when the A&A package is approved.
<input checked="" type="checkbox"/>	The Federal Information Processing Standard (FIPS) 199 security impact category for this system is a moderate or higher.
<input checked="" type="checkbox"/>	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).
<input checked="" type="checkbox"/>	A security assessment report has been reviewed for the information system and it has been determined that there are no additional privacy risks.
<input checked="" type="checkbox"/>	Contractors that have access to the system are subject to information security provisions in their contracts required by DOC policy.
<input type="checkbox"/>	Contracts with customers establish DOC ownership rights over data including PII/BII.
<input type="checkbox"/>	Acceptance of liability for exposure of PII/BII is clearly defined in agreements with customers.
<input type="checkbox"/>	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>PII within the system is secured using appropriate management, operational, and technical safeguards in accordance with NIST and FedRAMP requirements. Such management controls include the life cycle review process to ensure that management controls are in place and documented in the System Security Privacy Plan (SSPP). The SSPP specifically addresses the management, operational, and technical controls that are in place and planned during the operation of the system. Operational safeguards include restricting access to PII/BII data to a small subset of users. All access has role-based restrictions and individuals with access privileges have undergone vetting and suitability screening. Data is maintained in areas accessible only to authorize personnel. The system maintains an audit trail and the appropriate personnel is alerted when there is suspicious activity. Data is encrypted in transit and at rest.</p>
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**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.”

<input checked="" type="checkbox"/>	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>  <a href="#">Commerce/Dept-5</a> , Freedom of Information Act and Privacy Act Request Records <a href="#">Commerce/Dept-14</a> , Litigation, Claims, and Administrative Proceeding Records <a href="#">Commerce/Dept-18</a> , Employees Personnel Files Not Covered by Notices of Other Agencies
<input type="checkbox"/>	Yes, a SORN has been submitted to the Department for approval on <u>(date)</u> .
<input type="checkbox"/>	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.)*

<input checked="" type="checkbox"/>	There is an approved record controls schedule. Provide the name of the record controls schedule: GRS 2.5, item 030, Records Documenting Capture of Institutional and Specialized Knowledge
<input type="checkbox"/>	No, there is not an approved record controls schedule. Provide the stage in which the project is in developing and submitting a records control schedule:
<input type="checkbox"/>	Yes, retention is monitored for compliance to the schedule.
<input type="checkbox"/>	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	<input type="checkbox"/>	Overwriting	<input type="checkbox"/>
Degaussing	<input type="checkbox"/>	Deleting	<input checked="" type="checkbox"/>
Other (specify):			

**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.)*

<input type="checkbox"/>	Low – the loss of confidentiality, integrity, or availability could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals.
<input checked="" type="checkbox"/>	Moderate – the loss of confidentiality, integrity, or availability could be expected to have a serious adverse effect on organizational operations, organizational assets, or individuals.
<input type="checkbox"/>	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.)*

<input checked="" type="checkbox"/>	Identifiability	Provide explanation: The system contains identifying numbers including sensitive PII; extensive general personal data and workrelated data; several distinguishing features/biometrics; and system administration and audit data.
<input checked="" type="checkbox"/>	Quantity of PII	Provide explanation: The quantity of PII will be determined by the amount of legal correspondence that employees determine appropriate for transfer into LDMS-C (as duplicates). PII is incidental and will not be the norm for most of the records in LDMS-C. We estimate that the quantity of records that contain PII will be low and intend to minimize the collection of PII in the system.
<input checked="" type="checkbox"/>	Data Field Sensitivity	Provide explanation: LDMS-C may inadvertently contain PII/BII data. The combination of the data in the fields identified in section 2.1 could together make the data fields more sensitive.
<input checked="" type="checkbox"/>	Context of Use	Provide explanation: LDMS-C is a document repository for exclusive OGL use to disseminate legal guidance and advice regarding the USPTO mission to other OGL colleagues.
<input checked="" type="checkbox"/>	Obligation to Protect Confidentiality	Provide explanation: NIST Special Publication (SP) 800-122 and NIST SP 800-53 Revision 5 recommended security controls for protecting PII are in place and functioning as intended; or have an approved Plan of Action and Milestones (POA&M); Privacy Act of 1974.
<input checked="" type="checkbox"/>	Access to and Location of PII	Provide explanation: The data is stored in the Microsoft Azure U.S. Government cloud and is protected by FedRAMP privacy and security controls.
<input type="checkbox"/>	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.)

System users undergo annual mandatory training regarding appropriate handling of information. Physical access to servers is restricted to only a few authorized individuals. The servers storing the potential PII are located in a highly sensitive zones within the cloud and logical access is segregated with network firewalls and switches through an Access Control list that limits access to only a few approved authorized accounts. USPTO monitors, in real-time, all activities and events within the servers storing the potential PII data and personnel review audit logs received on a regular bases and alert the appropriate personnel when inappropriate or unusual activity is identified.

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

<input type="checkbox"/>	Yes, the conduct of this PIA results in required business process changes. Explanation:
<input checked="" type="checkbox"/>	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.

<input type="checkbox"/>	Yes, the conduct of this PIA results in required technology changes. Explanation:
<input checked="" type="checkbox"/>	No, the conduct of this PIA does not result in any required technology changes.