

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



**Privacy Impact Assessment  
for the  
Enterprise Records Management and Data Quality System  
(ERMDQS)**

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

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2/3/2022

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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 Enterprise Records Management and Data Quality System (ERMDQS)**

**Unique Project Identifier: PTOI-005-00**

### **Introduction: System Description**

*Provide a brief description of the information system.*

The Enterprise Records Management and Data Quality System (ERMDQS) is a general support system comprising a subsystem for metadata management used for creating a centralized repository of USPTO metadata information. ERMDQS consists of the following subsystem

#### **DAT-Metadata (Data Architecture Tool – Metadata)**

DAT-Metadata is a central source of information for the entire USPTO. The DAT subsystem primarily consists of a customized desktop client application, web interface and a database repository, which serves as a mechanism for storing and managing abbreviations, acronyms, Standard Data Elements, and database schemas that support impact analysis, data model review, and database design. DAT builds spring model templates that are used to store and retrieve data from databases. The templates are stored in the database repository in the form of Standard Data Elements (SDE) metadata.

Address the following elements:

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

ERMDQS is a General Support System.

***(b) System location***

The components of the Enterprise Records Management and Data Quality System (ERMDQS) are located at 600 Dulany Street, Alexandria, VA. The ERMDQS system resides on the USPTO network (PTONet).

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

ERMDQS has system interconnections/information sharing with the following systems:

**PALM Infra** is a web service that provides USPTO authentication user information based on active directory data.

**Database Services (DBS)** is an infrastructure information system and provides a database infrastructure to support the mission of USPTO database needs.

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

ERMDQS has one subsystem: DAT-Metadata. This subsystem provides a metadata management solution used for creating a centralized repository of USPTO metadata information.

Administrators, internal users, SDL project leads, and stakeholders connect via the web client from the USPTO workstation.

Administrators, EDAD government and contractor personnel, and software development leads connect to DAT-Metadata via a web-based interface. DAT-Metadata is only available to USPTO intranet (PTONet) users, and does not have a public access component and is not available beyond the USPTO firewall.

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

ERMDQS allows users to retrieve information in electronic format. Individuals connect to a web-based interface using USPTO laptop or workstation which accesses the database, supporting the timely search and retrieval of electronic text and images.

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

ERMDQS transmits information in electronic format. After the database processes the PL/SQL, the results are relayed back to the browser as HTML.

***(g) Any information sharing***

During user account creation by USPTO employees and contractors, DAT-Metadata stores, but does not disseminate, first name, middle name, last name, work email address, user id, work phone number, employee ID and office/room number.

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

E-Government Act of 2002 and the Foundations for Evidence-Based Policymaking Act of 2018

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

ERMDQS is a low system.

**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 checked="" 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.)*

| Identifying Numbers (IN)                                                                                                      |                                     |                       |                          |                          |                          |
|-------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-----------------------|--------------------------|--------------------------|--------------------------|
| a. Social Security*                                                                                                           | <input type="checkbox"/>            | f. Driver's License   | <input type="checkbox"/> | j. Financial Account     | <input type="checkbox"/> |
| b. Taxpayer ID                                                                                                                | <input type="checkbox"/>            | g. Passport           | <input type="checkbox"/> | k. Financial Transaction | <input type="checkbox"/> |
| c. Employer ID                                                                                                                | <input 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 type="checkbox"/> | m. Medical Record        | <input type="checkbox"/> |
| e. File/Case ID                                                                                                               | <input type="checkbox"/>            |                       |                          |                          |                          |
| 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                     | <input checked="" type="checkbox"/> | h. Date of Birth  | <input type="checkbox"/> | o. Financial Information | <input type="checkbox"/> |
| b. Maiden Name              | <input type="checkbox"/>            | i. Place of Birth | <input type="checkbox"/> | p. Medical Information   | <input type="checkbox"/> |

|                                           |                          |                     |                                     |                         |                          |
|-------------------------------------------|--------------------------|---------------------|-------------------------------------|-------------------------|--------------------------|
| c. Alias                                  | <input type="checkbox"/> | j. Home Address     | <input type="checkbox"/>            | q. Military Service     | <input type="checkbox"/> |
| d. Gender                                 | <input type="checkbox"/> | k. Telephone Number | <input checked="" type="checkbox"/> | r. Criminal Record      | <input type="checkbox"/> |
| e. Age                                    | <input type="checkbox"/> | l. Email Address    | <input type="checkbox"/>            | s. Marital Status       | <input type="checkbox"/> |
| f. Race/Ethnicity                         | <input type="checkbox"/> | m. Education        | <input type="checkbox"/>            | t. Mother's Maiden Name | <input type="checkbox"/> |
| g. Citizenship                            | <input type="checkbox"/> | n. Religion         | <input type="checkbox"/>            |                         |                          |
| u. Other general personal data (specify): |                          |                     |                                     |                         |                          |

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

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

|                                                      |                                     |                        |                                     |                      |                                     |
|------------------------------------------------------|-------------------------------------|------------------------|-------------------------------------|----------------------|-------------------------------------|
| <b>System Administration/Audit Data (SAAD)</b>       |                                     |                        |                                     |                      |                                     |
| 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 checked="" type="checkbox"/> |
| g. Other system administration/audit data (specify): |                                     |                        |                                     |                      |                                     |

|                                    |  |  |  |  |  |
|------------------------------------|--|--|--|--|--|
| <b>Other Information (specify)</b> |  |  |  |  |  |
|                                    |  |  |  |  |  |
|                                    |  |  |  |  |  |

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

|                                                                     |                                     |                     |                          |        |                          |
|---------------------------------------------------------------------|-------------------------------------|---------------------|--------------------------|--------|--------------------------|
| <b>Directly from Individual about Whom the Information Pertains</b> |                                     |                     |                          |        |                          |
| In Person                                                           | <input checked="" type="checkbox"/> | Hard Copy: Mail/Fax | <input type="checkbox"/> | Online | <input type="checkbox"/> |
| Telephone                                                           | <input type="checkbox"/>            | Email               | <input type="checkbox"/> |        |                          |

|                 |
|-----------------|
| Other(specify): |
|-----------------|

|                           |                                     |                   |                          |                        |                          |
|---------------------------|-------------------------------------|-------------------|--------------------------|------------------------|--------------------------|
| <b>Government Sources</b> |                                     |                   |                          |                        |                          |
| Within the Bureau         | <input checked="" type="checkbox"/> | Other DOC Bureaus | <input type="checkbox"/> | Other Federal Agencies | <input type="checkbox"/> |
| State, Local, Tribal      | <input type="checkbox"/>            | Foreign           | <input type="checkbox"/> |                        |                          |
| Other(specify):           |                                     |                   |                          |                        |                          |

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

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

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>ERMDQS is secured using appropriate administrative, physical and technical safeguards in accordance with the National Institute of Standards and Technology (NIST) security controls (encryption, access control, auditing). Mandatory IT Awareness and role-based training is required for staff who have access to the system and addresses how to handle, retain, and dispose of data. All access has role-based restrictions, and individuals with access privileges have undergone vetting and suitability screening. 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 will be deactivated and roles will be deleted from the application.</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

### 2.4 Is the information covered by the Paperwork Reduction Act?

|                                     |                                                                                                                                             |
|-------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/>            | Yes, the information is covered by the Paperwork Reduction Act.<br>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. |
|-------------------------------------|----------------------------------------------------------------------------------------------------------|

### **Section 3: System Supported Activities**

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

| <b>Activities</b>  |                          |                                  |                          |
|--------------------|--------------------------|----------------------------------|--------------------------|
| Audio recordings   | <input type="checkbox"/> | Building entry readers           | <input type="checkbox"/> |
| Video surveillance | <input type="checkbox"/> | Electronic purchase transactions | <input type="checkbox"/> |
| Other(specify):    |                          |                                  |                          |

|                                     |                                                                                       |
|-------------------------------------|---------------------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> | There are not any IT systems 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.)*

| <b>Purpose</b>                                                      |                                     |                                                                    |                                     |
|---------------------------------------------------------------------|-------------------------------------|--------------------------------------------------------------------|-------------------------------------|
| 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 checked="" type="checkbox"/> |
| For litigation                                                      | <input 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 checked="" 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).

ERMDQS collects information about USPTO employees and contractors for purposes of creating user accounts for administrative matters. Administrators, EDAD government and contractor personnel, Software Development Leads will utilize DAT-Metadata. This subsystem provides a metadata management solution used for creating a centralized repository of USPTO metadata information.

- 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 ERMDQS stored within the system could be exposed. In an effort to avoid a breach, ERMDQS has put 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 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.

## **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 type="checkbox"/>       | <input type="checkbox"/> | <input checked="" 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"/>            |

☐ 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?

|                                     |                                                                                                                                 |
|-------------------------------------|---------------------------------------------------------------------------------------------------------------------------------|
| <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.<br/>Provide the name of the IT system and describe the technical controls which prevent PII/BII leakage:</p> <p>ERMDQS Subsystem DAT-Metadata interconnects with the following systems:</p> <ul style="list-style-type: none"> <li>• PALM Infra</li> <li>• DBS</li> </ul> <p>ERMDQS has put certain security controls in place to ensure that information is handled, retained, and disposed of appropriately. These audit trails are based on application server out-of-the-box logging reports reviewed by the Information System Security Officer and System Auditor and any suspicious indicators such as browsing will be immediately investigated and appropriate action taken.</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 | <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 checked="" type="checkbox"/> | Yes, notice is provided pursuant to a system of records notice published in the Federal Register and discussed in Section 9. |
|-------------------------------------|------------------------------------------------------------------------------------------------------------------------------|

|                                     |                                                                                                                                                                                                                                    |                                         |
|-------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|
| <input checked="" 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: Appendix A: Warning Banner |
| <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 checked="" type="checkbox"/> | Yes, individuals have an opportunity to decline to provide PII/BII.       | Specify how: Yes, individuals have an opportunity to decline to provide PII/BII in ERMDQS. PII is collected at the time of account creation. Users can decline to create an account within ERMDQS to avoid providing PII. |
| <input type="checkbox"/>            | 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.

|                                     |                                                                                            |                                                                                                                                                                                       |
|-------------------------------------|--------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <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: Users do not have an opportunity to consent to particular uses of their PII since the information is authenticated via Privileged Access Lifecycle Management (PALM) |

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

|                                     |                                                                                         |                                                                                                                                   |
|-------------------------------------|-----------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> | Yes, individuals have an opportunity to review/update PII/BII pertaining to them.       | Specify how: Yes, users have the opportunity to review/update their PII with office of human resources or directly using MyUSPTO. |
| <input type="checkbox"/>            | No, individuals do not have an opportunity to review/update PII/BII pertaining to them. | Specify why not:                                                                                                                  |

## 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.<br>Explanation: Audit logs.                                                                                                                                                                                                                                |
| <input checked="" type="checkbox"/> | The information is secured in accordance with the Federal Information Security Modernization Act (FISMA) requirements.<br>Provide date of most recent Assessment and Authorization (A&A): <u>1/11/22</u><br><input type="checkbox"/> This is a new system. The A&A date will be provided when the A&A package is approved. |
| <input 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).*

PII within ERMDQS is secured using appropriate management, operational, and technical safeguards in accordance with NIST 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 ERMDQS 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 authorized personnel. ERMDQS maintains an audit trail and the appropriate personnel is alerted when there is suspicious activity.

## **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).<br>Provide the SORN name, number, and link. <i>(list all that apply):</i><br><br><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 control schedule.<br>Provide the name of the record control schedule:<br>GRS 6.3, item 020 Enterprise architecture records.<br>GRS 3.1 General Technology Management Records, item 010 |
| <input type="checkbox"/>            | No, there is not an approved record control schedule.<br>Provide the stage in which the project is in developing and submitting a records control schedule:                                                        |
| <input checked="" 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.)*

| <b>Disposal</b>  |                          |             |                                     |
|------------------|--------------------------|-------------|-------------------------------------|
| 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 checked="" 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 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: General data fields such as user ID, first name, middle name, and last name alone or in combination could uniquely identify an individual.                                                                                                         |
| <input checked="" type="checkbox"/> | Quantity of PII                       | Provide explanation: Quantity of PII is quite small and is limited to USPTO employees and contractors with special access rights to ERMDQS.                                                                                                                             |
| <input checked="" type="checkbox"/> | Data Field Sensitivity                | Provide explanation: General data fields such as user ID, first name, middle name, and last name have little relevance outside the context of use.                                                                                                                      |
| <input checked="" type="checkbox"/> | Context of Use                        | Provide explanation: ERMDQS is used to provide a metadata management solution used for creating a centralized repository of USPTO metadata information.                                                                                                                 |
| <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/BII 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: PII is located in a FIPS 199 Low system. The information captured, stored, and, transmitted by the ERMDQS system is accessible by internal USPTO employees and contractors with access permissions                                                 |
| <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.)

The PII in this system is such as user ID, name, email address and phone number pose very little risk if exposed. However, 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 zone within the USPTO internal network and logical access is segregated with network firewalls and switches through an Access Control list that limits access to only a few approved and 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 basis 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.<br>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.<br>Explanation: |
| <input checked="" type="checkbox"/> | No, the conduct of this PIA does not result in any required technology changes.      |

## Appendix A: Warning Banner



This is a government computer system and is intended for official and other authorized use only. Unauthorized access or use of the system is prohibited and subject to administrative action, civil, and criminal prosecution under 18 USC 1030. All data contained on this information system may be monitored, intercepted, recorded, read, copied, or captured and disclosed by and to authorized personnel for official purposes, including criminal prosecution. You have no expectations of privacy regarding monitoring of this system. Any use of this computer system signifies consent to monitoring and recording, and compliance with USPTO policies and their terms.

[FM:Systems Privacy Policy](#)

## USPTO Points of Contact and Signatures

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>System Owner</b><br/> Name: Scott Beliveau<br/> Office: Enterprise Advanced Analytics Branch (I/EAAB)<br/> Phone: (571) 272-7343<br/> Email: Scott.Beliveau@uspto.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:  Digitally signed by Users, Beliveau, Scott<br/> Date: 2022.01.20 18:09:09 -05'00'</p> <p>Date signed: _____</p> | <p><b>Chief Information Security Officer</b><br/> Name: Don Watson<br/> Office: Office of the Chief Information Officer (OCIO)<br/> Phone: (571) 272-8130<br/> Email: Don.Watson@uspto.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>Users, Watson, Don</u> Digitally signed by Users, Watson, Don<br/> Date: 2022.01.24 12:31:24 -05'00'</p> <p>Date signed: _____</p>                                                                                                                        |
| <p><b>Privacy Act Officer</b><br/> Name: Ezequiel Berdichevsky<br/> Office: Office of General Law (O/GL)<br/> Phone: (571) 270-1557<br/> Email: Ezequiel.Berdichevsky@uspto.gov</p> <p>I certify that the appropriate authorities and SORNs (if applicable) are cited in this PIA.</p> <p>Signature: <u>Users, Berdichevsky, Ezequiel</u> Digitally signed by Users, Berdichevsky, Ezequiel<br/> Date: 2022.01.19 15:47:42 -05'00'</p> <p>Date signed: _____</p>                                                                               | <p><b>Bureau Chief Privacy Officer and Authorizing Official</b><br/> Name: Henry J. Holcombe<br/> Office: Office of the Chief Information Officer (OCIO)<br/> Phone: (571) 272-9400<br/> Email: Jamie.Holcombe@uspto.gov</p> <p>I certify that the PII/BII processed in this IT system is necessary, this PIA ensures compliance with DOC policy to protect privacy, and the Bureau/OU Privacy Act Officer concurs with the SORNs and authorities cited.</p> <p>Signature: <u>Users, Holcombe, Henry</u> Digitally signed by Users, Holcombe, Henry<br/> Date: 2022.01.24 12:56:21 -05'00'</p> <p>Date signed: _____</p> |
| <p><b>Co-Authorizing Official</b><br/> Name: N/A<br/> Office: N/A<br/> Phone: N/A<br/> Email: N/A</p> <p>I certify that this PIA accurately reflects the representations made to me herein by the System Owner, the Chief Information Security Officer, and the Chief Privacy Officer regarding security controls in place to protect PII/BII in this PIA.</p> <p>Signature: _____</p> <p>Date signed: _____</p>                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

**This page is for internal routing purposes and documentation of approvals. Upon final approval, this page must be removed prior to publication of the PIA.**