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

Privacy Threshold Analysis
for the
Corporate Web Systems (CWS)

U.S. Department of Commerce Privacy Threshold Analysis

USPTO Corporate Web Systems (CWS)

Unique Project Identifier: PTOI-028-00

Introduction: This Privacy Threshold Analysis (PTA) is a questionnaire to assist with determining if a Privacy Impact Assessment (PIA) is necessary for this IT system. This PTA is primarily based from the Office of Management and Budget (OMB) privacy guidance and the Department of Commerce (DOC) IT security/privacy policy. If questions arise or further guidance is needed in order to complete this PTA, please contact your Bureau Chief Privacy Officer (BCPO).

Description of the information system: *Provide a brief description of the information system.*

The E-Government Act of 2002 defines "information system" by reference to the definition section of Title 44 of the United States Code. The following is a summary of the definition: "Information system" means a discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information. See: 44. U.S.C. § 3502(8).

The Corporate Web System (CWS) is an n-tier application architecture that consists of PTOWeb, RDMS, and Image Gallery. The web servers are responsible for accepting HTTP requests from web clients and passing the requests to the application servers.
All hardware components and operating systems supporting the CWS are managed as part of the USPTO Enterprise UNIX Servers (EUS), Service Oriented Infrastructure (SOI), Database Services (DBS) and Network Security Infrastructure (NSI) systems. The CWS provides a feature-rich and stable platform that contains the Organization's Websites that are used at USPTO such as the intranet website.

The subsystems within the CWS System are:
Image Gallery (Image Gallery) provides the ability to catalog, track, and make available a curated set of approved images for use on USPTO web properties. The solution is based on an open source product (Gallery) and is targeted at a limited user group of USPTO internal users.

PTOWeb is the USPTO's corporate intranet website serving as the primary internal communication, information dissemination and collaboration system for employees and contractors. Offices within the USPTO are able to utilize the Intranet Website to meet everyday business goals on the ptoweb.uspto.gov web site.

Reference Document Management Services (RDMS) system is designed to serve as USPTO's enterprise-wide content management solution for the Manual of Patent Examining Procedure (MPEP) and the Trademark Manual of Examining Procedure (TMEP), the primary guidance documents utilized by Patent and Trademark examiners, as well as the Trademark Trial and Appeal Board Manual of Procedure (TBMP), and the Trademark Federal Statutes and Rules (TFSR), a USPTO-created compilation of the rules that is not meant to serve as an official source. The RDMS system allows web-based access to internal and external customers to view these documents.

Address the following elements:

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

b) ***System location***
It is internally hosted at USPTO's Data Center located at Alexandria, VA.

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

- **Security and Compliance Services (SCS):** SCS provides Security Incident and Event Management, Enterprise Forensic, Enterprise Management System, Security and Defense, Enterprise Scanner, Enterprise Cybersecurity Monitoring Operations, Performance Monitoring Tools, Dynamic Operational Support Plan, & Situational Awareness and Incident Response.
- **Enterprise UNIX Servers (EUS):** The EUS is an infrastructure operating system with a sole purpose of providing a UNIX base hosting platform to support other systems at USPTO.
- **Network and Security Infrastructure System (NSI)** -The NSI is an Infrastructure information system, and provides an aggregate of subsystems that facilitates the communications, secure access, protective services, and network infrastructure support for all United States Patent and Trademark Office (USPTO) IT applications.
- **Database Services (DBS):** The DBS is an Application information system, and provides a Database infrastructure to support the mission of USPTO Database needs. The DBS System is composed of a collection of various versions of Database systems. The subsystems within the DBS System includes: SQL Database Servers (MSSQL); Oracle (Oracle); and MySQL (MySQL).

d) The purpose that the system is designed to serve

The CWS provides a feature-rich and stable platform that contains PTOWeb, Image Gallery and RDMS.

e) ***The way the system operates to achieve the purpose***

Image Gallery
The Image Gallery provides the ability to catalog, track, and make available a curated set of approved images for use on USPTO web properties. The solution is based on an open source product (Gallery) and is targeted at a limited user group of USPTO internal users.

PTOWeb
PTOWeb is the USPTO's corporate intranet website serving as the primary internal communication, information dissemination and collaboration system for employees and contractors. Offices within the USPTO are able to utilize the Intranet Website to meet everyday business goals on the ptoweb.uspto.gov web site.

RDMS
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f) A general description of the type of information collected, maintained, used, or disseminated by the system

Information types for the CWS system includes; Public Relations, Product Outreach, Customer Services, Official Information Dissemination, System Development, System Maintenance, Record Retention, Information Management, and Intellectual Property Protection.

g) Identify individuals who have access to information on the system

Subsystem Name	Customer Group(s)
Image Gallery	③ Limited USPTO users (OCCO, OIMS, OAED)
PTOWeb (Intranet)	③ All PTOnet users
Reference Document Management Services (RDMS)	③ Internal Patent and Trademark Examiners ③ External Patent and Trademark Applicants

h) How information in the system is retrieved by the user

Information in the system is retrieved through internet access and a registered account.

i) How information is transmitted to and from the system

Information is transmitted to and from CWS via the internet and internal USPTO network.

Questionnaire:

1. Status of the Information System

1a. What is the status of this information system?

☐ This is a new information system. *Continue to answer questions and complete certification.*

☐ This is an existing information system with changes that create new privacy risks. *Complete chart below, continue to answer questions, and complete certification.*

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

☐ This is an existing information system in which changes do not create new privacy risks, and there is not a SAOP approved Privacy Impact Assessment. *Continue to answer questions and complete certification.*

☒ This is an existing information system in which changes do not create new privacy risks, and there is a SAOP approved Privacy Impact Assessment. *Skip questions and complete certification.*

1b. Has an IT Compliance in Acquisitions Checklist been completed with the appropriate signatures?

☐ Yes. This is a new information system.

☐ Yes. This is an existing information system for which an amended contract is needed.

☐ No. The IT Compliance in Acquisitions Checklist is not required for the acquisition of equipment for specialized Research and Development or scientific purposes that are not a National Security System.

☒ No. This is not a new information system.

2. Is the IT system or its information used to support any activity which may raise privacy concerns?

NIST Special Publication 800-53 Revision 4, Appendix J, states "Organizations may also engage in activities that do not involve the collection and use of PII, but may nevertheless raise privacy concerns and associated risk. The privacy controls are equally applicable to those activities and can be used to analyze the privacy risk and mitigate such risk when necessary." Examples include, but are not limited to, audio recordings, video surveillance, building entry readers, and electronic purchase transactions.

☐ Yes. *(Check all that apply.)*

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

☒ No.

3. Does the IT system collect, maintain, or disseminate business identifiable information (BII)?

As per DOC Privacy Policy: "For the purpose of this policy, business identifiable information consists of (a) information that is defined in the Freedom of Information Act (FOIA) as "trade secrets and commercial or financial information obtained from a person [that is] privileged or confidential." (5 U.S.C.552(b)(4)). This information is exempt from automatic release under the (b)(4) FOIA exemption. "Commercial" is not confined to records that reveal basic commercial operations" but includes any records [or information] in which the submitter has a commercial interest" and can include information submitted by a nonprofit entity, or (b) commercial or other information that, although it may not be exempt from release under FOIA, is exempt from disclosure by law (e.g., 13 U.S.C.)."

☐ Yes, the IT system collects, maintains, or disseminates BII.

☒ No, this IT system does not collect any BII.

4. Personally Identifiable Information (PII)

4a. Does the IT system collect, maintain, or disseminate PII?

As per OMB 17-12: "The term PII refers to information that can be used to distinguish or trace an individual's identity either alone or when combined with other information that is linked or linkable to a specific individual."

☒ Yes, the IT system collects, maintains, or disseminates PII about: *(Check all that apply.)*

- ☒ DOC employees
- ☐ Contractors working on behalf of DOC
- ☐ Other Federal Government personnel
- ☒ Members of the public

☐ No, this IT system does not collect any PII.

If the answer is "yes" to question 4a, please respond to the following questions.

4b. Does the IT system collect, maintain, or disseminate Social Security numbers (SSNs), including truncated form?

☐ Yes, the IT system collects, maintains, or disseminates SSNs, including truncated form.

Provide an explanation for the business need requiring the collection of SSNs, including truncated form.
Provide the legal authority which permits the collection of SSNs, including truncated form.

☒ No, the IT system does not collect, maintain, or disseminate SSNs, including truncated form.

4c. Does the IT system collect, maintain, or disseminate PII other than user ID?

☒ Yes, the IT system collects, maintains, or disseminates PII other than user ID.

☐ No, the user ID is the only PII collected, maintained, or disseminated by the IT system.

4d. Will the purpose for which the PII is collected, stored, used, processed, disclosed, or disseminated (context of use) cause the assignment of a higher PII confidentiality impact level?

Examples of context of use include, but are not limited to, law enforcement investigations, administration of benefits, contagious disease treatments, etc.

☐ Yes, the context of use will cause the assignment of a higher PII confidentiality impact level.

☒ No, the context of use will not cause the assignment of a higher PII confidentiality impact level.

If any of the answers to questions 2, 3, 4b, 4c, and/or 4d are "Yes," a Privacy Impact Assessment (PIA) must be completed for the IT system. This PTA and the SAOP approved PIA must be a part of the IT system's Assessment and Authorization Package.

CERTIFICATION

☒ The criteria implied by one or more of the questions above **apply** to the Corporate Web Systems (CWS) and as a consequence of this applicability, a PIA will be performed and documented for this IT system.

☐ The criteria implied by the questions above **do not apply** to the Corporate Web Systems (CWS) and as a consequence of this non-applicability, a PIA for this IT system is not necessary.

System Owner Name: Randy Hill Office: Office of the Chief Information Officer Phone: (571) 272-8983 Email: Randy.Hill@uspto.gov Signature: Users, Hill, Randy Digitally signed by Users, Hill, Randy Date: 2022.08.27 00:00:07 -04'00' Date signed: _____	**Chief Information Security Officer** Name: Don Watson Office: Office of the Chief Information Officer (OCIO) Phone: (571) 272-8130 Email: Don.Watson@uspto.gov Signature: Users, Watson, Don Digitally signed by Users, Watson, Don Date: 2022.09.17 19:59:32 -05'00' Date signed: _____
Privacy Act Officer Name: Ezequiel Berdichevsky Office: Office of General Law (O/GL) Phone: (571) 270-1557 Email: Ezequiel.Berdichevsky@uspto.gov Signature: Users, Berdichevsky, Ezequiel Digitally signed by Users, Berdichevsky, Ezequiel Date: 2022.09.14 08:01:35 -04'00' Date signed: _____	**Bureau Chief Privacy Officer and Authorizing Official** Name: Henry J. Holcombe Office: Office of the Chief Information Officer (OCIO) Phone: (571) 272-9400 Email: Jamie.Holcombe@uspto.gov Signature: Users, Holcombe, Henry Digitally signed by Users, Holcombe, Henry Date: 2022.09.19 16:45:59 -04'00' Date signed: _____
Co-Authorizing Official Name: N/A Office: N/A Phone: N/A Email: N/A Signature: _____ Date signed: _____	