

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



**Privacy Impact Assessment
for the
Serco Patent Processing System (PPS)**

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

Date

U.S. Department of Commerce Privacy Impact Assessment USPTO Serco Patent Processing System (PPS)

Unique Project Identifier: PTOC-016-00

Introduction: System Description

Provide a brief description of the information system.

Serco Patent Processing System (PPS) is a Major Application (MA). This system processes inbound electronic images of patent applications received by Serco Inc. from the United States Patent and Trademark Office (USPTO). Patent applications consist of electronic documents that conform to requirements as defined by USPTO. The system consists of a variety of application review tools, research tools, and data entry tools to facilitate the evaluation and classification of the application creating a series of U.S. Patent Classification (USPC) system and Cooperative Patent Classification (CPC) system classification data elements that describe the application. The PPS is dedicated to securely processing patent information. The system is physically located at the contractor staffed and operated facility located at Serco Inc.

Address the following elements:

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

PPS is a major application system.

(b) System location

The system is located in Harrisonburg, Virginia.

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

Serco PPS has an Interconnection Security Agreement (ISA) to interconnect with the USPTO File Transfer System. There are no other system interconnections.

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

Serco PPS processes inbound electronic images of patent applications provided by USPTO. The patent applications consist of electronic applications that conform to the application requirements. Applications need to contain all required sections and content to be deemed complete.

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

Information is retrieved by the user through utilizing a toolset that consists of a variety of application review, research tools and data entry tools to facilitate the evaluation and

classification of the application creating a series of US Patent Classification (USPC) system and Cooperative Patent Classification (CPC) system classification data elements that describe the application.

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

Serco PPS receives patent applications directly from the USPTO via secure channel. The PPS transport subsystem uses encryption to ensure secure transmission of sensitive data between USPTO and the Serco facility.

(g) Any information sharing

Serco PPS does not share any information with other agencies, individuals, or organizations. Serco uses the information provided by USPTO for authorized activities performed by authorized personnel only.

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

35 U.S.C. 1, 2, and 115

(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.)*

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 type="checkbox"/>	i. Credit Card	<input type="checkbox"/>	m. Medical Record	<input type="checkbox"/>
e. File/Case ID	<input checked="" 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 checked="" 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 checked="" 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 checked="" type="checkbox"/>	n. Religion	<input type="checkbox"/>		
u. Other general personal data (specify): Inventor Citizenship					

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 type="checkbox"/>	j. Proprietary or Business Information	<input checked="" 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):					

Distinguishing Features/Biometrics (DFB)					
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):					

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

Government Sources					
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):					

Non-government Sources					
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.

Serco ensures accuracy of the information in the system by only allowing authorized users read access to content provided by USPTO. Users are not allowed to change the content provided by the USPTO. Additionally, Serco validates data elements returned to USPTO prior to submission. The transport subsystem consists of system components designed to support receipt of inbound patent applications from USPTO and for transmission of Serco deliverables back to USPTO. The PPS transport subsystem uses strong encryption to ensure secure transmission of sensitive data between USPTO and the Serco PPS.

2.4 Is the information covered by the Paperwork Reduction Act?

<input checked="" type="checkbox"/>	Yes, the information is covered by the Paperwork Reduction Act. Provide the OMB control number and the agency number for the collection. 0651-0031 Patent Processing 0651-0032 Initial Patent Applications
<input 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.)

Technologies Used Containing PII/BII Not Previously Deployed (TUCPBNPD)			
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 system 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 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).

The PII and/or BII data is collected by the USPTO to facilitate the patent application process. The PII/BII comes from persons applying for patents through the USPTO. This could include federal employees, contractors, members of the public, or foreign nationals.

The information is part of the official record of the application and is used to document Inventor location and nationality and for communications.

During processing, the information is not shared with any entity outside of the Serco PPS, neither with other components of Serco, nor externally to any commercial business partners.

- 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.)

Foreign and adversarial entities as well as insider threats are the predominant threats to the information collected and its privacy. The system has implemented security controls following National Institute of Standards and Technology (NIST) guidance to deter and prevent threats to privacy.

Serco provides technical controls that are put in place to include; connections to the PPS infrastructure within the Serco facility are physically and logically controlled, Physical access to ports is restricted through the use of locks and a badge access system and Logical access to ports is controlled. All physical access to the server room is controlled by the badge activated access control system and only administrators and select individuals have clearance.

Serco provides annual training for system users regarding appropriate handling of information. During processing, the information is not shared with any entity outside of the Serco PPS, neither with other components of Serco, nor externally to any commercial business partners.

The technical controls that are put in place include; connections to the PPS infrastructure within the Serco facility are physically and logically controlled, Physical access to ports is restricted through the use of locks and a badge access system and Logical access to ports is controlled. All physical access to the server room is controlled by the badge activated access control system and only administrators and select individuals have clearance.

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 checked="" 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"/>

<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: Serco Patent Processing System (PPS) connects to USPTO File Transfer system.</p> <p>According to 35 U.S.C. Section 122, USPTO must maintain patent applications in confidence. In order for Serco to support this, the PPS which processes unpublished patent application data have undergone a formal IT Security Certification & Accreditation process and have been approved for operation with the requisite and appropriate security controls in place and in conformance with Federal IT Security Policy.</p> <p>Specific safeguards that are employed by Serco PPS to protect the patent applications include:</p> <ul style="list-style-type: none"> • The PPS system and its facility are physically isolated and closely monitored. Only individuals authorized by USPTO are allowed access to the system. • All patent information is encrypted when transferred between PPS and USPTO using secure electronic methods. • All patent information is encrypted before leaving the facility and is stored at backup facilities in encrypted form. • Technical, operational, and management security controls are in place at PPS and are verified regularly. • Periodic security testing is conducted on the PPS system to help assure that any new security vulnerabilities are discovered and fixed. • All PPS personnel are trained to securely handle patent information and to understand their responsibilities for protecting patents. <p>Yes, this IT system connects with or receives information from another IT system(s) authorized to process PII and/or BII via file transfer.</p>
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	The technical controls that are put in place include; connections to the PPS infrastructure within the Serco facility are physically and logically controlled, Physical access to ports is restricted through the use of locks and a badge access system and Logical access to ports is controlled. All physical access to the server room is controlled by the badge activated access control system and only administrators and select individuals have clearance.
<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 type="checkbox"/>
Contractors	<input checked="" type="checkbox"/>		
<p>Other (specify): There are three general classes of users in the PPS environment which are; Managers, Users, and System Administrators.</p> <p>Managers: Limited number of people who are able to assign, view work, approve work, and have been qualified and trained to define and manage the workflow through the application interfaces. They have administrator privileges in the workflow application, but they do not have system administrator privileges on servers or platforms.</p> <p>General Users: Are organized into groups based on their work assignment. At any given time, there are potentially up to 200 users when fully operational capabilities are utilized. Users are only able to see work assigned to their Group (Team Leads) or work assigned to them (Classifiers). Once the work leaves the work queue, it will no longer be visible in the work queue for that work task.</p> <p>System Administrators: Have full system administrator rights on servers and workstations, and can add/delete/modify user system rights, with consultation from the ISSO.</p>			

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: https://www.uspto.gov/privacy-policy	
<input checked="" type="checkbox"/>	Yes, notice is provided by other means.	Specify how: Notice is provided at the time of collection by the Patent front end systems during initial application processing.

		<p>Individuals may be notified that their PII/BII is collected, maintained, or disseminated by the primary patent application ingress system, which is covered under the system of records at USPTO: COMMERCE/PAT-TM-7, Patent Application Files.</p> <p>That information is volunteered by individuals as a part of the patent application process.</p>
<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.	<p>Specify how: Individuals may have the opportunity to decline to provide their PII/BII. That option would be offered by the primary patent application ingress system, which is covered under the system of records at USPTO: COMMERCE/PAT-TM-7, Patent Application Files. That information is volunteered by individuals as a part of the patent application process. The PII/BII contained in this information is needed for successful processing of the patent application.</p>
<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 checked="" type="checkbox"/>	Yes, individuals have an opportunity to consent to particular uses of their PII/BII.	<p>Specify how: Individuals may have the opportunity to consent to particular uses of their PII/BII. That option would be offered by the primary patent application ingress system, which is covered under the system of records at USPTO: COMMERCE/PAT-TM-7, Patent Application Files.</p> <p>That information is volunteered by individuals as a part of the patent application process. The PII/BII contained in this information is needed for successful processing of the patent application.</p>
<input type="checkbox"/>	No, individuals do not have an opportunity to consent to particular uses of their PII/BII.	Specify why not:

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.	<p>Specify how: Individuals may have the opportunity to review/update the PII/BII pertaining to them. That option would be offered by the primary patent application ingress system, which is covered under the system of records at USPTO: COMMERCE/PAT-TM-7, Patent Application Files.</p>
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		That information is volunteered by individuals as a part of the patent application process. The PII/BII contained in this information is needed for successful processing of the patent application.
<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. 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): 2/22/2023 <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 checked="" type="checkbox"/>	Contracts with customers establish DOC ownership rights over data including PII/BII.
<input checked="" 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>Access to the system and data are limited to classifiers, management, and system administrators. Data is received, processed through the Serco PPS workflow, and returned to USPTO. All transfers of data between Serco PPS and USPTO occurs over a secure file transport system.</p> <p>From an external standpoint, PPS processes inbound electronic images of patent applications. These applications consist of electronic images that conform to the patent application</p>

requirement by USPTO. The transport subsystem consists of system components designed to support receipt of inbound patent applications from USPTO and for transmission of Serco deliverables back to USPTO. The PPS transport subsystem uses strong encryption to ensure secure transmission of sensitive data between USPTO and the Serco PPS.

Once transferred to the Serco PPS, applications are processed by a custom developed Serco distributed computing engine. These applications are then passed through the workflow system where they are monitored throughout the entire process. Reports of these processes will be generated by the Workflow system. After each application has been properly classified by the System and Patent classifiers, the system will extract and encrypt metadata about the application and send these back to USPTO.

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> COMMERCE/PAT-TM-7 Patent Application Files Systems of Records.
<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. Provide the name of the record control schedule: N1-241-10-1:10.3: Patent Administrative Feeder Records
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<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 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.)*

Disposal			
Shredding	<input type="checkbox"/>	Overwriting	<input checked="" 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: Name, title, address, phone number, email and citizenship status can be used to identify an individual.
<input checked="" type="checkbox"/>	Quantity of PII	Provide explanation: PII is stored within the PPS application system and store large quantities of data that contains PII from the USPTO network.
<input checked="" type="checkbox"/>	Data Field Sensitivity	Provide explanation: Data includes limited personal and work-related elements and does not include sensitive identifiable information.
<input checked="" type="checkbox"/>	Context of Use	Provide explanation: Information is for identifying and tracking patent applicants & applications.
<input checked="" type="checkbox"/>	Obligation to Protect Confidentiality	Provide explanation: Based on the Privacy Act of 1974, PII must

		be protected and Serco utilizes identification and authentication as a technical measure to prevent unauthorized people (or unauthorized processes) from entering PPS IT system.
<input checked="" type="checkbox"/>	Access to and Location of PII	Provide explanation: Because the information containing PII must be transmitted outside of the USPTO environment, there is an added need to ensure the confidentiality of information during transmission.
<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.)

Foreign entities and adversarial entities including insider threats are the predominant threats to the information collected and its privacy. Security controls following NIST guidance are implemented to deter and prevent threats to privacy. Currently there are no known threats to privacy existent in light of the information collected from the USPTO.

- 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.