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

Privacy Threshold Analysis
for the
Information Delivery Product

U.S. Department of Commerce Privacy Threshold Analysis

USPTO Information Delivery Product

Unique Project Identifier: **PTOC-003-00**

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 and its purpose: *Provide a general description of the information system in a way that a non-technical person can understand.*

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).

Information Delivery Product (IDP) is a Master System composed of the following two (3) subsystems: 1) Enterprise Data Warehouse (EDW) , 2) Electronic Library for Financial Management System (EL4FMS) and 3) Financial Enterprise Data Management Tools (FEDMT)

Enterprise Data Warehouse (EDW)

The Enterprise Data Warehouse (EDW) system is an automated information system (AIS) that provides access to integrated United States Patent and Trademark Office (USPTO) data to support the decision-making activities of managers and analysts in the USPTO's business areas as needed to achieve business goals. It helps USPTO managers and analysts to answer a variety of strategic and tactical business questions using quantitative enterprise business information. Specifically, EDW provides a tool that allows managers and analysts to analyze business processes, resource use and needs, and other facets of the business.
The Enterprise Data Warehouse:
Provides an integrated view of PTO's business information about PTO General Ledger, Revenue, Payroll, Cost Accounting, Human Resources, Budget, Compensation Cost Projection, Patent Case, Patent Examiner Production, Time and Attendance, Federal Procurement, Corporate Planning, Contractor Actual, Fixed Assets, Automated Disbursements, Accounts Receivable, Travel, Accounts Payable, Acquisitions, IT Project Information, IT Deployment, and Patent Trial and Appeal Board (PTAB) data to support strategic and tactical decision-making. Enables business users to retrieve and analyze USPTO business information at their desktop without assistance from information technology specialists.

Supports analyses of USPTO data as necessary to supply parameter data, derived from actual historical information, needed by analytical models such as the Patent Resource Management

System (PRMS) and the Corporate Planning Tool.

Electronic Library for Financial Management System (EL4FMS)
The Electronic Library for Financial Management Systems (EL4FMS) is an automated information system (AIS) that provides access to USPTO financial-related documents to support the decision-making activities of managers and analysts. EL4FMS also supports users' business operations by providing access via FPNG to various financial documents relating to their FPNG account.

Financial Enterprise Data Management Tools (FEDMT)
FEDMT is a database/user interface solution utilizing the Oracle APEX product to build small applications to support Financial Reference data.

The first usage of this application built the PPA Code Database project that developed an APEX database within the current OCFO ABIS system boundary to house PPA (Program, Project, and Activity) code data that currently resides in two standalone Microsoft Access databases, each separately maintained by OCIO FRMD and OCFO ABID. Both existing Access databases contain a complete listing of PPA codes; the differentiator is the OCIO database contains additional project-related attributes of interest to FRMD. The new APEX database serves the need of both OCFO and OCIO and contains additional attributes needed by FRMD.

Questionnaire:

1. 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.*

   __X__ This is an existing information system in which changes do not create new privacy risks, and there is a SAOP approved Privacy Impact Assessment (version 01-2015 or later). *Skip questions and complete certification.*

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. *Please describe the activities which may raise privacy concerns.*

__X__ 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.)."

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

__X__ Companies
_____ Other business entities

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

4. Personally Identifiable Information
4a. Does the IT system collect, maintain, or disseminate personally identifiable information (PII)?

As per OMB 07-16, Footnote 1: "The term 'personally identifiable information' refers to information which can be used to distinguish or trace an individual's identity, such as their name, social security number, biometric records, etc... alone, or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother's maiden name, etc..."

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

__X__ DOC employees

   __X__ Contractors working on behalf of DOC

   __X__ 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 PII other than user ID?

   __X__ 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.

4c. 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.

   __X__ 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, and/or 4c are "Yes," a Privacy Impact Assessment (PIA) must be completed for the IT system. This PTA and the approved PIA must be a part of the IT system's Assessment and Authorization Package.

CERTIFICATION

__X__   I certify the criteria implied by one or more of the questions above **apply** to the Information Delivery Product and as a consequence of this applicability, I will perform and document a PIA for this IT system.

_____   I certify the criteria implied by the questions above **do not apply** to the Information Delivery Product and as a consequence of this non-applicability, a PIA for this IT system is not necessary.

Name of System Owner (SO): ___Gita Zoks___

Signature of SO: _Darrell Styl Moor_ (On Behalf of Gita Zoks) Date: _8/2/2018_

Name of Senior Information Security Officer (SISO): __Rami Dillon__

Signature of ISSO: ___(signature)___   Date: _8/6/18_

Name of Authorizing Official (AO) & Bureau Chief Privacy Officer (BCPO: _David Chiles_

Signature of AO & BCPO: ___(signature)___ Date: _8/9/26_

Name of Authorizing Official (AO) or Designated Representative: ~~Anthony Scardino~~ _for Sean Mildrew_

Signature of AO: _Michelle Picard_   Date: _8/13/2018_