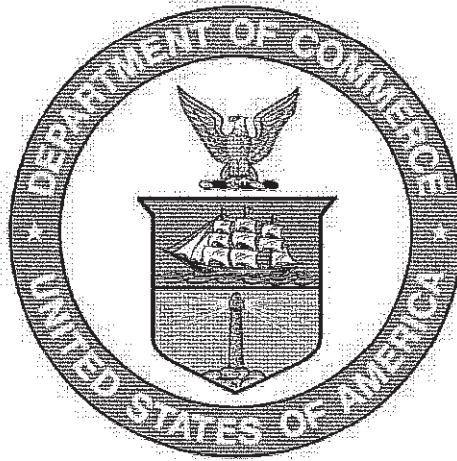


**U.S. Department of Commerce
U.S. Patent and Trademark Office**



**Privacy Impact Assessment
for the
Patent Capture and Application Processing System – Initial
Processing (PCAPS-IP)**

Reviewed by: John B. Owens, II, 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

Catrina D. Purvis

 Digitally signed by Catrina D. Purvis
DN: cn=Catrina D. Purvis, o=Office of the Secretary, Office of Privacy and Open
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Date: 2017.06.06 11:42:57 -04'00'

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

Date

U.S. Department of Commerce Privacy Impact Assessment USPTO Patent Capture and Application Processing System – Initial Processing (PCAPS-IP)

Unique Project Identifier: PTOP-006-00

Introduction: System Description

(a) a general description of the information in the system

The Patent Capture and Application Processing System - Initial Processing (PCAPS-IP) provides multiple applications that allow the submission, categorization, metadata capture, and Patent examiner assignment of Patent applications from internal and external customers of the USPTO. It supports the Patent Business Function of USPTO. The PCAPS-IP is a major Application (MA) that provides the following services or functions in support of USPTO mission:

Application Routing Tool (ART)

ART is an automated patent application processing support system that provides a suggested routing location for new patent applications that have been successfully scanned into the PASS Database. ART uses the Bibliographic Retrieval Service (BRS) Query by Example (QBE) technology to provide a recommended group art unit (GAU) location, class and subclass for routing pending patent applications that have been successfully scanned into the PASS database. For each application, ART searches the text of the background, summary of the invention, and abstract for certain keywords and compares the frequency of those keywords to already published patents. A score is generated, by classification, for how many times the keywords are found within an application that were also found in published patents. The classification with the highest number of hits is used to determine a tentative classification for routing.

Checker

The Checker system provides the United States Patent and Trademark Office (USPTO) with a state-of-the-art C++/Microsoft Foundation Classes (MFC) based software program that employs a logical and intuitive user interface.

The Checker application enables public users to check sequence listings before submission to the USPTO. The Checker system validates patent applications in compliance with 37 Code of Federal Regulations (CFR) 1.821 – 1.825 for both ‘old rules’ (October 1990) and ‘new rules’ (July 1998). The Checker system was designed for use by the general public and is not used internally by the United States Patent and Trademark Office (USPTO). The Checker installer can be downloaded from the public USPTO Web server and installed on personal computers running the Windows operating system. Checker does not facilitate the delivery of sequence listings to the USPTO, and Checker does not connect to USPTO computers in any form. The Checker executable runs locally on the user’s computer.

EAI Hub

The EAI Hub is a scalable, robust, and extensible system that enables the United States Patent and Trademark Office (USPTO) to model and automate business processes at the enterprise level. The EAI Hub supports the USPTO's e-Government strategy and provides a framework for various loosely coupled AISs to share information and services across their heterogeneous environments with minimal or no changes to the existing applications. The EAI Hub system supports the key functions of asynchronous message routing, data transformation, data types-transformation, message filtering and restructuring to fit the needs of various applications, and data format conversions such as Extensible Markup Language (XML), Portable Document Format (PDF, and Tagged Image File Format (TIFF).

Electronic Filing System- Web (EFS-Web)

EFS-Web is a Web-Based application that provides a simple, safe and secure method for E-filers to file a patent application and submit documents as Portable Document Format (PDF) or text files to the USPTO over the internet.

Patent Application Services and Security (PASS)

The PASS system provides the capability to use electronic images of patent applications to support USPTO operations. The PASS system was previously identified as Patent Application Capture and Review (PACR). PASS supports two user groups: the Office of Initial Patent Examination (OIPE) and the Licensing and Review (L&R) Group. PASS provided OCR, data extraction and verification, security screening, and application viewing, DTSA CD generation, PGPub, Grant tape publication, and East Data Center (EDC) exports.

PatentIn

PatentIn is a self-contained downloadable application that allows patent applicants to generate nucleic and amino acid sequence listings. PatentIn provides automated validation and error checking mechanisms. This enables users to use a sequence editor to enter or import existing sequences manually, while configuring each sequence according to a specific feature attribute. The application fully complies with World Intellectual Property Organization (WIPO) Standard ST.25 Sequence Listing Requirements. The PatentIn system was designed for use by the general public and is not used internally by the USPTO.

PatentIn is downloaded from the public USPTO Web server and installed on personal computers running the MS Windows OS. The user generates output files containing sequence listings that can be submitted with a patent application. PatentIn is a stand-alone application and does not facilitate the delivery of sequence listings to the USPTO. In addition, PatentIn does not connect to USPTO. The PatentIn application runs locally on the user's personal computer.

Patent Application Location Monitoring Pre-Examination (PALM Pre-Exam)

The PALM Pre-Exam, as identified as PALM Pre-Ex, system supports the prosecution and related administrative functions of a patent application through its life cycle; and also tracks, monitors, and reports on the prosecution status of patent applications. PALM Pre-Exam supports the processing of over 350,000 applications each year. PALM serves the needs of over 5,000 Office of Patents staff, including over 3,700 members of the patent examining corps. The examining corps processes over twelve million transactions per month in addition to Web-based queries and batch processing.

Patent Application Location Monitoring Patent Cooperation Treaty Operations System (PCT Ops)

The PCT Ops also referred as PCT Operations Workflow and Electronic Review System (POWER), system is a USPTO Automated Information System (component) designed to support an automated, workflow-driven, client-server environment that support Patent Cooperation Treaty (PCT) patent application functions. PCT Ops works with an electronic application in an integrated desktop environment. The PCT Ops system minimizes the movement of paper through the United States Receiving Office (RO/US) processing stream and automates the application filing process under Chapter I and Chapter II of the PCT. The PCT Ops system supports the initial receipt of an application or later-submitted papers, review of the application by PCT personnel, generation of outgoing correspondence, and tracking of the application while it is being processed by RO/US. Case files ultimately provide information in an electronic medium that facilitates exchange with PCT Operations' principal internal customer, the USPTO Examining Corps, as well as with the WIO, Trilateral Office partners, and the other international partners of USPTO.

Patent Application Location Monitoring - Reporting System (PRS)

The PRS produces many productivity and statistical reports that are crucial to the Patents Corps business operation. The PRS processes and delivers reports to Patents Corp, supporting various PALM subsystems and business areas, including: PALM-EXPO, Pre-Exam, File Ordering System (FOS), Infrastructure, and PCT Ops. These reports are available via the USPTO Intranet on-line and on-demand to over 5,000 Examiners, Directors, Supervisory Patent Examiners (SPEs), and Clerical staff. The reports are delivered via different means. Static reports are made available electronically on the Web. Dynamic reports are accessible via the USPTO intranet (online) and allow real-time database access for most up-to-date information via the Web; and report distribution via email. PRS provides PALM users (over 7000 examiners, 500 managers, and over 100 other users) with access to PALM data via COTS reporting platform. Most of the reports obtain data from a daily snapshot of the PALM on-line system. The reports can be scheduled to run at a predefined time or display data instantaneously. The scheduled reports are archived. Access to archive and inputs for instantaneous reports are provided via a USPTO Intranet website.

Infrastructure Code Table – (ICT)

The ICT system provides the validation of a given geographic region with a specified country, and provides a list of current countries and geographic regions. ICT provides the standard PTO country codes for patent applications. For ICT services, the users are AISs instead of real users. No traditional user interfaces are required in this release.

(b) a description of a typical transaction conducted on the system

To provide user access to search the USPTO Patent data repositories, which allows Patent Examiners and public users to search and retrieve application data and images and Patent Examiners and applicants to identify individuals and organizations with intellectual property, pre-grant, and published applications.

(c) any information sharing conducted by the system

Data repositories allow information to be shared with internal stakeholders (e.g. patent examiners), and to the public.

(d) a citation of the legal authority to collect PII and/or BII

Commerce/PAT-TM-7: 35 U.S.C. 1, 6, and 115; 5 U.S.C. 301.
Commerce/PAT-TM-16: 5 U.S.C. 301 and 35 U.S.C. 6, 42(c).

(e) the Federal Information Processing Standard (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.)
- This is an existing information system in which changes do not create new privacy risks.

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 checked="" 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):					

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"/>	e. File/Case ID	<input checked="" type="checkbox"/>	i. Credit Card	<input type="checkbox"/>
b. Taxpayer ID	<input type="checkbox"/>	f. Driver's License	<input type="checkbox"/>	j. Financial Account	<input type="checkbox"/>
c. Employer ID	<input type="checkbox"/>	g. Passport	<input type="checkbox"/>	k. Financial Transaction	<input type="checkbox"/>
d. Employee ID	<input checked="" type="checkbox"/>	h. Alien Registration	<input type="checkbox"/>	l. Vehicle Identifier	<input type="checkbox"/>
m. Other identifying numbers (specify):					
*Explanation for the need to collect, maintain, or disseminate the Social Security number, including truncated form:					
*If SSNs are collected, stored, or processed by the system, please explain if there is a way to avoid such collection in the future and how this could be accomplished:					

General Personal Data (GPD)					
a. Name	<input checked="" type="checkbox"/>	g. Date of Birth	<input type="checkbox"/>	m. Religion	<input type="checkbox"/>
b. Maiden Name	<input type="checkbox"/>	h. Place of Birth	<input type="checkbox"/>	n. Financial Information	<input type="checkbox"/>
c. Alias	<input type="checkbox"/>	i. Home Address	<input checked="" type="checkbox"/>	o. Medical Information	<input type="checkbox"/>
d. Gender	<input type="checkbox"/>	j. Telephone Number	<input checked="" type="checkbox"/>	p. Military Service	<input type="checkbox"/>

e. Age	<input type="checkbox"/>	k. Email Address	<input checked="" type="checkbox"/>	q. Physical Characteristics	<input type="checkbox"/>
f. Race/Ethnicity	<input type="checkbox"/>	l. Education	<input type="checkbox"/>	r. Mother's Maiden Name	<input type="checkbox"/>
s. Other general personal data (specify): Nationality					

Work-Related Data (WRD)					
a. Occupation	<input type="checkbox"/>	d. Telephone Number	<input checked="" type="checkbox"/>	g. Salary	<input type="checkbox"/>
b. Job Title	<input type="checkbox"/>	e. Email Address	<input checked="" type="checkbox"/>	h. Work History	<input type="checkbox"/>
c. Work Address	<input checked="" type="checkbox"/>	f. Business Associates	<input type="checkbox"/>		
i. Other work-related data (specify):					

Distinguishing Features/Biometrics (DFB)					
a. Fingerprints	<input type="checkbox"/>	d. Photographs	<input type="checkbox"/>	g. DNA Profiles	<input type="checkbox"/>
b. Palm Prints	<input type="checkbox"/>	e. Scars, Marks, Tattoos	<input type="checkbox"/>	h. Retina/Iris Scans	<input type="checkbox"/>
c. Voice Recording/Signatures	<input type="checkbox"/>	f. Vascular Scan	<input type="checkbox"/>	i. Dental Profile	<input type="checkbox"/>
j. Other distinguishing features/biometrics (specify):					

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

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

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

2.3 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):			

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.)*

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):			

There are not any IT system 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.)*

Purpose			
To determine eligibility	<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 checked="" type="checkbox"/>	For criminal law enforcement activities	<input type="checkbox"/>
For civil enforcement activities	<input type="checkbox"/>	For intelligence activities	<input type="checkbox"/>
To improve Federal services online	<input checked="" type="checkbox"/>	For employee or customer satisfaction	<input checked="" type="checkbox"/>
For web measurement and customization technologies (single-session)	<input checked="" type="checkbox"/>	For web measurement and customization technologies (multi-session)	<input checked="" 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 information collected is of the public (U.S. and foreign), Federal employees. Public data is used to file and manage Patent applications. Federal employee data is used internally for Patent examiner work, management of Federal employees, and the management of the IT systems that support the USPTO.

Section 6: Information Sharing and Access

6.1 Indicate with whom the bureau intends to share the PII/BII in the IT system and how the PII/BII will be shared. *(Check all that apply.)*

Recipient	How Information will be Shared		
	Case-by-Case	Bulk Transfer	Direct Access
Within the bureau	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
DOC bureaus	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Federal agencies	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
State, local, tribal gov't agencies	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Public	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Private sector	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Foreign governments	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Foreign entities	<input type="checkbox"/>	<input checked="" 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 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"/> 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: USPTO's Patent Search System Primary Search (PSS-PS); Patent Capture and Application Processing System – Examination Support (PCAPS-ES); and Revenue and Account Management (RAM): <ul style="list-style-type: none"> ○ Information is protected through a layered security approach which incorporates the use of secure authentication, access control, mandatory configuration settings, firewalls, Virtual Private Network (VPN), and encryption, where required. Internally within USPTO, data transmission confidentiality controls are provided by PTOnet. <input checked="" type="checkbox"/> Reed Technology and Information Services (RTIS) Patent Data Capture (PDCap)/SERCO Patent Processing System (PPS) <ul style="list-style-type: none"> ○ External contractors from RTIS and SERCO connect through secure data transfer. No PII is shared with either system. World Intellectual Property Organization (WIPO) / Foreign Patent Offices <ul style="list-style-type: none"> ○ For external data transfer to WIPO, data is transmitted across USPTO's Trilateral which is a Point-to-Point dedicated Virtual Private Network (VPN)
<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.

6.3 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 checked="" 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: http://www.uspto.gov/privacy-policy	
<input type="checkbox"/>	Yes, notice is provided by other means.	Specify how:

<input type="checkbox"/>	No, notice is not provided.	Specify why not:
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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: By not applying or using the IT system
<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.	Specify how: Submitting personal information is voluntary. When you voluntarily submit information, it constitutes your consent to the use of the information for the purpose(s) stated at the time of collection.
<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.	Specify how: By logging into their patent application and changing the data. The USPTO utilizes HR Connect to provide a means for employees to correct or amend inaccurate PII maintained by the organization.
<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 type="checkbox"/>	All users signed a confidentiality agreement or non-disclosure agreement.
<input 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.
<input checked="" type="checkbox"/>	Explanation: Audit logs
<input checked="" type="checkbox"/>	The information is secured in accordance with FISMA requirements.
<input checked="" type="checkbox"/>	Provide date of most recent Assessment and Authorization (A&A): <u>7/18/2016</u> <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 (POAM).
<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 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.

PCAPS-IP collects voluntary applicant(s) correspondence information to facilitate direct communications between the applicant(s) and the Office. PCAPS-IP applications are managed and secured by the USPTO's Active Directory (AD) and Unix Enterprise infrastructure and other OCIO established technical controls which include password authentication at the server and database levels. HTTPS is used for all data transmissions to and from the Internet, USPTO DMZ, and PTOnet. A dedicated socket is used to perform encryption and decryption.

Section 9: Privacy Act9.1 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"/>	<p>Yes, this system is covered by an existing system of records notice (SORN). Provide the SORN name and number (<i>list all that apply</i>):</p> <p>Patent Application Files--COMMERCE/PAT-TM-7 http://www.uspto.gov/sites/default/files/sorn/uspto-pasorn-07.pdf</p> <p>USPTO PKI Registration and Maintenance System--Commerce/PAT-TM-16 http://www.uspto.gov/sites/default/files/sorn/uspto-pasorn-16.pdf</p> <p><input type="checkbox"/> Yes, a SORN has been submitted to the Department for approval on <u>(date)</u>.</p> <p><input type="checkbox"/> No, a SORN is not being created.</p>
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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"/>	<p>There is an approved record control schedule. Provide the name of the record control schedule:</p> <ul style="list-style-type: none"> • Evidentiary Patent Applications N1-241-10-1:4.1 • Patent Examination Working Files N1-241-10-1:4.2 • Patent Examination Feeder Records N1-241-10-1:4.4 • Patent Post-Examination Feeder Records N1-241-10-1:4.5 • Patent Case Files, Granted N1-241-10-1:2 • Abandoned Patent Applications, Not Referenced in Granted Case File N1-241-10-1:3
<input type="checkbox"/>	No, there is not an approved record control 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 checked="" type="checkbox"/>	Overwriting	<input checked="" type="checkbox"/>
Degaussing	<input checked="" type="checkbox"/>	Deleting	<input checked="" type="checkbox"/>
Other (specify):			

Section 11: NIST Special Publication 800-122 PII Confidentiality Impact Levels

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.

<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 levels.
(Check all that apply.)

<input checked="" type="checkbox"/>	Identifiability	Provide explanation: The information captured by the PCAPS-IP system could identify an individual.
<input type="checkbox"/>	Quantity of PII	Provide explanation: Whether the data given is enough to identify an individual.
<input type="checkbox"/>	Data Field Sensitivity	Provide explanation:
<input checked="" type="checkbox"/>	Context of Use	Provide explanation: The data captured, stored, or transmitted by the PCAPS-IP system is used to process patent applications and may include sensitive information from the applicant's application.
<input type="checkbox"/>	Obligation to Protect Confidentiality	Provide explanation:
<input checked="" type="checkbox"/>	Access to and Location of PII	Provide explanation: The information captured, stored, and transmitted by the PCAPS-IP system is maintained within USPTO systems. No PII is shared with external contractors.
<input type="checkbox"/>	Other:	Provide explanation:

Section 12: Analysis

12.1 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.

12.2 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.