

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



**Privacy Threshold Analysis
for the
Reed Technology and Information Services, Inc. (Reed Tech)
Public Data Dissemination (PDD)**

U.S. Department of Commerce Privacy Threshold Analysis

USPTO RTIS PDD

Unique Project Identifier: PTOC-025-00

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 Senior Agency Official for Privacy (SAOP).

Description of the information system and its purpose: *Provide a general description of the information system and its purpose 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).

The following section provides a general description of the RTIS PDD system and identifies the system’s purpose, capabilities, users, and information data flow and discusses the hardware, software and firmware implemented in support of RTIS PDD.

RTIS PDD is an application information system that is designed to gather and disseminate all publicly available USPTO Patent & Trademark bulk data to the public. The system collects data from various USPTO source systems, packages it into appropriate file containers and delivers it via a public web site. RTIS hosts the PDD and is required to provide to the public, free of charge, bulk datasets provided by the USPTO and the Public PAIR bulk dataset compiled by RTIS. A portion of the PDD system is hosted on the FISMA certified section of the Microsoft Azure system. The portion of the system residing on Azure hosts the most recent file sets, as they are the most downloaded files and Azure provides the needed bandwidth to meet the needs of the USPTO’s customers.

RTIS provides the retrieval and distribution of patent and trademark bulk data in essentially unaltered form, modified only as necessary to organize or compress the data for ease of distribution or for security purposes, from the USPTO to the public. Data dissemination is a continuous system and RTIS shall continuously monitor the datasets and shall retrieve and host updates and changes as they go forward. RTIS PDD uses a secure infrastructure, housed external to the USPTO, that performs collection and dissemination of all data to the public at no cost to the public or the USPTO. Such infrastructure may be distributed.

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	<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. *Continue to answer 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.*
- ☒ 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 about: *(Check all that apply.)*

- ☐ 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..."

- ☒ Yes, the IT system collects, maintains, or disseminates PII about: *(Check all that apply.)*
 - ☐ DOC employees
 - ☐ Contractors working on behalf of DOC
 - ☒ 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?

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

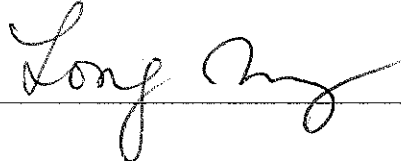
If any of the answers to questions 2, 3, 4b, and/or 4c are “Yes,” a Privacy Impact Assessment (PIA) must be completed for the IT system. This PTA and the approved PIA must be a part of the IT system’s Assessment and Authorization Package.

CERTIFICATION

☒ I certify the criteria implied by one or more of the questions above **apply** to the Reed Technology and Information Services, Inc. (Reed Tech) Public Data Dissemination (PDD) 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 Reed Technology and Information Services, Inc. (Reed Tech) Public Data Dissemination (PDD) and as a consequence of this non-applicability, a PIA for this IT system is not necessary.

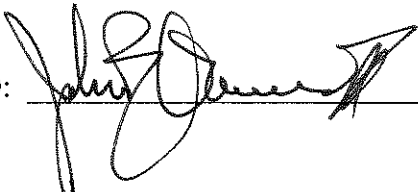
Name of System Owner (SO): Long Ung

Signature of SO:  Date: 4/19/17

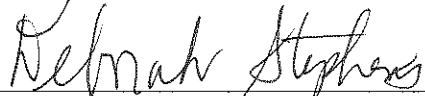
Name of Senior Information Security Officer (SISO): Rami Dillon

Signature of SISO:  Date: 4/20/17

Name of Authorizing Official (AO) & Bureau Chief Privacy Officer (BCPO): John B. Owens II

Signature of AO & BCPO:  Date: 4/24/17

Name of Authorizing Official (AO) or Designated Representative: Deborah Stephens

Signature of AO:  Date: 4/25/17