
U.S. DEPARTMENT OF COMMERCE
UNITED STATES PATENT AND TRADEMARK OFFICE

Privacy Impact Assessment



Data Conversion Laboratory Patent Support (DCLPS)

PTOC-004-00

January 7th, 2015

Privacy Impact Assessment

This Privacy Impact Assessment (PIA) is a requirement of the Privacy Act of 1987 and OMB Memorandum 03-22, *OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002*. A PIA documents the due diligence and oversight placed upon information associated with the project or system in question. Written from the System Owner's perspective for the American public, the PIA discloses what information is being collected, and how that information is protected. The intent is to build confidence that privacy information is secure, processes that utilize this information comply with Federal requirements, and more importantly, inform the privacy expectations of the American public.

The Privacy Threshold Analysis (PTA) is a separate artifact that must be completed prior to beginning this PIA. In many cases, the PTA will be the only required artifact to satisfy DOC privacy considerations.

SYSTEM DESCRIPTION

The Data Conversion Laboratory Patent Support (DCLPS) is an Application information system, and provides the text equivalent of the incoming TIF image, from the Applicant, in XML format. This will allow Patent Examiners to search their Application Database, IFW / eDAN, in a similar manner to how they search their BRS Prior Art Database. Currently, the Examiners must rely on OCR Text equivalents that are either run in real-time and not 100% accurate or a costly human-stenographic alternative. This will be an automated process and will result in the TIF and XML components viewable side-by-side by the Examiner.

DCL will receive the burst packet of TIF images / IFW Applications from the USPTO Servers in the DMZ after being processed by EFS Web. DCL will then off-load the TIF images to their proprietary systems and create XML counterparts. After the XML creation, the TIF and XML files will be uploaded to the USPTO Servers.

QUESTIONNAIRE

1. What information is collected (e.g., nature and source)?

Patent applications include applicants' names and addresses as well as potential trade secrets and confidential intellectual property. DCL receives patent applications and data related to patent applications directly from the United States Patent and Trademark Office (USPTO).

2. Why is this information being collected (e.g., to determine eligibility)?

The PII and BII data is collected by USPTO to facilitate the patent application process. It is provided to DCL so that data conversion activities can be performed on the data.

3. What is the intended use of information (e.g., to verify existing data)?

DCL receives the information in order to perform data conversion services per its contract with the USPTO. The data is originally collected as part of patent applications to uniquely identify inventors/businesses and details of submitted inventions.

4. With whom will the information be shared (e.g., another agency for a specified programmatic purpose)?

DCL does not share any information with other individuals, agencies, or organizations. The information is used solely by DCL personnel and automated DCL conversion processes.

5. What opportunities do individuals have to decline to provide information (i.e., where providing information is voluntary) or to consent to particular uses of the information (other than required or authorized uses), and how can individuals grant consent?

DCL receives PII/BII from USPTO and does not collect this information from individuals. All matters associated with original collection and consent associated with this data are the responsibility of the USPTO.

6. How will the information be secured (e.g., administrative and technological controls)?

The DCL-PS System Security Plan (SSP) details the management, operational, and technical controls in place or planned to protect sensitive USPTO data.

7. How will the data extract log and verify requirement be met?

DCL-PS does not store USPTO patent application data and there are no databases associated with the system. As a result, the data extract log and verify requirement is not applicable.

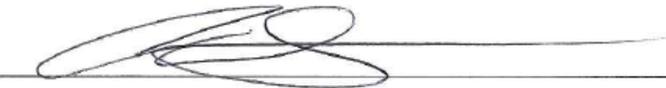
8. Is a system of records being created under the Privacy Act, 5 U.S.C. 552a?

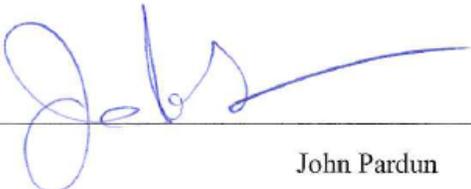
A USPTO Privacy Act System of Records Notice covering patent application files is available at the following URL: http://www.uspto.gov/web/doc/privacy_sorn.htm

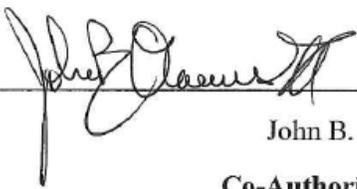
9. Are these records covered by a record control schedule approved by the National Archives and Records Administration (NARA)?

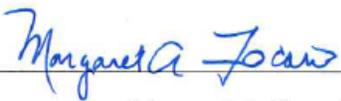
Patent application files are covered by the USPTO Comprehensive Records Schedule approved by NARA as detailed at the following URL: http://ptoweb.uspto.gov/ptointranet/cisd/cio/records_mgmt/records_mgmt_crs.html. Additional record control schedule information is available on NARA's website: <http://www.archives.gov/records-mgmt/rcs/schedules/index.html?dir=/departments/department-of-commerce/rg-0241>.

SIGNATORY AUTHORITY

Agreed:  _____ 03/19/2015
Chad Sims Date
Information System Owner

Agreed:  _____ 3, 20, 2015
John Pardun Date
Senior Information Security Officer

Agreed:  _____ 3 / 25 / 15
John B. Owens II Date
Co-Authorizing Official

Agreed:  _____ 3 / 25 / 15
Margaret A. Focarino Date
Co-Authorizing Official