
U.S. DEPARTMENT OF COMMERCE

UNITED STATES PATENT AND TRADEMARK OFFICE

Privacy Impact Assessment



**Reed Technology and Information Services, Inc. (Reed Tech)
Public Data Dissemination (PDD)
DOC50PAPT1300006**

August 12, 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 Reed Technology and Information Services, Inc., (Reed Tech) Patent Data Dissemination (PDD) system is a system that is designed to collect patent data from the USPTO and provide that data to the public.

QUESTIONNAIRE

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

The Reed Technology and Information Services, Inc. (Reed Tech) Public Data Dissemination (PDD) system collects and hosts patent and trademark data¹ from the USPTO PAIR system. The patents contain personally identifiable information (PII) such as the inventor's name, address, and phone number.

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

Initial collection and publication of the data is the responsibility of the USPTO. The data is then collected by the PDD system from existing USPTO systems and is made available to the public by Reed Tech on a publicly available website. The data is being made available to the public to enable USPTO to fulfill Open Government and transparency obligations.

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

The intended use of the information is to be made available to the public to fulfill Open Government and transparency obligations of the USPTO.

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

The information is made available to the public, per contractual requirements.

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?

Patent applications, which contain PII, have been provided to USPTO voluntarily. Prior to patent processing, USPTO notifies patent applicants that their private information may become public in the event that their patent is granted. At this time, the patent applicant has the opportunity to decline to submit his/her application. Submittal of application after privacy notification is provided is considered granting of consent to particular uses of the information. Collection of PII from individuals and all implications related to individual consent are the sole responsibility of the USPTO.

¹ EIPWeb is the source for trademark data.

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

Management Controls:

1. The USPTO uses the Life Cycle review process to ensure that management controls are in place for the Reed Tech PDD. During the enhancement of any component, the security controls are reviewed, re-evaluated, and updated in the Security Plan. The Security Plans specifically address the management, operational and technical controls that are in place, and planned, during the operation of the enhanced system. Additional management controls include performing national agency check on all personnel, including contractor staff.
2. Access to the system and the data on the system is based on the user's job function. Users are given access only to the data necessary to perform their jobs on internal host components. The website hosting the data is available to anonymous users.

Operational Controls:

Automated operational controls include securing access to all hardware associated with the Reed Tech PDD system. The system components are located in secured areas accessible only by authorized users by a badge access system. Security guards are on site; a centrally monitored alarm system is armed when the guards are not on site.

Technical Controls:

The data is stored on a highly redundant network attached storage (NAS) devices and is backed up nightly. Backup tapes are stored offsite at a third-party vendor located in excess of 30 miles from the main processing site. A small subset of the data, the most recent week's published patents, are stored on Microsoft's Azure system, which is a FedRAMP approved system. The data on Azure is deleted after one week, and is replaced with the most current week's data.

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

There are no computer-readable data extracts associated with the Reed Tech PDD 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?

No, there is no new system of records being created.

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

Not Applicable.

SIGNATORY AUTHORITY

Agreed: Long Ung 8/18/15
Long Ung Date

Information System Owner for Reed Tech PDD

Agreed: John Pardun 8/19/15
John Pardun Date

Senior Agency Information Security Officer

Agreed: John B. Owens II 8/26/15
John B. Owens II Date

Co-Authorizing Official for Reed Tech PDD

Agreed: Drew H. Hirschfeld 9/1/15
Drew H. Hirschfeld Hirschfeld Date

Co-Authorizing Official for Reed Tech PDD