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

Privacy Impact Assessment



SAIC-VASTEC Data Conversion System (DCS)

PTOC-012-00

November 5, 2014

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 VASTEC Data Conversion System (DCS) has been implemented in support of the Continuous Data Conversion (CDC) and Backfile/Pre-1971 Patent Conversion projects. The purpose of the system is to transform electronic Tagged Image File Format (TIFF) images of patent application documents to Extensible Markup Language (XML) documents based on a predefined XML schema. The files in the new XML format allow patent examiners to search, manage, and manipulate different document types, using examination tools under development.

VASTEC receives a USPTO bundle of document files for batch process in the Tampa VASTEC DCS through Secured File Transfer Protocol (SFTP). After the conversion is performed the output is returned to USPTO in a VASTEC bundle. A bundle is the basic unit of recovery point objective in case of failure. The recovery of interrupted processing starts with the last USPTO bundle received, if it is intact. Otherwise the USPTO bundle is retrieved from USPTO.

Key modules of the Data Conversion System include prepPatent which performs file decompression, multipage TIFF creation, metadata lookup, and renaming. The ProcessPatent module executes high-speed automated file distribution, completes file transfer and ProcessPatent verifies file counts, page counts, and conversion stage success.

Another key part of the solution is the PrimeOCR software. PrimeOCR converts multipage TIFF images to a PrimeOCR XML/Pro format. The system then converts the content of the PrimeOCR XML/Pro output to a customized USPTO XML (XML4IP) format.

The components of the VASTEC Data Conversion System will reside within an access restricted data center, leveraging security badge control, at the VASTEC facilities on 1101 Channelside Drive, Suite 100, Tampa, FL 33602. Upon completion of the CDC and Backfile projects, the source code and installation instructions for the system will be provided to USPTO.

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. VASTEC receives patent applications directly from the United States Patent and Trademark Office (USPTO).

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

This PII and BII data is collected by the USPTO to enable identification of the inventory and facilitate the patent application process. It is provided to VASTEC so that data conversion activities can be performed on the collected patent application.

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

The PII and BII data contained in the patent application uniquely identifies the inventor and details the submitted invention.

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

VASTEC does not share any information with other agencies, individuals, or organizations. The information provided by USPTO is used by VASTEC for authorized data conversion activities performed by internal personnel only.

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?

The patent application documents received by VASTEC are obtained directly from USPTO. This process does not provide opportunity for individuals to decline to provide their names, addresses, or any other PII data that might be provided on the patent application received from USPTO. Individuals are not able to decline or consent to any particular use of the patent application PII data.

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

The VASTEC System Security Plan (SSP) details the management, operational, and technical controls in place or planned to protect PII data. Information received from and sent to USPTO is transmitted using a secure protocol.

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

The VASTEC Data Conversion System does not store USPTO patent application and there are no databases associated with the system. The requirements of OMB Memorandum M-07-16 are not applicable to this system.

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: Kim Myers 02/20/15
Kimberly Myers Date

Information System Owner

Agreed: John Pardun 2/24/15
John Pardun Date

Senior Information Security Officer

Agreed: John B. Owens II 2/27/15
John B. Owens II Date

Co-Authorizing Official

Agreed: Margaret A. Focarino 3/2/15
Margaret A. Focarino Date

Co-Authorizing Official