Privacy Impact Assessment
for the
USPTO MicroPact Background Investigation Tracking System /
Employee Relations & Labor Relations System (BITS/ERLR)

Reviewed by: Henry J. Holcombe, 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

Jennifer Goode
06/23/2021
Signature of Senior Agency Official for Privacy/DOC Chief Privacy Officer    Date
U.S. Department of Commerce Privacy Impact Assessment
USPTO MicroPact Background Investigation Tracking System / Employee Relations & Labor Relations System (BITS/ERLR)

Unique Project Identifier: PTOC-009-00

Introduction: System Description

Provide a description of the system that addresses the following elements:
The response must be written in plain language and be as comprehensive as necessary to describe the system.

The MicroPact Background Investigation Tracking System / Employee Relations & Labor Relations (BITS/ERLR) are suites of web-based applications hosted by the MicroPact FedRAMP Software as a Service (SaaS) which includes: supporting hardware and software, secure computing facilities, Internet gateway communications security, system administration, and system and application security services.

(a) Whether it is a general support system, major application, or other type of system
BITES/ERLR is a major application.

(b) System location
BITES/ERLR system is located at 44470 Chilum Place Bldg 1, Ashburn, VA 20147.
BITES/ERLR has an alternate hot site located at data center located at 180 Peachtree Street, Atlanta, GA at an Equinox Atlanta Data Center.

(c) Whether it is a standalone system or interconnects with other systems (identifying and describing any other systems to which it interconnects)
The BITS/ERLR applications are hosted by the MicroPact SaaS. BITS-ERLR interconnects with the following systems:

- **Network and Security Infrastructure (NSI):** The NSI is an Infrastructure information system, and provides an aggregate of subsystems that facilitates the communications, secure access, protective services, and network infrastructure support for all United States Patent and Trademark Office (USPTO).

- **Enterprise Software Services (ESS):** ESS provides Enterprise Directory Services, Role-Based Access Control System, Email as a Service, PTO Exchange Services, Symantec Endpoint Protection, Enterprise SharePoint Services, etc. IT applications ESS – RBAC facilitates the communication between USPTO and MicroPact.

- **Information Delivery Product (IDP):** IDP is a Master System composed of the following three subsystems: 1) Enterprise Data Warehouse; 2) Electronic Library for Financial Management System (EL4FMS); and 3) Financial Enterprise Data Management Tools (FEDMT).
**Enterprise Data Warehouse (EDW):** EDW system is an automated information system (AIS) that provides access to integrated United States Patent and Trademark Office (USPTO) data to support the decision-making activities of managers and analysts in the USPTO’s business areas as needed to achieve business goals. It helps USPTO managers and analysts to answer a variety of strategic and tactical business questions using quantitative enterprise business information. Specifically, EDW provides a tool that allows managers and analysts to analyze business processes, resource use and needs, and other facets of the business.

**Office of Personnel Management-National Background and Investigations Bureau (OPM/NBIB):** NBIB will be the primary provider of effective, efficient, and secure background investigations for the Federal Government. NBIB is designed with an enhanced focus on national security, customer service, and continuous process improvement to meet this critical government-wide need now and in the future.

**National Finance Center (NFC):** NFC data is fed to the USPTO’s Enterprise Data Warehouse. – USPTO System administrators then upload a flat file from the Enterprise Data Warehouse into the Employee Relations / Labor Relations system. There is no direct connection between the two systems – it requires human intervention to upload this data.

(d) **The way the system operates to achieve the purpose(s) identified in Section 4**
BITS USPTO adjudicators, contractor and employee specialist access the application through a web-based portal to create, update, track and monitor the status of personnel background investigations. Access to the web portal is restricted to USPTO personnel within the intranet and who have received authorization.
ERLR administrators, managers, specialists and employees are able to access the application through a web-based portal to input case data, events and dates. Manage the sharing of records and documents between assigned staff and internal organizations using business rule workflow. Access to the web portal is restricted to USPTO personnel within the intranet and received authorization.

(e) **How information in the system is retrieved by the user**
USPTO OHR staff access the system via the USPTO intranet and web-based portal. Users are able to retrieve and transmit information from the systems after authenticating.

(f) **How information is transmitted to and from the system**
Users access the BITS and ERLR systems via the USPTO intranet and a web-based portal hosted by the MicroPact SaaS. The transmission of information is facilitated by an encrypted communication between USPTO and MicroPact.

(g) **Any information sharing conducted by the system**
Information is shared within the bureau, DOC bureaus and other federal agencies based on business need and requests. Information is shared with supporting federal agencies and DOC when requested.

(h) The specific programmatic authorities (statutes or Executive Orders) for collecting, maintaining, using, and disseminating the information


(i) The Federal Information Processing Standards (FIPS) 199 security impact category for the system

The FIPS 199 security impact category for the system is 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.)

<table>
<thead>
<tr>
<th>Changes That Create New Privacy Risks (CTCNPR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Conversions</td>
</tr>
<tr>
<td>b. Anonymous to Non-Anonymous</td>
</tr>
<tr>
<td>c. Significant System Management Changes</td>
</tr>
<tr>
<td>j. Other changes that create new privacy risks (specify):</td>
</tr>
</tbody>
</table>

☐ This is an existing information system in which changes do not create new privacy risks, and there is not a SAOP approved Privacy Impact Assessment.

☒ This is an existing information system in which changes do not create new privacy risks, and there is a SAOP approved Privacy Impact Assessment (version 01-2015 or 01-2017).
This is an existing information system in which changes do not create new privacy risks, and there is a SAOP approved Privacy Impact Assessment (version 01-2019 or later).

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.)

<table>
<thead>
<tr>
<th>Identifying Numbers (IN)</th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Social Security*</td>
<td>☑</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Taxpayer ID</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>c. Employer ID</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>d. Employee ID</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>e. File/Case ID</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>n. Other identifying numbers (specify):</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
</tbody>
</table>

*Explanation for the business need to collect, maintain, or disseminate the Social Security number, including truncated form:
The collection of SSN is necessary for the system users to conduct the background investigation tracking.

<table>
<thead>
<tr>
<th>General Personal Data (GPD)</th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Name</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>b. Maiden Name</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>c. Alias</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>d. Gender</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>e. Age</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>f. Race/Ethnicity</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>g. Citizenship</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>u. Other general personal data (specify):</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Work-Related Data (WRD)</th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Occupation</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>b. Job Title</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>c. Work Address</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>d. Work Telephone Number</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>i. Business Associates</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>j. Proprietary or Business Information</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>k. Procurement/contracting records</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>l. Other work-related data (specify):</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
<td>☑</td>
</tr>
</tbody>
</table>
Distinguishing Features/Biometrics (DFB)

- a. Fingerprints
- b. Palm Prints
- c. Voice/Audio Recording
- d. Video Recording
- e. Photographs
- f. Scars, Marks, Tattoos
- g. Hair Color
- h. Eye Color
- i. Height
- j. Weight
- k. Signatures
- l. Vascular Scans
- m. DNA Sample or Profile
- n. Retina/Iris Scans
- o. Dental Profile
- p. Other distinguishing features/biometrics (specify):

System Administration/Audit Data (SAAD)

- a. User ID
- b. IP Address
- c. Date/Time of Access
- d. Queries Run
- e. ID Files Accessed
- f. Contents of Files
- g. Other system administration/audit data (specify):
  - Account logon events
  - Account management
  - Directory Service Access
  - Logon Events
  - Object Access
  - Policy Change
  - Privileged Use
  - Process Tracking
  - System Events

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
- Telephone
- Other (specify):

Government Sources

- Within the Bureau
- State, Local, Tribal
- Other (specify):

Non-government Sources

- Public Organizations
- Private Sector
- Commercial Data Brokers
- Third Party Website or Application
- Other (specify):

2.3 Describe how the accuracy of the information in the system is ensured.
USPTO OHR admin’s/specialists have the ability to modify user information and work with employees, contractors and volunteers to validate the accuracy of the information. The data is stored within a database and data is backed-up continually.

2.4 Is the information covered by the Paperwork Reduction Act?

☒ Yes, the information is covered by the Paperwork Reduction Act.
  Provide the OMB control number and the agency number for the collection.
  #3206-0005 and #3206-0261

☐ No, the information is not covered by the Paperwork Reduction Act.

2.5 Indicate the technologies used that contain PII/BII in ways that have not been previously deployed.  *(Check all that apply.)*

<table>
<thead>
<tr>
<th>Technologies Used Containing PII/BII Not Previously Deployed (TUCPBNPD)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Smart Cards</td>
</tr>
<tr>
<td>Caller-ID</td>
</tr>
<tr>
<td>Other(specify):</td>
</tr>
</tbody>
</table>

☒ 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.)*

<table>
<thead>
<tr>
<th>Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audio recordings</td>
</tr>
<tr>
<td>Video surveillance</td>
</tr>
<tr>
<td>Other(specify):</td>
</tr>
</tbody>
</table>

☒ There are not any IT systems 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 |  
|---------|---
| For a Computer Matching Program | ☒  
| For administrative matters | ☒  
| For litigation | ☒  
| For civil enforcement activities | ☒  
| To improve Federal services online | ☒  
| For web measurement and customization technologies (single-session) | ☒  
| 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).

For BITS - The U.S. Patent & Trademark Office (USPTO) must ensure that only trustworthy individuals are hired to work in national security or public trust positions. The primary means for determining whether an individual is trustworthy is the background investigation, authorized by Executive Order 10450 and 5 C.F.R. Parts 731, 732, and 736. Periodic investigations are conducted at least once every 5 years on individuals who occupy Public Trust Positions as well as those individuals who have access to classified (national security positions). The background investigation is not an evaluation of the subject’s character, but is instead a determination of the likelihood that a particular person will adhere to all security requirements in the future. In addition, Homeland Security Presidential Directive 12 (hereinafter HSPD-12) requires a standardized form of official identification for both government employees and contractors. The directive establishes minimum government-wide background investigation requirements for entry on duty and states that official identification cards should be issued only to those individuals with certain pre-employment background checks completed and that the validity of these checks must be updated or verified every five (5) years for employees, other federal government personnel and contractors. The HSPD-12 directive will expand the USPTO’s oversight responsibilities to include monitoring identification card recertification for all employees and contractors, and checking hiring practices for contractors who are investigated and hired locally.

For ERLR - The information will be used to document, track and manage the flow of ER and LR cases more efficiently. Both organizations will use the same system, and they will be able to control the sharing of records and documents among them in accordance with the business rules defined in relevant workflows. The system will automatically generate template letters, and reports for upcoming events, and reports can be shared between ER to LR as approved by the relevant Human Resource (HR) business area or Human Resource Senior Management. The systems pull PII from the database to automatically generate these files and reports.
5.2 Describe any potential threats to privacy, such as insider threat, as a result of the bureau’s/operating unit’s use of the information, and controls that the bureau/operating unit has put into place to ensure that the information is handled, retained, and disposed appropriately. (For example: mandatory training for system users regarding appropriate handling of information, automatic purging of information in accordance with the retention schedule, etc.)

Foreign entities, adversarial entities and insider threats are the predominant threat to the systems privacy and data leakage. USPTO has implemented NIST security controls (encryption, access control, auditing) and selected a FedRAMP authorized cloud provider to reduce the risk. Mandatory IT Awareness and role-based training are required for staff that have access to the system and address how to handle, retain and dispose of data. Contract terms between the cloud provider and USPTO provide guidance on how data should be handled, retained and disposed.

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.)

<table>
<thead>
<tr>
<th>Recipient</th>
<th>How Information will be Shared</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Case-by-Case</td>
</tr>
<tr>
<td>Within the bureau</td>
<td>☒</td>
</tr>
<tr>
<td>DOC bureaus</td>
<td>☒</td>
</tr>
<tr>
<td>Federal agencies</td>
<td>☒</td>
</tr>
<tr>
<td>State, local, tribal gov’t agencies</td>
<td>☐</td>
</tr>
<tr>
<td>Public</td>
<td>☐</td>
</tr>
<tr>
<td>Private sector</td>
<td>☐</td>
</tr>
<tr>
<td>Foreign governments</td>
<td>☐</td>
</tr>
<tr>
<td>Foreign entities</td>
<td>☐</td>
</tr>
<tr>
<td>Other(specify):</td>
<td>☐</td>
</tr>
</tbody>
</table>

☐ The PII/BII in the system will not be shared.

6.2 Does the DOC bureau/operating unit place a limitation on re-dissemination of PII/BII shared with external agencies/entities?

☒ Yes, the external agency/entity is required to verify with the DOC bureau/operating unit before re-dissemination of PII/BII.

☐ No, the external agency/entity is not required to verify with the DOC bureau/operating unit before re-dissemination of PII/BII.

☐ No, the bureau/operating unit does not share PII/BII with external agencies/entities.
6.3 Indicate whether the IT system connects with or receives information from any other IT systems authorized to process PII and/or BII.

Yes, this IT system connects with or receives information from another IT system(s) authorized to process PII and/or BII. The BITS system is connected with OPM/NBIB.

Provide the name of the IT system and describe the technical controls which prevent PII/BII leakage:

For ERLR - HR data is resident within the National Finance Center (NFC). NFC data is fed to the USPTO’s Enterprise Data Warehouse. USPTO System administrators then upload a flat file from the Enterprise Data Warehouse into the Employee Relations / Labor Relations system. There is no direct connection between the two systems – it requires human intervention to upload this data.

Information Delivery Product (IDP)
Enterprise Software Services (ESS)
NSI and ESS-RBAC facilitates communication between USPTO and MicroPACT.

Technical Controls in place:
USPTO requires annual security role-based training and annual mandatory security awareness procedure training for all employees. The following are current USPTO policies: Information Security Foreign Travel Policy (OCIO-POL-6), IT Privacy Policy (OCIO-POL-18), IT Security Education Awareness Training Policy (OCIO-POL-19), Personally Identifiable Data Removal Policy (OCIO-POL-23), USPTO Rules of the Road (OCIO-POL-36). All offices of the USPTO adhere to the USPTO Records Management Office's Comprehensive Records Schedule that describes the types of USPTO records and their corresponding disposition authority or citation. Encryption and access controls are used to prevent PII/BII leakage.

No, this IT system does not connect with or receive information from another IT system(s) authorized to process PII and/or BII.

6.4 Identify the class of users who will have access to the IT system and the PII/BII. (Check all that apply.)

<table>
<thead>
<tr>
<th>Class of Users</th>
<th>Government Employees</th>
<th>Contractors</th>
<th>Other (specify):</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Public</td>
<td>□</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>Contractors</td>
<td>□</td>
<td>□</td>
<td></td>
</tr>
</tbody>
</table>

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.)

Yes, notice is provided pursuant to a system of records notice published in the Federal Register and discussed in Section 9.

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: [https://www.uspto.gov/privacy-policy](https://www.uspto.gov/privacy-policy).
| □ | Yes, notice is provided by other means. Specify how: |
| □ | No, notice is not provided. Specify why not: |

7.2 Indicate whether and how individuals have an opportunity to decline to provide PII/BII.

| ☑ | Yes, individuals have an opportunity to decline to provide PII/BII. Specify how: BITS: All information requested is provided on a voluntary basis. USPTO as part of the U.S Government is authorized to ask for this information under Executive Orders 10450 and 10577. As such the information is required in order to conduct adequate background investigation to be considered for employment with the USPTO. Declining to provide the information would result in not being considered for employment. |
| □ | No, individuals do not have an opportunity to decline to provide PII/BII. Specify why not: ERLR: PII that is processed or stored by ERLR is pulled from internal USPTO personnel records. This information is needed for case management, and individuals cannot decline having this information input into the system. |

7.3 Indicate whether and how individuals have an opportunity to consent to particular uses of their PII/BII.

| ☑ | Yes, individuals have an opportunity to consent to particular uses of their PII/BII. Specify how: Individuals have an opportunity to consent to particular uses of their PII/BII since all information requested is provided on a voluntary basis. USPTO as part of the U.S Government is authorized to ask for this information under Executive Orders 10450 and 10577. Social Security Number (SSN) is needed in order to keep records accurate, because other people may have the same name and birth date. The executive Order 9397 also asks Federal Agencies to use SSN to help identify individuals in agency records. The information is required in order to conduct adequate background investigation to be considered for employment with the USPTO. |
| □ | No, individuals do not have an opportunity to consent to particular uses of their PII/BII. Specify why not: ERLR: PII processed or stored by ERLR is pulled from internal USPTO personnel records and individuals cannot consent to a particular use within ERLR. |

7.4 Indicate whether and how individuals have an opportunity to review/update PII/BII pertaining to them.

| ☑ | Yes, individuals have an opportunity to review/update PII/BII pertaining to | Specify how: For BITS - Individuals do not have access to review their PII. They can however, reach out to the security |
Section 8: Administrative and Technological Controls

8.1 Indicate the administrative and technological controls for the system. (Check all that apply.)

☐ All users signed a confidentiality agreement or non-disclosure agreement.
☐ All users are subject to a Code of Conduct that includes the requirement for confidentiality.
☐ Staff (employees and contractors) received training on privacy and confidentiality policies and practices.
☐ Access to the PII/BII is restricted to authorized personnel only.
☐ Access to the PII/BII is being monitored, tracked, or recorded. Explanation: Application, System, and Security logs are used to track and record access to PII/BII.
☐ The information is secured in accordance with the Federal Information Security Modernization Act (FISMA) requirements. Provide date of most recent Assessment and Authorization (A&A): __7/12/2021___
☐ This is a new system. The A&A date will be provided when the A&A package is approved.
☐ The Federal Information Processing Standard (FIPS) 199 security impact category for this system is a moderate or higher.
☐ 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 (POA&M).
☐ A security assessment report has been reviewed for the information system and it has been determined that there are no additional privacy risks.
☐ Contractors that have access to the system are subject to information security provisions in their contracts required by DOC policy.
☐ Contracts with customers establish DOC ownership rights over data including PII/BII.
☐ Acceptance of liability for exposure of PII/BII is clearly defined in agreements with customers.
☐ Other (specify): ____________________________________________________________________________

8.2 Provide a general description of the technologies used to protect PII/BII on the IT system. (Include data encryption in transit and/or at rest, if applicable.)
Automated operational controls include securing all hardware associated with BITS/ERLR in the MicroPact Data Center. The Data Center is controlled by access card entry and all use of the card is audited through the access system to restrict access to the servers, their Operating Systems and databases. In addition, physical access points to the MicroPact Data Center are controlled by physical locking mechanisms including separate door locks, an alarm control contact monitored twenty-four (24) hours a day by ADT, a motion detector at each door and hallway and a video camera at each hallway.

Contingency planning has been prepared for the data. Backups are performed on the processing databases. All backup tapes that contain PII or information covered under the Privacy Act are encrypted with FIPS 140-2 compliant algorithms by the MicroPact Database Administration Team.

Technical controls: Information is also secured through the application itself, by only allowing authorized users access to the application and to data to which they have access and privilege. Also the information system controls attacks and unauthorized attempts on the application and database through strict logins, AV protection, and through firewalls.

Section 9: Privacy Act

9.1 Is the PII/BII searchable by a personal identifier (e.g., name or Social Security number)?

☒ Yes, the PII/BII is searchable by a personal identifier.

☐ No, the PII/BII is not searchable by a personal identifier.

9.2 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.”

☒ Yes, this system is covered by an existing system of records notice (SORN). Provide the SORN name, number, and link. (list all that apply):

- COMMERCE/PAT-TM-24: Background Investigations
- COMMERCE/DEPT-18: Employees Personnel Files not covered by Notices of Other Agencies
- OPM Central 9 – Personnel Investigations Records
- OPM/GOVT – 3 – Records of Adverse Actions, Performance Based Reduction in Grade and Removal Actions, and Termination of Probationers

☐ Yes, a SORN has been submitted to the Department for approval on (date).

☐ No, this system is not a system of records and a SORN is not applicable.
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.)

- ☑ There is an approved record control schedule.
  
  Provide the name of the record control schedule:
  
  BITS:
  Personnel Security Investigative Reports (GRS 5.6, 170)
  Personnel Security and Access Clearance Records (GRS 5.6, 180-181)
  Index to the Personnel Security Case Files (GRS 5.6, 190)

  ERLR:
  NARA GR8 Schedule 2.3: Employee Relations Records, Item 060, Administrative Grievances, Disciplinary, and Adverse Action Files; Item 050, Labor Management Relations Agreement Negotiations Records.

- □ 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:

- ☑ Yes, retention is monitored for compliance to the schedule.

- □ 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.)

<table>
<thead>
<tr>
<th>Disposal</th>
<th>☑ Overwriting</th>
<th>☑ Deleting</th>
</tr>
</thead>
<tbody>
<tr>
<td>Shredding</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Degaussing</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Other (specify):

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

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. (The PII Confidentiality Impact Level is not the same, and does not have to be the same, as the Federal Information Processing Standards (FIPS) 199 security impact category.)

- □ Low – the loss of confidentiality, integrity, or availability could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals.

- ☑ Moderate – the loss of confidentiality, integrity, or availability could be expected to have a serious adverse effect on organizational operations, organizational assets, or individuals.

- □ 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 level. *(Check all that apply.)*

<table>
<thead>
<tr>
<th>Factor</th>
<th>Provide explanation:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identifiability</td>
<td>Name, SSN, DOB, POB and Alias can be easily used to identify an individual.</td>
</tr>
<tr>
<td>Quantity of PII</td>
<td>Collectively, the number of records collected generate a large amount of PII and a breach in such large numbers of individual PII must be considered in the determination of the impact level.</td>
</tr>
<tr>
<td>Data Field Sensitivity</td>
<td>The presence of employee SSNs, DOB, POB, and Name in the BITS system alone are sensitive PII, and in combination, could result in potential harm to individuals if not used in accordance with their intended use. For ERLR - Use of PII and work/system audit data in combination for tracking and reporting of employee and labor relations cases.</td>
</tr>
<tr>
<td>Context of Use</td>
<td>The BITS acts as an electronic personnel security folder for each person, tracking data related, but not limited to, investigations, clearances and adjudications. For ERLR, because the information containing PII must be transmitted outside of the USPTO environment, there is an added need to ensure the confidentiality of information during transmission.</td>
</tr>
<tr>
<td>Obligation to Protect Confidentiality</td>
<td>Based on the data fields input into the BITS system, USPTO must protect the PII of each individual in accordance with the Privacy Act of 1974.</td>
</tr>
<tr>
<td>Access to and Location of PII</td>
<td>Because the information containing PII must be transmitted outside of the USPTO environment there is an added need to ensure the confidentiality of information during transmission.</td>
</tr>
<tr>
<td>Other:</td>
<td>Provide explanation:</td>
</tr>
</tbody>
</table>

Section 12: Analysis

12.1 Identify and evaluate any potential threats to privacy that exist in light of the information collected or the sources from which the information is collected. Also, describe the choices that the bureau/operating unit made with regard to the type or quantity of information collected and the sources providing the information in order to prevent or mitigate threats to privacy. (For example: If a decision was made to collect less data, include a discussion of this decision; if it is necessary to obtain information from sources other than the individual, explain why.)
Foreign entities, adversarial entities and insider threats are the predominant threats to the information collected and its privacy. Security controls following FedRAMP and NIST guidance were implemented to deter and prevent threats to privacy.

12.2 Indicate whether the conduct of this PIA results in any required business process changes.

- □ Yes, the conduct of this PIA results in required business process changes.
  Explanation:

- ☒ No, the conduct of this PIA does not result in any required business process changes.

12.3 Indicate whether the conduct of this PIA results in any required technology changes.

- □ Yes, the conduct of this PIA results in required technology changes.
  Explanation:

- ☒ No, the conduct of this PIA does not result in any required technology changes.
USPTO Points of Contact and Signatures

**System Owner**
Name: Colleen Sheehan  
Office: Office of Human Resources (C/OHR)  
Phone: (571) 272-8246  
Email: Colleen.Sheehan@uspto.gov

I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.

Signature: Colleen  
Date signed: ________________________________

**Chief Information Security Officer**
Name: Don Watson  
Office: Office of the Chief Information Officer (OCIO)  
Phone: (571) 272-8130  
Email: Don.Watson@uspto.gov

I certify that this PIA is an accurate representation of the security controls in place to protect PII/BII processed on this IT system.

Signature: DON R Watson  
Date signed: ________________________________

**Privacy Act Officer**
Name: John Heaton  
Office: Office of General Law (O/GL)  
Phone: (571) 270-7420  
Email: Ricou.Heaton@uspto.gov

I certify that the appropriate authorities and SORNs (if applicable) are cited in this PIA.

Signature: Ricou, John  
Date signed: ________________________________

**Bureau Chief Privacy Officer and Authorizing Official**
Name: Henry J. Holcombe  
Office: Office of the Chief Information Officer (OCIO)  
Phone: (571) 272-9400  
Email: Jamie.Holcombe@uspto.gov

I certify that the PII/BII processed in this IT system is necessary, this PIA ensures compliance with DOC policy to protect privacy, and the Bureau/OU Privacy Act Officer concurs with the SORNs and authorities cited.

Signature: Henry  
Date signed: ________________________________

**Co-Authorizing Official**
Name: Frederick Steckler  
Office: Office of the Chief Administrative Officer (C/CAO)  
Phone: (571) 272-9600  
Email: Frederick.Steckler@uspto.gov

I certify that this PIA accurately reflects the representations made to me herein by the System Owner, the Chief Information Security Officer, and the Chief Privacy Officer regarding security controls in place to protect PII/BII in this PIA.

Signature: Frederick W.  
Date signed: ________________________________

This page is for internal routing purposes and documentation of approvals. Upon final approval, this page must be removed prior to publication of the PIA.