Privacy Impact Assessment
for the
Trademark Next Generation

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
09/09/2021
U.S. Department of Commerce Privacy Impact Assessment
USPTO Trademark Next Generation

Unique Project Identifier: PTOT-004-00

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 Trademark Next Generation (TMNG) is an application information system that provides support for the automated processing of trademark applications for the USPTO. TMNG provides users with bibliographic data in a standard markup form, business reporting and dashboard data sources. Publishing features are available to enable consumer’s access to published data in the official gazette to review information and search for items of interest. Editing features allow authorized users to perform editing functions (create, modify, delete) that are role-based for searching across current and archival versions. TMNG is also used by Examining Attorneys during the Examination phase of an application.

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

Trademark Next Generation (TMNG) is a major application.

(b) System location

Trademark Next Generation (TMNG) is located at 600 Dulany Street, Alexandria, VA 22314, on the 3rd floor, east wing at the Data Center.

(c) Whether it is a standalone system or interconnects with other systems (identifying and describing any other systems to which it interconnects)

TMNG interconnects with the following systems:

**Enterprise Windows Services (EWS):** The EWS is an Infrastructure information system, and provides a hosting platform for major applications that support various USPTO missions.

**Enterprise UNIX Services (EUS):** The EUS System consists of assorted UNIX operating system variants (OS) each comprised of many utilities along with the master control program, the kernel.

**Service Oriented Infrastructure (SOI):** SOI provides stable platforms and feature-rich services upon which USPTO applications can deploy.

**Network and Security Infrastructure System (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) IT applications.
Enterprise Desktop Platform (EDP): The EDP is an infrastructure information system that provides a standard enterprise-wide environment that manages desktops and laptops running on the Windows operating system (OS), providing United States Government Configuration Baseline (USGCB) compliant workstations.

Enterprise Software Services (ESS): Provides Enterprise Directory Services, Role-Based Access Control System, Email as a Service, PTO Exchange Services, Symantec Endpoint Protection, Enterprise SharePoint Services, etc.

Trademark Processing System – External System (TPS ES): The purpose of this system is to provide service support for processing trademark applications for USPTO.

Trademark Processing System – Internal System (TPS IS): The purpose of this system is to provide service support for processing trademark applications for USPTO.

(d) The way the system operates to achieve the purpose(s) identified in Section 4

TMNG is an application information system, and provides support for the automated processing of trademark applications for the USPTO. It is comprised of the following six Automated Information Systems (AIS).

- Trademark Status and Document Retrieval (TSDR) provides bibliographic data in a standard markup form.
- Trademark Reporting and Data Mart (TRDM) provides business reports and dashboards connecting to respective data sources.
- Trademark Electronic Official Gazette (TMeOG) enable consumers of published data in the official gazette to review information and search for items of interest.
- Trademark Next Generation Identification Master List System (TMNG-IDM) allows authorized users to perform editing functions (create, modify, delete), provide role-based, searching across current and archival versions.
- TMNG Examination (formerly TMNG Internal System) is used by Examining Attorneys during the Examination phase of an application.
- Trademark Next Generation Content Management System (TMNG_CMS) purpose is to transition to a single modern content repository that will be used by all TMNG Examination systems.

(e) How information in the system is retrieved by the user

TMNG uses web-based interfaces to access the information in the system. Some subsystems also provide web APIs to retrieve information in an automated fashion.

(f) How information is transmitted to and from the system

TMNG uses HTTPS for transmitting to and from the system over the USPTO internal network, as well as the public internet. All external connections with systems outside of the USPTO are employed through Network and Security Infrastructure System (NSI).

(g) Any information sharing conducted by the system

TMNG shares trademark registration information with the public, via the Internet.
Additionally, within USPTO, TMNG shares trademark data with the TPS-IS. TPS-IS is the legacy system where trademark applicant data is stored. TMNG synchronizes this data, so that trademark examiners can conduct their examinations using TMNG.

(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 categorization for TMNG 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>
</tr>
</thead>
<tbody>
<tr>
<td>a. Social Security*</td>
</tr>
<tr>
<td>b. Taxpayer ID</td>
</tr>
<tr>
<td>c. Employer ID</td>
</tr>
<tr>
<td>d. Employee ID</td>
</tr>
<tr>
<td>e. File/Case ID</td>
</tr>
<tr>
<td>f. Other identifying numbers (specify):</td>
</tr>
</tbody>
</table>

*Explanation for the business need to collect, maintain, or disseminate the Social Security number, including truncated form:

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

<table>
<thead>
<tr>
<th>Work-Related Data (WRD)</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Occupation</td>
</tr>
<tr>
<td>b. Job Title</td>
</tr>
<tr>
<td>c. Work Address</td>
</tr>
<tr>
<td>d. Work Telephone Number</td>
</tr>
<tr>
<td>l. Other work-related data (specify):</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Distinguishing Features/Biometrics (DFB)</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Fingerprints</td>
</tr>
<tr>
<td>b. Palm Prints</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>


2.2 Indicate sources of the PII/BII in the system. *(Check all that apply.)*

**Directly from Individual about Whom the Information Pertains**

<table>
<thead>
<tr>
<th>In Person</th>
<th>Hard Copy: Mail/Fax</th>
<th>Online</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td>☒</td>
<td>☒</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Telephone</th>
<th>Email</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td>☐</td>
<td>☑</td>
</tr>
</tbody>
</table>

**Other (specify):**

**Government Sources**

<table>
<thead>
<tr>
<th>Within the Bureau</th>
<th>Other DOC Bureaus</th>
<th>Other Federal Agencies</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>State, Local, Tribal</th>
<th>Foreign</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

**Other (specify):**

**Non-government Sources**

<table>
<thead>
<tr>
<th>Public Organizations</th>
<th>Private Sector</th>
<th>Commercial Data Brokers</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Third Party Website or Application</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td></td>
</tr>
</tbody>
</table>

**Other (specify):**

2.3 Describe how the accuracy of the information in the system is ensured.

The information is provided directly by the individuals about whom the information pertains and they certify the accuracy of the information upon submission. Access controls, including the concept of least privilege, are in place within the system to protect the integrity of this data as it is processed or stored. In addition, USPTO implements security and management controls to prevent the inappropriate disclosure of sensitive information. Security controls are employed to ensure information is resistant to tampering, remains confidential as necessary, and is available as intended by the agency and as expected by authorized users. Management controls are utilized to prevent the inappropriate disclosure of sensitive information.
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.

- 0651-0050: Response to Office Action & Voluntary Amendment Forms
- 0651-0054: Substantive Submissions Made During the Prosecution of the Trademark Application
- 0651-0055: Post Registration
- 0651-0056: Submissions Regarding Correspondence and Regarding Attorney Representation
- 0651-0061: Trademarks Petitions

[ ] 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 (TUCPBNDP)</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.)*

<table>
<thead>
<tr>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>For a Computer Matching Program</td>
</tr>
</tbody>
</table>

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).

The bibliographic information stored in the system about applicants for a trademark is used to uniquely identify the registrant’s trademark. Addresses and e-mail addresses are used for correspondence and an authorization for the Office to send correspondence concerning the application to the applicant or applicant’s attorney. As anyone may register a trademark, the information may reference a federal employee, contractor, member of the public or a foreign national- for the purposes of this PIA, we will consider the above all part of members of the public. Trademark registrant PII is shared with the public as part of information sharing initiatives.

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.)

The information is published to the public. There are no potential threats to privacy, as the information is not private. (See section 7.1)

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></td>
</tr>
<tr>
<td></td>
<td>Case-by-Case</td>
</tr>
<tr>
<td>--------------------------</td>
<td>--------------</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.

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

- **TMNG** connects with and receives data from the TRAM component of TPS-IS. The information transmitted between the systems is protected within USPTO’s secure perimeter through the Network and Security Infrastructure (NSI) and the Enterprise Monitoring and Security Operations (EMSO) systems.

- **Enterprise Software Services (ESS):** Provides Enterprise Directory Services, Role-Based Access Control System, Email as a Service, PTO Exchange Services, Symantec Endpoint Protection, Enterprise SharePoint Services, etc.

- **Trademark Processing System – External System (TPS ES):** The purpose of this system is to provide service support for processing trademark applications for USPTO.

- **Trademark Processing System – Internal System (TPS IS):** The purpose of this system is to provide service support for processing trademark applications for USPTO.

All data transmissions are encrypted and require credential verification. All data transmissions not done through dedicated lines require security certificates. Inbound transmissions as well as outbound transmissions pass through a DMZ before being sent to endpoint servers. Access controls, auditing and encryption are leveraged to prevent PII/BII leakage.
In accordance with the USPTO Privacy Policy guidelines, all systems that process PII and have
interconnections are designed and administered to ensure the confidentiality of PII provided to and by
TMNG.
Specific safeguards that are employed by the systems:
• The systems and its facility are physically secured and closely monitored. Only individuals authorized
by USPTO are granted logical access to the system.
• Technical, operational, and management security controls are in place and are verified regularly.
• Periodic security testing are conducted on the systems to help detect new security vulnerabilities on
time.
• All personnel are trained to securely handle PII information and to understand their responsibilities for
protecting PII.

☐ 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>General Public</th>
<th>☑ Government Employees</th>
<th>☑ Contractors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other(specify):</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Only a part of the application is public facing and available to the general public. The general public will have
access to only stored PII that is released for public consumption.

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: http://www.uspto.gov/privacy-policy
https://www.uspto.gov/trademarks/apply/teas-and-teasi-paperwork-reduction-act-burden#TEAS-Privacy-
Act-Statement

☑ Yes, notice is provided by other means.

Specify how:
The PII stored by TMNG is collected by the TPSES system. A notice is provided by a warning banner when the applicant
accesses the TPS-ES system to submit the information. In addition, a consent form is signed by the applicant giving
USPTO the authority to share the information provided with the public. Please see “APPENDIX A” for details on warning
banner.

☐ 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: Individuals may decline to provide PII by not submitting a trademark registration for processing.

☐ No, individuals do not have an opportunity to decline to provide PII/BII. Specify why not:

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 grant consent by filing out a trademark registration and submitting it for processing. They are also made aware that the information provided will be made public.

☐ No, individuals do not have an opportunity to consent to particular uses of their PII/BII. Specify why not:

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 them. Specify how: Individuals will need to work with USPTO if contact information changes to update their records.

☐ No, individuals do not have an opportunity to review/update PII/BII pertaining to them. Specify why not:

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: Audit logs

☐ 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): 3/9/2021

☐ 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 AppendixJ 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).*

The USPTO uses the Life Cycle review process to ensure that management controls are in place for TMNG. During the enhancement of any component, the security controls are reviewed, re-evaluated, and updated in the Security Plan. The Security Plan specifically addresses the controls that are in place, and planned, during the operation of the enhanced system. Additional management controls include performing national agency checks on all personnel, including contractor staff.

A Security Categorization compliant with the FIPS 199 and NIST SP 800-60 requirements was conducted for TMNG. The overall FIPS 199 security impact level for TMNG was determined to be Moderate. This categorization influences the level of effort needed to protect the information managed and transmitted by the system. Operational controls include securing all hardware associated with the TMNG in the USPTO Data Center. The Data Center is controlled by access card entry and is manned by a uniformed guard service to restrict access to the servers, their operating systems, and databases. Backups are managed by the Enterprise Tape Backup System (ETBS) and are secured off-site by First Federal.

Windows and Linux servers within TMNG are regularly updated with the latest security patches by the Windows and Unix System Support Groups.

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-26, Trademark Application and Registration Records]
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:
    - N1-241-06-2: Trademark Case File Records and Related Indexes, selected
    - N1-241-06-2: Trademark Case File Records and Related Indexes, non-selected
    - N1-241-06-2: Trademark Case File Feeder Records and Related Indexes
    - N1-241-06-2: Trademarks Routine Subject Files
    - N1-241-05-2: Information Dissemination Product Reference
    - GRS 4.1:010, Tracking and Control 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>Shredding</th>
<th>Overwriting</th>
<th>Degaussing</th>
<th>Deleting</th>
<th>Other (specify):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Shredding</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overwriting</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Degaussing</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Deleting</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other (specify):</td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

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.
11.2 Indicate which factors were used to determine the above PII confidentiality impact level. (Check all that apply.)

- Identifiability
  Provide explanation: Name, Home address, Telephone number, email address, work address and work phone number are non-sensitive identifiers.

- Quantity of PII
  There are hundreds of thousands of applications containing PII processed using TMNG each year.

- Data Field Sensitivity
  Provide explanation: The data includes limited personal and work related elements.

- Context of Use
  Provide explanation: The personally identifiable information processed by TMNG is used to identify the individuals or companies and governments that have registered trademarks with the government of the United States.

- Obligation to Protect Confidentiality
  TMNG is obligated to protect confidentiality of PII in accordance with the Privacy Act of 1974, Federal Information Security Management Act (FISMA), E-Government Act of 2002, Section 208 and other federal regulations.

- Access to and Location of PII
  Trademark Next Generation (TMNG) is located at 600 Dulany Street, Alexandria, VA 22314, on the 3rd floor, east wing at the Data Center. Access to the data center is only granted to individuals who are on an access list. Individuals requiring access to the data center must adhere to the data center’s procedures.

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.)

The information is published to the public based on role-based access to the data and two-factor authentication. There are no potential threats to privacy, as the information is not private.

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

<table>
<thead>
<tr>
<th></th>
<th>Yes, the conduct of this PIA results in required technology changes.</th>
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<td>☐</td>
<td>Explanation:</td>
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<tr>
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<td>No, the conduct of this PIA does not result in any required technology changes.</td>
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APPENDIX A

WARNINGS

ALL DATA PUBLIC:

All information you submit to the USPTO at any point in the application and/or registration process will become public record, including your name, phone number, e-mail address, and street address. By filing this application, you acknowledge that YOU HAVE NO RIGHT TO CONFIDENTIALITY in the information disclosed. The public will be able to view this information in the USPTO's online databases and through Internet search engines and other online databases. This information will remain public even if the application is later abandoned or any resulting registration is surrendered, cancelled, or expired. To maintain confidentiality of banking or credit card information, only enter payment information in the secure portion of the site after validating your form. For any information that may be subject to copyright protection, by submitting it to the USPTO, the filer is representing that he or she has the authority to grant, and is granting, the USPTO permission to make the information available in its on-line database and in copies of the application or registration record.
# USPTO Points of Contact and Signatures

## System Owner
**Name:** Donald Ulrich  
**Office:** Trademark Systems Division (I/AEDTSD)  
**Phone:** (571) 272-1093  
**Email:** Donald.Ulrich@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:** Donald Ulrich  
**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:** Users, Heaton, John (Ricou)  
**Date signed:**

## Bureau Chief Privacy Officer and Co-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:** Users, Holcombe, Henry  
**Date signed:**

## Co-Authorizing Official
**Name:** David S. Gooder  
**Office:** Office of the Commissioner for Trademarks (T/COM)  
**Phone:** (571) 270-0980  
**Email:** David.Gooder@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:** Users, Gooder, David S.  
**Date signed:**

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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.