



**UNITED STATES PATENT AND TRADEMARK OFFICE**

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**USPTO Privacy Impact Assessment Statement**

**Enterprise Data Warehouse  
(EDW)**

Unique Investment Identifier: 00651010101800300402129

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#### **1. What information is to be collected (e.g., nature and source)?**

The information to be collected by the system includes financial transactions; USPTO employee payroll transactions; budget information including allocation, expenditures and available funds; general ledger; Patent Production; Personnel data; Cost Accounting information; and Revenue data.

The data sources include historical Federal Financial System (FFS system now retired), NFC (National Finance Center), USPTO's Office of Human Resources, and the following internal USPTO systems: Revenue Accounting and Maintenance (RAM), Patent Application Locating and Monitoring Post-Exam (PALM EXPO), and Activity Based Modeling (ABM).

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

The information is gathered into a single data source to facilitate ad-hoc queries and analysis of data.

The collection of the information makes it possible for financial, personnel and patent data to be linked into one single data source. The Enterprise Data Warehouse (EDW) allows USPTO employees making business decisions and analysis, including real-time budget and general ledger and reconciliation of Federally mandated requirements, to have immediate access to summary and transaction-level detailed information.

The EDW is maintained by the USPTO and it resolves the data access and presentation difficulties in providing strategic business information to analysts and managers. Use of the EDW enables the USPTO to operate more efficiently and economically by bringing together widely disparate systems and platforms containing data that needs to be shared. The use of the Business Objects COTS application ensures a user-friendly front-end interface to a single database.

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

The information is used in supporting the decision-making activities of managers and analysts in the USPTO business areas. The EDW is a Corporate IT investment that provides access in one single system to integrated USPTO General Ledger, Revenue, Payroll, Cost Accounting, Personnel, Patent Case and Patent Examiners production data.



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

The information is shared within USPTO with authorized parties only. There is no other agency involved.

**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 individuals can grant consent?**

Information is not directly provided by individuals. The Data Warehouse integrates existing data from multiple sources. It makes data comparisons available for analysis.

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

Management Controls:

The USPTO uses the Life Cycle review process to ensure that management controls are in place for the EDW. 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.

Operational Controls:

Operational controls include securing all hardware associated with this system 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. Contingency planning has been prepared for the data. Backups are performed on the processing data bases. Backups are stored on tape and are secured off-site. Additional operation controls include: (1) Logical edit checks to ensure proper sequence of actions; (2) Physical terminal identification; (3) Database UserID; (4) Restricted data display, as required; and (5) Restricted access.

Technical Controls:

Technical Controls include password authentication (userid and passwords). At the client PCs, access is managed through a password authentication (userid and password) based on certification on a Financial Application Security Registration form. The security form must be signed by a supervisor, and requires additional approval from Human Resources based on a justification of need.



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

No, there is no new system of records being created. Existing Systems of Records cover the information pulled from other systems and residing in the Enterprise Data Warehouse. These include: COMMERCE/PAT-TM-3, Employee Production Records; COMMERCE/PAT-TM-7, Patent Application Files; COMMERCE/PAT-TM-10, Patent Deposit Accounts System; and COMMERCE/DEPT-18, Employees Personnel Files Not Covered by Notices of Other Agencies.

