

**U.S. Department of Commerce  
U.S. Patent and Trademark Office**



**Privacy Impact Assessment  
for the  
Private Branch Exchange – Voice Over Internet Protocol  
(PBX-VOIP)**

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*

09/23/2021

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Signature of Senior Agency Official for Privacy/DOC Chief Privacy Officer

Date

# U.S. Department of Commerce Privacy Impact Assessment USPTO Private Branch Exchange – Voice Over Internet Protocol (PBX-VOIP)

**Unique Project Identifier: PTOI-021-00**

## **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 Private Branch Exchange – Voice over Internet Protocol (PBX-VOIP) is an infrastructure information system consisting of three sub-systems, Cisco VoIP, Enterprise Call Center (ECC), and Cellular Repeater System (CRS). PBX-VOIP provides the following services in support of analog voice, digital voice, collaborative services and data communications for business units across the entire USPTO:

- Converged and non-converged analog and digital voice communication services;
- Customer Contact Center voice and terminal support;
- Teleworker collaborative computing environment; and
- Enhanced cellular device (phones) service throughout the USPTO campus.

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

PBX-VOIP is a General Support System (GSS)

*(b) System location*

600 Dulany Street, Alexandria, VA 22314

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

PBX-VOIP interconnects with the following systems:

- **Enterprise Desktop Platform (EDP):** EDP is an infrastructure information system, which provides a standard enterprise-wide environment that manages desktops and laptops running on the Windows 10 operating system (OS), providing United States Government Configuration Baseline (USGCB) compliant workstations. The USGCB security mandate by the Office of Management and Budget (OMB) requires all Federal Agencies, including the United States Patent and Trademark Office (USPTO), to use the directed desktop configuration.
- **Enterprise Windows Services (EWS):** EWS is an infrastructure information system, which provides a hosting platform for major applications that support various USPTO missions.
- **Network and Security Infrastructure System (NSI):** 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 UNIX Services (EUS):** EUS System consists of assorted UNIX operating system variants (OS), each of which is comprised of many utilities, along with the master control program, the kernel.
- **Trademark Processing System – External Systems (TPS-ES):** TPS-ES is a Major Application information system, and provides customer support for processing Trademark applications for USPTO.
- **Information Dissemination Support System (IDSS):** IDSS is an application information system, and provides services or functions in support of the USPTO mission. The purpose of the IDSS system is to support the Trademark and Electronic Government Business Division, the Corporate Systems Division (CSD), the Patent Search System Division, the Office of Electronic Information Products, and the Office of Public Information Services. It provides automated support for the timely search and retrieval of electronic text and images concerning patent applications and patents by USPTO internal and external users.
- **Security and Compliance Services (SCS):** SCS provides a centralized command and control console with integrated enterprise log management, security information and event management, network behavior analysis, and reporting through the collection of events, network/application flow data, vulnerability data, and identity information.
- **Database Services (DBS):** DBS is an infrastructure information system, which provides a Database Infrastructure to support the mission of USPTO database needs.
- **Enterprise Software System (ESS):** ESS is an infrastructure information system and provides a variety of services to support the USPTO mission.

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

PBX-VOIP operates through the following Automated Information Systems (AISs) to achieve its purpose:

- **Cisco Voice over Internet Protocol (Cisco- VoIP):** Provides telephony services to the USPTO Headquarters and Nation-wide Satellite Offices.
- **Enterprise Contact Center (ECC):** Provides technology that allows the public and USPTO employees the ability to contact USPTO business centers and access interactive and automated information regarding USPTO products, processes, and services. Additionally, ECC features an automated failover capability for system redundancy.
- **Cellular Repeater System (CRS):** Cellular Repeater System (CRS) provides in-building cellular frequency coverage so that corporate and personal cellular devices can effectively communicate to enhance the cellular phone usage experience while on the USPTO campus.

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

Information in the system is retrieved through webpage access. Secure Shell (SSH) - used for secure logins, file transfers (scp, SFTP) and port forwarding. This port is needed for logging into the call managers and for nightly backups for the Cisco- VoIP Cluster. (Call Manager Signaling) Credentials are validated via Active Directory.

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

Cisco-VoIP employs cryptographic protections to prevent unauthorized disclosure of information and detect changes during transmission through the implementation of TLS 1.0 for URLs with FIPS 140-2 compliant protocols. In addition, Cisco- VoIP implements HTTPS (TLS/SSL) for the WEB administration and the remote command line utilizes SSH.

*(g) Any information sharing conducted by the system*

The Emergency Notification System connects to the Cisco Call Manager to obtain telephone information for users. In addition, Cisco WebEx Meeting Server utilizes Cisco Call Manager for account information. ECC might share some information with another system for reporting purposes.

*(h) The specific programmatic authorities (statutes or Executive Orders) for collecting, maintaining, using, and disseminating the information*  
 Clinger-Cohen Act and Leahy-Smith America Invents Act

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

Changes That Create New Privacy Risks (CTCNPR)					
a. Conversions	<input type="checkbox"/>	d. Significant Merging	<input type="checkbox"/>	g. New Interagency Uses	<input type="checkbox"/>
b. Anonymous to Non-Anonymous	<input type="checkbox"/>	e. New Public Access	<input type="checkbox"/>	h. Internal Flow or Collection	<input type="checkbox"/>
c. Significant System Management Changes	<input type="checkbox"/>	f. Commercial Sources	<input type="checkbox"/>	i. Alteration in Character of Data	<input type="checkbox"/>
j. Other changes that create new privacy risks (specify):					

- 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.)*

Identifying Numbers (IN)					
a. Social Security*	<input type="checkbox"/>	f. Driver's License	<input type="checkbox"/>	j. Financial Account	<input type="checkbox"/>
b. Taxpayer ID	<input type="checkbox"/>	g. Passport	<input type="checkbox"/>	k. Financial Transaction	<input type="checkbox"/>
c. Employer ID	<input type="checkbox"/>	h. Alien Registration	<input type="checkbox"/>	l. Vehicle Identifier	<input type="checkbox"/>
d. Employee ID	<input type="checkbox"/>	i. Credit Card	<input type="checkbox"/>	m. Medical Record	<input type="checkbox"/>
e. File/Case ID	<input type="checkbox"/>				
n. Other identifying numbers (specify):					
*Explanation for the business need to collect, maintain, or disseminate the Social Security number, including truncated form:					

General Personal Data (GPD)					
a. Name	<input checked="" type="checkbox"/>	h. Date of Birth	<input type="checkbox"/>	o. Financial Information	<input type="checkbox"/>
b. Maiden Name	<input type="checkbox"/>	i. Place of Birth	<input type="checkbox"/>	p. Medical Information	<input type="checkbox"/>
c. Alias	<input type="checkbox"/>	j. Home Address	<input type="checkbox"/>	q. Military Service	<input type="checkbox"/>
d. Gender	<input type="checkbox"/>	k. Telephone Number	<input checked="" type="checkbox"/>	r. Criminal Record	<input type="checkbox"/>
e. Age	<input type="checkbox"/>	l. Email Address	<input type="checkbox"/>	s. Physical Characteristics	<input type="checkbox"/>
f. Race/Ethnicity	<input type="checkbox"/>	m. Education	<input type="checkbox"/>	t. Mother's Maiden Name	<input type="checkbox"/>
g. Citizenship	<input type="checkbox"/>	n. Religion	<input type="checkbox"/>		
u. Other general personal data (specify):					

Work-Related Data (WRD)					
a. Occupation	<input type="checkbox"/>	e. Work Email Address	<input type="checkbox"/>	i. Business Associates	<input type="checkbox"/>
b. Job Title	<input type="checkbox"/>	f. Salary	<input type="checkbox"/>	j. Proprietary or Business Information	<input type="checkbox"/>
c. Work Address	<input type="checkbox"/>	g. Work History	<input type="checkbox"/>	k. Procurement/contracting records	<input type="checkbox"/>

d. Work Telephone Number	<input checked="" type="checkbox"/>	h. Employment Performance Ratings or other Performance Information	<input type="checkbox"/>		
l. Other work-related data (specify):					

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

<b>System Administration/Audit Data (SAAD)</b>					
a. UserID	<input checked="" type="checkbox"/>	c. Date/Time of Access	<input checked="" type="checkbox"/>	e. ID Files Accessed	<input type="checkbox"/>
b. IP Address	<input checked="" type="checkbox"/>	f. Queries Run	<input type="checkbox"/>	f. Contents of Files	<input type="checkbox"/>
g. Other system administration/audit data (specify):					

<b>Other Information (specify)</b>					
Call detail records, Caller ID information (including first and lastname), Voicemail messages					

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

<b>Directly from Individual about Whom the Information Pertains</b>					
In Person	<input type="checkbox"/>	Hard Copy: Mail/Fax	<input type="checkbox"/>	Online	<input type="checkbox"/>
Telephone	<input checked="" type="checkbox"/>	Email	<input checked="" type="checkbox"/>		
Other (specify):					

<b>Government Sources</b>					
Within the Bureau	<input checked="" type="checkbox"/>	Other DOC Bureaus	<input type="checkbox"/>	Other Federal Agencies	<input type="checkbox"/>
State, Local, Tribal	<input type="checkbox"/>	Foreign	<input type="checkbox"/>		
Other (specify):					

<b>Non-government Sources</b>					
Public Organizations	<input type="checkbox"/>	Private Sector	<input type="checkbox"/>	Commercial Data Brokers	<input type="checkbox"/>
Third Party Website or Application			<input type="checkbox"/>		
Other (specify):					

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

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. In addition, the Perimeter Network (NSI) and Security and Compliance Services (SCS) provide additional automated transmission and monitoring mechanisms to ensure that PII/BII information is protected and not breached by external entities. PII data is received from OHR and PALM and information received is updated vis syncing.

2.4 Is the information covered by the Paperwork Reduction Act?

<input type="checkbox"/>	Yes, the information is covered by the Paperwork Reduction Act. Provide the OMB control number and the agency number for the collection:
<input checked="" type="checkbox"/>	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.)*

<b>Technologies Used Containing PII/BII Not Previously Deployed (TUCPBNPD)</b>			
Smart Cards	<input type="checkbox"/>	Biometrics	<input type="checkbox"/>
Caller-ID	<input type="checkbox"/>	Personal Identity Verification (PIV) Cards	<input type="checkbox"/>
Other (specify):			

<input checked="" type="checkbox"/>	There are not any technologies used that contain PII/BII in ways that have not been previously deployed.
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**Section 3: System Supported Activities**

3.1 Indicate IT system supported activities which raise privacy risks/concerns. *(Check all that apply.)*

<b>Activities</b>			
Audio recordings	<input checked="" type="checkbox"/>	Building entry readers	<input type="checkbox"/>
Video surveillance	<input type="checkbox"/>	Electronic purchase transactions	<input type="checkbox"/>
Other (specify): Call detail records, Caller ID information (including first and last name), Voicemail messages.			

<input type="checkbox"/>	There are not any IT systems supported activities which raise privacy risks/concerns.
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**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.)

<b>Purpose</b>			
For a Computer Matching Program	<input type="checkbox"/>	For administering human resources programs	<input type="checkbox"/>
For administrative matters	<input type="checkbox"/>	To promote information sharing initiatives	<input checked="" type="checkbox"/>
For litigation	<input type="checkbox"/>	For criminal law enforcement activities	<input type="checkbox"/>
For civil enforcement activities	<input type="checkbox"/>	For intelligence activities	<input type="checkbox"/>
To improve Federal services online	<input type="checkbox"/>	For employee or customer satisfaction	<input type="checkbox"/>
For web measurement and customization technologies (single-session)	<input type="checkbox"/>	For web measurement and customization technologies (multi-session)	<input type="checkbox"/>
Other (specify): System Performance, Usage, and Quality. Phone system stores records of phone calls and records are also forwarded to Avotus for report generation for Freedom of Information Act (FOIA), Human Resources (HR), and Office of Security request.			

**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).

Call detail records, caller ID information (including first and last name), and voicemail messages are collected, maintained, and disseminated for DOC employees, Contractors working on behalf of DOC, Other Federal Government personnel, and Members of the public.

The system automatically collects the details of a call as to date, time, parties, length, and devices. Call detail records are copied to a storage space for long-term storage. Cisco-VoIP maintenance personnel have access to this information and provide reports upon request/schedule to other USPTO Business Units.

- 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.)

In addition to insider threats, activity which may raise privacy concerns include the collection, maintenance and dissemination of PII in the form of call detail records, caller ID information (including first and last name), and voicemail messages. USPTO mitigates such threats through mandatory training for system users regarding appropriate handling of information and automatic purging of information in accordance with the retention schedule.

**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.)*

Recipient	How Information will be Shared		
	Case-by-Case	Bulk Transfer	Direct Access
Within the bureau	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
DOC bureaus	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Federal agencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State, local, tribal gov't agencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Public	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Private sector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Foreign governments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Foreign entities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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?

<input type="checkbox"/>	Yes, the external agency/entity is required to verify with the DOC bureau/operating unit before re-dissemination of PII/BII.
<input type="checkbox"/>	No, the external agency/entity is not required to verify with the DOC bureau/operating unit before re-dissemination of PII/BII.
<input checked="" type="checkbox"/>	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.

<input checked="" type="checkbox"/>	<p>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: PBX-VOIP interconnects with the following systems:\</p> <ul style="list-style-type: none"> <li>• Trademark Processing System– External Systems (TPS-ES)</li> <li>• Information Dissemination Support System (IDSS)</li> <li>• Security and Compliance Services (SCS)</li> <li>• Enterprise Software System (ESS)</li> </ul> <p>Information is protected through a layered security approach which incorporates the use of secure authentication, access control, mandatory configuration settings, firewalls, Virtual Private Network (VPN), and encryption, where required. Internally within USPTO, data transmission confidentiality controls are provided by PTONet.</p>
<input type="checkbox"/>	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.)*

Class of Users			
General Public	<input type="checkbox"/>	Government Employees	<input checked="" type="checkbox"/>
Contractors	<input checked="" type="checkbox"/>		
Other (specify):			

**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.)*

<input checked="" type="checkbox"/>	Yes, notice is provided pursuant to a system of records notice published in the Federal Register and discussed in Section 9.	
<input type="checkbox"/>	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: _____.	
<input type="checkbox"/>	Yes, notice is provided by other means.	Specify how:
<input checked="" type="checkbox"/>	No, notice is not provided.	Specify why not: Call Detail Record information is requested from other business units within USPTO for in office processes like FOIA requests and for investigative actions by Office of human resources and security, etc.

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

<input type="checkbox"/>	Yes, individuals have an opportunity to decline to provide PII/BII.	Specify how:
<input checked="" type="checkbox"/>	No, individuals do not have an opportunity to decline to provide PII/BII.	Specify why not: There is no mechanism in place preventing the collection of call detail information on a per user basis for telephone calls. Collection of Call Detail Records can be completely turned off if directed but will have an impact to the system maintenance/usage as well as providing reports to other USPTO Business units (BU) and FOIA requests.

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

<input type="checkbox"/>	Yes, individuals have an opportunity to consent to particular uses of their PII/BII.	Specify how:
<input checked="" type="checkbox"/>	No, individuals do not have an opportunity to consent to particular uses of their PII/BII.	Specify why not: There is no mechanism in place preventing the collection of call detail information on a per user basis for telephone calls. Even if there was, non-USPTO callers to a USPTO issued phone cannot request this. Collection of Call Detail Records can be completely turned off if directed but will have an impact to the system maintenance/usage as well as providing reports to other USPTO BUs and FOIA requests.

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

<input checked="" type="checkbox"/>	Yes, individuals have an opportunity to review/update PII/BII pertaining to them.	Specify how: Individuals can call the service desk to have their information updated.
<input type="checkbox"/>	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.)

<input type="checkbox"/>	All users signed a confidentiality agreement or non-disclosure agreement.
<input type="checkbox"/>	All users are subject to a Code of Conduct that includes the requirement for confidentiality.
<input checked="" type="checkbox"/>	Staff (employees and contractors) received training on privacy and confidentiality policies and practices.
<input checked="" type="checkbox"/>	Access to the PII/BII is restricted to authorized personnel only.
<input checked="" type="checkbox"/>	Access to the PII/BII is being monitored, tracked, or recorded. Explanation: Audit logs
<input checked="" type="checkbox"/>	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): <u>01/28/21</u> <input type="checkbox"/> This is a new system. The A&A date will be provided when the A&A package is approved.

<input checked="" type="checkbox"/>	The Federal Information Processing Standard (FIPS) 199 security impact category for this system is a moderate or higher.
<input checked="" type="checkbox"/>	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).
<input checked="" type="checkbox"/>	A security assessment report has been reviewed for the information system and it has been determined that there are no additional privacy risks.
<input checked="" type="checkbox"/>	Contractors that have access to the system are subject to information security provisions in their contracts required by DOC policy.
<input type="checkbox"/>	Contracts with customers establish DOC ownership rights over data including PII/BII.
<input type="checkbox"/>	Acceptance of liability for exposure of PII/BII is clearly defined in agreements with customers.
<input type="checkbox"/>	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).*

Information in USPTO information systems is protected with operational, management, and technical controls that are documented in the PBX-VOIP System Security Plan. A Security Categorization compliant with the FIPS 199 and NIST SP 800-60 requirements was conducted for PBX-VOIP. The overall FIPS 199 security impact level for PBX-VOIP 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 PBX-VOIP 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.

PBX-VOIP is secured by various USPTO infrastructure components, including the Network and Security Infrastructure (NSI) system and other OCIO established technical controls including passwords.

Windows and Linux servers within PBX-VOIP 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.”

<input checked="" type="checkbox"/>	Yes, this system is covered by an existing system of records notice (SORN). Provide the SORN name, number, and link. (list all that apply): <a href="#">COMMERCE/DEPT-18</a> , Employee Personnel Files Not Covered by Notices of Other Agencies. <a href="#">COMMERCE/DEPT-25</a> , Access Control and Identity Management System
<input type="checkbox"/>	Yes, a SORN has been submitted to the Department for approval on <u>(date)</u> .
<input type="checkbox"/>	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.)

<input checked="" type="checkbox"/>	There is an approved record control schedule. Provide the name of the record control schedule: GRS 5.1; 020: Non-recordkeeping copies of electronic records. GRS 5.5; 010: Mail, printing, and telecommunication services administrative and operational records. GRS 5.5; 020: Mail, printing, and telecommunication services control records. GRS 5.8; 010: Technical and administrative help desk operational records. GRS 6.5; 010: Public customer service operations records
<input type="checkbox"/>	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:
<input checked="" type="checkbox"/>	Yes, retention is monitored for compliance to the schedule.
<input type="checkbox"/>	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.)

<b>Disposal</b>			
Shredding	<input type="checkbox"/>	Overwriting	<input checked="" type="checkbox"/>

Degaussing	<input type="checkbox"/>	Deleting	<input checked="" type="checkbox"/>
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.)*

<input checked="" type="checkbox"/>	Low – the loss of confidentiality, integrity, or availability could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals.
<input type="checkbox"/>	Moderate – the loss of confidentiality, integrity, or availability could be expected to have a serious adverse effect on organizational operations, organizational assets, or individuals.
<input type="checkbox"/>	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.)*

<input checked="" type="checkbox"/>	Identifiability	Provide explanation: Caller ID (Name, Telephone Number), and voicemail messages are non-sensitive identifiers.
<input checked="" type="checkbox"/>	Quantity of PII	Provide explanation: : The quantity of data is collected is large but the number of data items collected are the details of a call relating to date, time, parties, length, and devices.
<input checked="" type="checkbox"/>	Data Field Sensitivity	Provide explanation: The data includes limited personal data that does not increase the sensitivity of the data.
<input checked="" type="checkbox"/>	Context of Use	Provide explanation: System automatically collects the details of a call as to date, time, parties, length, and devices. Call Detail Records are copied to a storage space for long-term storage. Cisco-VoIP maintenance personnel have access to this information and provide reports upon request for FOIA and other USPTO Business Units like HR and Office of Security.
<input checked="" type="checkbox"/>	Obligation to Protect Confidentiality	Provide explanation: USPTO Privacy Policy requires the PII information collected within the system to be protected accordance to NIST SP 800-122, Guide to Protecting the Confidentiality of Personally Identifiable Information.
<input checked="" type="checkbox"/>	Access to and Location of PII	Provide explanation: Access is limited only to the identified and authenticated users.
<input type="checkbox"/>	Other:	Provide explanation:

**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.)

In addition to insider threats, activity which may raise privacy concerns include the collection, maintenance and dissemination of PII in the form of call detail records, caller ID information (including first and last name), and voicemail messages. USPTO mitigates such threats through mandatory training for system users regarding appropriate handling of information and automatic purging of information in accordance with the retention schedule.

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

<input type="checkbox"/>	Yes, the conduct of this PIA results in required business process changes. Explanation:
<input checked="" type="checkbox"/>	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.

<input type="checkbox"/>	Yes, the conduct of this PIA results in required technology changes. Explanation:
<input checked="" type="checkbox"/>	No, the conduct of this PIA does not result in any required technology changes.