



**USPTO Customer Contact Management System
(UCCMS)
Privacy Threshold Analysis /
Privacy Impact Assessment
(PTA/PIA)**

Version 1

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Prepared for:
United States Patent and Trademark Office
Office of Chief Information Officer

FOR OFFICIAL USE ONLY



Record of Changes/Version History

Change/Version Number	Date of Change	Sections Changed	Description	Person Entering Change
1	12/14/07	All	First Document Version for UCCMS PTA/PIA	Hector Rivera, UCCMS SDL



Privacy Threshold Analysis (PTA)

Instructions: Please complete the "Privacy Threshold Analysis" section of this document and return it to USPTO Senior Privacy Official. If it is determined that a PIA is required as noted in the "Designation" section, the "Privacy Impact Assessment" section will be required to be completed and returned to the USPTO Senior Privacy Official for review and approval.

1. Describe the USPTO Customer Contact Management System (UCCMS) and its purpose:

The primary function of the United States Patent and Trademark Office (USPTO) Customer Contact Management System (UCCMS) is to manage and maintain customer phone calls, e-mails, fax requests, or inquiries that are routed through the Enterprise Call Center (ECC). Additionally, inquiries from postal and walk-in customers are managed through UCCMS. Also, the Sales Order Management (SOMS) module manages customer service requests for sales order entry and processing for all products and services supported by Electronic Information Products Division (EIPD).

2. Status of AIS or System

This is a new development effort.

This is an existing system.

Date first developed: February 2004.

Date last updated: December 2007

UCCMS 3.0 deployed a EIPD web interface which requires an email address for registration to download electronic information products; no other personal identifiable fields are required.

3. Does the AIS or System relate exclusively to the network infrastructure? [For example, is the System exclusively a Local Area Network (LAN) or Wide Area Network (WAN)]?

No. Please continue to the next question.

Yes. Is there a log kept of communication traffic?

No. Please continue to the next question.

Yes. What type of data is recorded in the log? (Please choose all that apply.)

Header

Payload



4. Could the AIS or System contain information that relates in any way to an individual?

No. Please skip ahead to question 5.

Yes. Please provide a general description, below.

UCCMS captures customer service data for external USPTO public customers. This data currently may include user name, phone number, address, and/or email address. This is currently provided on a voluntary basis except for the EIPD web interface, which requires an email address for registration to download electronic information products; no other personal identifiable fields are required.

5. Does the AIS or System use or collect Protectable Personally Identifiable Information (PII)¹ or Publicly Releasable PII²? (Refer to the USPTO IT Privacy Policy for additional information specific to handling PII.)

No.

Yes. Why does the AIS or System collect PII?

UCCMS collects PII to provide customer service for tracking and resolution of USPTO external public customer service requests performed by the various USPTO Customer Contact Centers.

6. What information about individuals could be collected, generated or retained?

UCCMS captures customer service data for external USPTO public customers. This data currently may include user name, phone number, address, and/or email address. This is currently provided on a voluntary basis. UCCMS 3.0 will deploy a web interface which

¹ Protectable PII is defined as Information that can be used to uniquely identify (e.g., date of birth, gender, race, social security number, credit card account number, medical information, education information, etc.) contact (e.g., home address, phone number, etc.) or locate an individual (e.g., home or work address, etc).

² Publicly Releasable PII is defined as information identifiable to a specific individual that has been authorized for public release. The following information is publicly releasable PII:

- Non-financial information regarding business entities, such as business addresses, telephone numbers, web sites, e-mail; and
- Information available on the USPTO public website such as employee name, identification number, phone number and office location.



requires an email address for registration to download electronic information products; no other personal identifiable fields are required.

Designation

This is NOT a Privacy Sensitive System – the system contains no Personally Identifiable Information.

This IS a Privacy Sensitive System (Check all that apply)

PTA sufficient at this time

A PIA is required

National Security System

Legacy System

HR System

Financial System



Privacy Impact Assessment (PIA)

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

Customer name, company name, email address, telephone and fax numbers, mailing address, date and time of contact, agent name, customer number, description and resolution of the problem or request.

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

To forward customer requests to the appropriate business areas and provide customer service request follow up.

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

To carry out the duties of the USPTO as outlined in 35 U.S.C. concerning the dissemination of information, and more specifically, to provide for public customer call center services. This includes tracking responses to customer requests. Data is used to ensure quality customer service; for general agency information and assistance. This includes quality control purposes. In addition, the information may be used to conduct surveys of customer experience and satisfaction, and to obtain customer service recommendations.

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

The information is not shared with any outside entities and is for internal use only. Information may be subject to General Routine uses (Privacy Act) Nos. 1-5, 9-10, and 12-13 as found at 46 CFR 63501-63502.

5. What opportunities do individuals have to decline to provide information (where providing information is voluntary) or to consent to particular uses of the information (other than required or authorized uses), and how can individuals grant consent?

All information requested is provided on a voluntarily basis. Certain information such as name and phone number would be requested if customer requires a follow-up on their original service request and for quality control purposes.



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

The information is in accordance with the NIST 800-53 control set. Certification and Accreditation activities are routinely conducted for UCCMS. Data is maintained in areas accessible only to authorized personnel and systems are password protected.

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

A system of records already exists. "COMMERCE/PAT-TM-20 Customer Call Center, Assistance and Satisfaction Survey Records, August 2007"



USPTO Customer Contact Management System (UCCMS): [IDSS]

Hector Rivera _____ 12/14/07

Prepared by Hector Rivera, UCCMS System Development Lead

Date:

Judy Johnson _____ 12/14/07

Approved by
Judy Johnson
System Owner

Date:

I have reviewed and approved the attached Privacy Impact Assessment document(s).

David J. Freeland _____ 1-8-08

David J. Freeland
Chief Information Officer

Date

cc: Deborah Diaz, Deputy Chief Information Officer
Rod Turk, Director, Enterprise IT and Security Management

Rod Turk
12/18/07