



UNITED STATES PATENT AND TRADEMARK OFFICE

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**USPTO Privacy Impact Assessment Statement**

**Core Financial System**  
**(CFS)**

**Unique Investment Identifier: 006-51-01-01-01-8001-00-402424**

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Reviewed by: David J. Freeland, Chief Information Officer



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

The Core Financial System (CFS) Project comprises the following systems: Momentum Financials (USPTO's financial and acquisition system of record), Travel Manager, and the Activity Based Information System (ABIS). A large number of financial, procurement and travel transactions are performed in CFS on a daily basis. Data is entered into CFS in numerous ways. Data is entered directly into Momentum Financials through a graphical user interface, which facilitates the data entry and processing of transactions. Data entered directly into Travel Manager is transmitted to Momentum Financials via COTS interfaces. In addition, payroll data is updated into Momentum Financials from the National Finance Center's transactions; from Revenue Accounting and Management System for revenue transactions; and data is sent to the Department of Treasury for disbursements.

*Customers:*

Customers of the USPTO only have access to the Vendor Self Service (VSS) component of Momentum Financials. The VSS is utilized to post selected simplified acquisition Requests for Quotes (RFQs) and enables pre-qualified vendors outside USPTO to view the RFQ postings and submit quotes electronically. These quotes are utilized in the Acquisitions subsystem in Momentum Financials for evaluation and award. All other portions of the CFS are for internal use and access only.

*Employees:*

The CFS components and their uses are listed below:

- Momentum Financials: Employees utilize Momentum to process requisitions, non-procurement obligations, receivers, invoices, payments, billing documents for receivables; to record payroll transactions; for planning and budget execution; to record and depreciate assets; and to disburse payments. Momentum Financials houses the general ledger that is updated as financial transactions are processed. In addition, Momentum Financials has extensive querying capabilities including activities by vendor, general ledger, and budget execution.
- Procurement Desktop: Employees in the Office of Procurement utilize this application to process transactions for every phase of the Federal acquisition process. They also use Procurement Desktop to select RFQs for posting to the Vendor Self Service (VSS), and to receive quotes submitted in response.
- Travel Manager: Employees utilize this system to perform travel transactions in support of official travel including travel requests, vouchers, and advances.



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*Other:*

There are no other direct users of the CFS. Momentum communicates with the National Finance Center to receive payroll files and with the Department of Treasury to transmit disbursement information. USPTO's Revenue Accounting and Management system transmits financial information to Momentum Financials on a daily basis, and Momentum Financials data populates universes in USPTO's Enterprise Data Warehouse.

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

CFS is the USPTO's financial and acquisition system of record and is responsible for processing and maintaining all financial transactions in support of the USPTO.

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

CFS is the USPTO's financial and acquisition system of record.

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

Data is transmitted to the Department of Treasury for the processing of disbursements. Financial reports are prepared with data from CFS and provided to the various government agencies requesting the reports (i.e., Department of Commerce).

**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?**

All transactions are financial in-nature and required for the CFS. There is no consent required from individuals.

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



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#### *Management Controls:*

The USPTO utilizes the Life Cycle Management review process to ensure that all management controls are in place for CFS. During the upgrade, maintenance or enhancement of any component of CFS, the security controls are reviewed and reevaluated in the CFS Aggregate System Security Plan. This plan specifically addresses the management, operational, and technical controls that are in place and planned during the upgrade, maintenance or enhancement of the project. The USPTO ensures that all government and contractor staff has a National Agency Check performed.

At the CFS level we have implemented and maintain a Financial Application Security Registration for each user authorized access to any component of CFS to include data entry-level access through system development access. Each USPTO employee and designated on-site contractor support staff who has completed a Financial Application Security Registration form may obtain access to the CFS. Both the employee's supervisor approval and the Momentum Financials Security Administrator's approval are required before access is granted to the system. The level of access to the system is determined based on the user's job function and office policy. The specific access to the data and level of authority is defined in the Momentum Financials' Security Role table. System users include: program office data entry personnel; Office of Finance and Office of Corporate Planning employees for financial and budget transactions; Office of Procurement staff for procurement transactions; managers throughout USPTO for approval and query purposes; system administrators for system security, assurance, and monitoring purposes; on-site contractor staff for user assistance, development of complex reports, and issue resolution; and database administrators.

#### *Operational Controls:*

Operational controls include securing all hardware associated with this system in the USPTO's Data Center. The Data Center is controlled by access card entry and is physically secured by a Guard Service to restrict access to the components. The Infrastructure Disaster Recovery Plan documents the contingency plan for the Data Center. In addition to securing the hardware, there are controls in place for safeguarding the databases and operating systems to include: daily, weekly, monthly back-ups; physical terminal identification; restricted admin accounts; etc.

#### *Technical Controls:*

The CFS is secured by the USPTO's infrastructure component and other OCIO established technical controls to include password authentication at the server and database levels.



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

Yes. The CFS database stores all system records.



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Core Financial System (CFS) UII: 006-51-01-01-01-8001-00-402-124

/s/  
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Date: 6/5/2007

Prepared by  
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Date

/s/  
Remingo Silva  
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Date: 6/6/2007

Approved  
Remingo Silva  
Systems Development and Maintenance Group

Date

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

/s/  
David J. Freeland  
Chief Information Officer

Date: 9/26/2007

David J. Freeland  
Chief Information Officer

Date

**cc:**

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