



March 26, 2009

MEMORANDUM FOR: John J. Doll
Acting Under Secretary of Commerce
for Intellectual Property and
Acting Director of the United States Patent
and Trademark Office

Judith J. Gordon

FROM: Judith J. Gordon
Principal Assistant Inspector General for Audit and Evaluation

SUBJECT: FISMA Evaluation of USPTO's Enterprise Unix Services
system (PTOI-010-00) and Reed Technology and Information
Service Patent Data Capture system (PTOC-013-00)

As part of our work under the Federal Information Security Management Act, we plan to evaluate USPTO's certification and accreditation (C&A) of PTOI-010-00 and PTOC-013-00.

Our objectives are to determine whether (1) implemented controls adequately protect the systems and their information, (2) continuous monitoring is keeping the authorizing official sufficiently informed about the operational status and effectiveness of security controls, and (3) the C&A process produced sufficient information about remaining system vulnerabilities to enable the authorizing official to make credible, risk-based accreditation decisions.

As a first step in our evaluation, we will be contacting your audit liaison to schedule an entrance conference. In the meantime, if you have any questions about this review, please contact me at (202) 482-2754, or Allen Crawley, assistant inspector general for systems acquisition and IT security, at (202) 482-1855.

cc: John B. Owens III, chief information officer, USPTO
Welton Lloyd, USPTO audit liaison