



February 22, 2019

MEMORANDUM FOR: Andrei Iancu
Under Secretary of Commerce for Intellectual Property
and Director of the U.S. Patent and Trademark Office

FROM: Frederick J. Meny, Jr.
Assistant Inspector General for Audit and Evaluation

SUBJECT: Audit of USPTO's Backup and Restoration Policies, Procedures,
and Practices of the Patent Capture and Application Processing
System (#2019-344)

We are initiating an audit on U.S. Patent and Trademark Office's (USPTO's) backup and restoration policies, procedures, and practices of the Patent Capture and Application Processing (PCAP) system. Our audit objective is to determine whether USPTO has adequate data recovery and contingency plans in place to ensure operational availability of the PCAP system.

We plan to begin this work immediately. We will contact your audit liaison to schedule an entrance conference, at which time we will discuss our objective and scope in further detail. If you have any questions, please contact me at (202) 482-1931 or Dr. Ping Sun, Director for IT Security, at (202) 482-6121.

cc: Terryne Murphy, Acting Chief Information Officer
Laura Peter, Deputy Under Secretary of Commerce for Intellectual Property and Deputy Director, USPTO
Anthony Scardino, Chief Financial Officer, USPTO
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