Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission:	1/7/2008
2. Agency:	Department of Commerce
3. Bureau:	Us Patent And Trademark Office
4. Name of this Capital Asset:	USPTO Business Continuity and Disaster Recovery Program
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)	006-51-01-07-01-8008-00
6. What kind of investment will this be in FY2009? (Please NOTE: Investments moving to O&M in FY2009, with Planning/Acquisition activities prior to FY2009 should not select O&M. These investments should indicate their current status.)	Mixed Life Cycle

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The USPTO Business Continuity and Disaster Recovery (BC/DR) Program has modified its strategy to align more closely with business modernization efforts as reflected in the 2007-2012 Strategic Plan. This realignment of the program will allow for an agile solution that delivers a significant risk reduction to the USPTO's strategic mission and significant benefits to the U.S. citizens. The new business continuity plan has been re-baselined and is expected to be completed next fiscal year. The BC/DR Program will establish data redundancy to guarantee the availability of patent and trademark data in the event of a disaster resulting in the complete or partial destruction of the USPTO's single data center. Once data replication technology is implemented and related processes are in operation, the BC/DR Program will move forward in establishing a second USPTO production data center. The second production data center will assist in the day-to-day production development and test workload to support USPTO's geographically distributed production applications, and serve as the agency's business continuity / disaster recovery site for the primary data center. Existing USPTO staff will be realigned to support the BC/DR Program, with up to 245 government FTEs by FY 2013. The events of September 11th have caused us to not only reassess IT security in general, but to pay particular attention to our automated information systems and supporting infrastructure to identify and put in place plans to address vulnerabilities that if exploited would seriously prevent the USPTO from delivering timely and high quality information technology products and services to our internal and external customers. The BC/DR Program will assist in reducing an agency performance gap by establishing alternate computing resources in accordance with the requirements of the Federal Preparedness Circular 65, Federal Executive Branch Continuity of Operations and NIST Special Publication 800-34 as outlined in the DOC/OIG Financial Audit report of October 21, 2005. It will allow USPTO to protect patent and trademark data by ensuring that critical IT operations are sustained in the event of the catastrophic disaster to the USPTO's primary data center. It also will increase the USPTO's ability to deliver timely and high quality IT products and services to our internal and external customers, thereby supporting the missions and goals of the USPTO, Department of Commerce, and the U.S. Government.

9. Did the Agency's Executive/Investment Committee approve this request?	Yes
10. Did the Project Manager review this Exhibit?	Yes
11. Contact information of Project Manager?	
a. What is the current FAC-P/PM certification level of the project/program manager?	TBD
12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project?	Yes
a. Will this investment include electronic assets (including computers)?	Yes
b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)	No
1. If "yes," is an ESPC or UESC being used to help fund this investment?	

2. If "yes," will this investment meet sustainable design principles?	
3. If "yes," is it designed to be 30% more energy efficient than relevant code?	
13. Does this investment directly support one of the PMA initiatives?	Yes
If "yes," check all that apply:	Expanded E-Government
a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)	Patent/trademark examiners rely on an automated infrastructure to process applications. The loss of critical systems at the USPTO would cost over $5M a day in lost productivity and add pendency to the average 27-month patent and 18-month trademark pendency backlog. Data replication forms the basis for the reconstitution of those systems supporting e-Gov initiatives in the event of a failure of USPTO's production data center, resulting in the complete loss of the center for any period of time.
14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.)	No
a. If "yes," does this investment address a weakness found during a PART review?	No
b. If "yes," what is the name of the PARTed program?	
c. If "yes," what rating did the PART receive?	
15. Is this investment for information technology?	Yes

If the answer to Question 15 is "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance)	Level 2
17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance)	(1) Project manager has been validated as qualified for this investment
18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2007 agency high risk report (per OMB Memorandum M-05-23)	No
19. Is this a financial management system?	No
a. If "yes," does this investment address a FFMIA compliance area?	No
1. If "yes," which compliance area:	
2. If "no," what does it address?	

b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52

20. What is the percentage breakout for the total FY2009 funding request for the following? (This should total 100%)

Hardware	48.54
Software	0
Services	47.07
Other	4.39
21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?	N/A

22. Contact information of individual responsible for privacy related questions:

Title	Senior Agency Official for Privacy
23. Are the records produced by this investment	Yes

appropriately scheduled with the National Archives and Records Administration's approval?

Question 24 must be answered by all Investments:

24. Does this investment directly support one of the GAO High Risk Areas? No

Section B: Summary of Spending (All Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2007	CY 2008	BY 2009	BY+1 2010	BY+2 2011	BY+3 2012	BY+4 and beyond	Total
Planning:	0	0	0	0					
Acquisition:	20.98393	8.74175	4	4					
Subtotal Planning & Acquisition:	20.98393	8.74175	4	4					
Operations & Maintenance:	0.23985	0	0.54603	0.54603					
TOTAL:	21.22378	8.74175	4.54603	4.54603					
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	2.72541	2.71778	1.59275	1.87486					
Number of FTE represented by Costs:	21	24	13	14					

Note: For the multi-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's? No

a. If "yes," How many and in what year?

3. If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes:

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

Contracts/Task Orders Table: * Costs in millions

Contract or Task Order Number	Type of Contract/ Task Order	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/ Task Order	End date of Contract/ Task Order	Total Value of Contract/ Task Order ($M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the required security & privacy clauses? (Y/N)	Name of CO	CO Contact information (phone/email)	Contracting Officer Certification Level (Level 1,2,3,N/A)	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition? (Y/N)
DOC50PAPT0501005	Cost Plus Fixed Fee	Yes	12/17/2004	12/17/2004	12/31/2012	280.95	No	Yes	Yes	NA	Yes	Yes		marva.brown@uspto.gov	Level 2	Yes
DOC50PAPT0501004	Cost Plus Fixed Fee	Yes	12/17/2004	12/17/2004	2/2/2012	251.18	No	Yes	Yes	NA	Yes	Yes		kate.kudrewicz@uspto.gov	Level 3	Yes
DOC50PAPT0501025	Time and Material	Yes	7/3/2002	7/2/2002	6/30/2012	160.28	No	Yes	Yes	NA	No	Yes		richard.weibel@uspto.gov	Level 3	Yes
DOC50PAPT201006	Cost Plus Award Fee	Yes	9/27/2002	10/1/2002	9/30/2007	72.21	No	Yes	Yes	NA	Yes	Yes		hope.smith@uspto.gov	Level 2	Yes
DOC50PAPT201026	Cost Plus Award Fee	Yes	9/27/2002	10/1/2002	9/30/2007	56.43	No	Yes	Yes	NA	Yes	Yes		sylvia.vandyke@uspto.gov	Level 3	Yes
DOC50PAPT0401006	Cost Plus Fixed Fee	Yes	4/29/2004	7/1/2004	6/30/2009	45.60	No	No	Yes	NA	No	Yes		chris.hannah@uspto.gov	Level 3	Yes

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

Earned value will be required for all contracts where the contractors are engaged in development, modernization, and enhancement (DME) type work over $200K and longer than 90 days in duration. In May 2007 the System Development and Integration (SDI) contract was modified to include the requirement of EVM information. The Systems Engineering and Technical Assistance (SETA) contract, which is expires September 2007, is currently being negotiated to include EVM requirements. The additional two contracts, Information Technology Product Assurance and the Facilities Management and End User Support contracts, support level of effort activities and will not require EVM. As such their contracts will not be modified at this time.

3. Do the contracts ensure Section 508 compliance?	Yes
a. Explain why:	All applicable COTS software procured under this project and all software developed by USPTO personnel and/or contractors are required to be 508 compliant. In accordance with our SDLC methodology, all software is tested for 508 compliance prior to release for production use.
4. Is there an acquisition plan which has been approved in accordance with agency requirements?	Yes
a. If "yes," what is the date?	10/5/2006
b. If "no," will an acquisition plan be developed?	
1. If "no," briefly explain why:	

Section D: Performance Information (All Capital Assets)

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures (indicators) must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov. The table can be extended to include performance measures for years beyond FY 2009.

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Customer Benefit	Customer Impact or Burden	Recovery from loss of data	Weeks	N/A	Not yet measured
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	% completion of Business Continuity and Contingency Plan	0	50	50
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Security and Privacy	Security	% completion of Certification and Accrediation of data bunkering facility	0	100	25
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Availability	Availability of backed up data at the data bunkering site	0	0	1%
2007	2.2 Protect intellectual property and improve the patent and trademark	Technology	Reliability and Availability	Availability	Number of distributed systems deployed to remote facility	0	0	0

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	system.							
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Customer Benefit	Customer Impact or Burden	Recovery from loss of data	Weeks	Hours	
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	% completion of Business Continuity and Contingency Plan	0	100	
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	Availability of trained positions to assist in on-going operations and recovery from disruptions	0	30	
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Security and Privacy	Security	% completion of Certification and Accrediation of remote disaster recovery facility	0	100	
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Availability	Availability of backed up data at the data bunkering site	0	100	
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Availability	Number of distributed systems deployed to remote facility	0	2	
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Customer Benefit	Customer Impact or Burden	Recovery from loss of data	Weeks	Near Real-Time	
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	% completion of revised Business Continuity and Contingency Plan	0	50	
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	Availability of trained positions to assist in on-going operations and recovery from disruptions	30	80	
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Security and Privacy	Security	% completion of Certification and Accrediation of all disaster recovery facilities	0	100	
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Availability	Availability of backed up data at the data bunkering site	100	100	
2009	2.2 Protect intellectual property and improve the patent and	Technology	Reliability and Availability	Availability	Number of distributed systems deployed to remote facility	2	TBD	

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	trademark system.							
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Availability	% of data meeting Recovery Point Objective (RPO) and Rcovery Time Objectives (RTO)	Baseline will be determined in FY10	Improvement to Baseline will be determined in FY10	
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	% completion of revised Business Continuity and Contingency Plan	0	100	
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	Availability of trained positions to assist in on-going operations and recovery from disruptions	80	145	
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Security and Privacy	Security	% completion of Re-Certification and Accrediation of the data bunkering facility	0	100	
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Availability	Availability of backed up data at the data bunkering site	100	100	
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Availability	Number of distributed systems deployed to remote facility	TBD	TBD	
2011	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Availability	% of data meeting Recovery Point Objective (RPO) and Rcovery Time Objectives (RTO)	Baseline will be determined in FY10	Improvement to Baseline will be determined in FY10	
2011	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	% completion of Business Continuity and Disaster Recovery plan for additions to disaster recovery infrastructure	0	100	
2011	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	Availability of trained positions to assist in on-going operations and recovery from disruptions	145	200	
2011	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Management and Innovation	Risk	Time required for Critical Mission systems operational	Baseline will be determined in FY10	Improvement to Baseline will be determined in FY10	
2011	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Security and Privacy	Security	% completion of Re- Certification and Accrediation of remote disaster recovery facility	0	100	
2011	2.2 Protect intellectual	Technology	Reliability and Availability	Availability	Availability of backed up data	100	100	

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	property and improve the patent and trademark system.				at the data bunkering site			
2011	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Availability	Number of distributed systems deployed to remote facility	TBD	TBD	
2012	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Availability	% of data meeting Recovery Point Objective (RPO) and Rcovery Time Objectives (RTO)	Baseline will be determined in FY10	Improvement to Baseline will be determined in FY10	
2012	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	% completion of revised Business Continuity and Contingency Plan	0	100	
2012	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	Availability of trained positions to assist in on-going operations and recovery from disruptions	200	240	
2012	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Security and Privacy	Security	% completion of Certification and Accrediation of additions to disaster recovery facilities	0	100	
2012	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Availability	Availability of backed up data at the data bunkering site	100	100	
2012	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Availability	Number of distributed systems deployed to remote facility	TBD	TBD	
2013	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Availability	% of data meeting Recovery Point Objective (RPO) and Rcovery Time Objectives (RTO)	Baseline will be determined in FY10	Improvement to Baseline will be determined in FY10	
2013	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	% completion of revised Business Continuity and Contingency Plan	0	100	
2013	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	Availability of trained positions to assist in on-going operations and recovery from disruptions	240	245	
2013	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Security and Privacy	Security	% completion of Re-Certification and Accrediation of the data bunkering facility	0	100	
2013	2.2 Protect	Technology	Reliability and	Availability	Availability of	100	100	

Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	intellectual property and improve the patent and trademark system.		Availability		backed up data at the data bunkering site			
2013	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Availability	Number of distributed systems deployed to remote facility	TBD	TBD	

Section E: Security and Privacy (IT Capital Assets only)

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

For existing Mixed-Life Cycle investments where enhancement, development, and/or modernization is planned, include the investment in both the "Systems in Planning" table (Table 3) and the "Operational Systems" table (Table 4). Systems which are already operational, but have enhancement, development, and/or modernization activity, should be included in both Table 3 and Table 4. Table 3 should reflect the planned date for the system changes to be complete and operational, and the planned date for the associated C&A update. Table 4 should reflect the current status of the requirements listed. In this context, information contained within Table 3 should characterize what updates to testing and documentation will occur before implementing the enhancements; and Table 4 should characterize the current state of the materials associated with the existing system.

All systems listed in the two security tables should be identified in the privacy table. The list of systems in the "Name of System" column of the privacy table (Table 8) should match the systems listed in columns titled "Name of System" in the security tables (Tables 3 and 4). For the Privacy table, it is possible that there may not be a one-to-one ratio between the list of systems and the related privacy documents. For example, one PIA could cover multiple systems. If this is the case, a working link to the PIA may be listed in column (d) of the privacy table more than once (for each system covered by the PIA).

The questions asking whether there is a PIA which covers the system and whether a SORN is required for the system are discrete from the narrative fields. The narrative column provides an opportunity for free text explanation why a working link is not provided. For example, a SORN may be required for the system, but the system is not yet operational. In this circumstance, answer "yes" for column (e) and in the narrative in column (f), explain that because the system is not operational the SORN is not yet required to be published.

Please respond to the questions below and verify the system owner took the following actions:

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment: Yes

a. If "yes," provide the "Percentage IT Security" for the budget year: 6.11

2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment. Yes

5. Have any weaknesses, not yet remediated, related to any of the systems part of or supporting this investment been identified by the agency or IG? No

a. If "yes," have those weaknesses been incorporated into the agency's plan of action and milestone process? No

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses? No

a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.

8. Planning & Operational Systems - Privacy Table:

(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
Agency Administrative Support System (AASS) (PTOC-002-00)	No	No	No, because the system does not contain, process, or transmit personally identifiable information.	No	This system is not a Privacy Act system of records.
Common Services System (CSS) (PTOI-004-00)	No	No	No, because the system does not contain, process, or transmit personally identifiable information.	No	This system is not a Privacy Act system of records.
Core Financial System (CFS) (PTOC-001-00)	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
Disaster Recovery Data Bunker	Yes	No	No, because this is not an operational system and PIA has not been addressed yet.	No	This system is not a Privacy Act system of records.
Enterprise Data Warehouse (EDW) (PTOC-003-00)	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
Enterprise Records Management and Data Quality System (ERMDQS) (PTOI-005-00)	No	No	No, because the system does not contain, process, or transmit personally identifiable information.	No	This system is not a Privacy Act system of records.
Human Resources Management Support System (HRMSS) (PTOC-004-00)	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
Information Dissemination Support System (IDSS) (PTOD-001-00)	No	No	No, because the system does not contain, process, or transmit personally identifiable information.	No	This system is not a Privacy Act system of records.
Intellectural Property Leadership Management Support System (IPLMSS) (PTOL-001-00)	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
International Affairs Management Support System	No	No	No, because the system does not contain, process, or transmit personally identifiable information.	No	This system is not a Privacy Act system of records.
Network Perimeter (PTOI-002-00)	No	No	No, because the system does not contain, process, or transmit personally identifiable information.	No	This system is not a Privacy Act system of records.
OCIO Program Support System (PSS) (PTOI-006-00)	No	No	No, because the system does not contain, process, or transmit personally identifiable information.	No	This system is not a Privacy Act system of records.
Patent Capture and Application Processing System - Capture and Initial Processing (PCAPS-IP) (PTOP-006-00)	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
Patent Capture and Application Processing System - Examination Support (PCAPS-ES) (PTOP-005-00)	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
Patent Search System - Primary Search and Retrieval (PSS-PS) (PTOP-008-00)	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
Patent Search System - Specialized Search and Retrieval (PSS-SS) (PTOP-007-00)	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
Personal Identity Verification System (PIVS) (PTOC-007-00)	No	Yes	http://www.uspto.gov/web/doc/privacy_pia/pia2006_isacs.pdf	Yes	http://www.uspto.gov/web/doc/privacy_sorn/uspto-pasorn-18.pdf
Revenue Accounting and Management System (RAM) (PTOC-006-00)	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
Trademark Processing System (TPS) (PTOT-001-00)	No	No	No, because the system does not contain, process, or transmit personally identifiable	No	This system is not a Privacy Act system of records.

8. Planning & Operational Systems - Privacy Table:

(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
			information.		

Details for Text Options:
Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.

Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN.

Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.

Section F: Enterprise Architecture (EA) (IT Capital Assets only)

In order to successfully address this area of the capital asset plan and business case, the investment must be included in the agency's EA and Capital Planning and Investment Control (CPIC) process and mapped to and supporting the FEA. The business case must demonstrate the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture? — Yes

a. If "no," please explain why?

2. Is this investment included in the agency's EA Transition Strategy? — No

a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.

b. If "no," please explain why?

FY07 has been a year of notable accomplishments for the USPTO Enterprise Architecture (UEA) program as USPTO continues to move forward with an EA program consistent with the Federal Enterprise Architecture guidance. The USPTO is following a comprehensive, building-block approach, in which the UEA:
•Finalized an overall PTO Enterprise Architecture.
•Completed an initial segment architecture which includes a transition strategy for records management.
•Established plans for completing multiple UEA segments during FY07 and FY08. These segments will include transition strategies.
•Formulated a preliminary Target Architecture and Transition Strategy in FY07 with plan to complete transition strategies and targets in FY08. Formulating a Transition Plan is an iterative process involving multiple components. The OMB Exhibit 300 submittals for BY09 are being reviewed in the context of the overall UEA plan, major UEA components and the UEA segments. The overall EA framework, major components and segments are being used to formulate the Transition strategy and will be used to position the approved OMB 300 submittals in the UEA Transition Plan. Specifics on UEA activities previously mentioned and additional accomplishments include:
o The UEA and all OMB 300 submittals are being aligned with the updated USPTO Strategic Plan.
o The EA Governance Board has been established and meets regularly to review IT investments.
o UEA Principles and Standards have been formulated.
o Segment Architectures being developed include:•Dissemination•General Counsel •External Affairs •Human Resources •Finance •CIO •Patents •Trademark
o The UEA team meets to incorporate the migration to e-Gov initiatives into the appropriate segment architectures.
The USPTO HR business area has established a transition strategy for migrating to a Shared Service Center (SSC). A new SDLC has been created and CPIC process is being revised. The UEA program is being integrated with both processes. o The UEA repository is being updated with current architecture data and is beginning to be used in support of the continuing UEA efforts.

3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture? — No

a. If "yes," provide the name of the segment architecture as provided in the agency's most recent annual EA Assessment.

4. Service Component Reference Model (SRM) Table:
Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.egov.gov.

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Computers/ Automation Management	Defines the set of capabilities that support the identification, upgrade, allocation and replacement of	Back Office Services	Asset / Materials Management	Computers / Automation Management			No Reuse	14

4. Service Component Reference Model (SRM) Table:
Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.egov.gov.

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
	physical devices, including servers, storage and desktops, used to facilitate production and process-driven activities.							
Facilities Management	Defines the set of capabilities that support the construction, management and maintenance of facilities for an organization.	Back Office Services	Asset / Materials Management	Facilities Management			No Reuse	14
Data Recovery	Defines the set of capabilities that support the restoration and stabilization of data sets to a consistent, desired state.	Back Office Services	Data Management	Data Recovery			No Reuse	14
Network Management	Defines the set of capabilities involved in monitoring and maintaining a communications network in order to diagnose problems, gather statistics and provide general usage.	Business Management Services	Organizational Management	Network Management			No Reuse	14
Access Control	Support the management of permissions for logging onto a computer, application, service, or network; includes user management and role/privilege management	Support Services	Security Management	Access Control			No Reuse	14
Identification and Authentication Management	Defines the set of capabilities to support obtaining information about those parties attempting to log on to a system or application for security purposes and the validation of those users	Support Services	Security Management	Identification and Authentication			No Reuse	16
Intrusion Detection	Defines the set of capabilities that support the detection of illegal entrance into a computer system.	Support Services	Security Management	Intrusion Detection			No Reuse	14

a. Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.

b. A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

c. 'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service

component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

d. Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the percentage of the BY requested funding amount transferred to another agency to pay for the service. The percentages in the column can, but are not required to, add up to 100%.

5. Technical Reference Model (TRM) Table:
To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Data Recovery	Component Framework	Data Management	Database Connectivity	TBD- Testing alternatives
Identification and Authentication	Service Access and Delivery	Access Channels	Other Electronic Channels	Evaluating alternatives
Access Control	Service Access and Delivery	Access Channels	Other Electronic Channels	User/Access Management Utilities and remote administration utilities for all network devices to include, but not limited by, Router, Firewall, VPN, Switch, Cache/proxy Appliances/servers, IDS
Facilities Management	Service Access and Delivery	Service Requirements	Hosting	TBD - Evaluating alternatives
Intrusion Detection	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Intrusion Detection Device
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Performance Monitoring and utilization for all network and communication components software,
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	TBD

a. Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications

b. In the Service Specification field, agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

6. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)? No

a. If "yes," please describe.

Exhibit 300: Part II: Planning, Acquisition and Performance Information

Section A: Alternatives Analysis (All Capital Assets)

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part I, Section A above.

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A-94 for all investments and the Clinger Cohen Act of 1996 for IT investments to determine the criteria you should use in your Benefit/Cost Analysis.

1. Did you conduct an alternatives analysis for this project? Yes

a. If "yes," provide the date the analysis was completed? 7/31/2007

b. If "no," what is the anticipated date this analysis will be completed?

c. If no analysis is planned, please briefly explain why:

Section B: Risk Management (All Capital Assets)

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

1. Does the investment have a Risk Management Plan? Yes

a. If "yes," what is the date of the plan? 8/16/2007

b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? No

c. If "yes," describe any significant changes:

2. If there currently is no plan, will a plan be developed?

a. If "yes," what is the planned completion date?

b. If "no," what is the strategy for managing the risks?

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:

Investment risks are reflected in the life cycle cost estimate and investment schedule to allow for correct accounting of risk events that occur. Risk events are classified as "unknown unknowns" or "known unknowns", where "unknown unknowns" are risks that are uncontrollable and unquantifiable or not identified and accounted for, while "known unknowns" are risks that are identified and provisions were made for them. Investment risks that are "unknown unknowns" are generally handled through the use of management reserves, which can reduce the impact of deviation in cost and schedule. Management reserves are used at the discretion of senior management. Provisions for "known unknowns" are accommodated through risk-adjusted costs developed during budget formulation.

Section C: Cost and Schedule Performance (All Capital Assets)

EVM is required only on DME portions of investments. For mixed lifecycle investments, O&M milestones should still be included in the table (Comparison of Initial Baseline and Current Approved Baseline). This table should accurately reflect the milestones in the initial baseline, as well as milestones in the current baseline.

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748? Yes

2. Is the CV% or SV% greater than +/- 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100) Yes

a. If "yes," was it the CV or SV or both? Both

b. If "yes," explain the causes of the variance:

The percent cost and schedule variances are greater than 10% due to a schedule and budget modification delaying the start and completion of Phase 2 tasks.

c. If "yes," describe the corrective actions:

In September 2006, USPTO management approved the Capital Investment Decision Paper (CIDP) for the initial phases of the Business Continuity/Disaster Recovery (BC/DR). This revised and phased approach will provide for incremental protection of USPTO Intellectual Property assets. We completed the acquisition of hardware and software to support data bunkering at an

alternate facility and were able to negotiate a significant savings in the acquisition of the storage and replication solution. In addition, although we have completed a market survey for an alternate processing location, the negotiation for a lease resulted in higher than anticipated leasing and build-out costs. As a result, the USPTO did not obligate the build-out costs, and we are currently evaluating alternatives for building or hosting a remote facility that is consistent with our requirements for a geographically dispersed highly secured facility. Once an acceptable build-out or hosting alternative is identified, the schedule and cost baseline will be revised.

3. Has the investment re-baselined during the past fiscal year? No

a. If "yes," when was it approved by the agency head?

4. Comparison of Initial Baseline and Current Approved Baseline

Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004") and the baseline and actual total costs (in $ Millions). In the event that a milestone is not found in both the initial and current baseline, leave the associated cells blank. Note that the 'Description of Milestone' and 'Percent Complete' fields are required. Indicate '0' for any milestone no longer active.

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date (mm/dd/yyyy)	Total Cost ($M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost ($M)		Schedule (# days)	Cost ($M)	
				Planned	Actual	Planned	Actual			
1	Purchase hardware for remote site	9/30/2006	$6.82	9/30/2006	9/30/2006	$6.82	$3.76	0	$3.06	100%
2	Procure/Install storage and data replication at Data Bunker	12/31/2006	$14.25	12/31/2006	4/30/2007	$14.25	$12.02	-120	$2.23	100%
3	Establish high speed connectivity and activate plication to data bunker	9/30/2007	$5.11	9/30/2007		$5.11	$4.67		$-0.8375	75%
4	Remote facility acquisition and planning	9/30/2008	$4.37	9/30/2008		$4.37				0%
5	Establish and develop remote facility operations DME	9/30/2009	$4.54	9/30/2009		$4.54				0%