

**USPTO Human Resource Management Program**

**Exhibit 300: Part I: Summary Information and Justification (All Capital Assets)**

**I.A. Overview**

<b>1. Date of Submission:</b>	12/29/2006
<b>2. Agency:</b>	Department of Commerce
<b>3. Bureau:</b>	US Patent and Trademark Office
<b>4. Name of this Capital Asset:</b>	USPTO Human Resource Management Program
<b>5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)</b>	006-51-01-08-01-8009-00

**6. What kind of investment will this be in FY2008? (Please NOTE: Investments moving to O&M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 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 Human Resource Management Support System is a priority funding item in the USPTO IT portfolio. The Human Resources Management Support System adheres to the President's Management Agenda (PMA) as it pertains to the strategic management of human capital. The USPTO is evolving from stand-alone, non-integrated systems and paper bound functions to an integrated information-processing environment. The stand-alone systems that provide functions currently along with various paper bound manual processes are being migrated to an Enterprise Resource Planning (ERP) system at one of the agencies selected as a HR LOB Shared Service Center (SSC). During FY2007, USPTO will complete the planning phase of the migration to an SSC, which includes the final study and evaluation of alternative SSCs. The migration will begin in FY2008 as USPTO fully develops the services within the service center model. Included in this initiative is the deployment of the electronic official personnel file system (eOPF) as mandated by DOC. The eOPF will provide employees with direct access to their employment folders online. The Web-based Time and Attendance System (WebTA) provides for automated collection of all time and attendance information from employees and provides for transfer of that information to the National Finance Center. This system completes the conversion to the e-Payroll initiative of PMA. The Equal Employment Opportunity Case Management Record System is a modern COTS package that enables the Office of Civil Rights to track the status of complaints of discrimination entered by USPTO employees. USPTO is moving toward a comprehensive training tool, in partnership with the Department of Commerce, that will support a variety of users, such as individual employees, supervisors, managers, training managers, and senior leaders. Each user will be able to use the system to perform functions in the areas of Individual Development, Mission Planning, Training Delivery, Training Development, Training Funding, and Training Policy. The actual management and record keeping of the training will be integrated as part of the total HR IT solution.

<b>9. Did the Agency's Executive/Investment Committee approve this request?</b>	Yes
<b>a. If "yes," what was the date of this approval?</b>	9/11/2006
<b>10. Did the Project Manager review this Exhibit?</b>	Yes
<b>12. Has the agency developed and/or</b>	No

promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.

a. Will this investment include electronic assets (including computers)?	No
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?	No
2. If "yes," will this investment meet sustainable design principles?	No
3. If "yes," is it designed to be 30% more energy efficient than relevant code?	
13. Does this investment support one of the PMA initiatives?	Yes
If "yes," check all that apply:	Human Capital
13a. Briefly describe how this asset directly supports the identified initiative(s)?	The implementation of the Human Resources Management Program will support the President's Management Agenda by adherence to the principles of strategic management of human capital and electronic government. The Human Resources Management Program requires the implementation and maintenance of several integrated and non-integrated systems into an integrated and automated environment. It will replace the current manual record keeping through maintenance of all human resources records.
14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit <a href="http://www.whitehouse.gov/omb/part">www.whitehouse.gov/omb/part</a> .)	No
a. If "yes," does this investment address a weakness found during the PART review?	No
b. If "yes," what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?	
c. If "yes," what PART rating did it receive?	
15. Is this investment for information technology?	Yes
If the answer to Question: "Is this investment for information technology?" was "Yes," complete this sub-section. If the answer is "No," do not answer this sub-section.	
<b>For information technology investments only:</b>	
16. What is the level of the IT Project? (per CIO Council PM Guidance)	Level 1
17. What project management qualifications does the Project Manager	(1) Project manager has been validated as qualified for this investment

have? (per CIO Council PM Guidance):	
18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)?	No
19. Is this a financial management system?	No
a. If "yes," does this investment address a FFMIA compliance area?	
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 FY2008 funding request for the following? (This should total 100%)	
Hardware	0
Software	53.80
Services	46.20
Other	0
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	Privacy Officer
23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	Yes

**I.B. Summary of Funding**

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.

<b>Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)</b> (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget
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decisions)									
	PY - 1 and Earlier	PY 2006	CY 2007	BY 2008	BY + 1 2009	BY + 2 2010	BY + 3 2011	BY + 4 and Beyond	Total
Planning									
Budgetary Resources	0	0	0	0					
Acquisition									
Budgetary Resources	0.35169	0	1.10054	0.46182					
Subtotal Planning & Acquisition									
Budgetary Resources	0.35169	0	1.10054	0.46182					
Operations & Maintenance									
Budgetary Resources	1.5416	1.88535	0.89544	1.03636					
TOTAL									
Budgetary Resources	1.89329	1.88535	1.99598	1.49818					
Government FTE Costs									
Budgetary Resources	0.71492	0.38302	0.62612	0.50641					
Number of FTE represented by Costs:	0	3	5	4					

**Note: For the cross-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 FY2007 President's budget request, briefly explain those changes:**

The summary spending for this investment has changed from the FY2007 President's budget request due to re-prioritization and re-allocation of funds for new programs and initiatives. One driver for the difference is that a new Zero-Based Budget Formulation process was used for the FY2007/2008 Revalidation and Formulation cycle this year, which analyzed all IT-related activities in order to identify areas to improve operational efficiencies and produce a more accurate estimate of future funding requirements. Another reason is that OCIO planned for a larger Management Reserve in FY 2007 to account for unknowns. Finally, a new Capital Planning and Investment Control (CPIC) process was implemented this year. As a direct result additional planning and more rigorous cost estimations were done, creating more accurate budgeting and costing of programs and initiatives.

I.C. Acquisition/Contract Strategy

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:

Row Number	Contract or Task Order Number	Type of Contract/ Task Order	Has the contract been awarded?	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	Is this an Interagency Acquisition?	Is it performance based?	Competitively awarded?	What, if any, alternative financing option is being used?	Is EVM in the contract?	Does the contract include the required security and privacy clauses?	Name of CO	CO Contact information (phone/email)	Contracting Officer Certification Level	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?
1	DOC50PAPT201025	Time and Materials	Yes	7/3/2002	7/2/2002	6/30/2012	160.28	No	Yes	Yes	NA	No	Yes	Etzel, Page A.	page.etzel@uspto.gov	Level 3	Yes
2	DOC50PAPTO501005	Cost Plus Fixed Fee	Yes	12/17/2004	12/17/2004	12/31/2012	280.95	No	Yes	Yes	NA	No	Yes	Brown, Marva	marva.brown@uspto.gov	Level 2	Yes
3	DOC50PAPTO501004	Cost Plus Fixed Fee	Yes	12/17/2004	12/17/2004	12/31/2012	251.18	No	Yes	Yes	NA	No	Yes	Weibel, Richard	richard.weibel@uspto.gov	Level 3	Yes
4	DOC50PAPT201006	Cost Plus Award Fee	Yes	9/27/2002	10/1/2002	9/30/2007	72.21	No	Yes	Yes	NA	No	Yes	Smith, Hope	hope.smith@uspto.gov	Level 2	Yes
5	DOC50PAPT201026	Cost Plus Award Fee	Yes	9/27/2002	10/1/2002	9/30/2007	56.43	No	Yes	Yes	NA	No	Yes	Van Dyke, Sylvia	sylvia.vandyke@uspto.gov	Level 3	Yes
6	DOC50PAPTO401006	Cost Plus Fixed Fee	Yes	4/29/2004	7/1/2004	6/30/2009	45.6	No	No	Yes	NA	No	Yes	Hannah, Chris	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:**

A proposed amendment to the Federal Acquisition Regulation (FAR Case 2004-019) to standardize EVM contract policy across the government was published in the Federal Register on April 8, 2005. The rule proposes standard EVMS provisions, a standard clause, and a requirement for acquisition plans to include the planning for conducting compliance reviews and Integrated Baseline Reviews. The current USPTO IT contracts listed in the previous table were negotiated in 2004 or earlier and do not include language requiring Earned Value. However, USPTO will make an attempt to renegotiate the existing contracts to build in an EVM reporting requirement. In addition, going forward USPTO will require Earned Value in all of its new or extended contracts.

<b>3. Do the contracts ensure Section 508 compliance?</b>	Yes
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**a. Explain why:**

All applicable COTS software procured under this project and all software developed by USPTO contractors are required to be 508 compliant. In accordance with our LCM methodology, all software is tested for 508 compliance prior to release for production use.

<b>4. Is there an acquisition plan which has been approved in accordance with agency requirements?</b>	Yes
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**a. If "yes," what is the date?**

10/1/2003

<b>b. If "no," will an acquisition plan be developed?</b>	
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**1. If "no," briefly explain why:**

**I.D. Performance Information**

**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 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 Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.**

Performance Information Table 1:					
Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. 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 at least four different Measurement Areas (for each fiscal year). The PRM is available at [www.egov.gov](http://www.egov.gov).

Performance Information Table 2:

Fiscal Year	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
2006	Customer Results	Customer Benefit	Customer Training	Workforce Management	Commence Formal Supervisor Training for New Supervisors within 60 days of appointment (current percentage not measured)	Commence Formal Supervisor Training for 90% of New Supervisors within 60 days of appointment	Training Program revised; baseline too new to measure
2006	Customer Results	Service Accessibility	Availability	Availability	WebTA will be operational on average 98% of time during scheduled periods of operation. (This item will be measured during FY 2006)	WebTA will be operational on average 98% of time during scheduled periods of operation.	99%
2006	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Accuracy of Service or Product Delivered	Achieve Human Resources Training course quality and presentation per employee/student surveys. (current satisfaction levels not measured)	Achieve 92% Human Resources Training course quality and presentation per employee/student surveys.	93%
2006	Mission and Business Results	Human Resource Management	Staff Acquisition	Staff Acquisition	100% SES hiring rate achieved	100% SES hiring rate achieved	100%
2006	Mission and Business Results	Human Resource Management	Staff Acquisition	Staff Acquisition	Achieve 100% Agency hiring goal	Achieve 100% Agency hiring goal	98%
2006	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Complete hiring actions within 45 days (current baseline not measured)	Complete 94% hiring actions within 45 days	Baseline too new to measure
2006	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Complete Management Council, Department of Commerce, Office of Personnel Management tasks by due date. (not currently measured)	Complete 95% of Management Council, Department of Commerce, Office of Personnel Management tasks by due date.	95%

2006	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Deliver 98% of ad hoc and recurring reports within schedule	Deliver 100% of ad hoc and recurring reports within schedule	100%
2006	Processes and Activities	Quality	Errors	Errors	Process 98% of all Payroll Actions Accurately (current performance level of USPTO exceeds planned standard)	Process 98% of all Payroll Actions Accurately	Not Measured
2006	Processes and Activities	Quality	Errors	Errors	Process 98% of all personal actions accurately and within 10 days of submission (current performance level of USPTO exceeds planned standard)	Process 98% of all personal actions accurately and within 10 days of submission.	Not Measured
2006	Technology	Information and Data	Data Reliability and Quality	Data Reliability and Quality	Reconcile incorrect or invalid data entries with data resident at multiple sites within one business day of exception report. (not currently measured)	Reconcile 97% of incorrect or invalid data entries with data resident at multiple sites within one business day of exception report.	Not Measured
2007	Customer Results	Customer Benefit	Customer Training	Workforce Management	Commence Formal Supervisor Training for 90% of New Supervisors within 60 days of appointment	Commence Formal Supervisor Training for 94% of New Supervisors within 60 days of appointment	
2007	Customer Results	Service Accessibility	Availability	Availability	WebTA will be operational on average 98% of time during scheduled periods of operation.	WebTA will be operational on average 98% of time during scheduled periods of operation.	
2007	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Accuracy of Service or Product Delivered	Achieve 92% Human Resources Training course quality and presentation per employee/student surveys.	Achieve 94% Human Resources Training course quality and presentation per employee/student surveys.	
2007	Mission and Business Results	Human Resource Management	Staff Acquisition	Staff Acquisition	100% SES hiring rate achieved	100% SES hiring rate achieved	
2007	Mission and Business Results	Human Resource Management	Staff Acquisition	Staff Acquisition	Achieve 100% Agency hiring goal	Achieve 100% Agency hiring goal	
2007	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Complete 94% hiring actions within 45 days	Complete 96% hiring actions within 45 days	

2007	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Complete 95% of Management Council, Department of Commerce, Office of Personnel Management tasks by due date.	Complete 97% of Management Council, Department of Commerce, Office of Personnel Management tasks by due date.	
2007	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Deliver 100% of ad hoc and recurring reports within schedule	Deliver 100% of ad hoc and recurring reports within schedule	
2007	Processes and Activities	Quality	Errors	Errors	Process 98% of all Payroll Actions Accurately	Process 98% of all Payroll Actions Accurately	
2007	Processes and Activities	Quality	Errors	Errors	Process 98% of all personal actions accurately and within 10 days of submission.	Process 98% of all personal actions accurately and within 10 days of submission.	
2007	Technology	Information and Data	Data Reliability and Quality	Data Reliability and Quality	Reconcile 97% of incorrect or invalid data entries with data resident at multiple sites within one business day of exception report.	Reconcile 98% of incorrect or invalid data entries with data resident at multiple sites within one business day of exception report.	
2007	Technology	Information and Data	Data Reliability and Quality	Data Reliability and Quality	Provide maximum accuracy rate for all data at multiple sites (not currently measured and will not be measured until measure is applicable in 2007)	Provide for 99.5% accuracy rate for all data used at multiple sites.	
2008	Customer Results	Customer Benefit	Customer Training	Workforce Management	Commence Formal Supervisor Training for 94% of New Supervisors within 60 days of appointment	Commence Formal Supervisor Training for 98% of New Supervisors within 60 days of appointment	
2008	Customer Results	Service Accessibility	Availability	Availability	WebTA will be operational on average 98% of time during scheduled periods of operation.	WebTA will be operational on average 98% of time during scheduled periods of operation.	
2008	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Accuracy of Service or Product Delivered	Achieve 94% Human Resources Training course quality and presentation per employee/student surveys.	Achieve 96% Human Resources Training course quality and presentation per employee/student surveys.	
2008	Mission and	Human	Staff	Staff	100% SES hiring	100% SES hiring	

	Business Results	Resource Management	Acquisition	Acquisition	rate achieved	rate achieved	
2008	Mission and Business Results	Human Resource Management	Staff Acquisition	Staff Acquisition	Achieve 100% Agency hiring goal	Achieve 100% Agency hiring goal	
2008	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Complete 96% hiring actions within 45 days	Complete 98% hiring actions within 45 days	
2008	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Complete 97% of Management Council, Department of Commerce, Office of Personnel Management tasks by due date.	Complete 99% of Management Council, Department of Commerce, Office of Personnel Management tasks by due date.	
2008	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Deliver 100% of ad hoc and recurring reports within schedule	Deliver 100% of ad hoc and recurring reports within schedule	
2008	Processes and Activities	Quality	Errors	Errors	Process 98% of all Payroll Actions Accurately	Process 98% of all Payroll Actions Accurately	
2008	Processes and Activities	Quality	Errors	Errors	Process 98% of all personal actions accurately and within 10 days of submission.	Process 98% of all personal actions accurately and within 10 days of submission.	
2008	Technology	Information and Data	Data Reliability and Quality	Data Reliability and Quality	Reconcile 98% of incorrect or invalid data entries with data resident at multiple sites within one business day of exception report.	Reconcile 99% of incorrect or invalid data entries with data resident at multiple sites within one business day of exception report.	
2008	Technology	Information and Data	Data Reliability and Quality	Data Reliability and Quality	Provide for 99.5% accuracy rate for all data used at multiple sites.	Provide for 99.5% accuracy rate for all data used at multiple sites.	
2009	Customer Results	Customer Benefit	Customer Training	Workforce Management	Commence Formal Supervisor Training for 98% of New Supervisors within 60 days of appointment	Commence Formal Supervisor Training for 100% of New Supervisors within 60 days of appointment	
2009	Customer Results	Service Accessibility	Availability	Availability	WebTA will be operational on average 98% of time during scheduled periods of operation.	WebTA will be operational on average 98% of time during scheduled periods of operation.	
2009	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Accuracy of Service or Product Delivered	Achieve 96% Human Resources Training course quality and presentation per	Achieve 98% Human Resources Training course quality and presentation per	

					employee/student surveys.	employee/student surveys.	
2009	Mission and Business Results	Human Resource Management	Staff Acquisition	Staff Acquisition	100% SES hiring rate achieved	100% SES hiring rate achieved	
2009	Mission and Business Results	Human Resource Management	Staff Acquisition	Staff Acquisition	Achieve 100% Agency hiring goal	Achieve 100% Agency hiring goal	
2009	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Complete 98% hiring actions within 45 days	Complete 100% hiring actions within 45 days	
2009	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Complete 99% of Management Council, Department of Commerce, Office of Personnel Management tasks by due date.	Complete 100% of Management Council, Department of Commerce, Office of Personnel Management tasks by due date.	
2009	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Deliver 100% of ad hoc and recurring reports within schedule	Deliver 100% of ad hoc and recurring reports within schedule	
2009	Processes and Activities	Quality	Errors	Errors	Process 98% of all Payroll Actions Accurately	Process 98% of all Payroll Actions Accurately	
2009	Processes and Activities	Quality	Errors	Errors	Process 98% of all Payroll Actions Accurately	Process 98% of all Payroll Actions Accurately	
2009	Processes and Activities	Quality	Errors	Errors	Process 98% of all personal actions accurately and within 10 days of submission.	Process 98% of all personal actions accurately and within 10 days of submission.	
2009	Technology	Information and Data	Data Reliability and Quality	Data Reliability and Quality	Reconcile 99% of incorrect or invalid data entries with data resident at multiple sites within one business day of exception report.	Reconcile 99% of incorrect or invalid data entries with data resident at multiple sites within one business day of exception report.	
2009	Technology	Information and Data	Data Reliability and Quality	Data Reliability and Quality	Provide for 99.5% accuracy rate for all data used at multiple sites.	Provide for 99.5% accuracy rate for all data used at multiple sites.	
2010	Customer Results	Customer Benefit	Customer Training	Workforce Management	Commence Formal Supervisor Training for 100% of New Supervisors within 60 days of appointment	Commence Formal Supervisor Training for 100% of New Supervisors within 60 days of appointment	
2010	Customer Results	Service Accessibility	Availability	Availability	WebTA will be operational on average 98% of time during scheduled periods	WebTA will be operational on average 98% of time during scheduled periods	

					of operation.	of operation.	
2010	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Accuracy of Service or Product Delivered	Achieve 98% Human Resources Training course quality and presentation per employee/student surveys.	Achieve 98% Human Resources Training course quality and presentation per employee/student surveys.	
2010	Mission and Business Results	Human Resource Management	Staff Acquisition	Staff Acquisition	100% SES hiring rate achieved	100% SES hiring rate achieved	
2010	Mission and Business Results	Human Resource Management	Staff Acquisition	Staff Acquisition	Achieve 100% Agency hiring goal	Achieve 100% Agency hiring goal	
2010	Processes and Activities	Cycle Time and Resource Time	Timeliness	timeliness	Complete 100% hiring actions within 45 days	Complete 100% hiring actions within 45 days	
2010	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Complete 100% of Management Council, Department of Commerce, Office of Personnel Management tasks by due date.	Complete 100% of Management Council, Department of Commerce, Office of Personnel Management tasks by due date.	
2010	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Deliver 100% of ad hoc and recurring reports within schedule	Deliver 100% of ad hoc and recurring reports within schedule	
2010	Processes and Activities	Quality	Errors	Errors	Process 98% of all Payroll Actions Accurately	Process 98% of all Payroll Actions Accurately	
2010	Processes and Activities	Quality	Errors	Errors	Process 98% of all personal actions accurately and within 10 days of submission.	Process 98% of all personal actions accurately and within 10 days of submission.	
2010	Technology	Information and Data	Data Reliability and Quality	Data Reliability and Quality	Reconcile 99% of incorrect or invalid data entries with data resident at multiple sites within one business day of exception report.	Reconcile 99% of incorrect or invalid data entries with data resident at multiple sites within one business day of exception report.	
2010	Technology	Information and Data	Data Reliability and Quality	Data Reliability and Quality	Provide for 99.5% accuracy rate for all data used at multiple sites.	Provide for 99.5% accuracy rate for all data used at multiple sites.	
2011	Customer Results	Customer Benefit	Customer Training	Workforce Management	Commence Formal Supervisor Training for 100% of New Supervisors within 60 days of appointment	Commence Formal Supervisor Training for 100% of New Supervisors within 60 days of appointment	
2011	Customer Results	Service Accessibility	Availability	Availability	WebTA will be operational on	WebTA will be operational on	

					average 98% of time during scheduled periods of operation.	average 98% of time during scheduled periods of operation.	
2011	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Accuracy of Service or Product Delivered	Achieve 98% Human Resources Training course quality and presentation per employee/student surveys.	Achieve 98% Human Resources Training course quality and presentation per employee/student surveys.	
2011	Mission and Business Results	Human Resource Management	Staff Acquisition	Staff Acquisition	100% SES hiring rate achieved	100% SES hiring rate achieved	
2011	Mission and Business Results	Human Resource Management	Staff Acquisition	Staff Acquisition	Achieve 100% Agency hiring goal	Achieve 100% Agency hiring goal	
2011	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Complete 100% hiring actions within 45 days	Complete 100% hiring actions within 45 days	
2011	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Complete 100% of Management Council, Department of Commerce, Office of Personnel Management tasks by due date.	Complete 100% of Management Council, Department of Commerce, Office of Personnel Management tasks by due date.	
2011	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Deliver 100% of ad hoc and recurring reports within schedule	Deliver 100% of ad hoc and recurring reports within schedule	
2011	Processes and Activities	Quality	Errors	Errors	Process 98% of all personal actions accurately and within 10 days of submission.	Process 98% of all personal actions accurately and within 10 days of submission.	
2011	Technology	Information and Data	Data Reliability and Quality	Data Reliability and Quality	Reconcile 99% of incorrect or invalid data entries with data resident at multiple sites within one business day of exception report.	Reconcile 99% of incorrect or invalid data entries with data resident at multiple sites within one business day of exception report.	
2011	Technology	Information and Data	Data Reliability and Quality	Data Reliability and Quality	Provide for 99.5% accuracy rate for all data used at multiple sites.	Provide for 99.5% accuracy rate for all data used at multiple sites.	
2012	Customer Results	Customer Benefit	Customer Training	Workforce Management	Commence Formal Supervisor Training for 100% of New Supervisors within 60 days of appointment	Commence Formal Supervisor Training for 100% of New Supervisors within 60 days of appointment	
2012	Customer Results	Service Accessibility	Availability	Availability	WebTA will be operational on	WebTA will be operational on	

					average 98% of time during scheduled periods of operation.	average 98% of time during scheduled periods of operation.	
2012	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Accuracy of Service or Product Delivered	Achieve 98% Human Resources Training course quality and presentation per employee/student surveys.	Achieve 98% Human Resources Training course quality and presentation per employee/student surveys.	
2012	Mission and Business Results	Human Resource Management	Staff Acquisition	Staff Acquisition	100% SES hiring rate achieved	100% SES hiring rate achieved	
2012	Mission and Business Results	Human Resource Management	Staff Acquisition	Staff Acquisition	Achieve 100% Agency hiring goal	Achieve 100% Agency hiring goal	
2012	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Complete 100% hiring actions within 45 days	Complete 100% hiring actions within 45 days	
2012	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Complete 100% of Management Council, Department of Commerce, Office of Personnel Management tasks by due date.	Complete 100% of Management Council, Department of Commerce, Office of Personnel Management tasks by due date.	
2012	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness	Deliver 100% of ad hoc and recurring reports within schedule	Deliver 100% of ad hoc and recurring reports within schedule	
2012	Processes and Activities	Quality	Errors	Errors	Process 98% of all personal actions accurately and within 10 days of submission.	Process 98% of all personal actions accurately and within 10 days of submission.	
2012	Technology	Information and Data	Data Reliability and Quality	Data Reliability and Quality	Reconcile 99% of incorrect or invalid data entries with data resident at multiple sites within one business day of exception report.	Reconcile 99% of incorrect or invalid data entries with data resident at multiple sites within one business day of exception report.	
2012	Technology	Information and Data	Data Reliability and Quality	Data Reliability and Quality	Provide for 99.5% accuracy rate for all data used at multiple sites.	Provide for 99.5% accuracy rate for all data used at multiple sites.	

### I.E. Security and Privacy

**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).

All systems supporting and/or part of this investment should be included in the tables below, inclusive of both agency owned systems and contractor systems. For IT investments under development, security and privacy planning must proceed in parallel with the development of the system/s to ensure IT security and privacy requirements and costs are identified and incorporated into the overall lifecycle of the system/s.

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: 1

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? Yes

a. If "yes," have those weaknesses been incorporated agency's plan of action and milestone process? Yes

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:**

Name of System	Is this a new system?	Is there a Privacy Impact Assessment (PIA) that covers this system?	Is the PIA available to the public?	Is a System of Records Notice (SORN) required for this system?	Was a new or amended SORN published in FY 06?
USPTO Human Resource Management Support System (HRMSS) - PTOC-004-00	No	Yes.	Yes.	Yes	No, because the system is not a Privacy Act system of records.

**I.F. Enterprise Architecture (EA)**

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates 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?**

The USPTO is taking action to formalize its USPTO Enterprise Architecture (UEA) and to move forward with the implementation of the UEA program consistent with the Federal Enterprise Architecture Guidance. The following activities have already occurred: Resources have been secured for this effort: - Chief Architect has been designated - UEA lead has been assigned - UEA team has been established - Key OCIO and business area POC have been identified - Working-level UEA repository has been created - Contract has been awarded to MITRE, a FFRDC, for support in implementing the UEA program The immediate UEA goal is to establish, consistent with FEA guidance, a level of maturity in the Completion and Use capability areas to support a level 3 assessments, i.e. attain green status, by the end of FY06. The consensus of the UEA team is that that the USPTO is well positioned to achieve this goal. Many of the supporting artifacts and processes are already in place. These artifacts and processes are being reviewed to determine if any changes are needed or if new processes and/or artifacts need to be created/implemented. A UEA framework will be formalized and existing business area processes and activity costs models are being analyzed as data sources for the definition of the business and performance architectures. Existing OCIO IT Application, Technical, and Standards Roadmaps are being reviewed as source data to instantiate the needed sequencing strategy/transition plans. Many of the governance process are already in place. Major IT investments currently go through a CPIC process and the existing SDLC is being modified. Both of these established processes are being reviewed to ensure that their relation to the UEA is clear and that UEA is position to inform those processes and influence near and long term IT investments. During FY07, the goal is to build on the successes of the established architectures and processes and to continue to build out the architectures across the USPTO businesses areas, and to ensure that the defined UEA governance processes and institutionalized across the USPTO and that we have robust UEA that truly informs and influences IT investment decisions and provides measurable evidence of efficiencies and results.

**3. Service 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.whitehouse.gov/omb/egov/>.

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	The central repository or data warehouse for training records in compliance with the 5CFR Part 410 training histories and competencies. a COTS product Pathlore is the vendor. the Web portal through which management and employees can manage review and receive learning necessary to	Back Office Services	Asset / Materials Management	Asset Cataloging / Identification			No Reuse	7

	become fully competent in their jobs. In addition may be used to recertify employees to sustain full competency levels throughout the agency.							
	provide applicants with the capability to use the online employment application process by means of the USPTO Webpage and submit job applications over the Internet. I provide automated support and internal controls while enabling the Patent Corps and the Office of Human Resources to recruit quality applicants over the internet rate employment applications accurately improve the speed of the hiring process and reduce the paper flow present in the hiring process.	Back Office Services	Asset / Materials Management	Asset Cataloging / Identification			No Reuse	2
	four major functions:	Back Office Services	Asset / Materials Management	Asset Cataloging / Identification			No Reuse	79
	allow USPTO Human Resource Division's time and attendance information to be entered, verified electronically, certified and collected for transmission.	Back Office Services	Asset / Materials Management	Asset Cataloging / Identification			No Reuse	12

	improve the accuracy manageability and efficiencies of the HR Time and Attendance ( T&A ) process. The USPTO is testing and implementing a System that employs the latest technology to gather validate process manage and automate employee T&A data.							
	Uses Infolinx to accurately track the location of individual personnel record files for USPTO employees. This system was purchased by OHR as part of an integrated set of components that will store and track the movement of personnel files. The software component integrates with a mechanized file storage vault. The system currently exists on one workstation and is not supported by OCIO. This system requires a server and associated LCM implementation to be supported by OCIO.	Back Office Services	Data Management	Meta Data Management			No Reuse	0
	Provides an integrated information support system to the USPTO	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	0

Office of Civil Rights (OCR) for processing all case actions. Functionalities include generating actions tracking the status of actions recording data and issuing reports. captures images of the OCR complaints and reasonable accommodation requests for investigation and resolution through an electronic document management and automated workflow process. also produces statistics on the work performed.							
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**Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.**

**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.**

**'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.**

**Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.**

**4. 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	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
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Payroll	Component Framework	Data Interchange	Data Exchange	
Payroll	Component Framework	Data Management	Reporting and Analysis	
Payroll	Component Framework	Presentation / Interface	Content Rendering	
Case Management	Service Access and Delivery	Service Requirements	Legislative / Compliance	iComplaints
Recruiting	Service Access and Delivery	Service Transport	Service Transport	Advantage Gen
Payroll	Service Interface and Integration	Interface	Service Discovery	
Meta Data Management	Service Platform and Infrastructure	Database / Storage	Database	Infolinx
Data Mart	Service Platform and Infrastructure	Database / Storage	Database	Kronos
Education / Training	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Pathlore

**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**

**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.**

**5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?** Yes

**a. If "yes," please describe.**

The investment will leverage the existing human resources processing capability of a selected service support center that will be identified by a formal study. This will preclude the requirement of USPTO to build, maintain and integrate these systems with other external systems.

**6. Does this investment provide the public with access to a government automated information system?** No

**a. If "yes," does customer access require specific software (e.g., a specific web browser version)?**

**1. If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services).**

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

### II.A. Alternatives Analysis

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?
  - b. If "no," what is the anticipated date this analysis will be completed?
  - c. If no analysis is planned, please briefly explain why:

## 2. Alternative Analysis Results:

Use the results of your alternatives analysis to complete the following table:

Alternative Analyzed	Description of Alternative
Alternative 1	Perform Human Resources functions using OPM-approved shared services provider. Retire Job Application Rating System and hire all employees, including entry-level patent examiners through USA Staffing. Hire all additional USPTO staff, with limited exception, through USA Staffing. Maintain all personnel records through the OPM defined Electronic Official Personnel Folder System. Employ a LMS, in association with the DoC, to capture employee training data provide online employee training.
Alternative 2	Enhance the Job Application Rating System (JARS) to provide for category rating (an outstanding OPM recommendation), the capability to check application status for on-line applications, centralized job announcements in OPM USAJOBS with standard formats. Complete development of a Learning Management System that maintains USPTO mission critical competencies and employee development plans, provides on-line registration and track progress in completing all mandatory and elective courses and tests,
Alternative 3	Perform Human Resources functions using OPM-approved shared services provider. Build internal automated electronic official personnel file. Employ a LMS to conduct employee training and training record keeping.  Alternative 3 is not costed. A estimate of the electronic official personnel file has not been performed.

### 3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?

Alternative 1 is the preferred alternative. The selected alternative was chosen using a Cost Effectiveness Analysis (CEA) in lieu of a more traditional Cost Benefit Analysis (CBA) with a Return on Investment (ROI). This was done due to the complexity of quantifying benefits. Since each alternative represents a similar benefit or desired outcome, a CEA allows us to compare each alternative to determine the most efficient and cost effective way to reach those desired outcomes or benefits.

### 4. What specific qualitative benefits will be realized?

It enables the USPTO to make maximum use of the e-government initiatives of the President's Management Agenda. It eliminates manual hiring processes, maintenance of paper employee records and multiple disjointed processes and systems that frequently use different data values.

## II.B. Risk Management

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
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a. If "yes," what is the date of the plan?	7/10/2006
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b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?	No
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c. If "yes," describe any significant changes:

2. If there currently is no plan, will a plan be developed?	
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a. If "yes," what is the planned completion date?	
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b. If "no," what is the strategy for managing the risks?	
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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.

## II.C. Cost and Schedule Performance

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748?	No
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2. Answer the following questions about current cumulative cost and schedule performance. The numbers reported below should reflect current actual information. (Per OMB requirements Cost/Schedule Performance information should include both Government and Contractor Costs):

a. What is the Planned Value (PV)?	0
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b. What is the Earned Value (EV)?	0
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c. What is the actual cost of work performed (AC)?	0
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d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?	Contractor and Government
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e. "As of" date:	7/31/2006
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3. What is the calculated Schedule	0
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**Performance Index (SPI = EV/PV)?**

<b>4. What is the schedule variance (SV = EV-PV)?</b>	0
<b>5. What is the calculated Cost Performance Index (CPI = EV/AC)?</b>	0
<b>6. What is the cost variance (CV=EV-AC)?</b>	0
<b>7. Is the CV% or SV% greater than +/- 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100)</b>	No
<b>a. If "yes," was it the?</b>	
<b>b. If "yes," explain the variance:</b>	
There was no DME funding for HRMP in FY06. Therefore there is no EVM data to report.	
<b>c. If "yes," what corrective actions are being taken?</b>	
<b>d. What is most current "Estimate at Completion"?</b>	0
<b>8. Have any significant changes been made to the baseline during the past fiscal year?</b>	No
<b>8. If "yes," when was it approved by OMB?</b>	No

**Comparison of Initial Baseline and Current Approved Baseline**

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date	Total Cost (Estimated)	Completion Date		Total Cost		Schedule (# days)	Cost	
				Planned	Actual	Planned	Actual			
5	FY06 Operations and Maintenance	09/30/2006	\$2.843	09/30/2006		\$2.369	\$2.369		(\$0.395)	83.33%
6	FY07 Operations and Maintenance	09/30/2007	\$1.214			\$1.214				0%
7	FY08 Operations and Maintenance	09/30/2008	\$1.551			\$1.551				0%
<b>Project</b>										