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

I.A. Overview

1. Date of Submission:	12/29/2006
2. Agency:	Department of Commerce
3. Bureau:	US Patent and Trademark Office
4. Name of this Capital Asset:	USPTO Patent Automation Program
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)	006-51-01-03-01-8004-00
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:

A fully-scalable, enterprise-wide, text-based, integrated system is needed to properly support the Office in the coming years; Patent File Wrapper (PFW) is proposed that will support issues of overwhelming increases in filings, urgent needs for public access, and large changes in the examined technologies. PFW includes: Workflow; Messaging; Intelligent Text; Content Management. PFW addresses business process problems: 1. Operational Inefficiencies. The present IFW system is limited to image documents and inefficient interfaces. Operational inefficiencies result from manual intervention to manipulate, post, and enter data within systems to track key patent processing. Major benefits due to PFW include minimization of indexing tasks, avoidance of double data entry, and avoidance of manual correspondence tasks with applicants. 2. Productivity Delays Resulting from Workflow Process and Control Limitations. The IFW messaging system causes productivity loss due to misrouted, lost and misunderstood messages, and lack of escalation and prioritization of critical tasks. The PFW workflow functionality will eliminate these current problems. 3. Inflexibility of the IFW Processing System to Meet Remote Access User Needs (Patents Hoteling Program - PHP) Remote PHP participants require the ability to process, submit, and review Office Actions within an electronic format to avoid printing paper in order to obtain management review and signatory approval. Since the IFW system is not integrated with OACS and PALM, the necessity exists today to print and transport paper documents for management review and approval. Subsequent scanning of approved documents is also required. PFW will eliminate manual activities with a fully electronic process. 4. The IFW Processing System Does Not Support Receipt of Text Requiring Extensive Data Processing Prior to Publication Because the IFW system cannot process text data, the photocomposition contractor must convert the patent application information from image form into a composed text document prior to publication. PFW processing will allow the storage of text documents and allow upfront text capture that produces an associated reduction in processing time and costs for later publication.

9. Did the Agency's Executive/Investment Committee approve this request?	Yes
a. If "yes," what was the date of this approval?	9/11/2006
10. Did the Project Manager review this Exhibit?	Yes
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 support one of the PMA	Yes

initiatives?	
If "yes," check all that apply:	Expanded E-Government, Budget Performance Integration
13a. Briefly describe how this asset directly supports the identified initiative(s)?	Facilitating multi-agency global collaboration with multiple countries and agencies (EPO, JPO, CPIO, WIPO, etc). Accelerating deployment and integration of critical AISs. Improving delivery schedules, reliability, performance, security and the cost of all our AISs. Consolidating and eliminating systems. Ensuring Projects are within 10% of cost/schedule/performance objectives. Ensuring software licenses are negotiated enterprise-wide wherever possible. Prioritizing high priority modernization.
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.)	Yes
a. If "yes," does this investment address a weakness found during the PART review?	Yes
b. If "yes," what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?	U.S. Patent and Trademark - Patents
c. If "yes," what PART rating did it receive?	Adequate
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.	
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 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?	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 FY2008 funding request for the following? (This should total 100%)	
Hardware	5.70
Software	29.30
Services	34.10
Other	30.90
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?	Yes
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.

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 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	69.12344	19.92754	19.42896	13.00294					
Subtotal Planning & Acquisition									
Budgetary Resources	69.12344	19.92754	19.42896	13.00294					
Operations & Maintenance									
Budgetary Resources	152.31672	35.8887	34.76445	60.68342					
TOTAL									
Budgetary Resources	221.44016	55.81624	54.19341	73.68636					
Government FTE Costs									
Budgetary Resources	22.8916	10.34433	11.52361	16.96635					
Number of FTE represented by Costs:	0	86	96	141					

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:

Not applicable

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	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
2	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
3	DOC50PAPT0501005	Cost Plus Fixed Fee	Yes	12/17/2004	12/17/2004	12/31/2012	280.95	No	Yes	Yes	NA	No	Yes	Brown, Marva	571-272-6549 / marva.brown@uspto.gov	Level 2	Yes
4	DOC50papt0501004	Cost Plus Fixed Fee	Yes	12/17/2004	12/17/2004	12/31/2012	251.18	No	Yes	Yes	NA	No	Yes	Weibel, Richard	571-272-2115 / richard.weibel@uspto.gov	Level 3	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	DOC50PAPT0401006	Cost Plus Fixed Fee	Yes	4/29/2004	7/1/2004	6/30/2009	45.6	No	No	Yes	NA	No	Yes	Hannah, Chris	571-272-6555 / 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.

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 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.
4. Is there an acquisition plan which has been approved in accordance with agency requirements?	Yes
a. If "yes," what is the date?	10/1/2003
b. If "no," will an acquisition plan be developed?	
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)
2004	Goal #1: Optimize patent quality and timeliness (relates to FY05 Availability)	Search Requests	80% of all requests completed in less than 30 seconds	90% of all requests completed in less than 30 seconds (EAST)	Over 95% of all EAST requests complete in less than 30 seconds.
2004	Goal #1: Optimize patent quality and timeliness (relates to FY05 Availability)	Concurrent search users	Support 150 concurrent users	Support 300 concurrent users	Currently supporting 1,000 concurrent users per server.
2004	Goal #1: Optimize patent quality and timeliness(relates to FY05 Intellectual Property Protection)	Scanning volume	Scan 1500 new utility, design and provisional US applications per day	Scan 1650 US applications per day	Scanning of new utility, design, and provisional US applications averages to 1,945 daily.

2004	Goal #4: Achieve organizational excellence by:Ensuring responsible management of resources.(relates to FY05 Intellectual Property Protection)	Space saved	Store Article 20 papers for all PCT applications with US designation for 3 years	Elimination of paper storage space	Old Article 20 pages have been shredded, eliminating space for paper storage.
2005	Goal #1: Optimize patent quality and timeliness	Applications filed	2% e-filing rate	2% of e-filing rate using PDF structures	1.5% e-filing rate
2005	Goal #4: Achieve organizational excellence by: Ensuring responsible management of resources.	Security and Privacy Compliant systems	50% of systems in full compliance with NIST security requirements	75% of systems in full compliance with NIST security requirements	100% in full compliance
2005	Goal #1: Optimize patent quality and timeliness	Availability	Patents systems, in aggregate, are available 95% of the time	Patents systems, in aggregate, are available 96% of the time	Patents systems, in aggregate, are available 98% of the time

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.

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 Impact or Burden	Time needed & Savings	5% of papers can be filed electronically	10% of papers can be filed electronically	This goal has been achieved.
2006	Mission and Business Results	Economic Development	Intellectual Property Protection	Intellectual property Protection	2% e-filing rate	10% e-filing rate	This goal has been achieved.
2006	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	IT Infrastructure Maintenance	10% of systems integrated via SDI	20% of systems integrated via SDI	This goal has been achieved.
2006	Processes and Activities	Security and Privacy	Security	Security	50% of systems in full compliance with NIST security requirements	90% of systems in full compliance with NIST security requirements	The completion of the renewal of the 2003 C&A process in Sept. 2006 will achieve a 100% compliance.
2006	Technology	Reliability and Availability	Reliability	Availability	Patents systems, in aggregate, are available 95% of the	Patents systems, in aggregate, are available 97% of the time	This data will be collected over the course of the upcoming

					time		fiscal year by creating a "Performance Measures" report to incorporate various sources of input.
2007	Customer Results	Customer Benefit	Customer Impact or Burden	Time needed & Savings	90% of application papers can be viewed electronically by authorized members of the public	92% of application papers can be viewed electronically by authorized members of the public	
2007	Customer Results	Customer Benefit	Customer Impact or Burden	Time needed & Savings	5% of papers can be filed electronically	25% of papers can be filed electronically	
2007	Mission and Business Results	Economic Development	Intellectual Property Protection	Intellectual property Protection	2% e-filing rate	20% e-filing rate	
2007	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	IT Infrastructure Maintenance	10% of systems integrated via SDI	30% of systems integrated via SDI	
2007	Processes and Activities	Security and Privacy	Security	Security	75% of systems in full compliance with NIST security requirements	100% of systems in full compliance with NIST security requirements	
2007	Technology	Reliability and Availability	Availability	Availability	Patents systems, in aggregate, are available 95% of the time	Patents systems, in aggregate, are available 98% of the time	
2008	Customer Results	Customer Benefit	Customer Impact or Burden	Time needed & Savings	90% of application papers can be viewed electronically by authorized members of the public	97% of application papers can be viewed electronically by authorized members of the public	
2008	Customer Results	Customer Benefit	Customer Impact or Burden	Time needed & Savings	5% of papers can be filed electronically	75% of papers can be filed electronically	
2008	Mission and Business Results	Economic Development	Intellectual Property Protection	Intellectual property Protection	2% e-filing rate	35% e-filing rate	
2008	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	IT Infrastructure Maintenance	10% of systems integrated via SDI	40% of systems integrated via SDI	
2008	Technology	Reliability and Availability	Availability	Availability	Patents systems, in	Patents systems, in	

					aggregate, are available 95% of the time	aggregate, are available 99% of the time	
2009	Customer Results	Customer Benefit	Customer Impact or Burden	Time needed & Savings	5% of papers can be received electronically	90% of papers can be filed electronically	
2009	Customer Results	Customer Benefit	Customer Impact or Burden	Time needed & Savings	90% of application papers can be viewed electronically by authorized members of the public	98% of application papers can be viewed electronically by authorized members of the public	
2009	Mission and Business Results	Economic Development	Intellectual Property Protection	Intellectual property Protection	2% e-filing rate	50% e-filing rate	
2009	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	IT Infrastructure Maintenance	10% of systems integrated via SDI	50% of systems integrated via SDI	
2009	Technology	Reliability and Availability	Availability	Availability	Patents systems, in aggregate, are available 95% of the time	Patents systems, in aggregate, are available 99.5% of the time	
2010	Customer Results	Customer Benefit	Customer Impact or Burden	Time needed & Savings	90% of application papers can be viewed electronically by authorized members of the public	100% of application papers can be viewed electronically by authorized members of the public	
2010	Customer Results	Customer Benefit	Customer Impact or Burden	Time needed & Savings	5% of papers can be received electronically	100% of papers can be filed electronically	
2010	Mission and Business Results	Economic Development	Intellectual Property Protection	Intellectual property Protection	2% e-filing rate	60% e-filing rate	
2010	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	IT Infrastructure Maintenance	10% of systems integrated via SDI	80% of systems integrated via SDI	
2010	Technology	Reliability and Availability	Availability	Availability	Patents systems, in aggregate, are available 95% of the time	Patents systems, in aggregate, are available 99.8% of the time	
2011	Mission and Business Results	Economic Development	Intellectual Property Protection	Intellectual property Protection	2% e-filing rate	70% e-filing rate	
2011	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	IT Infrastructure Maintenance	10% of systems integrated via SDI	80% of systems integrated via SDI	

2011	Technology	Reliability and Availability	Availability	Availability	Patents systems, in aggregate, are available 95% of the time	Patents systems, in aggregate, are available 99.8% of the time	
2012	Mission and Business Results	Economic Development	Intellectual Property Protection	Intellectual property Protection	2% e-filing rate	70% e-filing rate	
2012	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	IT Infrastructure Maintenance	10% of systems integrated via SDI	80% of systems integrated via SDI	
2012	Technology	Reliability and Availability	Availability	Availability	Patents systems, in aggregate, are available 95% of the time	Patents systems, in aggregate, are available 99.8% of the time	

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:	8.80
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?
PCAPS-ES - PTOP-005-00	No	Yes.	Yes.	Yes	No, because the existing Privacy Act system of records was not substantially revised in FY 06.
PCAPS-IP - PTOP-	No	Yes.	Yes.	Yes	No, because the existing Privacy Act system of

006-00					records was not substantially revised in FY 06.
PSS-PS - PTOP-008-00	No	Yes.	Yes.	No	No, because the existing Privacy Act system of records was not substantially revised in FY 06.
PSS-SS - PTOP-007-00	No	Yes.	Yes.	No	No, because the existing Privacy Act system of records was not substantially revised in FY 06.

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?	

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
Capture & Initial Processing (PCAPS-IP)	The modules and components which accomplish the electronic receipt of application papers, conversion from paper documents to electronic form, capture of metadata, support of National Security	Back Office Services	Data Management	Data Exchange			No Reuse	0

	Interest determination, designation of further processing steps and locations, and review of application documents for adherence to patent examining rules.							
Specialized Search & Retrieval Systems (PSS-SS)	The modules and components which accomplish support of the legal determination of prior art relevant to patent applications where such art is of unusual form or size including RNA/DNA sequences, jumbo applications, chemical structures, and computer program listings.	Back Office Services	Data Management	Data Warehouse			No Reuse	0
Primary Search & Retrieval Systems (PSS-PS)	The modules and components which accomplish support of the legal determination of prior art relevant to patent applications, including text and image search of repositories of US application and grant publications, Foreign application and grant publications, various concordances, and non-patent literature.	Back Office Services	Data Management	Meta Data Management			No Reuse	0

Examination Support (PCAPS-ES)	The modules and components which accomplish support of prosecution of patent applications to include examination tools and processing, managerial control and reporting, and correspondence with applicants.	Back Office Services	Development and Integration	Enterprise Application Integration			No Reuse	0
Examination Support (PCAPS-ES)	The modules and components which accomplish support of prosecution of patent applications to include examination tools and processing, managerial control and reporting, and correspondence with applicants.	Business Analytical Services	Business Intelligence	Demand Forecasting / Mgmt			No Reuse	0
Capture & Initial Processing (PCAPS-IP)	The modules and components which accomplish the electronic receipt of application papers, conversion from paper documents to electronic form, capture of metadata, support of National Security Interest determination, designation of further processing steps and locations, and review of application documents for adherence to patent	Digital Asset Services	Document Management	Document Imaging and OCR			No Reuse	0

	examining rules.							
Capture & Initial Processing (PCAPS-IP)	The modules and components which accomplish the electronic receipt of application papers, conversion from paper documents to electronic form, capture of metadata, support of National Security Interest determination, designation of further processing steps and locations, and review of application documents for adherence to patent examining rules.	Digital Asset Services	Document Management	Document Imaging and OCR			No Reuse	0
Examination Support (PCAPS-ES)	The modules and components which accomplish support of prosecution of patent applications to include examination tools and processing, managerial control and reporting, and correspondence with applicants.	Digital Asset Services	Document Management	Document Referencing			No Reuse	0
Primary Search & Retrieval Systems (PSS-PS)	The modules and components which accomplish support of the legal determination of prior art relevant to patent applications, including text and image	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	0

	search of repositories of US application and grant publications, Foreign application and grant publications, various concordances, and non-patent literature.							
Primary Search & Retrieval Systems (PSS-PS)	The modules and components which accomplish support of the legal determination of prior art relevant to patent applications, including text and image search of repositories of US application and grant publications, Foreign application and grant publications, various concordances, and non-patent literature.	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	0
Examination Support (PCAPS-ES)	The modules and components which accomplish support of prosecution of patent applications to include examination tools and processing, managerial control and reporting, and correspondence with applicants.	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	0
Examination Support (PCAPS-ES)	The modules and components which accomplish support of prosecution of patent	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	0

	applications to include examination tools and processing, managerial control and reporting, and correspondence with applicants.							
Examination Support (PCAPS-ES)	The modules and components which accomplish support of prosecution of patent applications to include examination tools and processing, managerial control and reporting, and correspondence with applicants.	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	0
Examination Support (PCAPS-ES)	The modules and components which accomplish support of prosecution of patent applications to include examination tools and processing, managerial control and reporting, and correspondence with applicants.	Process Automation Services	Routing and Scheduling	Inbound Correspondence Management			No Reuse	0
Capture & Initial Processing (PCAPS-IP)	The modules and components which accomplish the electronic receipt of application papers, conversion from paper documents to electronic form, capture of metadata, support of National Security Interest determination,	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	0

	designation of further processing steps and locations, and review of application documents for adherence to patent examining rules.							
Capture & Initial Processing (PCAPS-IP)	The modules and components which accomplish the electronic receipt of application papers, conversion from paper documents to electronic form, capture of metadata, support of National Security Interest determination, designation of further processing steps and locations, and review of application documents for adherence to patent examining rules.	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	0
Capture & Initial Processing (PCAPS-IP)	The modules and components which accomplish the electronic receipt of application papers, conversion from paper documents to electronic form, capture of metadata, support of National Security Interest determination, designation of further	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	0

	processing steps and locations, and review of application documents for adherence to patent examining rules.							
Capture & Initial Processing (PCAPS-IP)	The modules and components which accomplish the electronic receipt of application papers, conversion from paper documents to electronic form, capture of metadata, support of National Security Interest determination, designation of further processing steps and locations, and review of application documents for adherence to patent examining rules.	Process Automation Services	Tracking and Workflow	Process Tracking			No Reuse	0
Capture & Initial Processing (PCAPS-IP)	The modules and components which accomplish the electronic receipt of application papers, conversion from paper documents to electronic form, capture of metadata, support of National Security Interest determination, designation of further processing steps and	Support Services	Search	Classification			No Reuse	0

	locations, and review of application documents for adherence to patent examining rules.							
Primary Search & Retrieval Systems (PSS-PS)	The modules and components which accomplish support of the legal determination of prior art relevant to patent applications, including text and image search of repositories of US application and grant publications, Foreign application and grant publications, various concordances, and non-patent literature.	Support Services	Search	Classification			No Reuse	0
Primary Search & Retrieval Systems (PSS-PS)	The modules and components which accomplish support of the legal determination of prior art relevant to patent applications, including text and image search of repositories of US application and grant publications, Foreign application and grant publications, various concordances, and non-patent literature.	Support Services	Search	Classification			No Reuse	0
Primary Search & Retrieval Systems	The modules and components which	Support Services	Search	Classification			No Reuse	0

(PSS-PS)	accomplish support of the legal determination of prior art relevant to patent applications, including text and image search of repositories of US application and grant publications, Foreign application and grant publications, various concordances, and non-patent literature.							
Primary Search & Retrieval Systems (PSS-PS)	The modules and components which accomplish support of the legal determination of prior art relevant to patent applications, including text and image search of repositories of US application and grant publications, Foreign application and grant publications, various concordances, and non-patent literature.	Support Services	Search	Classification			No Reuse	0
Specialized Search & Retrieval Systems (PSS-SS)	The modules and components which accomplish support of the legal determination of prior art relevant to patent applications where such art is of unusual form or size including	Support Services	Search	Pattern Matching			No Reuse	0

	RNA/DNA sequences, jumbo applications, chemical structures, and computer program listings.							
Primary Search & Retrieval Systems (PSS-PS)	The modules and components which accomplish support of the legal determination of prior art relevant to patent applications, including text and image search of repositories of US application and grant publications, Foreign application and grant publications, various concordances, and non-patent literature.	Support Services	Search	Precision / Recall Ranking			No Reuse	0
Primary Search & Retrieval Systems (PSS-PS)	The modules and components which accomplish support of the legal determination of prior art relevant to patent applications, including text and image search of repositories of US application and grant publications, Foreign application and grant publications, various concordances, and non-patent literature.	Support Services	Search	Query			No Reuse	0

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)
Classification	Component Framework	Data Management	Reporting and Analysis	BRS/Search
Classification	Component Framework	Data Management	Reporting and Analysis	BRS/Search
Classification	Component Framework	Data Management	Reporting and Analysis	BRS/Search
Data Exchange	Component Framework	Data Management	Reporting and Analysis	CRF custom software
Pattern Matching	Component Framework	Data Management	Reporting and Analysis	Gencore
Inbound Correspondence Management	Service Access and Delivery	Access Channels	Collaboration / Communications	Robocopy
Information Retrieval	Service Access and Delivery	Delivery Channels	Internet	Netscape
Query	Service Access and Delivery	Delivery Channels	Internet	Netscape
Document Referencing	Service Interface and Integration	Integration	Middleware	WebSphere MQ Integrator
Precision / Recall Ranking	Service Interface and Integration	Interface	Service Discovery	Rogue Wave Stingray Objective Toolkit Pro
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Case Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Meta Data Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Database	Oracle 9i
Process Tracking	Service Platform and Infrastructure	Database / Storage	Database	Oracle 9i
Demand Forecasting / Mgmt	Service Platform and Infrastructure	Database / Storage	Database	Oracle Financial Analyzer Server
Document Referencing	Service Platform and Infrastructure	Delivery Servers	Application Servers	WebSphere
Classification	Service Platform and Infrastructure	Delivery Servers	Web Servers	iPlanet
Classification	Service Platform	Delivery Servers	Web Servers	iPlanet

	and Infrastructure			
Case Management	Service Platform and Infrastructure	Delivery Servers	Web Servers	iPlanet
Classification	Service Platform and Infrastructure	Delivery Servers	Web Servers	iPlanet-WebServer-Enterprise
Document Imaging and OCR	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	OCR Manager
Document Imaging and OCR	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	OCR Manager
Enterprise Application Integration	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	WebSphere
Data Warehouse	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	WebSphere
Case Management	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	WebSphere
Quality Management	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	WebSphere
Information Retrieval	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	WebSphere

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.	
Yes. Currently, the Patent eBusiness Center is searchable through FirstGov at http://www.uspto.gov/main/patents.htm Forms are also available at http://www.forms.gov	
6. Does this investment provide the public with access to a government automated information system?	Yes
a. If "yes," does customer access require specific software (e.g., a specific web browser version)?	No
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?	5/10/2006
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
1. PFW-Enhance existing systems with new functionality and implement new Workflow and Repository software.	Modify current IFW and AIS components to accommodate workflow and upgraded repository software. Purchase additional hardware to support new functionality. Continue to maintain and enhance existing AISs (eDAN, PALM, OACS, EAST, WEST, EFS, etc.) and support EPO products (IFW and EPOScan) to interface with the new workflow and repository functionality. Develop and deploy major enhancements to the existing AISs to take advantage of improved functionality.
2. PFW - Develop new PFW using outsourcing	Purchase services of a contractor who will do it all to develop a new PFW system. The contractor will purchase COTS products, develop code and integrate entire PFW. Some existing Patents AISs will not be impacted other than being retired when the new PFW is deployed.
3. PFW -Develop new PFW using in-house staff.	Purchase COTS products and design, develop software using CIO staff and SDI contractors to build and deploy a completely new PFW system. CIO developers will integrate the COTS software and developed software to construct the new PFW. Some existing Patents AISs will not be impacted other than being retired when the new PFW is deployed.

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

Alternative 3 achieves full functionality of PFW and facilitates maintaining existing systems independently of new development. This in-turn minimizes the risks of productivity loss during deployment. Alternative 3 is the most Innovative solution, using state-of-the-art technology which is meets the requirements of OMB-compliant enterprise architecture (EA). It will have significant architectural improvements and reduced "stovepipe" development of software. It will also make extensive use of COTS tools. Alternative 3 is the most effective solution to achieve the maximum benefit for the office. 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?

Improved accountability tracking for reducing pendency. Prioritization within work queues for higher efficiency. Automated business rules minimizing manual exception processing. Reporting functions for escalation and management oversight. Elimination of bottlenecks, dead-ends, and misfiled applications. Dynamic prioritizing of workflow. Dynamic workflow modifications without new development. Benefits of text: -Intelligent indexing, routing, docketing based on application text content -Text analysis tools such as claim diagramming -Support for automated Interference searching -Just-in-time automated pre-searching -Text Search within patent applications and across a domain of applications -To find claimed subject matter semi-automatically - To facilitate navigating between drawing reference numerals and text in specification semi-automatically -Managers can docket similar applications to the same examiners -Text from the applications would be copy and pasted into office actions Self Publication/1-step publishing. -Direct interface from PFW to publication, eliminating the need for a photocomposition contractor. Universal GUI. -Currently, access to legacy systems occurs unique interfaces. With PFW, users will log into a single

interface with access to all pertinent systems. Workflow. -Based on the profile of users, role definitions, and queue definitions, users will now benefit from managed queues on their desktop. -Support for PHP With the deployment of the PFW, and the necessary data stored in a central Repository in electronically, the USPTO can leverage a remote workforce effectively. Eliminate risk of IFW Failure. -The IFW system requires significant changes (which may not be possible) to become a reliable, scalable platform to support the growth expected in overall patent filings. It is not possible for IFW to achieve or even meet all the business needs of the USPTO. The current IFW does not provide support for features such as Examiner annotations for documents, an electronic "working folder", and the ability to capture and store high-resolution color images. The current IFW design does not provide adequate support for failover or load sharing Increased data quality. -PFW incorporates OCR accuracy, image enhancement, automated QR and workflow into the capture & indexing process -PFW will accept electronically filed applications documents eliminating paper scanning and indexing errors.

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
a. If "yes," what is the date of the plan?	7/28/2005
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:

II.C. Cost and Schedule Performance

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748?	No

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)?	8697.32
b. What is the Earned Value (EV)?	8400.10
c. What is the actual cost of work performed (AC)?	8952.70
d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?	Contractor and Government
e. "As of" date:	7/31/2006
3. What is the calculated Schedule Performance Index (SPI = EV/PV)?	0.9660
4. What is the schedule variance (SV = EV-PV)?	-297.22
5. What is the calculated Cost Performance Index (CPI = EV/AC)?	0.9380
6. What is the cost variance (CV=EV-AC)?	-552.60
7. Is the CV% or SV% greater than +/- 10%? (CV% = CV/EV x 100; SV% = SV/PV x 100)	No
a. If "yes," was it the?	

b. If "yes," explain the variance:

c. If "yes," what corrective actions are being taken?	
d. What is most current "Estimate at Completion"?	13016.50
8. Have any significant changes been made to the baseline during the past fiscal year?	No
8. If "yes," when was it approved by OMB?	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			
1	FY06 DME	09/30/2006	$12.803	09/30/2006		$8.697	$8.953		($3.859)	58.57%
4	Computer Readable Form (CRF)/Checker System FY07	09/30/2007	$0.256	09/30/2007		$0.256				%
8	Patent Application Images on the Web (AIW) FY07-08	09/30/2008	$0.392	09/30/2008		$0.392				%
9	Patent Application Text on the Internet (APPFT) FY07-08	09/30/2008	$0.271	09/30/2008		$0.271				%
21	Image File Wrapper (IFW) FY07	09/30/2007	$0.190	09/30/2007		$0.190				%
28	FY06 Operations & Maintenance	09/30/2006	$50.798	09/30/2006		$42.330	$42.330		($7.056)	83.33%
29	FY07 Operations & Maintenance	09/30/2007	$57.642	09/30/2007		$57.642				%
30	FY08 Operations & Maintenance	09/30/2008	$71.912	09/30/2008		$71.912				%
Project Totals										