

**Exhibit 300: Capital Asset Plan and Business Case Summary****Part I: Summary Information And Justification (All Capital Assets)****Section A: Overview (All Capital Assets)**

1. Date of Submission: 1/7/2008

2. Agency: Department of Commerce

3. Bureau: Us Patent And Trademark Office

4. Name of this Capital Asset: USPTO Revenue Accounting and Management System (RAM)

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) 006-51-01-01-01-8002-00

6. What kind of investment will this be in FY2009? (Please NOTE: Investments moving to O&M in FY2009, with Planning/Acquisition activities prior to FY2009 should not select O&M. These investments should indicate their current status.) Mixed Life Cycle

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

The U.S. Patent and Trademark Office (USPTO) collects and processes fees for approximately 300 products and services pertaining to the protection of citizen or business intellectual property (IP). The Revenue Accounting and Management System (RAM) is the application used for USPTO fee processing and supports various payment transmission methods such as the Internet, by Mail or in person, and accommodates multiple payment options including credit cards, checks, electronic funds transfer (EFT), and USPTO deposit account. Additionally, RAM facilitates the processing of fee-related refunds. The Office of Finance Imaging System (OFIS) is a subsidiary system that provides the Office of Finance with rapid and systematic storage of and retrieval capabilities for financial documents to include receipts and customer refund requests. The initial phase of the RAM system deployed in 1997 to replace an obsolescent Cash Receipts/Deposit Accounts (CRDA) system. The RAM system incorporated enhancements such as improved internal controls, audit trails, data validity checks and supports a variety of IP specific fee-related business rules. The implementation of the RAM system increased the accuracy of the revenue accounting process, addressed known deficiencies in CRDA, and brought the USPTO into compliance with Federal requirements for automated financial systems. The second phase of RAM further enhanced reporting capabilities, provided for improved patent maintenance fee processing and implemented a patent subscription services management. The most recent enhancements support soft-scanning of fee information into the Patent Image File Wrapper (IFW) with a goal toward an Enterprise-Wide solution for complete electronic processing and storage of fee receipts and related fee documentation. In the 21st Century Strategic Plan, the USPTO has committed to aggressively implementing e-Government to handle the workload associated with the 21st Century economy. The continued growth in USPTO workload can only be effectively managed in an environment that provides for the electronic receipt, processing and reporting of the fee collection process that supports the provision of USPTO services and products. This electronic processing will enable the USPTO to migrate to a more efficient operating environment that supports our business goal of providing quality services and products in a timely manner to our customers and stakeholders.

9. Did the Agency's Executive/Investment Committee approve this request? Yes

10. Did the Project Manager review this Exhibit? Yes

11. Contact information of Project Manager?

a. What is the current FAC-P/PM certification level of the project/program manager? TBD

12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project? Yes

a. Will this investment include electronic assets (including computers)? Yes

b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only) No

1. If "yes," is an ESPC or UESC being used to help fund this investment?

2. If "yes," will this investment meet sustainable design principles?

3. If "yes," is it designed to be 30% more energy efficient than relevant code?

13. Does this investment directly support one of the PMA initiatives? Yes

If "yes," check all that apply:

Expanded E-Government  
Financial Performance  
Budget Performance Integration

a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)

a) Improve Financial Performance. Financial performance improved through rapid, accurate processing and reporting of receipts (b) Expand Electronic Government. USPTO provides for: instantaneous checking of fee status on issued patents; customer activity statements by payment type; self-service deposit account maintenance for USPTO deposit account holders (c) Budget and Performance Integration Enables near instantaneous tracking of receipts as opposed to anticipated costs for execution.

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](http://www.whitehouse.gov/omb/part).) No

a. If "yes," does this investment address a weakness found during a PART review? No

b. If "yes," what is the name of the PARTed program?

c. If "yes," what rating did the PART receive?

15. Is this investment for information technology? Yes

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

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance) Level 1

17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance) (1) Project manager has been validated as qualified for this investment

18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2007 agency high risk report (per OMB Memorandum M-05-23) No

19. Is this a financial management system? Yes

a. If "yes," does this investment address a FFMI compliance area? Yes

1. If "yes," which compliance area:

Financial Systems Requirements and Accounting Standards at the Transaction Level.

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

Revenue Accounting and Management system (RAM) is a custom application with some COTS components that serves as the USPTO's fee collection system.

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

Hardware	1
Software	6
Services	93
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 Senior Agency Official for Privacy

23. Are the records produced by this investment Yes

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

Question 24 must be answered by all Investments:

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

**Section B: Summary of Spending (All Capital Assets)**

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

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)									
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY-1 and earlier	PY 2007	CY 2008	BY 2009	BY+1 2010	BY+2 2011	BY+3 2012	BY+4 and beyond	Total
Planning:	0	0	0	0					
Acquisition:	6.03589	3.28284	2.46445	2.46445					
Subtotal Planning & Acquisition:	6.03589	3.28284	2.46445	2.46445					
Operations & Maintenance:	21.40065	4.41455	2.90341	2.94239					
TOTAL:	27.43654	7.69739	5.36786	5.40684					
<b>Government FTE Costs should not be included in the amounts provided above.</b>									
Government FTE Costs	4.58049	2.32375	1.65975	1.95375					
Number of FTE represented by Costs:	10	21	10	10					

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

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

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

3. If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes: Not applicable

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

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

Exhibit 300: USPTO Revenue Accounting and Management System (RAM) (Revision 16)

Contracts/Task Orders Table:															* Costs in millions	
Contract or Task Order Number	Type of Contract/ Task Order	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/ Task Order	End date of Contract/ Task Order	Total Value of Contract/ Task Order (\$M)	Is this an Interagency Acquisition ? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the required security & privacy clauses? (Y/N)	Name of CO	CO Contact information (phone/email)	Contracting Officer Certification Level (Level 1,2,3,N/A)	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition ? (Y/N)
DOC50PAPT201025	Time and Materials	Yes	7/3/2002	7/2/2002	6/30/2012	160.28	No	Yes	Yes	NA	No	Yes		page.etzel@uspto.gov	Level 3	Yes
DOC50PAPT0501005	Cost Plus Fixed Fee	Yes	12/17/2004	12/17/2004	12/31/2012	280.95	No	Yes	Yes	NA	Yes	Yes		marva.brown@uspto.gov	Level 2	Yes
DOC50PAPT0501004	Cost Plus Fixed Fee	Yes	12/17/2004	12/17/2004	12/31/2012	251.18	No	Yes	Yes	NA	Yes	Yes		kate.kudrewicz@uspto.gov	Level 3	Yes
DOC50PAPT201006	Cost Plus Award Fee	Yes	9/27/2002	10/1/2002	9/30/2007	72.21	No	Yes	Yes	NA	Yes	Yes		hope.smith@uspto.gov	Level 2	Yes
DOC50PAPT201026	Cost Plus Award Fee	Yes	9/27/2002	10/1/2002	9/30/2007	56.43	No	Yes	Yes	NA	Yes	Yes		sylvia.vandyke@uspto.gov	Level 3	Yes
DOC50PAPT0401006	Cost Plus Fixed Fee	Yes	4/29/2004	7/1/2004	6/30/2009	5.266	No	No	Yes	NA	No	Yes		chris.hannah@uspto.gov	Level 3	Yes

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

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

3. Do the contracts ensure Section 508 compliance? Yes

a. Explain why: All applicable COTS software procured under this project and all software developed by USPTO personnel and/or contractors are required to be 508 compliant. In accordance with our SDLC methodology, all software is tested for 508 compliance prior to release for production use.

4. Is there an acquisition plan which has been approved in accordance with agency requirements? Yes

a. If "yes," what is the date? 10/5/2006

b. If "no," will an acquisition plan be developed?

1. If "no," briefly explain why:

**Section D: Performance Information (All Capital Assets)**

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

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

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2005	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity and Efficiency	Efficiency	Use of online payment options.	Current number of Internet vs. In-house payments per year.FY09: Internet payments: ?FY09: Inhouse payments: ?	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using less FTE resources.	TBD
2005	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity and Efficiency	Efficiency	Use of online payment options.	Current number of Internet vs. In-house payments per year.FY09: Internet payments: ?FY09: Inhouse payments: ?	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using less FTE resources.	TBD
2005	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Financial (Technology)	Operations and Maintenance Costs	Best use of existing financial software products combined with internal programs developed to maximize benefits gained from the USPTO IT investment.	Current maintenance cost of the RAM system. FY09: ?	The planned improvement will reduce software maintenance costs after the project is deployed.	TBD
2006	2.2 Protect intellectual property and	Customer Results	Service Accessibility	Automation	Number of fee types that the agency will be	Current number of fee types collected	The planned improvement will allow more	In FY06 there were 162 diff. fee types

Exhibit 300: USPTO Revenue Accounting and Management System (RAM) (Revision 16)

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	improve the patent and trademark system.				able to accept through the Internet from our user community in general.	online.FY04: 49	fees to be collected online at the USPTO e-Government websites.	accepted online over the internet
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Collections and Receivables	Customer flexibility for making fee payments at the USPTO e-Government websites.	Current number of individual online payment transactions per customer. FY04: 490K	This planned improvement allows for ease in completing fee payments and for providing greater flexibility to customers making online fee payments to reduce repetitive transactions by a single customer.	In FY06, there were 1,564,662 individual online payment transactions processed
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity and Efficiency	Efficiency	Use of online payment options.	Current number of Internet vs. In-house payments per year.FY04: Internet payments: 390KFY04: Inhouse payments: 3M	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using fewer FTE resources.	In FY06, there were 610,752 internet payments processed and 903,108 in house payments processed
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Financial (Technology)	Operations and Maintenance Costs	Best use of existing financial software products combined with internal programs developed to maximize benefits gained from the USPTO IT investment.	Current maintenance cost of the RAM system.FY04: 3M	The planned improvement will reduce software maintenance costs after the project is deployed.	RAM system maintenance costs in FY06 \$3,619,218
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Automation	Number of fee types that the agency will be able to accept through the Internet from our user community in general.	Current number of fee types collected online. FY05: 62	Anticipated 10% increase in the number of fee types available online at the USPTO e-Government websites each year.	Through Q3/FY07 there were 181 available fee types collected online over the internet
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Collections and Receivables	Customer flexibility for making fee payments at the USPTO e-Government websites.	Current number of individual online payment transactions per customer. FY05: ?	Anticipated 10% decrease in number of individual payments by a single customer each year.	Through Q3/FY07 there were 1,927,131 individual payments made online
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity and Efficiency	Efficiency	Use of online payment options.	Current number of Internet vs. In-house payments per year. FY05: ?	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using less FTE resources.	Through Q3/FY07 there were 615,488 internet payment processed and 509,028 inhouse payment processed
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Financial (Technology)	Operations and Maintenance Costs	Best use of existing financial software products combined with internal programs developed to maximize benefits gained from the USPTO IT investment.	Current maintenance cost of the RAM system. FY05: ?	The planned improvement will reduce software maintenance costs after the project is deployed.	Through Q3/FY07 RAM system maintenance costs are: \$2,021,524
2008	2.2 Protect intellectual property and improve the patent and	Customer Results	Service Accessibility	Automation	Number of fee types that the agency will be able to accept through the	Number of Fee Types collected in FY06: ?	The planned improvement will allow more fees to be collected online	

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	trademark system.				Internet from our user community in general.		at the USPTO e-Government websites.	
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Collections and Receivables	Customer flexibility for making fee payments at the USPTO e-Government websites.	Current number of individual online payment transactions per customer. FY06: ?	This planned improvement allows for ease in completing fee payments and for providing greater flexibility to customers making online fee payments to reduce repetitive transactions by a single customer.	TBD
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity and Efficiency	Efficiency	Use of online payment options.	Current number of Internet vs. In-house payments per year. FY06: Internet payments: ? Inhouse payments: ?	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using less FTE resources.	TBD
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Financial (Technology)	Operations and Maintenance Costs	Best use of existing financial software products combined with internal programs developed to maximize benefits gained from the USPTO IT investment.	Current maintenance cost of the RAM system. FY06: ?	The planned improvement will reduce software maintenance costs after the project is deployed.	TBD
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Automation	Reduce number of calls to finance requestion USPTO Deposit Account balance by 20%	44 telephone calls per day FY06 total: 32 calls per day pertaining to USPTO Dep. Accts	Reduce number of calls to Finance requestion USPTO deposit Account balalnce by 20%	Through Q3/FY07: 31 calls per day
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Accounting	Maintain unqualified financial statement audit opinion	Unqualified financial statement audit option	Obtain unqualified financial statement audit	TBD
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity and Efficiency	Efficiency	Processing and Deposit of fees collected at USPTO within 2 business days maintain or exceed current performance	Two business days	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using less FTE resources.	TBD
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Financial (Technology)	Operations and Maintenance Costs	Increase number of electronic transaction (Internet only by 5% includes all payment types, EFT, CC, and USPTO Dep acnts	590,000 electronic transactions all payment types through 8/15/05	Increase number of electronic transaction (internet only by 5% includes all payment types, EFT, CC, and USPTO Dep accounts	TBD
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Automation	Number of fee types that the agency will be able to accept through the Internet from our user community in general.	Current number of fee types collected online. FY08: ?	The planned improvement will allow more fees to be collected online at the USPTO e-Government websites.	TBD
2010	2.2 Protect intellectual property and	Mission and Business Results	Financial Management	Collections and Receivables	Customer flexibility for making fee	Current number of individual online payment	This planned improvement allows for ease	TBD

Exhibit 300: USPTO Revenue Accounting and Management System (RAM) (Revision 16)

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	improve the patent and trademark system.				payments at the USPTO e-Government websites.	transactions per customer. FY08: ?	in completing fee payments and for providing greater flexibility to customers making online fee payments to reduce repetitive transactions by a single customer.	
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity and Efficiency	Efficiency	Use of online payment options.	Current number of Internet vs. In-house payments per year.FY08: Internet payments: ?FY08: Inhouse payments: ?	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using less FTE resources.	TBD
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Financial (Technology)	Operations and Maintenance Costs	Best use of existing financial software products combined with internal programs developed to maximize benefits gained from the USPTO IT investment.	Current maintenance cost of the RAM system. FY08: ?	The planned improvement will reduce software maintenance costs after the project is deployed.	TBD
2011	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Automation	Number of fee types that the agency will be able to accept through the Internet from our user community in general.	Current number of fee types collected online.FY09: ?	The planned improvement will allow more fees to be collected online at the USPTO e-Government websites.	TBD
2011	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Collections and Receivables	Customer flexibility for making fee payments at the USPTO e-Government websites.	Current number of individual online payment transactions per customer. FY09: ?	This planned improvement allows for ease in completing fee payments and for providing greater flexibility to customers making online fee payments to reduce repetitive transactions by a single customer.	TBD
2011	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity and Efficiency	Efficiency	Use of online payment options.	Current number of Internet vs. In-house payments per year.FY09: Internet payments: ?FY09: Inhouse payments: ?	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using less FTE resources.	TBD
2011	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Financial (Technology)	Operations and Maintenance Costs	Best use of existing financial software products combined with internal programs developed to maximize benefits gained from the USPTO IT investment.	Current maintenance cost of the RAM system. FY09: ?	The planned improvement will reduce software maintenance costs after the project is deployed.	TBD
2012	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Automation	Number of fee types that the agency will be able to accept through the Internet from our user community in general.	Current number of fee types collected online.FY09: ?	The planned improvement will allow more fees to be collected online at the USPTO e-Government websites.	TBD

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2012	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Collections and Receivables	Customer flexibility for making fee payments at the USPTO e-Government websites.	Current number of individual online payment transactions per customer. FY09: ?	This planned improvement allows for ease in completing fee payments and for providing greater flexibility to customers making online fee payments to reduce repetitive transactions by a single customer.	TBD
2012	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity and Efficiency	Efficiency	Use of online payment options.	Current number of Internet vs. In-house payments per year. FY09: Internet payments: ? FY09: Inhouse payments: ?	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using less FTE resources.	TBD
2012	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Financial (Technology)	Operations and Maintenance Costs	Best use of existing financial software products combined with internal programs developed to maximize benefits gained from the USPTO IT investment.	Current maintenance cost of the RAM system. FY09: ?	The planned improvement will reduce software maintenance costs after the project is deployed.	TBD

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

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

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

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

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

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

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

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

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

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

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

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

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

8. Planning & Operational Systems - Privacy Table:					
(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
Computer Sciences Corporation (CSC) Contractor System (PTOC-008-00)	No	No	No, because the system does not contain, process, or transmit personally identifiable information.	No	This system is not a Privacy Act system of record.
General Dynamic (GD) Contractor System (PTOC-010-00)	No	No	No, because the system does not contain, process, or transmit personally identifiable information.	No	This system is not a Privacy Act system of record.
Project Performance Corporation (PPC) GSS Contractor System (PTOC-011-00)	No	No	No, because the system does not contain, process, or transmit personally identifiable information.	No	This system is not a Privacy Act system of record.
Project Performance Corporation (PPC) Host Contractor System	No	No	No, because the system does not contain, process, or transmit personally identifiable information.	No	This system is not a Privacy Act system of record.
Raytheon Corporation Contractor System (PTOC-012-00)	No	No	No, because the system does not contain, process, or transmit personally identifiable information.	No	This system is not a Privacy Act system of record.
SRA Contractor System (PTOC-009-00)	No	No	No, because the system does not contain, process, or transmit personally identifiable information.	No	This system is not a Privacy Act system of record.
Trawick and Associates Contractor System (PTOC-0014-00)	No	No	No, because the system does not contain, process, or transmit personally identifiable information.	No	This system is not a Privacy Act system of record.
USPTO Revenue Accounting and Management System (RAM) (PTOC-006-00)	No	Yes	<a href="http://www.uspto.gov/web/doc/privacy_pia.htm">http://www.uspto.gov/web/doc/privacy_pia.htm</a>	Yes	<a href="http://www.uspto.gov/web/doc/privacy_sorn.htm">http://www.uspto.gov/web/doc/privacy_sorn.htm</a>
<b>Details for Text Options:</b>					
Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.					
Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN.					
Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.					

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

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

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

a. If "no," please explain why?

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

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

b. If "no," please explain why?

FY07 has been a year of notable accomplishments for the USPTO Enterprise Architecture (UEA) program as USPTO continues to move forward with an EA program consistent with the Federal Enterprise Architecture guidance. The USPTO is following a comprehensive, building-block approach, in which the UEA:

- Finalized an overall PTO Enterprise Architecture.
- Completed an initial segment architecture which includes a transition strategy for records management.
- Established plans for completing multiple UEA segments during FY07 and FY08. These segments will include transition strategies.
- Formulated a preliminary Target Architecture and Transition Strategy in FY07 with plan to complete transition strategies and targets in FY08.

Formulating a Transition Plan is an iterative process involving multiple components. The OMB Exhibit 300 submittals for BY09 are being reviewed in the context of the overall UEA plan, major UEA components and the UEA segments. The overall EA framework, major components and segments are being used to formulate the Transition strategy and will be used to position the approved OMB 300 submittals in the UEA Transition Plan.

Specifics on UEA activities previously mentioned and additional accomplishments include:

- The UEA and all OMB 300 submittals are being aligned with the updated USPTO Strategic Plan.
- The EA Governance Board has been established and meets regularly to review IT investments.
- UEA Principles and Standards have been formulated.
- Segment Architectures being developed include:
  - Dissemination
  - General Counsel
  - External Affairs
  - Human Resources
  - Finance
  - CIO
  - Patents
  - Trademark
- The UEA team meets to incorporate the migration to e-Gov initiatives into the appropriate segment architectures. The USPTO HR business area has established a transition strategy for migrating to a Shared Service Center (SSC). A new SDLC has been created and CPIC process is being revised. The UEA program is being integrated with both processes.
- The UEA repository is being updated with current architecture data and is beginning to be used in support of the continuing UEA efforts.

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

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

<b>4. Service Component Reference Model (SRM) Table:</b>								
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 <a href="http://www.egov.gov">http://www.egov.gov</a> .								
Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
RAM	RAM is a mission critical system providing automated support and controls for the decentralized processing of: (1) all fees collected for products and services provided by the United States Patent and Trademark Office (USPTO), (2) debits and credits to customer deposit accounts, (3) and refunds.	Back Office Services	Financial Management	Billing and Accounting			No Reuse	48

Exhibit 300: USPTO Revenue Accounting and Management System (RAM) (Revision 16)

**4. Service Component Reference Model (SRM) Table:**

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

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
	RAM maintains detailed information for these activities and updates the primary financial system on a daily basis.							
RAM	RAM is a mission critical system providing automated support and controls for the decentralized processing of: (1) all fees collected for products and services provided by the United States Patent and Trademark Office (USPTO), (2) debits and credits to customer deposit accounts, (3) and refunds. RAM maintains detailed information for these activities and updates the primary financial system on a daily basis.	Back Office Services	Financial Management	Credit / Charge			No Reuse	47
OFIS	The purpose of OFIS is to develop an automated document management system to provide the capabilities of scanning, indexing, retrieving, searching the documents, accessing to users via the Patent and Trademark Office (PTO) Intranet.	Digital Asset Services	Document Management	Document Imaging and OCR			No Reuse	1
OFIS	The purpose of OFIS is to develop an automated document management system to provide the capabilities of scanning, indexing, retrieving, searching the documents, accessing to users via the Patent and Trademark Office (PTO) Intranet.	Digital Asset Services	Document Management	Document Referencing			No Reuse	1
OFIS	The purpose of OFIS is to develop an automated document	Digital Asset Services	Document Management	Indexing			No Reuse	1

Exhibit 300: USPTO Revenue Accounting and Management System (RAM) (Revision 16)

<b>4. Service Component Reference Model (SRM) Table:</b> 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 <a href="http://www.egov.gov">http://www.egov.gov</a> .								
Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
	management system to provide the capabilities of scanning, indexing, retrieving, searching the documents, accessing to users via the Patent and Trademark Office (PTO) Intranet.							
OFIS	The purpose of OFIS is to develop an automated document management system to provide the capabilities of scanning, indexing, retrieving, searching the documents, accessing to users via the Patent and Trademark Office (PTO) Intranet.	Digital Asset Services	Document Management	Library / Storage			No Reuse	1
OFIS	The purpose of OFIS is to develop an automated document management system to provide the capabilities of scanning, indexing, retrieving, searching the documents, accessing to users via the Patent and Trademark Office (PTO) Intranet.	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	1

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

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

c. 'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

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

<b>5. Technical Reference Model (TRM) Table:</b> To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.				
FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Credit / Charge	Service Interface and Integration	Integration	Middleware	Protobase

Exhibit 300: USPTO Revenue Accounting and Management System (RAM) (Revision 16)

<b>5. Technical Reference Model (TRM) Table:</b>				
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.				
<b>FEA SRM Component (a)</b>	<b>FEA TRM Service Area</b>	<b>FEA TRM Service Category</b>	<b>FEA TRM Service Standard</b>	<b>Service Specification (b) (i.e., vendor and product name)</b>
Indexing	Service Platform and Infrastructure	Database / Storage	Database	Documentum
Document Referencing	Service Platform and Infrastructure	Database / Storage	Database	Documenum
Library / Storage	Service Platform and Infrastructure	Database / Storage	Database	ORACLE
Billing and Accounting	Service Platform and Infrastructure	Database / Storage	Database	ORACLE
Billing and Accounting	Service Platform and Infrastructure	Delivery Servers	Application Servers	Webshere Application Server
Information Retrieval	Service Platform and Infrastructure	Delivery Servers	Web Servers	iPlanet Web Server
Document Imaging and OCR	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Kodak Scanner 3500
Billing and Accounting	Service Platform and Infrastructure	Software Engineering	Modeling	Advantage: Gen
Document Imaging and OCR	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows 2003

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

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

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

a. If "yes," please describe.

Current RAM application can be accessed through FirstGov Portal under "Patent and Trademark Office" at URL: <https://rams.uspto.gov/eram/>

<b>Exhibit 300: Part II: Planning, Acquisition and Performance Information</b>
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**Section A: Alternatives Analysis (All Capital Assets)**

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

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

1. Did you conduct an alternatives analysis for this project?      Yes
  - a. If "yes," provide the date the analysis was completed?      4/27/2006
  - b. If "no," what is the anticipated date this analysis will be completed?
  - c. If no analysis is planned, please briefly explain why:

**Section B: Risk Management (All Capital Assets)**

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

1. Does the investment have a Risk Management Plan?      Yes
  - a. If "yes," what is the date of the plan?      5/6/2006
  - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?      No
  - c. If "yes," describe any significant changes:

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

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

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

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

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

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748?      Yes
2. Is the CV% or SV% greater than +/- 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100)      No
  - a. If "yes," was it the CV or SV or both?
  - b. If "yes," explain the causes of the variance:
  - c. If "yes," describe the corrective actions:
3. Has the investment re-baselined during the past fiscal year?      No
  - a. If "yes," when was it approved by the agency head?

Exhibit 300: USPTO Revenue Accounting and Management System (RAM) (Revision 16)

4. Comparison of Initial Baseline and Current Approved Baseline

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

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date (mm/dd/yyyy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost (\$M)		Schedule (# days)	Cost (\$M)	
				Planned	Actual	Planned	Actual			
1	Adaptive and Corrective Maintenance to Legacy Revenue Accounting & Management System	6/30/2007	\$27.247086	6/30/2007	6/30/2007	\$27.247086	\$26.95709	0	\$0.289996	100%
2	Perfective Maintenance to Legacy Revenue Accounting & Management System	9/30/2007	\$7.690065	9/30/2007	9/30/2007	\$7.690065	\$9.81007	0	\$-2.120005	100%
3	Integration of Financial Profile Capability	1/30/2008	\$3.331359	1/30/2008	1/30/2008	\$3.331359		0		75%
4	Assessment and Study of Modernization	9/30/2007	\$0.848319	9/30/2007	9/30/2007	\$0.848319	\$0.53832	0	\$0.309999	100%
5	Incorporation of Pay.Gov	6/30/2008	\$1.07144	6/30/2008		\$1.07144				0%
6	Business Process Review for COTS	5/30/2008	\$0.5	5/30/2008		\$0.5				0%
7	RAM Mod. Phase 1; Front-end/Services Migration	12/30/2008	\$2.5	12/30/2008		\$2.5				0%
8	COTS Solicitation and Acquisition Management	10/30/2008	\$1.25	10/30/2008		\$1.25				0%