

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

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|---|---|
| 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 First Action System for Trademarks (FAST)   |
| 5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)   | 006-51-01-04-01-8019-00   |
| 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:  |   |
| <p>The United States Patent and Trademark Office (USPTO) initiated the First Action System for Trademarks (FAST) program to enable the USPTO to establish more efficient processes that support the business goal of optimizing Trademark Quality and timeliness. Implementing the FAST program allows USPTO to achieve and go well beyond its Strategic Plan objectives. The increased use of automation contributes directly to Commerce's Strategic Goal number 2: "Foster science and technological leadership by protecting intellectual property, enhancing technical standards, and advancing measurement science." FAST supports the expansion of electronic government by providing a single point of access for trademark application information. The FAST Program enhances the current manual trademark application processes with electronic processing and improves the maintenance of all the records associated with Trademark applications. Implementing the FAST Program gives the USPTO the opportunity to reduce operations costs, improve efficiency and quality through workload and process management, reduce pendency, increase visibility and control through improved management reporting capabilities, and support the expansion of the Trademark Work-at-Home program. FAST enables improved access to USPTO information by internal users and processing of trademark applications and registrations. FAST includes electronic workflow capabilities to distribute work items through well-defined processes and provides prompt and efficient communication with internal and external customers.</p> |   |
| 9. Did the Agency's Executive/Investment Committee approve this request?  | Yes   |
| 10. Did the Project Manager review this Exhibit?  | Yes   |
| 11. Contact information of Project Manager?   |   |
| a. What is the current FAC-P/PM certification level of the project/program manager?   | TBD   |
| 12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project?   | Yes   |
| a. Will this investment include electronic assets (including computers)?  | Yes   |
| b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)   | No  |
| 1. If "yes," is an ESPC or UESC being used to help fund this investment?  |   |
| 2. If "yes," will this investment meet sustainable design principles?   |   |
| 3. If "yes," is it designed to be 30% more energy efficient than relevant code?   |   |
| 13. Does this investment directly support one of the PMA initiatives?   | Yes   |
| If "yes," check all that apply:   | Expanded E-Government   |
| a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)?   | The FAST Exhibit 300 investment supports the President's goal of expanded e-government by allowing USPTO to share |

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(e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?) information more quickly and conveniently with the public, businesses, and other intellectual property offices. In addition, this investment will support the strategic goal of a citizen-centric e-Gov for Trademarks by providing for more efficient communication with the public and USPTO customers.

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).) Yes

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? U.S. Patent and Trademark Office - Trademarks

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

15. Is this investment for information technology? Yes

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

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance) Level 2

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

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

19. Is this a financial management system? No

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

1. If "yes," which compliance area:

2. If "no," what does it address?

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

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

Hardware	0
Software	0
Services	100
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? Yes

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

Title Senior Agency Official for Privacy

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval? Yes

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

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include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

<b>Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)</b>									
<i>(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)</i>									
	<b>PY-1 and earlier</b>	<b>PY 2007</b>	<b>CY 2008</b>	<b>BY 2009</b>	<b>BY+1 2010</b>	<b>BY+2 2011</b>	<b>BY+3 2012</b>	<b>BY+4 and beyond</b>	<b>Total</b>
Planning:	0	0	0	0					
Acquisition:	3.04119	1.09	0.95	0.95					
Subtotal Planning & Acquisition:	3.04119	1.09	0.95	0.95					
Operations & Maintenance:	7.40162	0.509	0.389	0.389					
<b>TOTAL:</b>	<b>10.44281</b>	<b>1.599</b>	<b>1.339</b>	<b>1.339</b>					
<b>Government FTE Costs should not be included in the amounts provided above.</b>									
Government FTE Costs	2.1665	0.49713	0.46913	0.55223					
Number of FTE represented by Costs:	0	5	5	5					

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

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

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

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

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

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

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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 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](http://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.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Improve examination quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory basis for which the Office refuses marks for registration for Final Office	5.80%	5.00%	5.90%
2005	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Improve examination quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory bases for which the Office refuses marks for registration for First Office Action	7.90%	7.50%	4.70%
2005	2.2 Protect intellectual property and	Mission and Business Results	Community and Social Services	Social Services	Disposal pendency from date of filing to	17.5	17.5	17.2

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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
	improve the patent and trademark system.				issuance of a notice of allowance, registration, or abandonment excluding suspended and inter partes proceedings			
2005	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Community and Social Services	Social Services	Disposal pendency from date of filing to issuance of a notice of allowance, registration, or abandonment including suspended and inter partes proceedings	20	20	19.6
2005	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Payments	Improve the efficiency of the trademark process as measured by the average cost of a trademark disposal compared to total trademark direct and indirect costs. Actual results are based on total expenditures and office disposals	701	701	677
2005	2.2 Protect Intellectual property and improve the patent and trademark system.	Mission and Business Results	Information and Technology Management	Information Management	Manage trademark applications electronically as measured by the percent of pending applications that are available as electronic records through TICRS	100%	100%	100%
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Improve examination quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory basis for which the Office refuses marks for registration for Final Office	6.50%	5.50%	3.4
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Community and Social Services	Social Services	Disposal pendency from date of filing to issuance of a notice of allowance, registration, or abandonment including suspended and inter partes proceedings.	18.8	18.8	18.6
2006	2.2 Protect intellectual property and improve the patent and trademark	Mission and Business Results	Information and Technology Management	Information Management	Manage trademark applications electronically as measured by the percent of	100%	99%	100%

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Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	system.				pending applications that are available as electronic records through TIGRS			
2007	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Improve examination quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory bases for which the Office refuses marks for registration for Final Office Action	6.50%	6.00%	tbd
2007	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Improve examination quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory bases for which the Office refuses marks for registration for First Office Action	6.50%	6.00%	tbd
2007	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Mission and Business Results	Financial Management	Payments	Improve the efficiency of the trademark process as measured by the average cost of a trademark disposal compared to total trademark direct and indirect costs. Actual results are based on total expenditures and office disposals	701	626	tbd
2007	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Processes and Activities	Productivity and Efficiency	Efficiency	Disposal pendency from date of filing to issuance of a notice of allowance, registration, or abandonment excluding suspended and inter partes proceedings.	16.3	14.9	tbd
2007	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Processes and Activities	Productivity and Efficiency	Efficiency	Disposal pendency from date of filing to issuance of a notice of allowance, registration, or abandonment including suspended and inter partes proceedings.	18.8	17.3	tbd
2007	2.1 Develop tools and capabilities that	Technology	Effectiveness	IT Contribution to Process, Customer, or	Trademark employees working from	260	280	tbd

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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
	improve the productivity, quality, dissemination, and efficiency of research.			Mission	home with the same access to USPTO systems they would have working in the Office			
2007	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Technology	Information and Data	Data Reliability and Quality	Manage trademark applications electronically as measured by the percent of pending applications that are available as electronic records through TICRS	100%	100%	tbd
2008	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Improve examination quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory bases for which the Office refuses marks for registration for Final Office Action	6.50%	5.50%	tbd
2008	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Improve examination quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory bases for which the Office refuses marks for registration for First Office Action	6.50%	5.50%	tbd
2008	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Mission and Business Results	Financial Management	Payments	Improve the efficiency of the trademark process as measured by the average cost of a trademark disposal compared to total trademark direct and indirect costs. Actual results are based on total expenditures and office disposals	701	621	tbd
2008	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Processes and Activities	Productivity and Efficiency	Efficiency	Disposal pendency from date of filing to issuance of a notice of allowance, registration, or abandonment excluding suspended and inter partes proceedings.	16.3	14.1	tbd
2008	2.1 Develop tools and capabilities that	Processes and Activities	Productivity and Efficiency	Efficiency	Disposal pendency from date of filing to	18.8	16.6	tbd

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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
	improve the productivity, quality, dissemination, and efficiency of research.				issuance of a notice of allowance, registration, or abandonment including suspended and inter partes proceedings.			
2008	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Trademark employees working from home with the same access to USPTO systems they would have working in the Office	260	300	tbd
2008	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Technology	Information and Data	Data Reliability and Quality	Manage trademark applications electronically as measured by the percent of pending applications that are available as electronic records through TICRS	100%	100%	tbd
2009	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Improve examination quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory bases for which the Office refuses marks for registration for Final Office Action	6.50%	5.00%	tbd
2009	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Improve examination quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory bases for which the Office refuses marks for registration for First Office Action	6.50%	5.00%	tbd
2009	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Mission and Business Results	Financial Management	Payments	Improve the efficiency of the trademark process as measured by the average cost of a trademark disposal compared to total trademark direct and indirect costs. Actual results are based on total expenditures and office disposals	701	tbd	tbd
2009	2.1 Develop tools and capabilities that	Processes and Activities	Productivity and Efficiency	Efficiency	Disposal pendency from date of filing to	16.3	13.4	tbd

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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
	improve the productivity, quality, dissemination, and efficiency of research.				issuance of a notice of allowance, registration, or abandonment excluding suspended and inter partes proceedings.			
2009	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Processes and Activities	Productivity and Efficiency	Efficiency	Disposal pendency from date of filing to issuance of a notice of allowance, registration, or abandonment including suspended and inter partes proceedings.	18.8	15.9	tbd
2009	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Trademark employees working from home with the same access to USPTO systems they would have working in the Office	260	320	tbd
2009	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Technology	Information and Data	Data Reliability and Quality	Manage trademark applications electronically as measured by the percent of pending applications that are available as electronic records through TICRS	100%	100%	tbd
2010	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Improve examination quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory bases for which the Office refuses marks for registration for Final Office Action	6.50%	4.50%	tbd
2010	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Improve examination quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory bases for which the Office refuses marks for registration for First Office Action	6.50%	4.50%	tbd
2010	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Mission and Business Results	Financial Management	Payments	Improve the efficiency of the trademark process as measured by the average cost of a trademark disposal compared to	701	tbd	tbd

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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
					total trademark direct and indirect costs. Actual results are based on total expenditures and office disposals			
2010	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Processes and Activities	Productivity and Efficiency	Efficiency	Disposal pendency from date of filing to issuance of a notice of allowance, registration, or abandonment excluding suspended and inter partes proceedings.	16.3	12.8	tbd
2010	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Processes and Activities	Productivity and Efficiency	Efficiency	Disposal pendency from date of filing to issuance of a notice of allowance, registration, or abandonment including suspended and inter partes proceedings.	18.8	15.3	tbd
2010	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Trademark employees working from home with the same access to USPTO systems they would have working in the Office	260	340	tbd
2010	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Technology	Information and Data	Data Reliability and Quality	Manage trademark applications electronically as measured by the percent of pending applications that are available as electronic records through TICRS	100%	100%	tbd
2011	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Improve examination quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory bases for which the Office refuses marks for registration for Final Office Action	6.50%	4.00%	tbd
2011	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Improve examination quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory bases for which the Office refuses marks for	6.50%	4.00%	tbd

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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
					registration for First Office Action			
2011	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Mission and Business Results	Financial Management	Payments	Improve the efficiency of the trademark process as measured by the average cost of a trademark disposal compared to total trademark direct and indirect costs. Actual results are based on total expenditures and office disposals	701	tbd	tbd
2011	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Processes and Activities	Productivity and Efficiency	Efficiency	Disposal pendency from date of filing to issuance of a notice of allowance, registration, or abandonment excluding suspended and inter partes proceedings.	16.3	12	tbd
2011	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Processes and Activities	Productivity and Efficiency	Efficiency	Disposal pendency from date of filing to issuance of a notice of allowance, registration, or abandonment including suspended and inter partes proceedings.	18.8	14.6	tbd
2011	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Trademark employees working from home with the same access to USPTO systems they would have working in the Office	260	360	tbd
2011	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Technology	Information and Data	Data Reliability and Quality	Manage trademark applications electronically as measured by the percent of pending applications that are available as electronic records through TICRS	100%	100%	tbd
2012	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Improve examination quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory bases for which the Office refuses marks for registration for Final Office Action	6.50%	4.00%	tbd
2012	2.1 Develop tools and	Customer Results	Service Quality	Accuracy of Service or	Improve examination	6.50%	4.00%	tbd

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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
	capabilities that improve the productivity, quality, dissemination, and efficiency of research.			Product Delivered	quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory bases for which the Office refuses marks for registration for First Office Action			
2012	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Mission and Business Results	Financial Management	Payments	Improve the efficiency of the trademark process as measured by the average cost of a trademark disposal compared to total trademark direct and indirect costs. Actual results are based on total expenditures and office disposals	701	tbd	tbd
2012	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Processes and Activities	Productivity and Efficiency	Efficiency	Disposal pendency from date of filing to issuance of a notice of allowance, registration, or abandonment excluding suspended and inter partes proceedings.	16.3	12	tbd
2012	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Processes and Activities	Productivity and Efficiency	Efficiency	Disposal pendency from date of filing to issuance of a notice of allowance, registration, or abandonment including suspended and inter partes proceedings.	18.8	14.6	tbd
2012	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Processes and Activities	Productivity and Efficiency	Efficiency	Disposal pendency from date of filing to issuance of a notice of allowance, registration, or abandonment including suspended and inter partes proceedings.	18.8	14.6	tbd
2012	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Trademark employees working from home with the same access to USPTO systems they would have working in the Office	260	360	Tbd
2012	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination,	Technology	Information and Data	Data Reliability and Quality	Manage trademark applications electronically as measured by the percent of pending	100%	100%	tbd

Exhibit 300: USPTO First Action System for Trademarks (FAST) (Revision 1)

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	and efficiency of research.				applications that are available as electronic records through TIGRS			
2013	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Improve examination quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory bases for which the Office refuses marks for registration for Final Office Action	6.50%	4.00%	tbd
2013	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Improve examination quality of Trademarks as indicated by the deficiency rate determined through an in-process review evaluation of the statutory bases for which the Office refuses marks for registration for First Office Action	6.50%	4.00%	tbd
2013	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Mission and Business Results	Financial Management	Payments	Improve the efficiency of the trademark process as measured by the average cost of a trademark disposal compared to total trademark direct and indirect costs. Actual results are based on total expenditures and office disposals	701	tbd	tbd
2013	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Processes and Activities	Productivity and Efficiency	Efficiency	Disposal pendency from date of filing to issuance of a notice of allowance, registration, or abandonment excluding suspended and inter partes proceedings.	16.3	12	tbd
2013	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination, and efficiency of research.	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Trademark employees working from home with the same access to USPTO systems they would have working in the Office	260	360	Tbd
2013	2.1 Develop tools and capabilities that improve the productivity, quality, dissemination,	Technology	Information and Data	Data Reliability and Quality	Manage trademark applications electronically as measured by the percent of pending	100%	100%	tbd

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	and efficiency of research.				applications that are available as electronic records through TICRS			

**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
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.

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
USPTO Trademark Processing System (TPS) (PTOT-001-00)	No	No	No, because the system does not contain, process, or transmit personally identifiable information.	No	This system is not a Privacy Act system of record.
<p><b>Details for Text Options:</b></p> <p>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.</p> <p>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.</p> <p>Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.</p>					

**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 PIA 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:

- oThe UEA and all OMB 300 submittals are being aligned with the updated USPTO Strategic Plan.
- oThe EA Governance Board has been established and meets regularly to review IT investments.
- oUEA Principles and Standards have been formulated.
- oSegment Architectures being developed include:
  - Dissemination
  - General Counsel
  - External Affairs
  - Human Resources
  - Finance
  - CIO
  - Patents
- Trademark
  - oThe 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.
  - oThe UEA repository is being updated with current architecture data and is beginning to be used in support of the continuing UEA efforts.

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

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

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

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Data Exchange	Support the interchange of information between multiple systems of applications; includes verification that transmitted data was received unaltered	Back Office Services	Data Management	Data Exchange			No Reuse	25
Reports	Supports the use of pre-conceived or pre-written reports	Business Analytical Services	Reporting	Standardized / Canned			No Reuse	25
Process Tracking	A front-end tool that allows for the electronic examination of applications, performs first action, and provides workflow capabilities	Process Automation Services	Tracking and Workflow	Process Tracking			No Reuse	25
Search	Support retrieval of records that satisfy specific query selection criteria	Support Services	Search	Query			No Reuse	25

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

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

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

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

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

FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Standardized / Canned	Component Framework	Business Logic	Platform Dependent	Microsoft .Net
Query	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Process Tracking	Service Platform and Infrastructure	Delivery Servers	Application Servers	WebSphere
Data Exchange	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	UNIX/HP
Standardized / Canned	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Window Server

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

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

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

a. If "yes," please describe.

<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?      7/31/2007
  - b. If "no," what is the anticipated date this analysis will be completed?
  - c. If no analysis is planned, please briefly explain why:

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

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

1. Does the investment have a Risk Management Plan?      Yes
  - a. If "yes," what is the date of the plan?      8/3/2007
  - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?      No
  - c. If "yes," describe any significant changes:
2. If there currently is no plan, will a plan be developed?
  - a. If "yes," what is the planned completion date?
  - b. If "no," what is the strategy for managing the risks?
3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:

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

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

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

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748?      Yes
2. Is the CV% or SV% greater than +/- 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100)      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 First Action System for Trademarks (FAST) (Revision 1)

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	FAST FY07 DME	9/30/2007	\$1.42888	9/30/2007	9/30/2007	\$1.42888	\$1.49	0	\$-0.06112	100%
2	FAST FY07 OM	9/30/2007	\$0.66725	9/30/2007	9/30/2007	\$0.66725	\$0.74666	0	\$-0.07941	100%
3	Deploy FAST 2.2 into production	5/30/2008	\$0.54	5/30/2008		\$0.54	\$0		\$0	0%
4	Initiate, develop and deploy post registration functionality	3/1/2009	\$1.54	3/1/2009		\$1.54	\$0		\$0	0%
5	Initiate, develop and deploy TQR functionality	9/30/2009	\$1.15	9/30/2009		\$1.15				0%