

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:

2. Agency:

Department of Commerce

3. Bureau:

Us Patent And Trademark Office

4. Name of this Capital Asset:

USPTO Patent File Wrapper (PFW) Program

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)

006-51-01-03-01-8018-00

6. What kind of investment will this be in FY 2010? (Please NOTE: Investments moving to O&M in FY 2010, with Planning/Acquisition activities prior to FY 2010 should not select O&M. These investments should indicate their current status.)

Mixed Life Cycle

7. What was the first budget year this investment was submitted to OMB?

FY2009

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

A scalable, enterprise, text-based, integrated system is needed to support the Office in the coming years; Patent File Wrapper (PFW) will support the overwhelming increases in filings, urgent needs for public access, and large changes in the examined technologies. PFW includes: Workflow (which replaces IFW messaging); Intelligent Text; Content Management. PFW addresses business process problems:

1. The present IFW system is limited to image documents and inefficient interfaces. Operational inefficiencies result from manual intervention to manipulate, post, and enter data within systems to track key patent processing and the necessity to engage in parallel task processing in plural legacy systems. Major benefits expected from PFW include minimization of indexing tasks, avoidance of double data entry, the ability to assure completion of work tasks, and avoidance of manual correspondence tasks with applicants.

2. Productivity delays resulting from workflow process and control limitations. The IFW messaging system causes productivity loss due to misrouted, lost, duplicative, and misunderstood messages, and lack of escalation and prioritization of critical tasks. The PFW workflow functionality will eliminate these current problems.

3. Inflexibility of the IFW system to meet remote access user needs (Hotelers). Hotelers require the ability to process, submit, and review Office Actions within an electronic format to avoid printing paper so as to submit for review and signatory approval. Since IFW is not integrated with OACS and PALM, an interim solution was created (electronic Red Folder). This adhoc system has capacity issues which cannot be overcome due to the constraints of the legacy. This functionality was added to OACS to address an urgent need, but has not integrated all of the legacy systems. ERF has does not have the capability to handle exception processing. PFW will replace all manual activities with a fully electronic process.

4. The IFW system does not support receipt of text requiring extensive data processing prior to publication. As the IFW system cannot process text data, the OCR contractor must convert the as filed patent application from image form into a composed text document prior to publication. PFW processing will allow the storage of text documents and allow upfront text capture that produces an associated reduction in processing time and costs for later publication.

Refer to OMB Rebaseline Justification in the resource library

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

Yes

a. If "yes," what was the date of this approval?

8/30/2006

10. Did the Project Manager review this Exhibit?

Yes

11. Contact information of Program/Project Manager?

Name

Phone Number

Email

a. What is the current FAC-P/PM (for civilian agencies) or DAWIA (for defense agencies) certification level of the program/project manager?

Waiver Issued

b. When was the Program/Project Manager Assigned?

5/15/2007

- c. What date did the Program/Project Manager receive the FAC-P/PM certification? If the certification has not been issued, what is the anticipated date for certification? 9/4/2009
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
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?) Facilitating multi-agency global collaboration with multiple countries and agencies (EPO, JPO, WIPO, etc). Accelerating deployment and integration of critical AISs. Improving delivery schedules, reliability, performance, security and the cost of all our AISs. Consolidating and eliminating systems. Ensuring Projects are within 10% of cost/schedule/performance objectives. Ensuring software licenses are negotiated enterprise-wide wherever possible. Prioritizing high priority modernization.
14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.) Yes
- a. If "yes," does this investment address a weakness found during a PART review? Yes
- b. If "yes," what is the name of the PARTed program? 10000046 - U.S. Patent and Trademark Office - Patents
- 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. In addition to the answer in 11(a), 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 2008 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 FFMI 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 FY2010 funding request for the following? (This should total 100%)

Hardware 1.53
 Software 3.67
 Services 72.12
 Other 22.68

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:

Name

Phone Number

Title Privacy Officer

E-mail

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 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 2008	CY 2009	BY 2010	BY+1 2011	BY+2 2012	BY+3 2013	BY+4 and beyond	Total
Planning:	14.49622	1.59015	2.04	1.8					
Acquisition:	7.61159	21.48233	17.80626	16.94403					
Subtotal Planning & Acquisition:	22.10781	23.07248	19.84626	18.74403					
Operations & Maintenance:	0	0	2.2186	3.31997					
TOTAL:	22.10781	23.07248	22.06486	22.06400					
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	1.10697	5.29744	7.37432	6.36152					
Number of FTE represented by Costs:	12	31	51	44					

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 FY2009 President's budget request, briefly explain those changes:

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

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

Contracts/Task Orders Table:															* Costs in millions	
Contract or Task Order Number	Type of Contract/ Task Order (In accordance with FAR Part 16)	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 FAC-C or DAWIA 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)
DOC50PAPTO501005	CPFF w/award term incentives	Yes	12/17/2004	12/17/2004	12/31/2012	15.60228	No	Yes	Yes	NA	Yes	Yes		marva.brown@uspto.gov	Level 2	Yes
DOC50PAPTO401006	CPFF	Yes	4/29/2004	7/1/2004	6/30/2009	1.98825	No	No	Yes	NA	No	Yes		chris.hannah@uspto.gov	Level 3	Yes
DOC43PAPTO509012	Fixed price	Yes	6/30/2005	6/30/2005	6/30/2009	0.7147	No	No	Yes	NA	No	Yes		hope.smith@uspto.gov	Level 2	Yes
DOC44PAPTO802055	T&M/Fixed labor rates	Yes	12/17/2007	12/17/2007	12/16/2012	0.06542	No	No	Yes	NA	No	Yes		chris.harris@uspto.gov	Level 2	Yes
DOC43PAPTO709010	T&M/Fixed labor rates	Yes	5/8/2007	5/8/2007	1/8/2009	0.36398	No	No	Yes	NA	No	Yes		chris.hannah@uspto.gov	Level 3	Yes
DOC46PAPTO802074	Fixed price	Yes	12/20/2007	12/20/2007	6/30/2009	1.55222	No	No	Yes	NA	No	Yes		hope.smith@uspto.gov	Level 2	Yes
DOC50PAPTO801026	T&M/Fixed labor rates	Yes	9/1/2008	9/1/2008	8/31/2013	32.66667	No	No	Yes	NA	Yes	Yes		sylvia.vandyke@uspto.gov	Level 3	Yes
DOC50PAPTO801027	T&M/Fixed labor rates	Yes	9/1/2008	9/1/2008	8/31/2013	32.66667	No	No	Yes	NA	Yes	Yes		sylvia.vandyke@uspto.gov	Level 3	Yes
DOC50PAPTO801028	T&M/Fixed labor rates	Yes	9/1/2008	9/1/2008	8/31/2013	32.66667	No	No	Yes	NA	Yes	Yes		sylvia.vandyke@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 Management reporting is required and implemented in all contracts where the contractors are engaged in development, modernization, and enhancement (DME) type work over \$200K and longer than 90 days in duration. Contracts with EVM reporting include the System Development and Integration (SDI) contract and the Infrastructure, Design, Engineering, Architecture, and Integration (IDEAI) contracts. Three contracts, the Information Technology Product Assurance, the IT Facilities Management, and IT End User Support contracts are support level of effort activities and will not require EVM.

3. Do the contracts ensure Section 508 compliance? Yes

a. Explain why not or how this is being done? All COTS software procured for this project and all software developed by PTO and its contractors are required to comply with Section 508 standards for accessibility. Per our SDLC methodology, all COTS software is tested for Section 508 compliance prior to being acquired -- this applies as well to new versions of COTS already in use. Also, Section 508 training is offered annually to all PTO employees and contractors, and applications developed in-house are tested for compliance before release.

4. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? Yes

a. If "yes," what is the date? 9/8/2008

1. Is it Current? Yes

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 the next President's Budget.

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Timeliness and Responsiveness	Response Time	% completion of designing prototyping system	0	100%	100%
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	% of systems retired	0	0	0
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Financial (Processes and Activities)	Savings and Cost Avoidance	% of Savings	0	0	0
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Efficiency	Interoperability	% replacement of the existing AISs.	0	0	0

Exhibit 300: USPTO Patent File Wrapper (PFW) Program (Revision 6)

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Integration	% of building prototype & system testing environment	0	100%	100%
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	% of systems retired	0	0	0
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Financial (Processes and Activities)	Savings and Cost Avoidance	% of Savings	0	0	0
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Efficiency	Interoperability	% replacement of the existing AISs.	0	0	0
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Quality	Accuracy of Service or Product Delivered	% of applications that take longer than 4 months for response to be mailed.	5.0%	4.3%	7.0%
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Economic Development	Intellectual Property Protection	Reduce the % of applications that exceed 4 months to publication from the Issue Fee Payment date.	7.6%	6.9%	5.2%
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Financial (Processes and Activities)	Savings and Cost Avoidance	% of rework due to lost messages	20.0%	17.6%	20.0%
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Efficiency	Interoperability	% replacement of the existing AISs.	0.0%	0.0%	0.0%
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Timeliness and Responsiveness	Response Time	% of applications that take longer than 4 months for response to be mailed.	Will use actuals from FY08	Will increase by 0.71% from FY08 Actuals	TBD
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Economic Development	Intellectual Property Protection	Reduce the % of applications that exceed 4 months to publication from the Issue Fee Payment date.	Will use actuals from FY08	Will increase by 0.66% from FY08 Actuals	TBD
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity	Productivity	% of rework due to lost messages	Will use actuals from FY08	Will increase by 2.43% from FY08 Actuals	TBD
2009	2.2 Protect intellectual property and improve the patent and trademark	Technology	Efficiency	Interoperability	% replacement of the existing AISs.	0	10.0%	TBD

Exhibit 300: USPTO Patent File Wrapper (PFW) Program (Revision 6)

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	system.							
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Timeliness and Responsiveness	Response Time	% of applications that take longer than 4 months for response to be mailed.	Will use actuals from FY09	Will increase by 0.71% from FY09 Actuals	TBD
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Economic Development	Intellectual Property Protection	Reduce the % of applications that exceed 4 months to publication from the Issue Fee Payment date.	Will use actuals from FY09	Will increase by 0.66% from FY09 Actuals	TBD
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity	Productivity	% of rework due to lost messages	Will use actuals from FY09	Will increase by 2.43% from FY09 Actuals	TBD
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Efficiency	Interoperability	% replacement of the existing AISs.	10%	30.0%	TBD

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

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
PFW V10.0	Yes	No	No, because this is not an operational system and PIA has not been addressed yet.	No	This system is not a Privacy Act system of record.
PFW V2.1	Yes	No	No, because this is not an operational system and PIA has not been addressed yet.	No	This system is not a Privacy Act system of record.
PFW V3.0	Yes	No	No, because this is not an operational system and PIA has not been addressed yet.	No	This system is not a Privacy Act system of record.
PFW V4.0	Yes	No	No, because this is not an operational system and PIA has not been addressed yet.	No	This system is not a Privacy Act system of record.
PFW V5.0	Yes	No	No, because this is not an operational system and PIA has not been addressed yet.	No	This system is not a Privacy Act system of record.
PFW V6.0	Yes	No	No, because this is not an operational system and PIA has not been addressed yet.	No	This system is not a Privacy Act system of record.
PFW V7.0	Yes	No	No, because this is not an operational system and PIA has not been addressed yet.	No	This system is not a Privacy Act system of record.
PFW V8.0	Yes	No	No, because this is not an operational system and PIA has not been addressed yet.	No	This system is not a Privacy Act system of record.
PFW V9.0	Yes	No	No, because this is not an operational system and PIA has not been addressed yet.	No	This system is not a Privacy Act system of record.
PTOC-009-00 SRA Contractor System	No	No	No, because the system does not contain, process, or transmit	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
			personally identifiable information.		
PTOC-010-00 General Dynamic (GD) 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.
PTOC-011-00 Project Performance Corporation (PPC) GSS 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.
PTOC-013-00 RTIS PDCAP Contractor System - Horsham	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
PTOC-016-00 SI International 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.
PTOC-018-00 Cardinal 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.
PTOC-019-00 Landon IP 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.
PTOP-005-00 Patent Capture and Application Processing System - Examination Support	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
PTOP-006-00 Patent Capture and Application Processing System - Capture and Initial Processing	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
PTOP-007-00 Patent Search System - Specialized Search and Retrieval (PSS-SS)	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
PTOP-008-00 Patent Search System - Primary Search and Retrieval (PSS-PS)	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
PTOP-009-00 USPTO Patent File Wrapper (PFW)	Yes	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
Details for Text Options:					
Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.					
Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN.					
Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.					

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

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

1. Is this investment included in your agency's target enterprise architecture? No

a. If "no," please explain why?

During FY08, USPTO has continued to move forward with an EA program consistent with the Federal Enterprise Architecture guidance and following a comprehensive, building-block approach, in which the USPTO Enterprise Architecture (UEA) program has:

* Completed two additional segment architectures (Dissemination and Human Resources) and updated the initial segment architecture (Records Management) that was completed in FY07. Each of these segments include a transition strategy.

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* Continued work on additional segment architectures that span the scope of the USPTO major business areas. Each of these segment architectures, when completed, will include a transition strategy.

* Formulated a draft UEA Transition Strategy, as part of our annual assessment. The strategy will be updated as the segment architectures are completed.

Specifics UEA activities previously mentioned and additional accomplishments include:

- * The UEA and the UEA segment architectures are being aligned with the updated USPTO Strategic Plan.
- * The EA Governance Board meets to review major IT investments.
- * UEA Principles and Standards have been formulated.

UEA Segment Architectures developed or being developed include:

- * Dissemination
- * General Counsel
- * External Affairs
- * Human Resources
- * Records Management
- * Finance
- * IT
- * Patents
- * Trademark

The UEA team works to incorporate the migration to e-Gov initiatives into the appropriate segment architectures. The USPTO HR segment architecture has established a transition strategy for migrating to an SSC approved by the HR-LOB.

A new SDLC and the CPIC process are being revised. The UEA governance process is being revised to align and integrate with both of these revised processes.

The UEA repository is being updated to reflect the segment architectures completed or under development and the repository is being used in support of the continuing UEA efforts.

The first EA survey instrument was created this year to determine a baseline for EA Value

2. Is this investment included in the agency's EA Transition Strategy? Yes

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

b. If "no," please explain why?

3. Is this investment identified in a completed and approved segment architecture? No

a. If "yes," provide the six digit code corresponding to the agency segment architecture. The segment architecture codes are maintained by the agency Chief Architect. For detailed guidance regarding segment architecture codes, please refer to <http://www.egov.gov>. 225-000

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)
Content Management	Manages the storage, maintenance and retrieval of documents and information of a system or website.	Back Office Services	Data Management	Data Classification			No Reuse	4
Enterprise Service Bus	Provides for the usage, processing and general administration of unstructured information.	Back Office Services	Data Management	Data Exchange			No Reuse	1
Content Management	Manages the storage, maintenance and retrieval of documents and information of a system or website.	Back Office Services	Data Management	Extraction and Transformation			No Reuse	4
Content	Manages the	Back Office	Data	Loading and			No Reuse	3

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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)
Management	storage, maintenance and retrieval of documents and information of a system or website.	Services	Management	Archiving				
Meta Data Management	Supports the maintenance and administration of data that describes data	Back Office Services	Data Management	Meta Data Management			No Reuse	1
Enterprise Integration Framework	Supports the communication between hardware/software applications and the activities associated with deployment of software applications	Back Office Services	Development and Integration	Data Integration			No Reuse	2
Enterprise Integration Framework	Supports the communication between hardware/software applications and the activities associated with deployment of software applications	Back Office Services	Development and Integration	Enterprise Application Integration			No Reuse	2
Enterprise Integration Framework	Supports the communication between hardware/software applications and the activities associated with deployment of software applications	Back Office Services	Development and Integration	Instrumentation and Testing			No Reuse	2
Enterprise Integration Framework	Supports the communication between hardware/software applications and the activities associated with deployment of software applications	Back Office Services	Development and Integration	Legacy Integration			No Reuse	2
Enterprise Integration Framework	Supports the communication between hardware/software applications and the activities associated with deployment of software applications	Back Office Services	Development and Integration	Software Development			No Reuse	2
Business Rules Engine	Defines the set of capabilities for the management of the enterprise processes that support an organization and its policies.	Business Management Services	Management of Processes	Business Rule Management			No Reuse	2
Online Help	Provides an electronic interface to customer assistance	Customer Services	Customer Initiated Assistance	Online Help			No Reuse	1
Content Management	Manages the storage, maintenance and retrieval of documents and information of a	Digital Asset Services	Content Management	Content Authoring			No Reuse	4

Exhibit 300: USPTO Patent File Wrapper (PFW) Program (Revision 6)

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)
	system or website.							
Content Management	Manages the storage, maintenance and retrieval of documents and information of a system or website.	Digital Asset Services	Content Management	Content Review and Approval			No Reuse	4
Content Management	Manages the storage, maintenance and retrieval of documents and information of a system or website.	Digital Asset Services	Content Management	Tagging and Aggregation			No Reuse	4
Content Management	Manages the storage, maintenance and retrieval of documents and information of a system or website.	Digital Asset Services	Document Management	Classification			No Reuse	4
Content Management	Manages the storage, maintenance and retrieval of documents and information of a system or website.	Digital Asset Services	Document Management	Document Conversion			No Reuse	4
Content Management	Manages the storage, maintenance and retrieval of documents and information of a system or website.	Digital Asset Services	Document Management	Document Imaging and OCR			No Reuse	4
Content Management	Manages the storage, maintenance and retrieval of documents and information of a system or website.	Digital Asset Services	Document Management	Document Referencing			No Reuse	4
Content Management	Manages the storage, maintenance and retrieval of documents and information of a system or website.	Digital Asset Services	Document Management	Document Review and Approval			No Reuse	4
Content Management	Manages the storage, maintenance and retrieval of documents and information of a system or website.	Digital Asset Services	Document Management	Document Revisions			No Reuse	4
Content Management	Manages the storage, maintenance and retrieval of documents and information of a system or website.	Digital Asset Services	Document Management	Indexing			No Reuse	4
Content Management	Manages the storage, maintenance and retrieval of documents and information of a system or	Digital Asset Services	Document Management	Library / Storage			No Reuse	4

Exhibit 300: USPTO Patent File Wrapper (PFW) Program (Revision 6)

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)
	website.							
Knowledge Management	Identifies, gathers, and transforms documents, reports and other sources into meaningful information	Digital Asset Services	Knowledge Management	Categorization			No Reuse	1
Knowledge Management	Identifies, gathers, and transforms documents, reports and other sources into meaningful information	Digital Asset Services	Knowledge Management	Information Mapping / Taxonomy			No Reuse	1
Knowledge Management	Identifies, gathers, and transforms documents, reports and other sources into meaningful information	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	1
Knowledge Management	Identifies, gathers, and transforms documents, reports and other sources into meaningful information	Digital Asset Services	Knowledge Management	Information Sharing			No Reuse	1
Knowledge Management	Identifies, gathers, and transforms documents, reports and other sources into meaningful information	Digital Asset Services	Knowledge Management	Knowledge Capture			No Reuse	1
Knowledge Management	Identifies, gathers, and transforms documents, reports and other sources into meaningful information	Digital Asset Services	Knowledge Management	Knowledge Distribution and Delivery			No Reuse	1
Records Management	Stores, protects, archives, classifies, and retires documents and information	Digital Asset Services	Records Management	Digital Rights Management			No Reuse	1
Records Management	Stores, protects, archives, classifies, and retires documents and information	Digital Asset Services	Records Management	Document Classification			No Reuse	1
Records Management	Stores, protects, archives, classifies, and retires documents and information	Digital Asset Services	Records Management	Document Retirement			No Reuse	1
Records Management	Stores, protects, archives, classifies, and retires documents and information	Digital Asset Services	Records Management	Record Linking / Association			No Reuse	1
Tracking and workflow	Provides automatic monitoring and routing of documents to the users responsible for working on them	Process Automation Services	Routing and Scheduling	Inbound Correspondence Management			No Reuse	2

Exhibit 300: USPTO Patent File Wrapper (PFW) Program (Revision 6)

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)
	to support each step of the business cycle.							
Tracking and workflow	Provides automatic monitoring and routing of documents to the users responsible for working on them to support each step of the business cycle.	Process Automation Services	Routing and Scheduling	Outbound Correspondence Management			No Reuse	2
Tracking and workflow	Provides automatic monitoring and routing of documents to the users responsible for working on them to support each step of the business cycle.	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	2
Tracking and workflow	Provides automatic monitoring and routing of documents to the users responsible for working on them to support each step of the business cycle.	Process Automation Services	Tracking and Workflow	Conflict Resolution			No Reuse	2
Tracking and workflow	Provides automatic monitoring and routing of documents to the users responsible for working on them to support each step of the business cycle.	Process Automation Services	Tracking and Workflow	Process Tracking			No Reuse	2
Collaboration	Allows for the concurrent, simultaneous communication and sharing of content, schedules, messages and ideas within an organization.	Support Services	Collaboration	Document Library			No Reuse	1
Collaboration	Allows for the concurrent, simultaneous communication and sharing of content, schedules, messages and ideas within an organization.	Support Services	Collaboration	Task Management			No Reuse	2
Form Management	Supports the creation, modification, and usage of physical or electronic documents used to capture information within the business cycle.	Support Services	Forms Management	Forms Creation			No Reuse	1
Form Management	Supports the creation, modification, and usage of	Support Services	Forms Management	Forms Modification			No Reuse	1

Exhibit 300: USPTO Patent File Wrapper (PFW) Program (Revision 6)

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

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
	physical or electronic documents used to capture information within the business cycle.							
Search	Provides for the probing and lookup of specific data from a data source	Support Services	Search	Classification			No Reuse	1
Search	Provides for the probing and lookup of specific data from a data source	Support Services	Search	Query			No Reuse	1
Security Management	Protects an organization's information and information systems.	Support Services	Security Management	Access Control		006-51-02-00-03-8011-00	Internal	1
Security Management	Protects an organization's information and information systems.	Support Services	Security Management	Audit Trail Capture and Analysis		006-51-02-00-03-8011-00	Internal	1
Security Management	Protects an organization's information and information systems.	Support Services	Security Management	Digital Signature Management		006-51-02-00-03-8011-00	Internal	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%.

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)
Business Rule Management	Component Framework	Business Logic	Platform Dependent Technologies	Business Rules Engine TBD
Document Library	Component Framework	Business Logic	Platform Dependent Technologies	Collaboration Tool TBD
Task Management	Component Framework	Business Logic	Platform Dependent Technologies	Collaboration Tool TBD
Indexing	Component Framework	Business Logic	Platform Dependent Technologies	Documentum Index Server 6.0
Inbound Correspondence Management	Component Framework	Business Logic	Platform Dependent Technologies	Documentum Process Analyze+E140r 6.0
Outbound Correspondence Management	Component Framework	Business Logic	Platform Dependent Technologies	Documentum Process Analyzer 6.0
Conflict Resolution	Component Framework	Business Logic	Platform Dependent Technologies	Documentum Process Analyzer 6.0
Case Management	Component Framework	Business Logic	Platform Dependent Technologies	Documentum Process Analyzer 6.0
Process Tracking	Component Framework	Business Logic	Platform Dependent Technologies	Documentum Process Analyzer 6.0

Exhibit 300: USPTO Patent File Wrapper (PFW) Program (Revision 6)

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)
Document Imaging and OCR	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Document Referencing	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Document Revisions	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Document Review and Approval	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Library / Storage	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Information Retrieval	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Information Mapping / Taxonomy	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Information Sharing	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Categorization	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Knowledge Capture	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Knowledge Distribution and Delivery	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Online Help	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Digital Rights Management	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Document Classification	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Document Retirement	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Record Linking / Association	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Classification	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Query	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Data Classification	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Content Authoring	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Case Management	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Content Review and Approval	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Tagging and Aggregation	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Classification	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Document Conversion	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Content Server 6.0
Extraction and Transformation	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Import Manager 6.0
Loading and Archiving	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Import Manager 6.0
Indexing	Component Framework	Business Logic	Platform Dependent Technologies	EMC Documentum Index Agent 6.0
Data Exchange	Component Framework	Business Logic	Platform Dependent Technologies	Enterprise Service Bus TBD
Forms Creation	Component Framework	Business Logic	Platform Dependent Technologies	Form Server TBD
Case Management	Component Framework	Business Logic	Platform Dependent Technologies	Form Server TBD
Forms Modification	Component Framework	Business Logic	Platform Dependent Technologies	Form Server TBD
Digital Signature Management	Component Framework	Security	Certificates / Digital Signatures	Microsoft Active Directory 2003
Access Control	Component Framework	Security	Supporting Security Services	Microsoft Active Directory 2003
Audit Trail Capture and Analysis	Component Framework	Security	Supporting Security Services	Microsoft Active Directory 2003
Identification and Authentication	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Microsoft Active Directory 2003
Enterprise Application Integration	Service Interface and Integration	Integration	Enterprise Application Integration	IBM Websphere MQ 6.0

Exhibit 300: USPTO Patent File Wrapper (PFW) Program (Revision 6)

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)
Instrumentation and Testing	Service Interface and Integration	Integration	Enterprise Application Integration	Rational Software Architect 7.0
Software Development	Service Interface and Integration	Integration	Enterprise Application Integration	Rational Software Architect 7.0
Legacy Integration	Service Interface and Integration	Integration	Middleware	IBM Websphere MQ 6.0
Data Integration	Service Interface and Integration	Integration	Middleware	IBM Websphere MQ 6.0
Meta Data Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle Corp. Oracle Database Enterprise 10G
Query	Service Platform and Infrastructure	Database / Storage	Database	Oracle Corp. Oracle Database Enterprise 10G
Data Classification	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Content Authoring	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Case Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Content Review and Approval	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Tagging and Aggregation	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Classification	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Document Conversion	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Document Imaging and OCR	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Document Referencing	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Document Revisions	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Document Review and Approval	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Indexing	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Library / Storage	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Information Retrieval	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Information Mapping / Taxonomy	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Information Sharing	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Categorization	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Knowledge Capture	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Online Help	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Document Classification	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Document Retirement	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Record Linking / Association	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Inbound Correspondence Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Outbound Correspondence Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Conflict Resolution	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Case Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Process Tracking	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Query	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM Websphere Application Server 6.1
Identification and Authentication	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2950

Exhibit 300: USPTO Patent File Wrapper (PFW) Program (Revision 6)

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)
Digital Signature Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2950
Meta Data Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2950
Inbound Correspondence Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2950
Outbound Correspondence Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2950
Conflict Resolution	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2950
Case Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2950
Process Tracking	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2950
Query	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2950
Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2950
Audit Trail Capture and Analysis	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dell PowerEdge 2950
Data Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Extraction and Transformation	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Loading and Archiving	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Content Authoring	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Case Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Content Review and Approval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Tagging and Aggregation	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Document Conversion	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Document Imaging and OCR	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Document Referencing	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Document Revisions	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Document Review and Approval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Indexing	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Library / Storage	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Legacy Integration	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Data Integration	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Information Mapping / Taxonomy	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Information Sharing	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Categorization	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Knowledge Capture	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Online Help	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Digital Rights Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Document Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595

Exhibit 300: USPTO Patent File Wrapper (PFW) Program (Revision 6)

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)
Document Retirement	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Record Linking / Association	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Query	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM P595
Data Classification	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Extraction and Transformation	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Loading and Archiving	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Content Authoring	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Case Management	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Content Review and Approval	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Tagging and Aggregation	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Classification	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Document Conversion	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Document Imaging and OCR	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Document Revisions	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Document Review and Approval	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Indexing	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Library / Storage	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Legacy Integration	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Data Integration	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Information Retrieval	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Information Mapping / Taxonomy	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Information Sharing	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Categorization	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Knowledge Capture	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Online Help	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Digital Rights Management	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Document Classification	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Document Referencing	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Document Retirement	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Record Linking / Association	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Classification	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Query	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Inbound Correspondence Management	Service Platform and Infrastructure	Support Platforms	Dependent Platform	Windows 2003
Outbound Correspondence Management	Service Platform and Infrastructure	Support Platforms	Dependent Platform	Windows 2003

Exhibit 300: USPTO Patent File Wrapper (PFW) Program (Revision 6)

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)
Conflict Resolution	Service Platform and Infrastructure	Support Platforms	Dependent Platform	Windows 2003
Case Management	Service Platform and Infrastructure	Support Platforms	Dependent Platform	Windows 2003
Process Tracking	Service Platform and Infrastructure	Support Platforms	Dependent Platform	Windows 2003
Access Control	Service Platform and Infrastructure	Support Platforms	Dependent Platform	Windows 2003
Audit Trail Capture and Analysis	Service Platform and Infrastructure	Support Platforms	Dependent Platform	Windows 2003
Identification and Authentication	Service Platform and Infrastructure	Support Platforms	Dependent Platform	Windows 2003
Digital Signature Management	Service Platform and Infrastructure	Support Platforms	Dependent Platform	Windows 2003
Meta Data Management	Service Platform and Infrastructure	Support Platforms	Independent Platform	Linux Linux 4.0
Query	Service Platform and Infrastructure	Support Platforms	Independent Platform	Linux Linux 4.0

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., USA.gov, Pay.Gov, etc)? No

a. If "yes," please describe.

Exhibit 300: Part II: Planning, Acquisition and Performance Information
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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? 7/29/2008
- b. If "no," what is the anticipated date this analysis will be completed?
- c. If no analysis is planned, please briefly explain why:
3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?
- a. What year will the investment breakeven? (Specifically, when the budgeted costs savings exceed the cumulative costs.)
4. What specific qualitative benefits will be realized?

6. Will the selected alternative replace a legacy system in-part or in-whole? Yes
- a. If "yes," are the migration costs associated with the migration to the selected alternative included in this investment, the legacy investment, or in a separate migration investment? This Investment
- b. If "yes," please provide the following information:

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? 5/20/2008
- b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? Yes
- c. If "yes," describe any significant changes:
- Risk Management Plan
- Incorporated Appendix B: PFW Issue Management Process
 - Enhanced Formatting
- Risk Registry
- Enhanced Legend
 - Replaced Custom Risk Categories with USPTO Categories (in alignment with OMB 300)
 - Added Approach Response with values "Avoid", "Accept", "Transfer" or "Mitigate"
 - Added "overflow" columns for historical Actions Taken
 - Added Phase column (denotes PFW program phase)
 - Added Release Impacted column (denotes PFW program release within a given phase)
 - Issue ID (cross-reference to Issues Log when a risk becomes a realized Issue)

Numerous risks that were rated as high were added to the PFW Risk Register since the last OMB 300 submission. Please see the PFW Risk Registry for details.

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

- a. If "yes," what is the planned completion date?
- b. If "no," what is the strategy for managing the risks?

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

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

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

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

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

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

- a. If "yes," was it the CV or SV or both? SV
- b. If "yes," explain the causes of the variance:

Schedule variance of greater than 10% is primarily due to the following: The PFW Phase 2 investment schedule that was approved by executive management, in May of 2007, anticipated that USPTO's established relationship with major contractors would allow for very minimal ramp-up time after phase initiation. However, the build up of resources was delayed by three months, partially due to management's decision to evaluate additional procurement options.

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

Although the schedule has been reviewed with the goal of decreasing the slippage, the nature of this phase of the investment and the specialized resource skills, including legacy system knowledge, does not accommodate fast-tracking or crashing as mitigation strategies. In order to avoid this risk in the future, Procurement Management is been an element of Phase 3 project planning currently under way. As this is not anticipated to be a trend or a recurring problem in future phases, it is felt that schedule variance at the end of the investment will be less than 10 percent.

3. Has the investment re-baselined during the past fiscal year? Yes

- a. If "yes," when was it approved by the agency head? 8/8/2008

Exhibit 300: USPTO Patent File Wrapper (PFW) Program (Revision 6)

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	Completion of Technology Study	11/30/2006	\$1.334635	11/30/2006	11/30/2006	\$0.743880	\$0.743880	0	\$0.000000	100%
2	Completion of Business and Technology Studies, and Infrastructure Hardware/Software Purchases. Application Architecture review, Program Management support, technical training, and Research and Development	3/31/2007	\$7.497886	3/31/2007	3/31/2007	\$9.330250	\$9.330250	0	\$0.000000	100%
3	Planning and Architecture for Foundation, GUI, Content Management, and Workflow and Hardware Acquisition			8/15/2007	9/29/2007	\$4.694940	\$3.947430	-45	\$0.747510	100%
4	Deployment of Version One of the Patent-Examiner Interface with Workflow Capability (Specifically Transfer Inquiry to 700 users), deployment of initial Infrastructure foundation, and Content Repository	2/29/2008	\$26.555360	7/31/2008		\$26.555360				75%
5	Deployment of Version One of the Patent-Examiner Interface with Workflow Capability (Specifically Transfer Inquiry to all 6,700 users), deployment of initial Infrastructure foundation, and Content Repository	11/30/2008	\$0.160680	10/30/2008		\$0.160680	\$0.000000		\$0.120510	75%
6	Deployment of PFW Client, replacing eDAN and MADRAS Clients, basic workflow migrate IFW Messaging functionality to PFW, New Case Assignment and Docketing with Master Docket. Provide RBAC GUI-User Role Mapping, Assign & Un-assign.	11/30/2008	\$10.602700	1/30/2009		\$10.602700	\$0.000000		\$5.301350	50%
7	View Application Text, PFW/IFW Synch, Migrate/Load Evidence copies, PFW Admin Part II, Final PFW	11/30/2008	\$3.052900	6/6/2009		\$3.052900	\$0.000000		\$0.763225	25%

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			
	GUI, Basic Workflow, Automated Work Items, begin IFW data and Message Migration, Doc Base (Repository), Begin Direct load of official content									
8	Phase 3 Planning	11/30/2008	\$1.483300	4/6/2009		\$1.483800				75%
12	Operations and Maintenance - FY 2009	9/30/2009	\$2.919210	9/30/2009		\$2.919210				0%
13	Operations and Maintenance - FY 2010	9/30/2010	\$4.184000	9/30/2010		\$4.184000				0%