

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 Business Continuity/Disaster Recovery Program (BC/DR)

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) 006-51-01-07-01-8008-00

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? FY2001 or earlier

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:

For over 200 years, the basic role of the USPTO has remained the same, that is, to promote the progress of science and the useful arts by securing for limited times to inventors the exclusive rights to their respective discoveries (Article 1, Section 8 of the United States Constitution). Through the issuance of patents, the USPTO encourages technological advancement by providing incentives to invent, invest in, and disclose new technology worldwide. Through the registration of trademarks, the agency assists businesses in protecting their investments, promoting goods and services, and safeguarding consumers against confusion and deception in the marketplace.

The Patent and Trademark organizations are moving rapidly to eliminate paper documents from their processes. Electronic communications are improving, encouraging more applicants to do business electronically in using Web-based systems. Both Patent and Trademark organizations have made significant progress in support of the long-term goal to create an e-government operation. The Trademark organization now relies exclusively on data submitted or captured electronically to support examination, publish documents, and issue registrations. This increased reliance on electronic systems presents other challenges to the USPTO in the event of an unplanned outage or disruption in processing.

To address this need, the USPTO has embarked on an aggressive, phased Business Continuity/Disaster Recovery (BC/DR) program. This investment provides funding for this program. The current phase of the program involves establishing a remote data bunker, which stores copies of mission critical data and programs. Subsequent phases of the program focus on modifying the USPTO's Automated Information Systems (AISs) to include failover and high availability capabilities, which will be implemented between the USPTO's IT-East and IT-West facilities on its Alexandria, Virginia campus to provide incremental protection in the event of a disaster or unplanned outage in one facility. The goal is to develop various AISs in stages of failover (cold, warm, and hot) which progressively reduce the time needed to recover from a disaster. These phases are a necessary precursor to the eventual establishment of a remote alternate processing site.

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

a. If "yes," what was the date of this approval? 9/15/2006

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? New Program Manager

b. When was the Program/Project Manager Assigned? 8/1/2008

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- 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? 9/30/2009
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
- 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?) Patent/trademark examiners rely on an automated infrastructure to process applications. The loss of critical systems at the USPTO would cost over \$5M a day in lost productivity and add pendency to the average 27-month patent and 18-month trademark pendency backlog. Data replication forms the basis for the reconstitution of those systems supporting e-Gov initiatives in the event of a failure of USPTO's production data center, resulting in the complete loss of the center for any period of time.
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.) No
- a. If "yes," does this investment address a weakness found during a PART review? No
- b. If "yes," what is the name of the PARTed program?
- c. If "yes," what rating did the PART receive?
15. Is this investment for information technology? Yes
- If the answer to Question 15 is "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.
- For information technology investments only:
16. What is the level of the IT Project? (per CIO Council PM Guidance) Level 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? No
1. If "yes," which compliance area:
2. If "no," what does it address?
- b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52
20. What is the percentage breakout for the total FY2010 funding request for the following? (This should total 100%)

Hardware 16.85
 Software 2.90
 Services 55.57
 Other 24.68

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:	0	0	0.75	0.75					
Acquisition:	29.72568	4	7.02542	1.201					
Subtotal Planning & Acquisition:	29.72568	4	7.77542	1.951					
Operations & Maintenance:	0.23985	0.54603	2.276	4.61141					
TOTAL:	29.96553	4.54603	10.05142	6.56241					
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	5.44319	1.695	1.863	2.05083					
Number of FTE represented by Costs:	45	13	14	14					

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)
IDEAI	T&M / Fixed labor rates	No	8/31/2008	9/30/2008	8/13/2008	3.53726	No	Yes	Yes	NA	Yes	Yes		sylvia.vandyke@uspto.gov	Level 3	Yes
DOC50PAPT0901004 (Capacity Planning)	Fixed Labor Rates	Yes	12/31/2008	2/1/2009	1/31/2010	2.19032	No	Yes	Yes	NA	Yes	Yes		sylvia.vandyke@uspto.gov	Level 3	Yes
DOC50PAPT0701024 (C&A)	Firm Fixed Price	Yes	5/1/2007	5/1/2007	4/30/2008	1.3	No	Yes	Yes	NA	Yes	Yes		chris.harris@uspto.gov	Level 1	Yes
DOC50PAPT201025 (FM-EUS)	N/A	Yes	7/1/2002	7/1/2002	6/30/2012	10.33717	No	Yes	Yes	NA	Yes	Yes		tomei.funderburk@uspto.gov	N/A	
DOC50PAPT0802055 PMO/Budget	Time and Material	Yes	12/17/2008	12/17/2008	12/16/2012	1.51597	No	Yes	Yes	NA	Yes	Yes		carol.lemieus@uspto.gov	Level 3	Yes
Doc50PAPT101003 (Iron Mountain)	Fixed Price (Lease)	Yes	1/1/2001	1/1/2001	12/31/2010	1.80253	No	Yes	No	NA	No	No		larry.mclaur@uspto.gov or / john.bardwell@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
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Customer Benefit	Customer Impact or Burden	Recovery from loss of data	Weeks	N/A	Not yet measured
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	% completion of Business Continuity and Contingency Plan	0	50	50
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Security and Privacy	Security	% completion of Certification and Accrediation of data bunkering facility	0	100	25
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Availability	Availability of backed up data at the data bunkering site	0	0	1%

Exhibit 300: USPTO Business Continuity/Disaster Recovery Program (BC/DR) (Revision 21)

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.	Technology	Reliability and Availability	Availability	Number of distributed systems deployed to remote facility	0	0	0
2008	2.2 Protect Intellectual property and improve the patent and trademark system.	Customer Results	Customer Benefit	Customer Impact or Burden	Recovery from loss of replicated data	Weeks	Days	
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	% completion of Business Impact Analysis (BIA)	50	75	
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Security and Privacy	Security	% completion of Certification and Accrediation of the Data Bunker facility	0	100	
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Availability	% of overall data backed up and available at the data bunkering site	0	20	
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Customer Benefit	Customer Impact or Burden	Recovery from loss of replicated data	Days	Hours	
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	% completion of revised Business Impact Analysis (BIA)	75	100	
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Security and Privacy	Security	% completion of Certification and Accrediation of the IT West West	0	100	
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Availability	% of of overall data backed up and available at the data bunkering site	20	100	
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Coverage	Service Efficiency	% of Business Unit customer approval/sign off of BIA table of Recovery Point Objective (RPO) and Recovery Time Objectives (RTO)	0	100	
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Disaster Management	Disaster Preparedness and Planning	% completion of revised Business Continuity and Contingency Plan (BCCP)	0	100	
2010	2.2 Protect intellectual property and improve the	Processes and Activities	Security and Privacy	Security	% completion of Re-Certification and Accrediation of the IT West	0	100	

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	patent and trademark system.				facility			
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Availability	Percentage of systems deployed to the IT West facility	0	5	

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
Data Storage Management System (DSMS)	Yes	No	The system is undergoing Certification and Accreditation, and a PIA will be conducted by September 30, 2008.	No	This system is not a Privacy Act system of records, as this system contains replicated data from other systems to support business continuity operations.
PTOI-008-00 Common Infrastructure System (CIS)	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
PTOI-013-00 Enterprise Windows System (EWS)	Yes	No	The system is undergoing Certification and Accreditation, and a PIA will be conducted by September 30, 2008.	No	This system is not a Privacy Act system of records, as this system transmit replicated data from other systems to support business continuity operations.
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
PTOT-001-00 Trademark Processing System (TPS)	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 records.

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? Yes

a. If "no," please explain why?

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

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

b. If "no," please explain why?

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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 includes a transition strategy.

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.

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>. 700-000

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)
Computers/Automation Management	Defines the set of capabilities that support the identification, upgrade, allocation and replacement of physical devices, including servers, storage and desktops, used to facilitate production and process-driven activities.	Back Office Services	Asset / Materials Management	Computers / Automation Management			No Reuse	25
Data Recovery	Defines the set of capabilities that support the restoration and stabilization of data sets to a consistent, desired state.	Back Office Services	Data Management	Data Recovery			No Reuse	25
Risk Management	Support the identification and probabilities or chances of hazards as they relate to a task, decision or long-term goal;	Business Management Services	Management of Processes	Risk Management			No Reuse	25

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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)
	includes risk assessment and risk mitigation							
Network Management	Defines the set of capabilities involved in monitoring and maintaining a communications network in order to diagnose problems, gather statistics and provide general usage.	Business Management Services	Organizational Management	Network Management			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)
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Ethernet Rover (Finisar ROVER2G181)
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Fibre Channel Rover (Finisar ROVER2G181)
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Monitoring Unit Chasis (Finisar XGIG-C041-M1)
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Monitoring Unit Blade (Finisar XGIG-4FG4G1)
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Monitoring Unit Fibre Channel Blade (Finisar XGIG-K70)
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Monitoring Unit Software (Finisar XGIG-C041)
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	NAS Gateway (NetApp V3070)
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Passive Monitoring Taps (Finisar HD42-TAP7030-111)
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	SAN Fabric Software (CISCO Fabric Manager)
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	SAN Fabric Switch (CISCO 9513)
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	SAN Router (CISCO 92161)
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Server Racks (Rittal)
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	Storage Device (IBM DS-4700)
Risk Management	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Host Bus Adapter (Qlogic)
Risk Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	SAN Replication Solution (Yotta Yotta)
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Server (DEL PowerEdge 1950)
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Server (Dell 2950s)
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Server (Dell 6850)

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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)
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Server (Hewlett Packard SuperDome)
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Server (IBM P-SERIES)
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Unisys Server Hardware (Dell)
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Unisys Server Software (Operating System)
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Network GB Aggregation Taps (Datacom Systems)
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Network Installation Support (NET100)
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Network Monitoring taps (Datacom Systems Model Number RMC-2)
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Network Probe (Finisar E-8PROBEFCX)
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Network Probe Software (Finisar E-8PROBEFCX-SW-M1 E-8PROBEFCX)
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Network Racks (Chatsworth)
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Network Router (CISCO)
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Network Sniffer (Network General NGC-DISTINF-KT)
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Network Sniffer Blade (Network General SCAK17ZASE)
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Network Sniffer Blade (Network General WS-X6748-GE-TX)
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Network Sniffer Software (Network General SMCME-AC)
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Telecommunications/WAN Leased Line (AT&T)

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

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? 9/15/2006
 - 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 No or in-whole?
 - 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?
 - 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? 8/15/2008
 - 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? Both

b. If "yes," explain the causes of the variance:

The percent cost and schedule variances are greater than 10% due to a schedule and budget modification delaying the start and completion of previous tasks.

While the overall investment's EVM to date has been substandard, starting in PY08 under new leadership and with a new phased strategy for completing the program's milestones which incorporates previous lessons learned, the EVM improved significantly.

The following are the EVM data for PY08 as of August 4, 2008:

EV= \$ 691,557.16
PV= \$ 717,562.21
AC= \$ 707,835.01
SPI= 0.96
SV= \$ (26,005.05)
CPI= 1.0
CV= \$ (101.83)

Notably the CPI and SPI are within normal thresholds and show that the overall health of the investment is improving. The CV and SV are within normal limits and are depicting a minor variation.

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

During last year's reporting cycle, the USPTO elected to realign the USPTO Business Continuity and Disaster Recovery (BC/DR) Program to meet the business modernization efforts in the OCIO Strategic Information Technology Plan. This realignment offered an agile solution that would deliver significant risk reduction to the USPTO strategic mission by improving data redundancy and incorporation of a secondary production center. As a result of ongoing CPIC reviews and evaluations of BC/DR throughout the year, it was determined that the investment was under-performing at a level that would be difficult to recoup or guarantee a measure of success in accomplishing the original vision.

OCIO determined at the executive level that optimal remediation would require re-scoping and re-baselining of the investment through a multi-phase approach including:

- Phase 1 - Establish Data Bunker at Boyers, PA
- Phase 2 - Develop AIS Failover Capability locally at Alexandria Campus
- Phase 3 - Establish High Availability Environment for Production Systems

3. Has the investment re-baselined during the past fiscal year? No

a. If "yes," when was it approved by the agency head?

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/yy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost (\$M)		Schedule (# days)	Cost (\$M)	
				Planned	Actual	Planned	Actual			
1	Purchase hardware for remote site	9/30/2006	\$6.820000	9/30/2006	9/30/2006	\$6.820000	\$3.760000	0	\$3.060000	100%
2	Procure/Install storage and data replication at Data Bunker	12/31/2006	\$14.250000	12/31/2006	4/30/2007	\$14.250000	\$12.020000	-120	\$2.230000	100%
3	Establish high speed connectivity and activate replication to data bunker.	9/30/2007	\$5.110000	9/30/2007	9/30/2007	\$5.110000	\$4.670000	0	\$0.440000	100%
4	Enhance production environment to support data replication and conduct analysis in support of future phases.	9/30/2008	\$5.351760	9/30/2008		\$5.351760				90%
5	Conduct Boyers PA Facility Renovations necessary to support Data Bunkering.	11/30/2008	\$0.329200	11/30/2008		\$0.329200				0%
6	Complete the Installation, Configuration, and Testing of the Replication Solution Components at the Alexandria VA location.	11/30/2008	\$0.158400	11/30/2008		\$0.158400				0%
7	Complete the Installation, Configuration, and Testing of the Replication Solution Components at the Data Bunker.	12/31/2008	\$0.158400	12/31/2008		\$0.158400				0%
8	Complete Data Replication of Windows/Unix/Local drive to the Data Bunker.	3/31/2009	\$0.316800	3/31/2009		\$0.316800				0%
9	Conduct preparatory work to the environment(s) in support of the Building-to-Building system failover including physical plant, network, storage, and server build outs.	6/30/2009	\$7.454720	6/30/2009		\$7.454720				0%
10	Conduct the first phase of the Building-to-Building system failover for selected mission critical systems including related software and hardware components.	9/30/2009	\$0.350100	9/30/2009		\$0.350100				0%
11	Conduct planning and analysis, including technical requirements acquisition strategy and associated	9/30/2009	\$0.420900	9/30/2009		\$0.420900				0%

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			
	funding in support of extending the AIS Building-to-Building system failover for the first tier of systems.									
12	Identify target high availability attributes and functional dependencies for all AISs and codify policies, procedures, and acquisition strategy.	9/30/2009	\$0.420900	9/30/2009		\$0.420900				0%
13	Extend the AIS Building-to-Building system failover for the remaining first tier systems.	3/31/2010	\$2.159010	3/31/2010		\$2.159010				0%
14	Conduct planning and analysis, including technical requirements acquisition strategy and associated funding in support of extending the AIS Building-to-Building system failover for the second tier of systems.	6/30/2010	\$0.779010	6/30/2010		\$0.779010				0%
15	Conduct planning and analysis including technical requirements acquisition strategy and associated funding for the implementation of high availability for tier one systems.	9/30/2010	\$0.779010	9/30/2010		\$0.779010				0%