

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 Consolidated Financial System (CFS)

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) 006-51-01-01-01-8001-00

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:

This investment maintains and enhances the USPTO's Consolidated Financial System (CFS) which is largely responsible for the USPTO's outstanding track record in financial management. In 2007, the USPTO received its 15th unqualified financial statement audit opinion and marked its 11th year with no material weaknesses identified in the internal control structure. USPTO has been able to meet the multitude of FSIO, Treasury, GAO, GSA, and OMB regulations focusing on financial management and e-Government. This investment leverages several COTS products, including a core financial system and acquisition system (Momentum Financials), a travel management system (Travel Manager), an activity based information system (ABIS built using the EPO tool), a corporate planning tool (CPT built using the Cognos tool), and an Enterprise Data Warehouse (EDW accessed using the Business Objects tool). In addition, this investment includes an internally developed application to automate the transportation subsidy program. With each of these applications, the CFS is in a position to support all requirements of the Financial Management processes from strategic planning, fiscal year planning, acquisitions, expenditures, cost accounting, etc.

In FY2009 the USPTO will replace Travel Manager with e-Travel to be compliant with this e-government initiative. The costs of that implementation are combined with the overall DOC costs in a separate Exhibit 300.

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

a. If "yes," what was the date of this approval? 9/11/2006

10. Did the Project Manager review this Exhibit? Yes

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? 10/1/2007

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

<p>b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)</p> <p>1. If "yes," is an ESPC or UESC being used to help fund this investment?</p> <p>2. If "yes," will this investment meet sustainable design principles?</p> <p>3. If "yes," is it designed to be 30% more energy efficient than relevant code?</p>	<p>No</p>
<p>13. Does this investment directly support one of the PMA initiatives?</p> <p>If "yes," check all that apply:</p>	<p>Yes</p> <p>Competitive Sourcing Expanded E-Government Financial Performance Budget Performance Integration</p>
<p>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?)</p>	<p>CPT budget/performance information is being added to the EDW for ease of integrating that information with the financial, HR, and production data already in the EDW. Momentum captures procurement details for analysis of similar items for competitive sourcing. CFS uses web-based technology and has a vendor self-service component that can be further leveraged for e-Procurement/Invoicing. Several financial performance indicators can be tracked through CFS workflow.</p>
<p>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.)</p> <p>a. If "yes," does this investment address a weakness found during a PART review?</p> <p>b. If "yes," what is the name of the PARTed program?</p> <p>c. If "yes," what rating did the PART receive?</p>	<p>No</p> <p>No</p>
<p>15. Is this investment for information technology?</p> <p>If the answer to Question 15 is "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.</p> <p>For information technology investments only:</p>	<p>Yes</p>
<p>16. What is the level of the IT Project? (per CIO Council PM Guidance)</p>	<p>Level 3</p>
<p>17. In addition to the answer in 11(a), what project management qualifications does the Project Manager have? (per CIO Council PM Guidance)</p>	<p>(1) Project manager has been validated as qualified for this investment</p>
<p>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)</p>	<p>No</p>
<p>19. Is this a financial management system?</p> <p>a. If "yes," does this investment address a FFMI compliance area?</p> <p>1. If "yes," which compliance area:</p> <p>2. If "no," what does it address?</p>	<p>Yes</p> <p>Yes</p> <p>The Consolidated Financial System (CFS) fully addresses all three compliance areas - Financial Systems Requirements; Accounting Standards and Standard General Ledger at the Transaction Level.</p>
<p>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</p> <p>Momentum Financials (MOMFN) Travel Manager (TM) Activity Based Information System (ABIS) Corporate Planning Tool (CPT) Enterprise Data Warehouse (EDW) Transit Subsidy System (TSS)</p>	

20. What is the percentage breakout for the total FY2010 funding request for the following? (This should total 100%)

Hardware	0.06
Software	8.26
Services	67
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:	0.021225	0	0	0					
Acquisition:	8.840567	1.337498	0	0					
Subtotal Planning & Acquisition:	8.861792	1.337498	0	0					
Operations & Maintenance:	47.593222	11.645914	11.439115	11.317211					
TOTAL:	56.455014	12.983412	11.439115	11.317211					
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	8.898132	2.480368	3.781047	3.708939					
Number of FTE represented by Costs:	78	18	20	20					

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: Due to several vacant Federal project manager positions and due to the USPTO having lower than expected actual fee collections, FY2008 projects were reduced.

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)
Delivery Order DOC43PAPTO709019	GSA Contract GS-35F-4797H	Yes	9/28/2007	10/1/2007	9/30/2012	40.000	No	Yes	No	NA	Yes	Yes		hope.smith@uspto.gov	Level 2	Yes
Delivery Order DOC43PAPTO709008	GSA Contract GS-35F-0634N	Yes	2/27/2007	5/29/2007	5/29/2012	4.693157	No	No	Yes	NA	Yes	Yes		marva.brown@uspto.gov	Level 2	Yes
Delivery Order DOC44PAPTO802110	GSA Contract GS-23F-9763H	Yes	1/31/2008	2/1/2008	9/30/2008	0.403266	No	No	Yes	NA	No	Yes		marva.brown@uspto.gov	Level 2	Yes
Task Order DOC56PAPTO802033	IDIQ Contract DOC50PAPTO501005	Yes	3/6/2008	3/1/2008	1/31/2009	0.22548	No	No	Yes	NA	Yes	Yes		marva.brown@uspto.gov	Level 2	Yes
Delivery Order DOC44PAPTO802108	GSA Contract GS-23F-9763H	Yes	1/29/2008	2/1/2008	12/31/2012	1.350736	No	No	Yes	NA	Yes	Yes		marva.brown@uspto.gov	Level 2	Yes
DOC50PAPT201006	CPAF Performance based	Yes	9/27/2002	10/1/2002	9/30/2008	72.213	No	Yes	Yes	NA	Yes	Yes		hope.smith@uspto.gov	Level 2	Yes
DOC50PAPT201026	CPAF Performance based	Yes	9/27/2002	10/1/2002	9/30/2008	56.425	No	Yes	Yes	NA	Yes	Yes		sylvia.vandyke@uspto.gov	Level 3	Yes
DOC50PAPTO401006	CPFF	Yes	4/29/2004	7/1/2004	6/30/2009	52.663	No	No	Yes	NA	No	Yes		chris.hannah@uspto.gov	Level 3	Yes

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

The contract vehicle utilized for the CFS project is a Fixed Price/Labor Delivery Order under the GSA schedule to the vendor CGI. At the time of the GSA award, earned value was not a requirement. The USPTO utilizes the GSA contract to procure software licensing and maintenance fees; as well as contractor support. Our efforts are strictly managed through the use of a detailed project plan, clearly defined deliverables, and weekly management meetings with contractor staff.

The current GSA contract will expire in September 2007. For the next contract vehicle, the Office of Finance plans to work closely with the Office of Procurement to insure that the contract is awarded as a Performance Based Contract with earned value management requirements included.

In addition, the Office of Finance is working closely with the Office of Procurement to recompetete the work for maintaining the ABIS and CPT projects. Our goal is to award a contract vehicle which is a Performance Based contract with earned value management requirements included as well.

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? 10/5/2006

1. Is it Current? No

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	Service Accessibility	Access	A Web based access to the Data Warehouse will facilitate querying enterprise data in general and increase frequency and efficiency of the application from any site.	0 users. No user have access via the Web.	Planned improvement will introduce Web-enabled technology expanding the service coverage via the Internet. Increase the number of users via the Web Intelligence	708 users
2006	2.2 Protect intellectual property and improve the patent and trademark	Customer Results	Service Accessibility	Access	Enable an additional access channel through which vendors are able to obtain	One access channel is currently available.	We are planning for one additional access channel.	The actual results will be collected and provided in FY07. Results will be tracked

Exhibit 300: USPTO Consolidated Financial System (CFS) (Revision 20)

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	system.				information concerning solicitations and submit responses electronically.			through reporting mechanisms throughout the year to support this statistic.
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Accounting	Number of reports and data standardization will improve by allowing the integration of different file types from other data sources and providing the ability to access these reports from a single entry point.	1,236 reports from multiple locations.	Planned improvement allows greater customization and access to reports in a fully Web deployed environment. It eliminates the need for the Report Library page currently in use. Number of reports will decrease due to the elimination of the report libr	1063 reports
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Reporting and Information	Number of responses to procurement opportunities will increase due to expanded vendor audience and types of procurement transactions available for electronic submission of responses.	Baseline measure of responses to procurement opportunities is currently being gathered and analyzed at this time.	We are planning for a 10% increase in responses to procurement opportunities once the new electronic channel for submission is implemented.	The actual results will be collected and provided in FY07. Results will be tracked through reporting mechanisms throughout the year to support this statistic.
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Financial (Processes and Activities)	Costs	Number of active users will increase due to a Web deployed EDW that integrates data from multiple sources to provide a one stop, unified access to USPTO's corporate data over the Web.	656 users.	Increase the number of active users by 10%.	708 users
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Financial (Processes and Activities)	Financial Management	Number of interface reconciliation items.	Baseline measure of reconciliation items is currently being gathered and analyzed at this time.	We are planning for a 25% decrease in the number of reconciliation items.	The actual results will be collected and provided in FY07. Results will be tracked through reporting mechanisms throughout the year to support this statistic.
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Efficiency	Interoperability	Number of means through which other IT or potential vendors can interact electronically with the USPTO.	Baseline measure of the number of means through which other IT or potential vendors can interact electronically with the USPTO is currently being gathered and analyzed at this time.	We are planning for one additional communication means through which vendors can interact electronically with the USPTO.	The actual results will be collected and provided in FY07. Results will be tracked through reporting mechanisms throughout the year to support this statistic.
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Efficiency	Technology Improvement	The number of application deployments will reduce due to the ability to self-install and self-update from a centralized	656 individual deployments.	Decrease the number of individual deployment by 90%.	25 individual deployments

Exhibit 300: USPTO Consolidated Financial System (CFS) (Revision 20)

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					server.			
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Access	A Web based access to the Data Warehouse will facilitate querying enterprise data in general and increase frequency and efficiency of the application from any site.	708 users	Web-enabled technology will expand the service coverage via the Internet. Increase the number of users via the Web Intelligence by 25 users.	812 Users
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Access	Enable an additional access channel through which vendors are able to obtain information concerning solicitations and submit responses electronically.	One access channel is currently available.	We are planning for one additional access channel.	The actual results will be collected and provided in FY08. Results will be tracked through reporting mechanisms throughout the year to support this statistic.
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Reporting and Information	Number of responses to procurement opportunities will increase due to expanded vendor audience and types of procurement transactions available for electronic submission of responses.	Baseline measure of responses to procurement opportunities is currently being gathered and analyzed at this time.	We are planning for an additional 10% increase in responses to procurement opportunities once the new electronic channel for submission is implemented.	The actual results will be collected and provided in FY08. Results will be tracked through reporting mechanisms throughout the year to support this statistic.
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Reporting and Information	Number of reports and data standardization will improve by allowing the integration of different file types from other data sources and providing the ability to access these reports from a single entry point via the PTO Intranet	1063 reports	Number of reports will increase by 10%	1234 Reports
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Financial (Processes and Activities)	Costs	Number of active users will increase due to a Web deployed EDW that integrates data from multiple sources to provide a one stop, unified access to USPTO's corporate data over the Web.	708 users	Increase the number of active users by 5%.	812 Users
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Financial (Processes and Activities)	Financial Management	Number of interface reconciliation items.	Baseline measure of reconciliation items is currently being gathered and analyzed at this time.	We are planning for an additional 10% decrease in the number of reconciliation items.	The actual results will be collected and provided in FY08. Results will be tracked through reporting mechanisms throughout the year to support this statistic.
2007	2.2 Protect intellectual property and improve the patent and	Technology	Efficiency	Interoperability	Number of means through which other IT systems or potential	Baseline measure of the number of means through which other IT	We are planning for one additional communication means for which	The actual results will be collected and provided in FY08. Results

Exhibit 300: USPTO Consolidated Financial System (CFS) (Revision 20)

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	trademark system.				vendors can interact electronically with the USPTO.	systems or potential vendors can interact electronically with the USPTO is currently being gathered and analyzed at this time.	vendors can electronically interact with the USPTO.	will be tracked through reporting mechanisms throughout the year to support this statistic.
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Efficiency	Technology Improvement	Data receive from the Revenue Accounting Management system will increase due to the daily loads performed from that system.	29 GB	Increase the data receive from RAM by 20 %	33 GB
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Access	Track number of employees using Smart Trip cards, as opposed to physical metro cards	300	Increase by 10%	
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Coverage	Service Efficiency	# of report and data standardization improvements	1234 Reports	Increase by 5%	
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Administrative Management	Facilities, Fleet, And Equipment Management	Incorporate new accounting rules and train new federal and contract employees to maintain unqualified financial statement audit opinion	Unqualified audit opinion	Unqualified audit opinion	Will be determined by the auditors in the Fall of 2010
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Reporting and Information	Decrease in the number of reconciliation items in the Monthly Reporting (Status of Funds and Compensation Projections)	No baseline is available because the application will be new this year.	Placeholder for planned improvement to the baseline.	
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Financial (Processes and Activities)	Costs	# of active users will increase due to a Web deployed EDW that integrates data from multiple sources to provide a one stop, unified access to USPTO's corporate data over the Web	812	Increase by 4%	Current value 865
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Financial (Processes and Activities)	Financial Management	Accuracy of transit subsidy requests	Currently, around 25 % of transit applications rejected due to incomplete/ inaccurate information.	Decrease by 2%	
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Efficiency	System Response Time	# of minutes/seconds required to obtain online report from Momentum Financials	4	Decrease by 10%	3.5
2008	2.2 Protect	Technology	Efficiency	Technology	Data received	33 GB	Increase by 10%	Current Value 37

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	intellectual property and improve the patent and trademark system.			Improvement	from the Revenue Accounting Management system will increase due to the daily loads performed from that system.			GB
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Access	Track number of employees using Smart Trip cards, as opposed to physical metro cards.	Will use actuals from previous year unless anomaly occurs	Increase by 10%	
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Coverage	Service Efficiency	# of report and data standardization improvements	Will use actuals from previous year unless anomaly occurs	Increase by 5%	
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Administrative Management	Facilities, Fleet, And Equipment Management	Incorporate new accounting rules and train new federal and contract employees to maintain unqualified financial statement audit opinion	Will use actuals from previous year unless anomaly occurs	Unqualified audit opinion	Will be determined by the auditors in the Fall of 2011
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Reporting and Information	Decrease in the number of reconciliation items in the Monthly Reporting (Status of Funds and Compensation Projections).	Will use actuals from previous year unless anomaly occurs	Placeholder for planned improvement to the baseline.	
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Financial (Processes and Activities)	Costs	# of active users will increase due to a Web deployed EDW that integrates data from multiple sources to provide a one stop, unified access to USPTO's corporate data over the Web.	Will use actuals from previous year unless anomaly occurs	Increase by 3.5%	
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Financial (Processes and Activities)	Financial Management	Accuracy of transit subsidy requests.	Will use actuals from previous year unless anomaly occurs	Decrease by 2%	
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Efficiency	System Response Time	# of minutes/seconds required to obtain online report from Momentum Financials	Will use actuals from previous year unless anomaly occurs	Decrease by 7.5%	
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Efficiency	Technology Improvement	Data received from the Revenue Accounting Management system will increase due to the daily loads performed from that system.	Will use actuals from previous year unless anomaly occurs	Increase by 7.5%	
2010	2.2 Protect intellectual property and	Customer Results	Service Accessibility	Access	Track number of employees using Smart Trip	Will use actuals from previous year unless	Increase by 10%	

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	improve the patent and trademark system.				cards, as opposed to physical metro cards.	anomaly occurs		
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Coverage	Service Efficiency	# of report and data standardization improvements	Will use actuals from previous year unless anomaly occurs	Increase by 3%	
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Administrative Management	Facilities, Fleet, And Equipment Management	Incorporate new accounting rules and train new federal and contract employees to maintain unqualified financial statement audit opinion	Will use actuals from previous year unless anomaly occurs	Unqualified audit opinion	Will be determined by the auditors in the Fall of 2012
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Reporting and Information	Decrease in the number of reconciliation items in the Monthly Reporting (Status of Funds and Compensation Projections).	Will use actuals from previous year unless anomaly occurs	Placeholder for planned improvement to the baseline.	
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Financial (Processes and Activities)	Costs	# of active users will increase due to a Web deployed EDW that integrates data from multiple sources to provide a one stop, unified access to USPTO's corporate data over the Web.	Will use actuals from previous year unless anomaly occurs	Increase by 3.0%	
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Financial (Processes and Activities)	Financial Management	Accuracy of transit subsidy requests.	Will use actuals from previous year unless anomaly occurs	Decrease by 2%	
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Efficiency	System Response Time	# of minutes/seconds required to obtain online report from Momentum Financials	Will use actuals from previous year unless anomaly occurs	Decrease by 5%	
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Efficiency	Technology Improvement	Data received from the Revenue Accounting Management system will increase due to the daily loads performed from that system.	Will use actuals from previous year unless anomaly occurs	Increase by 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
PTOC-001-00 Core Financial System (CFS)	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm

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
PTOC-003-00 Enterprise Data Warehouse	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
PTOC-009-00 SRA 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-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.
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?

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 Management
- IT
- Patents
- Trademark

Exhibit 300: USPTO Consolidated Financial System (CFS) (Revision 20)

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>. 600-000

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)
Momentum Financials (MOMFN)	This application provides all the major facets of Federal financial accounting and acquisition management. Momentum Financials subsystems include the general ledger, acquisitions, planning, accounts payable, accounts receivable, automated disbursements, travel accounting, external reports, fixed assets management, vendor self-service, and the central contractor registry connector	Back Office Services	Asset / Materials Management	Asset Cataloging / Identification			No Reuse	2
EDW	EDW is a COTS application that enables USPTO to track understand and manage enterprise performance. The agency's solutions leverage the information stored in an array of corporate databases	Back Office Services	Data Management	Data Mart			No Reuse	2
EDW	EDW is a COTS application that enables USPTO to track understand and manage enterprise performance. The agency's solutions leverage the information stored in an array of corporate	Back Office Services	Data Management	Data Warehouse			No Reuse	10

Exhibit 300: USPTO Consolidated Financial System (CFS) (Revision 20)

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)
	databases.							
EDW	EDW is a COTS application that enables USPTO to track understand and manage enterprise performance. The agency's solutions leverage the information stored in an array of corporate databases.	Back Office Services	Development and Integration	Data Integration			No Reuse	6
ABIS	This application provides all the major facets of Federal financial accounting and acquisition management. Momentum Financials subsystems include the general ledger, acquisitions, planning, accounts payable, accounts receivable, automated disbursements, travel accounting, external reports, fixed assets management, vendor self-service, and the central contractor registry connector	Back Office Services	Financial Management	Activity-Based Management			No Reuse	2
Momentum Financials (MOMFN)	This application provides all the major facets of Federal financial accounting and acquisition management. Momentum Financials subsystems include the general ledger, acquisitions, planning, accounts payable, accounts receivable, automated disbursements, travel accounting, external reports, fixed assets management, vendor self-service, and the central contractor registry connector	Back Office Services	Financial Management	Auditing			No Reuse	6
Momentum Financials (MOMFN)	This application provides all the major facets of Federal financial	Back Office Services	Financial Management	Billing and Accounting			No Reuse	10

Exhibit 300: USPTO Consolidated Financial System (CFS) (Revision 20)

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)
	accounting and acquisition management. Momentum Financials subsystems include the general ledger, acquisitions, planning, accounts payable, accounts receivable, automated disbursements, travel accounting, external reports, fixed assets management, vendor self-service, and the central contractor registry connector							
Momentum Financials (MOMFN)	This application provides all the major facets of Federal financial accounting and acquisition management. Momentum Financials subsystems include the general ledger, acquisitions, planning, accounts payable, accounts receivable, automated disbursements, travel accounting, external reports, fixed assets management, vendor self-service, and the central contractor registry connector	Back Office Services	Financial Management	Expense Management			No Reuse	10
Momentum Financials (MOMFN)	This application provides all the major facets of Federal financial accounting and acquisition management. Momentum Financials subsystems include the general ledger, acquisitions, planning, accounts payable, accounts receivable, automated disbursements, travel accounting, external reports, fixed assets management, vendor self-	Back Office Services	Financial Management	Internal Controls			No Reuse	6

Exhibit 300: USPTO Consolidated Financial System (CFS) (Revision 20)

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)
	service, and the central contractor registry connector							
Momentum Financials (MOMFN)	This application provides all the major facets of Federal financial accounting and acquisition management. Momentum Financials subsystems include the general ledger, acquisitions, planning, accounts payable, accounts receivable, automated disbursements, travel accounting, external reports, fixed assets management, vendor self-service, and the central contractor registry connector	Back Office Services	Financial Management	Payment / Settlement			No Reuse	5
Momentum Financials (MOMFN)	This application provides all the major facets of Federal financial accounting and acquisition management. Momentum Financials subsystems include the general ledger, acquisitions, planning, accounts payable, accounts receivable, automated disbursements, travel accounting, external reports, fixed assets management, vendor self-service, and the central contractor registry connector	Back Office Services	Financial Management	Payroll			No Reuse	5
TM	Support the transit and mobility of an organization's employees for business purposes	Back Office Services	Human Resources	Travel Management			No Reuse	2
EDW	EDW is a COTS application that enables USPTO to track understand and manage enterprise performance. The agency's	Business Analytical Services	Business Intelligence	Decision Support and Planning			No Reuse	5

Exhibit 300: USPTO Consolidated Financial System (CFS) (Revision 20)

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)
	solutions leverage the information stored in an array of corporate databases.							
EDW	This application provides all the major facets of Federal financial accounting and acquisition management. Momentum Financials subsystems include the general ledger, acquisitions, planning, accounts payable, accounts receivable, automated disbursements, travel accounting, external reports, fixed assets management, vendor self-service, and the central contractor registry connector	Business Analytical Services	Reporting	Ad Hoc			No Reuse	5
EDW	EDW is a COTS application that enables USPTO to track understand and manage enterprise performance. The agency's solutions leverage the information stored in an array of corporate databases.	Business Analytical Services	Reporting	OLAP			No Reuse	2
EDW	EDW is a COTS application that enables USPTO to track understand and manage enterprise performance. The agency's solutions leverage the information stored in an array of corporate databases.	Business Analytical Services	Reporting	Standardized / Canned			No Reuse	10
Momentum Financials (MOMFN)	This application provides all the major facets of Federal financial accounting and acquisition management. Momentum Financials subsystems include the general ledger, acquisitions,	Business Management Services	Supply Chain Management	Invoice / Requisition Tracking and Approval			No Reuse	2

Exhibit 300: USPTO Consolidated Financial System (CFS) (Revision 20)

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)
	planning, accounts payable, accounts receivable, automated disbursements, travel accounting, external reports, fixed assets management, vendor self-service, and the central contractor registry connector							
Momentum Financials (MOMFN)	This application provides all the major facets of Federal financial accounting and acquisition management. Momentum Financials subsystems include the general ledger, acquisitions, planning, accounts payable, accounts receivable, automated disbursements, travel accounting, external reports, fixed assets management, vendor self-service, and the central contractor registry connector	Business Management Services	Supply Chain Management	Ordering / Purchasing			No Reuse	2
Momentum Financials (MOMFN)	This application provides all the major facets of Federal financial accounting and acquisition management. Momentum Financials subsystems include the general ledger, acquisitions, planning, accounts payable, accounts receivable, automated disbursements, travel accounting, external reports, fixed assets management, vendor self-service, and the central contractor registry connector	Business Management Services	Supply Chain Management	Procurement			No Reuse	2
EDW	EDW is a COTS application that enables USPTO to track	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	2

Exhibit 300: USPTO Consolidated Financial System (CFS) (Revision 20)

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)
	understand and manage enterprise performance. The agency's solutions leverage the information stored in an array of corporate databases.							
EDW	EDW is a COTS application that enables USPTO to track understand and manage enterprise performance. The agency's solutions leverage the information stored in an array of corporate databases.	Support Services	Search	Query			No Reuse	2
Active Directory	An advanced, hierarchical directory service that provides a variety of network services, including: LDAP-like[1][2] directory services Kerberos based authentication DNS based naming and other network information	Support Services	Security Management	Access Control			Internal	1
Active Directory	An advanced, hierarchical directory service that provides a variety of network services, including: LDAP-like[1][2] directory services Kerberos based authentication DNS based naming and other network information	Support Services	Security Management	Identification and Authentication			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%.

Exhibit 300: USPTO Consolidated Financial System (CFS) (Revision 20)

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)
Ad Hoc	Component Framework	Data Management	Reporting and Analysis	Oracle
Internal Controls	Component Framework	Data Management	Reporting and Analysis	Oracle
Asset Cataloging / Identification	Component Framework	Data Management	Reporting and Analysis	Oracle Server
Access Control	Component Framework	Security	Supporting Security Services	Active directory
Identification and Authentication	Component Framework	Security	Supporting Security Services	Active directory
Activity-Based Management	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Ordering / Purchasing	Service Access and Delivery	Delivery Channels	Internet	Internet Explorer
Invoice / Requisition Tracking and Approval	Service Access and Delivery	Delivery Channels	Internet	Momentum
Procurement	Service Access and Delivery	Delivery Channels	Internet	Momentum Vendor Self Service
Payment / Settlement	Service Access and Delivery	Service Transport	Service Transport	Sterling Commerce Connect: Direct
Information Retrieval	Service Interface and Integration	Integration	Middleware	Database Access: NET8
Procurement	Service Interface and Integration	Integration	Middleware	webMethods Integration Platform
Payroll	Service Interface and Integration	Interoperability	Data Transformation	Hyperion SQR Server
Billing and Accounting	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Expense Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Auditing	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Data Mart	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Query	Service Platform and Infrastructure	Database / Storage	Database	Oracle
OLAP	Service Platform and Infrastructure	Database / Storage	Database	Oracle Client
Ad Hoc	Service Platform and Infrastructure	Database / Storage	Database	Oracle Client
Standardized / Canned	Service Platform and Infrastructure	Database / Storage	Database	Oracle Client
Data Integration	Service Platform and Infrastructure	Database / Storage	Database	Oracle Server
Data Warehouse	Service Platform and Infrastructure	Database / Storage	Database	Oracle Server
Decision Support and Planning	Service Platform and Infrastructure	Delivery Servers	Application Servers	Business Objects 6.0 Server
Travel Management	Service Platform and Infrastructure	Delivery Servers	Web Servers	Weblogic Server
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Ethernet
Procurement	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Momentum SSL Accelerator
Payment / Settlement	Service Platform and Infrastructure	Support Platforms	Dependent Platform	Arcana Development adTempu
Payroll	Service Platform and Infrastructure	Support Platforms	Dependent Platform	Arcana Development adTempus
Information Retrieval	Service Platform and Infrastructure	Support Platforms	Dependent Platform	Windows Server

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

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

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

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? 3/6/2007
 - 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? 8/5/2008
 - 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?

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

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

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

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

Exhibit 300: USPTO Consolidated Financial System (CFS) (Revision 20)

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	FY06 Operations and Maintenance	9/30/2006	\$10.241160	9/30/2006	9/30/2006	\$10.241460	\$10.190000	0	\$0.051460	100%
2	FY07 Operations and Maintenance	9/30/2007	\$11.493890	9/30/2007	9/30/2007	\$11.493890	\$11.004850	0	\$0.489040	100%
3	FY08 Operations and Maintenance	9/30/2008	\$14.049390	9/30/2008	9/30/2008	\$14.049390	\$11.951536	0	\$2.097855	100%
4	FY09 Operations and Maintenance	9/30/2009	\$16.857600	9/30/2009		\$15.220162	\$0.000000		\$0.000000	0%
5	FY10 Operations and Maintenance	9/30/2010	\$14.366200	9/30/2010		\$15.026151	\$0.000000		\$0.000000	0%
10	Develop and Implement TSS (MetroChek and SmartTrip Requests for USPTO Employees)	2/15/2008	\$0.385650	2/15/2008	2/22/2008	\$0.385650	\$0.298544	-7	\$0.087107	100%
11	IT Strategic Planning (Roadmap)	12/31/2007	\$3.844940	7/15/2008	8/8/2008	\$0.500000	\$0.328576	-24	\$0.171425	100%
12	Budget Formulate-to-Execute (phase 1-CPT Centralized Budget Execution and Compensation Calculator, and Performance)	9/30/2010	\$9.312600	1/31/2008	8/5/2008	\$1.693060	\$1.895260	-187	-\$0.202200	100%
13	Record-to-Report (phase 1-Payroll Reports Clean-up)	9/30/2010	\$7.101310	9/30/2008	8/31/2008	\$0.250000	\$0.232104	30	-\$0.007104	90%
14	FMLoB Compliance (phase 1-Economic Analysis of Hosting Alternatives)	9/30/2010	\$1.100000	2/28/2008	3/20/2008	\$0.200000	\$0.192672	-21	\$0.007328	100%