

Exhibit 300: Part I: Summary Information and Justification (All Capital Assets)

I.A. Overview

1. Date of Submission:	12/29/2006
2. Agency:	Department of Commerce
3. Bureau:	US Patent and Trademark Office
4. Name of this Capital Asset:	USPTO Enterprise Data Warehouse (EDW)
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)	006-51-01-01-01-8003-00
6. What kind of investment will this be in FY2008? (Please NOTE: Investments moving to O&M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&M. These investments should indicate their current status.)	Mixed Life Cycle
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:	
<p>In 1997, to overcome data accessibility problems from multiple data sources, the United States Patent and Trademark Office (USPTO) developed the Enterprise Data Warehouse (EDW) as the primary source for financial management reporting using Business Objects as the reporting tool and Oracle 9i database. The EDW serves as the USPTO's only cross-functional reporting system and approximately 90% of the reports used to support financial management are generated from the EDW. The EDW resides inside the USPTO firewall and the Office of the Chief Information Officer maintains it. The EDW includes data sources from financial and non-financial applications such as Patent Application Location Monitoring, Revenue Accounting and Management, Activity Based Management/Cost Accounting, Office of Human Resources, Momentum Financials, Trademark (added in 2006) and Patent Examiner Job Application- JARS (added in 2006). The Financial Systems Division of the Office of Finance oversees the operations of the extract, transformation, and load via PL/SQL into a single EDW database. The EDW data is integrated in universes for the different subject areas. Finally reports are created using Business Objects for querying, reporting, and analysis of data. In 2006, to assist the Office of Civil Rights, EDW provided the capability to automate a series of Demographic Reports, referred to as the MD-715. The EDW has upgraded its COTS software, Business Object, to its Web enabled version, Business Objects XI R2. The BOXI R2 includes a secure, robust, open-architecture, business intelligence portal to allow EDW users to personalize how they view, manage, and distribute reports. This infrastructure allows creation of Digital Dashboards, executive information snapshots, template portal pages, cascading style sheets, and hierarchical categories that leverage role-based security. Since the EDW has different integrated subject areas, development activities or maintenance releases for any subject area are closely scrutinized to determine the overall impact of EDW security in accordance with the stringent certification and accreditation process, imposed by the USPTO. All enhancements to the EDW have been documented in the USPTO IT Strategic Plans and approved by the Agency Management Council.</p>	
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
12. Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.	No
a. Will this investment include electronic assets (including computers)?	No
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 support one of the PMA initiatives?	Yes
If "yes," check all that apply:	Competitive Sourcing, Financial Performance, Budget Performance Integration, Human Capital
13a. Briefly describe how this asset directly supports the identified initiative(s)?	Human Capital: provides timely, accurate data to managers to make effective Personnel decisions. Budget Performance Integration: links financial, personnel and patent data in one system. Improved Financial Management: supports the CFO Act Requirements and allows the USPTO to keep its audit track record. Competitive Sourcing: reports cost of activities at a level of detail sufficient to determine the full cost of in-house performance, allowing comparison to the private sector performance.
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 the PART review?	No
b. If "yes," what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?	
c. If "yes," what PART rating did it receive?	
15. Is this investment for information technology?	Yes
If the answer to Question: "Is this investment for information technology?" was "Yes," complete this sub-section. If the answer is "No," do not answer this sub-section.	
For information technology investments only:	
16. What is the level of the IT Project? (per CIO Council PM Guidance)	Level 1
17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance):	(1) Project manager has been validated as qualified for this investment
18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)?	No
19. Is this a financial management system?	Yes
a. If "yes," does this investment address a FFIA compliance area?	No
1. If "yes," which compliance area:	
2. If "no," what does it address?	This project supports the Management of Government Resources Line of Business from the FEA Business Reference Model and the following Sub-Functions: (a) Reporting and Information(b) Budget and Finance.
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	
Enterprise Data Warehouse EDW	
20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)	
Hardware	0
Software	0
Services	100
Other	0
21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?	N/A
22. Contact information of individual responsible for privacy related questions:	
Title	Privacy Officer

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

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 2006	CY 2007	BY 2008	BY + 1 2009	BY + 2 2010	BY + 3 2011	BY + 4 and Beyond	Total
Planning									
Budgetary Resources	0	0	0	0					
Acquisition									
Budgetary Resources	0	0.82669	0	0.1					
Subtotal Planning & Acquisition									
Budgetary Resources	0	0.82669	0	0.1					
Operations & Maintenance									
Budgetary Resources	9.74752	3.33932	2.8373	3.18725					
TOTAL									
Budgetary Resources	9.74752	4.16601	2.8373	3.28725					
Government FTE Costs									
Budgetary Resources	1.21482	0.66886	0.54655	0.72451					
Number of FTE represented by Costs:	0	6	5	6					

Note: For the cross-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
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a. If "yes," How many and in what year?

3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes:

The summary spending for this investment has changed from the FY2007 President's budget request due to re-prioritization and re-allocation of funds for new programs and initiatives. One driver for the difference is that a new Zero-Based Budget Formulation process was used for the FY2007/2008 Revalidation and Formulation cycle this year, which analyzed all IT-related activities in order to identify areas to improve operational efficiencies and produce a more accurate estimate of future funding requirements. Another reason is that OCIO planned for a larger Management Reserve in FY 2007 to account for unknowns. Finally, a new Capital Planning and Investment Control (CPIC) process was implemented this year. As a direct results additional planning and more rigorous cost estimations were done, creating more accurate budgeting and costing of programs and initiatives.

I.C. Acquisition/Contract Strategy

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:

Row Number	Contract or Task Order Number	Type of Contract/ Task Order	Has the contract been awarded?	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	Is this an Interagency Acquisition?	Is it performance based?	Competitively awarded?	What, if any, alternative financing option is being used?	Is EVM in the contract?	Does the contract include the required security and privacy clauses?	Name of CO	CO Contact information (phone/email)	Contracting Office or Certification Level	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?
1	DOC50PAP T201025	Time and Materials	Yes	7/3/2002	7/2/2002	6/30/2012	160.28	No	Yes	Yes	NA	No	Yes	Etzel, Page A.	page.etzel@uspto.gov	Level 3	Yes
2	DOC50PAP T0501005	Cost Plus Fixed Fee	Yes	12/17/2004	12/17/2004	12/31/2012	280.95	No	Yes	Yes	NA	No	Yes	Weibel, Richard	richard.weibel@uspto.gov	Level 2	Yes
3	DOC50PAP T0501004	Cost Plus Fixed Fee	Yes	12/17/2004	12/17/2004	12/31/2012	251.18	No	Yes	Yes	NA	No	Yes	Brown, Marva	marva.brown@uspto.gov	Level 3	Yes
4	DOC50PAP T201006	Cost Plus Award Fee	Yes	9/27/2002	10/1/2002	9/30/2007	72.21	No	Yes	Yes	NA	No	Yes	Smith, Hope	hope.smith@uspto.gov	Level 2	Yes
5	DOC50PAP T201026	Cost Plus Award Fee	Yes	9/27/2002	10/1/2002	9/30/2007	56.43	No	Yes	Yes	NA	No	Yes	Van Dyke, Sylvia	sylvia.vandyke@uspto.gov	Level 3	Yes
6	DOC50PAP T0401006	Cost Plus Fixed Fee	Yes	4/29/2004	7/1/2004	6/30/2009	39.19	No	No	Yes	NA	No	Yes	Hannah, Chris	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:

A proposed amendment to the Federal Acquisition Regulation (FAR Case 2004-019) to standardize EVM contract policy across the government was published in the Federal Register on April 8, 2005. The rule proposes standard EVMS provisions, a standard clause, and a requirement for acquisition plans to include the planning for conducting compliance reviews and Integrated Baseline Reviews. The current USPTO IT contracts listed in the previous table were negotiated in 2004 or earlier and do not include language requiring Earned Value. However, USPTO will make an attempt to renegotiate the existing contracts to build in an EVM reporting requirement. In addition, going forward USPTO will require Earned Value in all of its new or extended contracts.

3. Do the contracts ensure Section 508 compliance?	Yes
a. Explain why:	All applicable COTS software procured under this project and all software developed by USPTO contractors are required to be 508 compliant. In accordance with our LCM methodology, all software is tested for 508 compliance prior to release for production use.
4. Is there an acquisition plan which has been approved in accordance with agency requirements?	Yes
a. If "yes," what is the date?	10/1/2003
b. If "no," will an acquisition plan be developed?	
1. If "no," briefly explain why:	

I.D. Performance Information

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 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 Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

Performance Information Table 1:					
Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
2002	(1)Improve Reporting Performance; (2)Agility, Capability, and Productivity	Increase the number of active users by 25%	201 users	251 users	258 users
2002	(1)Improve decision-making capabilities; (2)Agility, Capability, and Productivity	Increase the number of queries performed by end user by 30%	28,313 queries	36,806 queries	48,629 queries
2002	(1)Improve Financial Performance;	Increase the number of users accessing the	150 users	188 users	200 users

	(2)Agility, Capability, and Productivity	Financial Subject Area by 25%			
2002	(1)Improve Patent Production Performance; (2)Agility Capability and Productivity	Increase the number of users accessing the Patent Subject Area by 25%	120 users	150 users	200 users
2003	(1)Improve Reporting Performance; (2)Agility, Capability, and Productivity	Increase the number of active users by 20%	258 users	309 users	568 users
2003	(1)Improve decision-making capabilities; (2)Agility, Capability, and Productivity	Increase the number of queries by 20%	48,629 queries	58,354 queries	64,398 queries
2003	(1)Improve Financial Performance; (2)Agility, Capability, and Productivity	Increase the number of users accessing the Financial Subject Area by 10%	200 users	220 users	364 users
2003	(1)Improve Patent Production Performance; (2)Agility Capability and Productivity	Increase the number of users accessing the Patent Subject Area by 10%	200 users	220 users	312 users
2004	(1)Improve Reporting Performance; (2)Agility, Capability, and Productivity	Increase the number of active users by 10%	568 users	625 users	653 users
2004	(1)Improve decision-making capabilities; (2)Agility, Capability, and Productivity	Increase the number of queries performed by end user by 20%	64,398 queries	77,278 queries	80,981 queries
2004	(1)Improve Financial Performance; (2)Agility, Capability, and Productivity	Increase the number of users accessing the Financial Subject Area by 10%	364 users	400 users	407 users
2004	(1)Improve Patent Production Performance; (2)Agility Capability and Productivity	Increase the number of users accessing the Patent Subject Area by 10%	312 users	343 users	343 users
2005	(1)Improve Reporting Performance; (2)Agility, Capability, and Productivity	Increase the number of active users by 5%	625 users	656 users	690 users

2005	(1)Improve decision-making capabilities; (2)Agility, Capability, and Productivity	Increase the number of queries performed by end user by 10%	77,278 queries	85,000 queries	95,000 queries
2005	(1)Improve Financial Performance; (2)Agility, Capability, and Productivity	Increase the number of users accessing the Financial Subject Area by 5%	400 users	425 users	428 users
2005	(1)Improve Patent Production Performance; (2)Agility Capability and Productivity	Increase the number of users accessing the Patent Subject Area by 5%	343 users	360 users	381 users
2006	1)Improve Reporting Performance; (2)Agility, Capability, and Productivity	Increase the number of active users by 5%	656 users	688 users	708 users
2006	(1)Improve decision-making capabilities; (2)Agility, Capability, and Productivity	Increase the number of queries performed by end user by 10%	85,000 queries	93,500 queries	208,372 queries
2006	(1)Improve Financial Performance; (2)Agility, Capability, and Productivity	Increase the number of users accessing the Financial Subject Area by 2%	425 users	433 users	415 users
2006	(1)Improve Patent Production Performance; (2)Agility Capability and Productivity	the number of users accessing the Patent Subject Area by 5%	360 users	378 users	388 users
2007	1)Improve Reporting Performance; (2)Agility, Capability, and Productivity	Increase the number of active users by 2%	688 users	736 users	
2007	(1)Improve decision-making capabilities; (2)Agility, Capability, and Productivity	Increase the number of queries performed by end user by 10%	93,500 queries	102,850 queries	
2007	(1)Improve Financial Performance; (2)Agility, Capability, and Productivity	Increase the number of users accessing the Financial Subject Area by 2%	414 users	422 users	
2007	(1)Improve Patent Production Performance;	the number of users accessing the Patent Subject	378 users	396 users	

	(2)Agility Capability and Productivity	Area by 2%			
2008	1)Improve Reporting Performance; (2)Agility, Capability, and Productivity	Increase the number of active users by 2%	736 users	750 users	
2008	(1)Improve decision-making capabilities; (2)Agility, Capability, and Productivity	Increase the number of queries performed by end user by 5%	102,850 queries	107,992 queries	
2008	(1)Improve Financial Performance; (2)Agility, Capability, and Productivity	Increase the number of users accessing the Financial Subject Area by 2%	422 users	430 users	
2008	(1)Improve Patent Production Performance; (2)Agility Capability and Productivity	the number of users accessing the Patent Subject Area by 2%	396 users	403 users	
2009	1)Improve Reporting Performance; (2)Agility, Capability, and Productivity	Increase the number of active users by 2%	750 users	765 users	
2009	(1)Improve decision-making capabilities; (2)Agility, Capability, and Productivity	Increase the number of queries performed by end user by 5%	107,992 queries	113,391 queries	
2009	(1)Improve Financial Performance; (2)Agility, Capability, and Productivity	Increase the number of users accessing the Financial Subject Area by 1%	430 users	434 users	
2009	(1)Improve Patent Production Performance; (2)Agility Capability and Productivity	the number of users accessing the Patent Subject Area by 2%	403 users	411 users	
2010	1)Improve Reporting Performance; (2)Agility, Capability, and Productivity	Increase the number of active users by 2%	765 users	780 users	
2010	(1)Improve decision-making capabilities; (2)Agility, Capability, and Productivity	Increase the number of queries performed by end user by 5%	113,391 queries	119,060 queries	

2010	(1)Improve Financial Performance; (2)Agility, Capability, and Productivity	Increase the number of users accessing the Financial Subject Area by 1%	434 users	438 users	
2010	(1)Improve Patent Production Performance; (2)Agility Capability and Productivity	the number of users accessing the Patent Subject Area by 2%	411 users	419 users	
2011	1)Improve Reporting Performance; (2)Agility, Capability, and Productivity	Increase the number of active users by 2%	780 users	795 users	
2011	(1)Improve decision-making capabilities; (2)Agility, Capability, and Productivity	Increase the number of queries performed by end user by 5%	119,060 queries	125,013 queries	
2011	(1)Improve Financial Performance; (2)Agility, Capability, and Productivity	Increase the number of users accessing the Financial Subject Area by 1%	438 users	442 users	
2011	(1)Improve Patent Production Performance; (2)Agility Capability and Productivity	the number of users accessing the Patent Subject Area by 2%	419 users	427 users	
2012	1)Improve Reporting Performance; (2)Agility, Capability, and Productivity	Increase the number of active users by 2%	795 users	810 users	
2012	(1)Improve decision-making capabilities; (2)Agility, Capability, and Productivity	Increase the number of queries performed by end user by 5%	125,013 queries	131,263 queries	
2012	(1)Improve Financial Performance; (2)Agility, Capability, and Productivity	Increase the number of users accessing the Financial Subject Area by 1%	442 users	446 users	
2012	(1)Improve Patent Production Performance; (2)Agility Capability and Productivity	the number of users accessing the Patent Subject Area by 2%	427 users	435 users	

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Please use Table 2 and the PRM

to identify the performance information pertaining to this major IT investment. 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 at least four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov.

Performance Information Table 2:

Fiscal Year	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
2006	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	Mission and Business Results	Financial Management	Accounting	Number or 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	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	Technology	Efficiency	Improvement	The number of application deployments will reduce due to the ability to self-install and	656 individual deployments.	Decrease the number of individual deployment by 90%.	25 individual deployments

				self-update from a centralized server.			
2007	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.	
2007	Mission and Business Results	Financial Management	Reporting and Information	Number or 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%	
2007	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%.	
2007	Technology	Efficiency	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 %	
2008	Customer Results	Service Accessibility	Access	A Web based access to the Data		Placeholder for planned improvement	

				Warehouse will facilitate querying enterprise data in general and increase frequency and efficiency of the application from any site.		to the baseline.	
2008	Mission and Business Results	Financial Management	Reporting and Information	Number or 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		Placeholder for planned improvement to the baseline.	
2008	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.		Placeholder for planned improvement to the baseline.	
2008	Technology	Efficiency	Improvement	Data receive from the Revenue Accounting Management system will increase due to the daily loads performed from that system.		Placeholder for planned improvement to the baseline.	
2009	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		Placeholder for planned improvement to the baseline.	

				the application from any site.			
2009	Mission and Business Results	Financial Management	Reporting and Information	Number or 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		Placeholder for planned improvement to the baseline.	
2009	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.		Placeholder for planned improvement to the baseline.	
2009	Technology	Efficiency	Improvement	Data receive from the Revenue Accounting Management system will increase due to the daily loads performed from that system.		Placeholder for planned improvement to the baseline.	
2010	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.		Placeholder for planned improvement to the baseline.	
2010	Mission and Business Results	Financial Management	Reporting and Information	Number or reports and data standardization will improve by		Placeholder for planned improvement to the baseline.	

				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			
2010	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.		Placeholder for planned improvement to the baseline.	
2010	Technology	Efficiency	Improvement	Data receive from the Revenue Accounting Management system will increase due to the daily loads performed from that system.		Placeholder for planned improvement to the baseline.	
2011	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		Placeholder for planned improvement to the baseline.	
2011	Mission and Business Results	Financial Management	Reporting and Information	Number or reports and data standardization will improve by allowing the integration of different file types from other data sources and providing the ability to		Placeholder for planned improvement to the baseline.	

				access these reports from a single entry point via the PTO Intranet			
2011	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 Intranet		Placeholder for planned improvement to the baseline.	
2011	Technology	Efficiency	Improvement	Data receive from the Revenue Accounting Management system will increase due to the daily loads performed from that system.		Placeholder for planned improvement to the baseline.	
2012	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		Placeholder for planned improvement to the baseline.	
2012	Mission and Business Results	Financial Management	Reporting and Information	Number or 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		Placeholder for planned improvement to the baseline.	
2012	Processes and	Financial	Costs	Number of		Placeholder for	

	Activities	(Processes and Activities)		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 Intranet		planned improvement to the baseline.	
2012	Technology	Efficiency	Improvement	Data receive from the Revenue Accounting Management system will increase due to the daily loads performed from that system.		Placeholder for planned improvement to the baseline.	

I.E. Security and Privacy

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

All systems supporting and/or part of this investment should be included in the tables below, inclusive of both agency owned systems and contractor systems. For IT investments under development, security and privacy planning must proceed in parallel with the development of the system/s to ensure IT security and privacy requirements and costs are identified and incorporated into the overall lifecycle of the system/s.

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

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment:	Yes
a. If "yes," provide the "Percentage IT Security" for the budget year:	1
2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment.	Yes

5. Have any weaknesses, not yet remediated, related to any of the systems part of or supporting this investment been identified by the agency or IG? Yes

 a. If "yes," have those weaknesses been incorporated agency's plan of action and milestone process? Yes

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

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

8. Planning & Operational Systems - Privacy Table:

Name of System	Is this a new system?	Is there a Privacy Impact Assessment (PIA) that covers this system?	Is the PIA available to the public?	Is a System of Records Notice (SORN) required for this system?	Was a new or amended SORN published in FY 06?
Enterprise Data	No	Yes.	Yes.	Yes	No, because the

Warehouse (EDW) - PTOC-003-00					system is not a Privacy Act system of records.
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I.F. Enterprise Architecture (EA)

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates 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?

The USPTO is taking action to formalize its USPTO Enterprise Architecture (UEA) and to move forward with the implementation of the UEA program consistent with the Federal Enterprise Architecture Guidance. The following activities have already occurred: Resources have been secured for this effort: - Chief Architect has been designated - UEA lead has been assigned - UEA team has been established - Key OCIO and business area POC have been identified - Working-level UEA repository has been created - Contract has been awarded to MITRE, a FFRDC, for support in implementing the UEA program The immediate UEA goal is to establish, consistent with FEA guidance, a level of maturity in the Completion and Use capability areas to support a level 3 assessments, i.e. attain green status, by the end of FY06. The consensus of the UEA team is that the USPTO is well positioned to achieve this goal. Many of the supporting artifacts and processes are already in place. These artifacts and processes are being reviewed to determine if any changes are needed or if new processes and/or artifacts need to be created/implemented. A UEA framework will be formalized and existing business area processes and activity costs models are being analyzed as data sources for the definition of the business and performance architectures. Existing OCIO IT Application, Technical, and Standards Roadmaps are being reviewed as source data to instantiate the needed sequencing strategy/transition plans. Many of the governance process are already in place. Major IT investments currently go through a CPIC process and the existing SDLC is being modified. Both of these established processes are being reviewed to ensure that their relation to the UEA is clear and that UEA is position to inform those processes and influence near and long term IT investments. During FY07, the goal is to build on the successes of the established architectures and processes and to continue to build out the architectures across the USPTO businesses areas, and to ensure that the defined UEA governance processes and institutionalized across the USPTO and that we have robust UEA that truly informs and influences IT investment decisions and provides measurable evidence of efficiencies and results.

3. Service 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.whitehouse.gov/omb/egov/>.

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
EDW	EDW is a COTS application that enables USPTO to track understand	Back Office Services	Asset / Materials Management	Asset Cataloging / Identification			No Reuse	10

	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.	Back Office Services	Data Management	Data Warehouse			No Reuse	9
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	9
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	Business Intelligence	Decision Support and Planning			No Reuse	9

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	Ad Hoc			No Reuse	9
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	9
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	9
EDW	EDW is a COTS application that enables USPTO to track understand and manage enterprise performance. The agency's	Digital Asset Services	Document Management	Library / Storage			No Reuse	9

	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.	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	9
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.	Digital Asset Services	Knowledge Management	Information Sharing			No Reuse	9
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	9

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

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.

'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.

Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

4. 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	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Information Retrieval	Service Interface and Integration	Integration	Middleware	Database Access: NET8
OLAP	Service Platform and Infrastructure	Database / Storage	Database	Oracle 9i Client
Data Mart	Service Platform and Infrastructure	Database / Storage	Database	Oracle 9i Server
Data Integration	Service Platform and Infrastructure	Database / Storage	Database	Oracle 9i Server
Data Warehouse	Service Platform and Infrastructure	Database / Storage	Database	Oracle 9i Server
Library / Storage	Service Platform and Infrastructure	Database / Storage	Database	Oracle 9i Server
Decision Support and Planning	Service Platform and Infrastructure	Delivery Servers	Application Servers	Business Objects 6.0 Server
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Ethernet
Information Retrieval	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows Server 2000
Information Sharing	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows XP Client

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

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.

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

a. If "yes," please describe.

6. Does this investment provide the public with access to a government automated information system? No

a. If "yes," does customer access require specific software (e.g., a specific web browser version)?

1. If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and

services).

Exhibit 300: Part II: Planning, Acquisition and Performance Information

II.A. Alternatives Analysis

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

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

1. Did you conduct an alternatives analysis for this project?	Yes
a. If "yes," provide the date the analysis was completed?	7/21/2006
b. If "no," what is the anticipated date this analysis will be completed?	
c. If no analysis is planned, please briefly explain why:	

2. Alternative Analysis Results:

Use the results of your alternatives analysis to complete the following table:

Alternative Analyzed	Description of Alternative
Alternative 1 - Xcelsius	Intuitive application, designed to create interactive business dashboards, dynamic charts and graphs, forecast models, and "what if" analysis reports.
Alternative 2 - Dashboard Manager	Designed to provide visibility to business activities across organizations. It offers metrics, alerting, and dashboard capabilities to help monitor and understand business activities
Alternative 3 - Cognos 8 Business Intelligence	Single platform for reporting, dashboards, and scorecards. Dynamic real-world view of business with timely refreshes of data.

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?

Xcelsius, alternative 1 was selected because it fully supports the USPTO's Enterprise Reporting plans and the President's Management Agenda's e-Government objectives by improving Web accessibility, and by leveraging portal technology to deliver enhanced USPTO e-services to customers. Without this investment the USPTO will be unable to provide Dashboard access to all the Enterprise Data Warehouse users efficiently and expeditiously. The selected alternative was chosen using a Cost Effectiveness Analysis (CEA) in lieu of a more traditional Cost Benefit Analysis (CBA) with a Return on Investment (ROI). This was done due to the complexity of quantifying benefits. Since each alternative represents a similar benefit or desired outcome, a CEA allows us to compare each alternative to determine the most efficient and cost effective way to reach those desired outcomes or benefits.

4. What specific qualitative benefits will be realized?

Xcelsius provides a single, stronger semantic layer (supporting aggregate awareness, contexts, hierarchy definition, etc.) for query, reporting and analysis versus the three required by the Cognos solution (Impromptu Catalogs for reports, Architect files for queries and Transformer modules for cubes) and the Dashboard Manager. Additionally, the current architecture doesn't change; current universes remain available to end users for query, reporting, and analysis and the only additional cost is the purchase of Xcelsius server licenses to build individual dashboard platforms. Cognos requires several products to provide equivalent functionality to WebIntelligence/Xcelsius: Cognos Report.Net for web deployed application, PowerPlay for analysis; and Cognos Query to provide ad hoc querying on the web. The Dashboard Manager solution is less intuitive for the basic end user and requires programmer support. In

addition, Cognos and Dashboard Manager requires significantly more IT support to be able to implement. The Xcelsius tool solution is used by the Administrator to develop individual dashboards that are used in conjunction with the current Web Intelligence solution currently in place at the USPTO. The dashboards are then released to the end user community to allow them to query reports, do analysis, and work from their customized platforms. The Xcelsius dashboard tool solution enables the USPTO to deliver a more efficient operating environment that supports our business goal of providing quality services and products in a timely manner to our customers and stakeholders by allowing users to customized their most frequent activities into a single platform.

II.B. Risk Management

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
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a. If "yes," what is the date of the plan?	7/1/2006
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b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?	No
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c. If "yes," describe any significant changes:

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

II.C. Cost and Schedule Performance

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748?	No
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2. Answer the following questions about current cumulative cost and schedule performance. The numbers reported below should reflect current actual information. (Per OMB requirements Cost/Schedule Performance information should include both Government and Contractor Costs):

a. What is the Planned Value (PV)?	0
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b. What is the Earned Value (EV)?	0
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c. What is the actual cost of work performed (AC)?	0
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d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?	Contractor and Government
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e. "As of" date:	9/30/2006
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3. What is the calculated Schedule Performance Index (SPI = EV/PV)?	0
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4. What is the schedule variance (SV = EV-PV)?	0
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5. What is the calculated Cost Performance Index (CPI = EV/AC)?	0
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