

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 Information Dissemination Management Program
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)	006-51-01-05-01-8006-00
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>The USPTO grants patents, registers trademarks, disseminates information, and plays an expanding role in advancing technology and promoting business. The focus of this document is the area of Information Dissemination, through which the USPTO fosters a climate of innovation that provides the foundation for new business start up, a cornerstone of a sound economy and on the on-going technology investment that supports it - the INFORMATION DISSEMINATION MANAGEMENT PROGRAM (IDMP). In particular, the IDMP allows the USPTO to provide the following key business services that benefit our customers: I. Public Search Services: Provides access to USPTO information products and services, and provides assistance and training in their use through the USPTO's Public Search Facilities and remote network of Patent and Trademark Depository Libraries (PTDLs). II. Customer Contact Services: Provides General Information assistance to the general public through the USPTO's 1-800 number and "USPTO info" email address. III. Document Fulfillment Services: Provides Certified and Uncertified copies of patent, trademarks and related documents. IV. Assignment Recordation Services: Provides recordation services for assignments (changing ownership) of patents and trademarks. V. Electronic Product Services: Produces a product line of information products and services for the general public and the worldwide intellectual property community. The IDMP provides specific system components aimed at improving the USPTO's Information Dissemination services to its customers. Collectively, these systems form the overall USPTO Information Dissemination Management System (IDMS) infrastructure required under OMB Circular A-130. Should the funding for this system be reduced or eliminated, the USPTO's ability to sustain the IDMS as required under OMB Circular A-130 will be severely affected. The components of the IDMS have been developed to ensure that the patent and trademark information generated by the USPTO is effectively distributed to the widest possible audience worldwide. This information is the basis for continuing technological research and economic investment around the world. Without timely dissemination of this intellectual property information, those investments would not be possible. Further, a key component of protection of intellectual property rights worldwide is the widespread dissemination of published US patent applications, granted US patents, and registered US Trademarks.</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: Expanded E-Government

13a. Briefly describe how this asset directly supports the identified initiative(s)? IDMP supports the President's goal of expanded e-government by making electronic patent and trademark information available quickly, conveniently and economically to the public, businesses, and other intellectual property offices. While many parts of USPTO develop and maintain patent and trademark source data, IDMS makes the information directly available to external customers.

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.) 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? No

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?

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

20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)

Hardware 0.90

Software 21.10

Services	62.90
Other	15.10
21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?	Yes
22. Contact information of individual responsible for privacy related questions:	
Title	Privacy Officer
23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	Yes

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	7.10876	0	4.216	1.03663					
Subtotal Planning & Acquisition									
Budgetary Resources	7.10876	0	4.216	1.03663					
Operations & Maintenance									
Budgetary Resources	39.88495	10.07232	6.43224	7.31741					
TOTAL									
Budgetary Resources	46.99371	10.07232	10.64824	8.35404					
Government FTE Costs									
Budgetary Resources	6.64846	2.04628	3.34027	2.82384					
Number of FTE represented by Costs:	0	17	28	24					

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
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 Officer Certification Level	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?
1	DOC50PAPT0501005	Cost Plus Fixed Fee	Yes	12/17/2004	12/17/2004	12/31/2012	280.95	No	Yes	Yes	NA	No	Yes	Etzel, Page A.	page.etzel@uspto.gov	Level 2	Yes
2	DOC50PAPT201025	Time and Materials	Yes	7/3/2002	7/2/2002	6/30/2012	160.28	No	Yes	Yes	NA	No	Yes	Weibel, Richard	richard.weibel@uspto.gov	Level 3	Yes
3	DOC50PAPT0501004	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	DOC50PAPT201006	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	DOC50PAPT201026	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	DOC50PAPT0401006	Cost Plus Fixed Fee	Yes	4/29/2004	7/1/2004	6/30/2009	45.6	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)
2003	Customer Satisfaction - Improve customer satisfaction with information products and services	Improve customer rating of IT products and services at a 2-3% increase each fiscal year	33%	40% of call center call resolved on first call	31.12%
2003	Customer Self Service - Empower	Increase Internet options and self-	5%	10% of orders received and	7%

	USPTO customers to help themselves	service products until 80% of all services are self service applications.		completed electronically	
2003	Quality of Information Dissemination - Improve the quality of our services	Increase customer usage of the range of products and services across all available channels until 50% are self-service.	10%	25% of requested products and services are self-service	10%
2004	Customer Satisfaction - Improve customer satisfaction with information products and services	Continue the FY03 measures with derived baseline and adjusted goals	37%	40% of call center call resolved on first call	34%
2004	Customer Self Service - Empower USPTO customers to help themselves	Continue the FY03 measures with derived baseline and adjusted goals	30%	50% of orders received and completed electronically	26.5%
2004	Quality of Information Dissemination- Improve the quality of our services	Continue the FY03 measures with derived baseline and adjusted goals	25%	50% of requested products and services are self-service	Not being tracked in FY2004

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
2005	Customer Results	Customer Benefit	Customer Impact or Burden	# of inbound customer inquiries answered by phone, email and other communications channels	369,837	380,316	342,435
2005	Customer Results	Service Accessibility	Access	Access to USPTO search systems in the PSF, measured in hours of workstation usage	182,671	199,762	164,607
2005	Mission and Business Results	Economic Development	Business and Industry Development	# of Assignments properties recorded	324,655	359,761	700,958
2005	Mission and	Economic	Business and	# of intellectual	331,343	322,691	354,565

	Business Results	Development	Industry Development	property document orders processed (certified & uncertified)			
2005	Mission and Business Results	Economic Development	Business and Industry Development	# of total electronic products disseminated by OEIP	59,736	58,160	50,529
2006	Customer Results	Customer Benefit	Customer Impact or Burden	# of inbound customer inquiries answered by phone, email and other communications channels	369,837	399,724	242,305
2006	Customer Results	Service Accessibility	Access	Access to USPTO search systems in the PSF, measured in hours of workstation usage	182,671	209,500	151,870
2006	Mission and Business Results	Economic Development	Business and Industry Development	# of Assignments properties recorded	324,655	485,000	596,049
2006	Mission and Business Results	Economic Development	Business and Industry Development	# of intellectual property document orders processed (certified & uncertified)	331,343	365,000	272,816
2006	Mission and Business Results	Economic Development	Business and Industry Development	# of total electronic products disseminated by OEIP	59,736	58,160	60,803
2007	Customer Results	Customer Benefit	Customer Complaints	Timely Call Center Response% of customer telephone inquiries answered within established average processing time (20 seconds)	89%	80% (Industry Standard)	Will measure using IDMS system reports
2007	Customer Results	Customer Benefit	Customer Impact or Burden	# of inbound customer inquiries answered by phone, email and other communications channels	369,837	325,000	Will measure using IDMS system reports
2007	Customer	Customer	Customer	Customers who	65	Increase	Will utilize

	Results	Benefit	Satisfaction	are satisfied with services provided for their quality, timeliness and access, using the American Customer Satisfaction Index (ACSI) score		customer satisfaction with IDMS products / services to above 75 on the ACSI	ACSI or other customer sat survey
2007	Customer Results	Service Accessibility	Access	Access to USPTO search systems in the PSF, measured in hours of workstation usage	182,671	224,000	Will measure using IDMS system reports
2007	Mission and Business Results	Economic Development	Business and Industry Development	# of Assignments properties recorded	324,655	500,000	Will measure using IDMS system reports
2007	Mission and Business Results	Economic Development	Business and Industry Development	# of intellectual property document orders processed (certified & uncertified)	331,343	380,000	Will measure using IDMS system reports
2007	Mission and Business Results	Economic Development	Business and Industry Development	# of total electronic products disseminated by OEIP	59,736	58,160	Will measure using IDMS system reports
2007	Mission and Business Results	Economic Development	Business and Industry Development	Average time to record assignment (in business days)	25 Days	14 days	Will measure using IDMS system reports
2007	Mission and Business Results	Economic Development	Business and Industry Development	% of certified copy products delivered on-time	82%	85%	Will measure using IDMS system reports
2008	Customer Results	Customer Benefit	Customer Complaints	Timely Call Center Response% of customer telephone inquiries answered within established average processing time (20 seconds)	89%	80% (Industry Standard)	Will measure using IDMS system reports
2008	Customer Results	Customer Benefit	Customer Impact or Burden	# of inbound customer inquiries answered by phone, email and other communications channels	369,837	320,000	Will measure using IDMS system reports
2008	Customer	Customer	Customer	Customers who	65	Increase	Will utilize

	Results	Benefit	Satisfaction	are satisfied with services provided for their quality, timeliness and access, using the American Customer Satisfaction Index (ACSI) score		customer satisfaction with IDMS products / services to above 75 on the ACSI	ACSI or other customer sat survey
2008	Customer Results	Service Accessibility	Access	Access to USPTO search systems in the PSF, measured in hours of workstation usage	182,671	234,000	Will measure using IDMS system reports
2008	Mission and Business Results	Economic Development	Business and Industry Development	# of Assignment properties recorded	324,655	525,000	Will measure using IDMS system reports
2008	Mission and Business Results	Economic Development	Business and Industry Development	# of intellectual property document orders processed (certified & uncertified)	331,343	400,000	Will measure using IDMS system reports
2008	Mission and Business Results	Economic Development	Business and Industry Development	# of total electronic products disseminated by OEIP	59,736	58,160	Will measure using IDMS system reports
2008	Mission and Business Results	Economic Development	Business and Industry Development	Average time to record assignment (in business days)	25 Days	14 days	Will measure using IDMS system reports
2008	Mission and Business Results	Economic Development	Business and Industry Development	% of certified copy products delivered on-time	82%	85%	Will measure using IDMS system reports
2008	Processes and Activities	Cycle Time and Resource Time	Timeliness	Provide on-time delivery of electronic products and services to customers	- new measure; no baseline available	Continue to improve timeliness of product delivery	Will measure using IDMS system reports
2008	Processes and Activities	Quality	Complaints	Complaints due to quality problems with electronic information products	- new measure; no baseline available	Continue to reduce data quality-related complaints from customers	Will measure using IDMS system reports
2008	Technology	Information and Data	Data Reliability and Quality	# of data quality-related errors with products provided to customers	- new measure; no baseline available	Continue to reduce the number of data quality-related errors	Will measure using IDMS system reports
2008	Technology	Information and Data	Data Standardization or Tagging	# of different data formats utilized for	- new measure; no	Continue to reduce the different data	Will measure using IDMS system

				electronic products	baseline available	formats utilized to a manageable number	reports
2008	Technology	Reliability and Availability	Availability	Availability of IDMS subsystems (% uptime)	- new measure; no baseline available	Improve reliability of IDMS subsystems	Will get from System Development / HelpDesk reports
2009	Customer Results	Customer Benefit	Customer Complaints	Timely Call Center Response% of customer telephone inquiries answered within established average processing time (20 seconds)	89%	80% (Industry Standard)	Will measure using IDMS system reports
2009	Customer Results	Customer Benefit	Customer Impact or Burden	# of inbound customer inquiries answered by phone, email and other communications channels	369,837	315,000	Will measure using IDMS system reports
2009	Customer Results	Customer Benefit	Customer Satisfaction	Customers who are satisfied with services provided for their quality, timeliness and access, using the American Customer Satisfaction Index (ACSI) score	65	Increase customer satisfaction with IDMS products / services to above 75 on the ACSI	Will utilize ACSI or other customer sat survey
2009	Customer Results	Service Accessibility	Access	Access to USPTO search systems in the PSF, measured in hours of workstation usage	182,671	249,000	Will measure using IDMS system reports
2009	Mission and Business Results	Economic Development	Business and Industry Development	# of Assignment properties recorded	324,655	550,000	Will measure using IDMS system reports
2009	Mission and Business Results	Economic Development	Business and Industry Development	# of intellectual property document orders processed (certified & uncertified)	331,343	425,000	Will measure using IDMS system reports
2009	Mission and Business Results	Economic Development	Business and Industry Development	# of total electronic products disseminated by OEIP	59,736	58,160	Will measure using IDMS system reports

2009	Mission and Business Results	Economic Development	Business and Industry Development	Average time to record assignment (in business days)	25 Days	14 days	Will measure using IDMS system reports
2009	Mission and Business Results	Economic Development	Business and Industry Development	% of certified copy products delivered on-time	82%	85%	Will measure using IDMS system re
2009	Processes and Activities	Cycle Time and Resource Time	Timeliness	Provide on-time delivery of electronic products and services to customers	- new measure; no baseline available	Continue to improve timeliness of product delivery	Will measure using IDMS system reports
2009	Processes and Activities	Quality	Complaints	Complaints due to quality problems with electronic information products	- new measure; no baseline available	Continue to reduce data quality-related complaints from customers	Will measure using IDMS system reports
2009	Technology	Information and Data	Data Reliability and Quality	# of data quality-related errors with products provided to customers	- new measure; no baseline available	Continue to reduce the number of data quality-related errors	Will measure using IDMS system reports
2009	Technology	Information and Data	Data Standardization or Tagging	# of different data formats utilized for electronic products	- new measure; no baseline available	Continue to reduce the different data formats utilized to a manageable number	Will measure using IDMS system reports
2009	Technology	Reliability and Availability	Availability	Availability of IDMS subsystems (% uptime)	- new measure; no baseline available	Improve reliability of IDMS subsystems	Will get from System Development / HelpDesk reports
2010	Customer Results	Customer Benefit	Customer Complaints	Timely Call Center Response% of customer telephone inquiries answered within established average processing time (20 seconds)	89%	80% (Industry Standard)	Will measure using IDMS system reports
2010	Customer Results	Customer Benefit	Customer Impact or Burden	# of inbound customer inquiries answered by phone, email and other communications channels	369,837	300,000	Will measure using IDMS system reports
2010	Customer Results	Customer Benefit	Customer Satisfaction	Customers who are satisfied with services provided for their quality,	65	Increase customer satisfaction with IDMS products /	Will utilize ACSI or other customer sat survey

				timeliness and access, using the American Customer Satisfaction Index (ACSI) score		services to above 75 on the ACSI	
2010	Customer Results	Service Accessibility	Access	Access to USPTO search systems in the PSF, measured in hours of workstation usage	182,671	259,000	Will measure using IDMS system reports
2010	Mission and Business Results	Economic Development	Business and Industry Development	# of Assignment properties recorded	324,655	575,000	Will measure using IDMS system reports
2010	Mission and Business Results	Economic Development	Business and Industry Development	# of intellectual property document orders processed (certified & uncertified)	331,343	450,000	Will measure using IDMS system reports
2010	Mission and Business Results	Economic Development	Business and Industry Development	# of total electronic products disseminated by OEIP	59,736	58,160	Will measure using IDMS system reports
2010	Mission and Business Results	Economic Development	Business and Industry Development	Average time to record assignment (in business days)	25 Days	14 days	Will measure using IDMS system reports
2010	Mission and Business Results	Economic Development	Business and Industry Development	% of certified copy products delivered on-time	82%	85%	Will measure using IDMS system reports
2010	Processes and Activities	Cycle Time and Resource Time	Timeliness	Provide on-time delivery of electronic products and services to customers	- new measure; no baseline available	Continue to improve timeliness of product delivery	Will measure using IDMS system reports
2010	Processes and Activities	Quality	Complaints	Complaints due to quality problems with electronic information products	New measure; no baseline available	Continue to reduce data quality-related complaints from customers	Will measure using IDMS system reports
2010	Technology	Information and Data	Data Reliability and Quality	# of data quality-related errors with products provided to customers	- new measure; no baseline available	Continue to reduce the number of data quality-related errors	Will measure using IDMS system reports
2010	Technology	Information and Data	Data Standardization or Tagging	# of different data formats utilized for electronic products	new measure; no baseline available	Continue to reduce the different data formats utilized to a manageable number	Will measure using IDMS system reports

2010	Technology	Reliability and Availability	Availability	Availability of IDMS subsystems (% uptime)	- new measure; no baseline available	Improve reliability of IDMS subsystems	Will get from System Development / HelpDesk reports
2011	Customer Results	Customer Benefit	Customer Complaints	Timely Call Center Response% of customer telephone inquiries answered within established average processing time (20 seconds)	89%	80% (Industry Standard)	Will measure using IDMS system reports
2011	Customer Results	Customer Benefit	Customer Impact or Burden	# of inbound customer inquiries answered by phone, email and other communications channels	369,837	275,000	Will measure using IDMS system reports
2011	Customer Results	Customer Benefit	Customer Satisfaction	Customers who are satisfied with services provided for their quality, timeliness and access, using the American Customer Satisfaction Index (ACSI) score	65	Increase customer satisfaction with IDMS products / services to above 75 on the ACSI	Will utilize ACSI or other customer sat survey
2011	Customer Results	Service Accessibility	Access	Access to USPTO search systems in the PSF, measured in hours of workstation usage	182,671	274,000	Will measure using IDMS system reports
2011	Mission and Business Results	Economic Development	Business and Industry Development	# of Assignment properties recorded	324,655	600,000	Will measure using IDMS system reports
2011	Mission and Business Results	Economic Development	Business and Industry Development	# of intellectual property document orders processed (certified & uncertified)	331,343	475,000	Will measure using IDMS system reports
2011	Mission and Business Results	Economic Development	Business and Industry Development	# of total electronic products disseminated by OEIP	59,736	58,160	Will measure using IDMS system reports
2011	Mission and Business Results	Economic Development	Business and Industry Development	Average time to record assignment (in business days)	25 Days	14 days	Will measure using IDMS system reports

2011	Mission and Business Results	Economic Development	Business and Industry Development	% of certified copy products delivered on-time	82%	85%	Will measure using IDMS system reports
2011	Processes and Activities	Cycle Time and Resource Time	Timeliness	Provide on-time delivery of electronic products and services to customers	- new measure; no baseline available	Continue to improve timeliness of product delivery	Will measure using IDMS system reports
2011	Processes and Activities	Quality	Complaints	Complaints due to quality problems with electronic information products	- new measure; no baseline available	Continue to reduce data quality-related complaints from customers	Will measure using IDMS system reports
2011	Technology	Information and Data	Data Reliability and Quality	# of data quality-related errors with products provided to customers	- new measure; no baseline available	Continue to reduce the number of data quality-related errors	Will measure using IDMS system reports
2011	Technology	Information and Data	Data Standardization or Tagging	# of different data formats utilized for electronic products	new measure; no baseline available	Continue to reduce the different data formats utilized to a manageable number	Will measure using IDMS system reports
2011	Technology	Reliability and Availability	Availability	Availability of IDMS subsystems (% uptime)	- new measure; no baseline available	Improve reliability of IDMS subsystems	Will get from System Development / HelpDesk reports
2012	Customer Results	Customer Benefit	Customer Complaints	Timely Call Center Response% of customer telephone inquiries answered within established average processing time (20 seconds)	89%	80% (Industry Standard)	Will measure using IDMS system reports
2012	Customer Results	Customer Benefit	Customer Impact or Burden	# of inbound customer inquiries answered by phone, email and other communications channels	369,837	250,000	Will measure using IDMS system reports
2012	Customer Results	Customer Benefit	Customer Satisfaction	Customers who are satisfied with services provided for their quality, timeliness and access, using the American Customer Satisfaction	65	Increase customer satisfaction with IDMS products / services to above 75 on the ACSI	Will utilize ACSI or other customer sat survey

				Index (ACSI) score			
2012	Customer Results	Service Accessibility	Access	Access to USPTO search systems in the PSF, measured in hours of workstation usage	182,671	286,000	Will measure using IDMS system reports
2012	Mission and Business Results	Economic Development	Business and Industry Development	# of Assignment properties recorded	324,655	625,000	Will measure using IDMS system reports
2012	Mission and Business Results	Economic Development	Business and Industry Development	Average time to record assignment (in business days)	25 Days	14 days	Will measure using IDMS system reports
2012	Mission and Business Results	Economic Development	Business and Industry Development	# of intellectual property document orders processed (certified & uncertified)	331,343	500,000	Will measure using IDMS system reports
2012	Mission and Business Results	Economic Development	Business and Industry Development	# of total electronic products disseminated by OEIP	59,736	58,160	Will measure using IDMS system reports
2012	Mission and Business Results	Economic Development	Business and Industry Development	% of certified copy products delivered on-time	82%	85%	Will measure using IDMS system reports
2012	Processes and Activities	Cycle Time and Resource Time	Timeliness	Provide on-time delivery of electronic products and services to customers	- new measure; no baseline available	Continue to improve timeliness of product delivery	Will measure using IDMS system reports
2012	Processes and Activities	Quality	Complaints	Complaints due to quality problems with electronic information products	- new measure; no baseline available	Continue to reduce data quality-related complaints from customers	Will measure using IDMS system reports
2012	Technology	Information and Data	Data Reliability and Quality	# of data quality-related errors with products provided to customers	- new measure; no baseline available	Continue to reduce the number of data quality-related errors	Will measure using IDMS system reports
2012	Technology	Information and Data	Data Standardization or Tagging	# of different data formats utilized for electronic products	new measure; no baseline available	Continue to reduce the different data formats utilized to a manageable number	Will measure using IDMS system reports
2012	Technology	Reliability and Availability	Availability	Availability of IDMS subsystems (% uptime)	- new measure; no baseline available	Improve reliability of IDMS subsystems	Will get from System Development / HelpDesk reports

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:	1.50
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?

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

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?

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?
USPTO Information Dissemination Management System (IDMS) - PTOD-001-00	No	No, because the system does not contain, process, or transmit personal identifying information.	No, because a PIA is not yet required to be completed at this time.	No	No, because the system is not a Privacy Act system of records.

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
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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 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
Public Search Room/Universal Workstation (UPWS)	Provides a client-server solution for public user access to USPTO automated applications within the Public Search Facilities. The UPWS controls public access to search tools and through a print capture service, monitors the disposition of the print jobs for the purpose of fee collection and user selected print destination. Providing public	Back Office Services	Asset / Materials Management	Asset Cataloging / Identification			No Reuse	17

	access to this information on the USPTO campus enhances convenience for public customers and helps to increase the awareness of available USPTO information.							
Data File Delivery (DFD)	Data File Delivery delivers subscription patent and trademark data files on the day of issue to customers via electronic transmission. The system authenticates users through User ID and password entry prior to allowing user- initiated transmission of daily weekly monthly bi-monthly and yearly subscription patent and trademark files.	Back Office Services	Data Management	Data Exchange			No Reuse	0
Trademark Daily XML File (TDXF)	Extraction of data related to TM applications, TTAB and assignments. Extraction of image files are related to the word mark. Extractions at based on a pre-defined schedules. Files are available for sale/distribution to external customers through the Data File Delivery system. The XML data is also used to provide text files to support the Patent and Trademark Depository Libraries.	Back Office Services	Data Management	Extraction and Transformation			No Reuse	0
Technology	The TAF	Business	Knowledge	Data Mining			No	0

Assessment and Forecast Services	database is used to produce a wide variety of statistical and analytical reports published by the USPTO and specialized reports both in paper and electronic format requested by USPTO management other government agencies and the public. These reports assist USPTO management in fulfilling the USPTO's role as advisor to the Secretary and the Administration in matters of policy concerning intellectual property science and technology.	Analytical Services	Discovery				Reuse	
USPTO Customer Contact Management System	The UCCMS is a systematic and automated means to insure that USPTO is responsive to it customers whether the customer seeks delivery of a product or service or is seeking information. UCCMS will allow the USPTO to capture and leverage customer-specific information to create a more effective and efficient environment for the USPTO to deliver our products and services to our customers.	Customer Services	Customer Initiated Assistance	Asset Cataloging / Identification			No Reuse	8
Enterprise Contact Center System	The Enterprise Call Center	Customer Services	Customer Relationship	Call Center Management			No Reuse	0

(ECC)	provides technology that allows the public and USPTO employees access to automated and interactive information about USPTO products processes and services. The ECC provides automated call routing integration with Customer Relationship Management (CRM) connectivity with Nortel PBX and digital phone at the Alexandria Campus and daily support of USPTO ECC.		Management					
CD-ROM Reference Library	The CD-ROM Reference Library contains a collection of programs that allows the public to search information from CDs and DVDs that are produced by organizations within the Office of Customer Information Services (CIS). Working with the Patent and Trademark businesses the CD-ROM Reference Library maintains and provides access to collections of patent trademarks and related information in CD and DVD format.	Digital Asset Services	Content Management	Asset Cataloging / Identification			No Reuse	9
Order Entry Management System/Certification (OEMS)	The OEMS interfaces with both patent and trademark electronic image	Digital Asset Services	Content Management	Asset Cataloging / Identification			No Reuse	56

	<p>systems to retrieve images used to fill customer requests. Documents which are not in an image store are retrieved from the paper format and reproduced manually. Currently the OEMS is able to deliver copies of US Patents and published patent applications to customers through the Internet.</p>							
Assignment Historical Database (AHD)	<p>AHD provides the ability to search historical assignment records online for reviewing both text and image data. Image data is only available from the USPTO's Public Search Facilities, data is available for both Intranet and Internet web-based browser applications. Other USPTO systems are provided historical assignment data through web services or batch mode. Assignment data is extracted and distributed on weekly, bimonthly, semi-annual and annual schedules for external customers.</p>	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	1
Patent and TM Assignment System (PTAS)	<p>Image based workflow process used to support assignment processing. The system generates</p>	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	3

	computer output media for the creation of microfilm of recorded assignment images. Work-in-process text/image data for assignments are stored on the PTAS file server/databases until recordation. Recorded text data is transmitted to the Historical Assignment database for permanent storage, images are permanently stored on microfilm, non-recorded documents have no permanent storage.							
On-Line Access Card (OLAC)	OLAC maintains PSF library access privileges for public users. Provide automated support and internal controls to validate public uses for access to file content.	Support Services	Collaboration	Asset Cataloging / Identification			No Reuse	6
Patent Data on Web -- US Image 1790 to Present (PIW)	Patent Images on the Web (PIW) provides public access, via the Internet, to images of patent documents dating back to 1976. The system serves patent images via Hypertext Transfer Protocol (HTTP). The patent documents database is updated weekly to include new and corrected patent information.	Support Services	Search	Query			No Reuse	0
Patent Data on Web -- US Text 1976 to	Patents Full Text (PatFT) is a	Support Services	Search	Query			No Reuse	0

present (PATFT)	stand-alone Internet application, which allows the general public to search and retrieve granted United States (US) patents from 1790 to the present. Full text searching is available for patents issued between 1976 and the present. Older patents can be searched using Issue Date, Patent Number, and Current US Classification. PatFT provides initial load, periodic reload, and indexing of back-file patent data and new data issued weekly.							
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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)
Access Control	Component Framework	Data Management	Reporting and Analysis	BRS/Search
Content Publishing and Delivery	Component Framework	Presentation / Interface	Content Rendering	CASSIS 2
Data Exchange	Component	Security	Certificates /	Connect Enterprise

	Framework		Digital Signatures	
Call Center Management	Service Access and Delivery	Access Channels	Other Electronic Channels	Customer Interaction Center
Document Conversion	Service Interface and Integration	Interoperability	Data Transformation	Trademark Application Daily
Knowledge Capture	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Data Mart	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Assistance Request	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Data Mining	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Access Control	Service Platform and Infrastructure	Database / Storage	Database	Oracle 9i
Access Control	Service Platform and Infrastructure	Delivery Servers	Application Servers	Oracle SQLnet
Case Management	Service Platform and Infrastructure	Delivery Servers	Web Servers	iPlanet
Information Retrieval	Service Platform and Infrastructure	Delivery Servers	Web Servers	iPlanet

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? Yes

a. If "yes," does customer access require specific software (e.g., a specific web browser version)? No

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?	7/27/2006
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 - Basic Maintenance Only	Maintain existing IDMS components, including fixing bugs and regular system maintenance activities for all IDMS legacy systems that have passed their internal CPIC review, plus new development/maintenance commitments for previous fiscal years. This alternative includes minimum funds necessary to "keep the trains running" and does not provide adequate funds to support USPTO plans to improve Customer Service operations per the President's Management Agenda.
Alternative 2 - Maintenance plus operations	Basic maintenance plus efforts to expand the capabilities and use of key USPTO customer service systems, improving Enterprise Call Center (ECC) voice menus and IVR applications and expanding the use of the USPTO's Customer Contact Management System (UCCMS) into Patents call centers. This effort will continuously improve the quality of the services provided by the call centers, reduce overall customer problem resolution time, and improve customer self-service.
Alternative 3 - Maintenance, operations plus New egov/self-service Development:	Includes maintenance, operations and enhancements to IDMS E-Gov/online capabilities by expanding the CIS online shopping cart to include all CIS information dissemination products, implementing the final phase of an enterprise sales order management system, providing online customer self-service capabilities for problem reporting/traditional customer service issues and implementing Internet based training for PTDLs.

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

Alternative 3 was selected as it fully supports the USPTO's customer service improvement plans, the President's Management Agenda's e-Government objectives by improving customer relationships and customer online self-service, and leverages portal technology to deliver enhanced USPTO e-services to customers. Without this investment, the USPTO will be unable to reach its customer service and e-gov/self-service goals or provide the level of service/information dissemination required by the public. 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?

E-Gov / Online self-service benefits through the launch of online customer service, expansion of the CIS online shopping cart to include all CIS products (electronic & documents) and the launch of customer outreach/e-marketing provides the following benefits: - Reduce inbound contact volume by allowing customers the ability to report and track problems online- Reduce customer complaints and technical support problems by leveraging a common interface to USPTO search systems- Single point of contact for

ordering all CIS Information Dissemination Products & Services. Operational improvement benefits through the expansion of the use of UCCMS into all USPTO call centers supporting external customers, through improvements to the ECC system used by all USPTO call centers provides the following benefits, and implementing the final phase of a CIS wide sales order management system for CIS information dissemination products: - Improve customer satisfaction by sharing a common customer service management platform (UCCMS)- Increase quality of customer service & call center productivity through improved call queuing, routing and reporting capabilities.- Reduce total problem resolution time & hand-offs/transfers of customer problems across multiple call centers.- Single Order Management and CRM tool supporting all CIS organizations- Single, centralized customer record management and product & services catalog Benefits of Maintenance costs which continue funding IDMS legacy systems that have passed their internal CPIC review and support every aspect of CIS' services to citizens: - The Assignments services division utilizes electronic submissions from ePAS and eTAS, a workflow processing system in PTAS and a historical record in AHD to effectively record over 320,000 assignments per year. - The Document services division utilizes OEMS and interfaces to PALM, TICRS, etc. to effectively process over 330,000 orders per year. - The USPTO contact center division and other USPTO call centers utilize the ECC and UCCMS systems to answer and respond to over 360,000 customer contacts (phone calls, emails, etc.) per year. - The Electronic Product Services team utilizes several components including bulk data extract scripts and web data update/publishing tools to disseminate over 100,000 products per year. - Finally the PSF team utilizes several search systems including UPWS to support to support over 180,000 hours worth of customer searches of USPTO intellectual property systems.

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
a. If "yes," what is the date of the plan?	7/31/2006
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.

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
b. What is the Earned Value (EV)?	0
c. What is the actual cost of work performed (AC)?	0
d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?	Contractor and Government
e. "As of" date:	7/31/2006
3. What is the calculated Schedule Performance Index (SPI = EV/PV)?	0
4. What is the schedule variance (SV = EV-PV)?	0
5. What is the calculated Cost Performance Index (CPI = EV/AC)?	0
6. What is the cost variance (CV=EV-AC)?	0
7. 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?	
b. If "yes," explain the variance:	
There is no DME funding for FY06. Therefore EVM was not reported.	
c. If "yes," what corrective actions are being taken?	
OCIO is currently in the midst of developing and implementing a new EVMS policy that will support ANSI/EIA Standard - 748. In addition, we are migrating the legacy program management system to a new MS Project Server based system, which will include earned value management. Until the migration is complete and new processes that support ANSI/EIA Standard - 748 are implemented, we are unable to effectively track earned value for all DME projects. Furthermore, OCIO maintains multiple projects within each Exhibit 300 investment portfolio, which means that aggregated EVM calculations lead to stronger performing projects offsetting weaker performing projects and vice versa. OCIO plans to have in place an earned value management system that meets the criteria in ANSI/EIA Standard - 748 by the end of FY07.	
d. What is most current "Estimate at Completion"?	0
8. Have any significant changes been made to the baseline during the past fiscal year?	No
8. If "yes," when was it approved by OMB?	No

Comparison of Initial Baseline and Current Approved Baseline

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date	Total Cost (Estimated)	Completion Date		Total Cost		Schedule (# days)	Cost	
				Planned	Actual	Planned	Actual			
1	Assignment Historical Database	09/30/2008	\$0.077	09/30/2008		\$0.077				0%
9	Patent and TM Assignment System (PTAS)	09/30/2008	\$0.386	09/30/2008		\$0.386				0%
12	Reference Document Publication System (RDPS)	09/30/2007	\$2.181	09/30/2007		\$2.181				0%
15	USPTO Customer	09/30/2007	\$0.918	09/30/2007		\$0.918				0%

	Contact Management System									
16	FY06 Operations and Maintenance	09/30/2006	\$12.015	09/30/2006		\$10.012	\$10.012		(\$1.669)	83.33%
17	FY07 Operations and Maintenance	09/30/2007	\$6.960	09/30/2007		\$6.960				0%
18	FY08 Operations and Maintenance	09/30/2008	\$8.141	09/30/2008		\$8.141				0%
Project Totals										