

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission:

2. Agency: Department of Commerce

3. Bureau: Us Patent And Trademark Office

4. Name of this Capital Asset: USPTO Revenue Accounting and Management System (RAM)

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) 006-51-01-01-01-8002-00

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

7. What was the first budget year this investment was submitted to OMB? FY2002

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:

Since its initial release in 1997, the RAM System has grown to process nearly 20,000 transactions per-day, tracks approximately \$2 billion in annual revenue, and is used by approximately 700 campus users. RAM has over 70 interfaces as well as an external payment server which is the public interface to the RAM System that operates as a storefront to allow customers to directly order and pay for specific USPTO goods and services using the Internet. The initial release was designed to support the business processes that were in place at that time. However, extended functionality over time based on the old design introduced scalability, performance, and stability problems in the client/server and web environment, which have constrained its ability to keep up with current business needs. Remediation and stabilization efforts over the last several years have addressed the major impediments preventing significant functional enhancement of the system. However, it still has a number of functional and technical deficiencies. Key among them is the reliance on an obsolete, complex software technology and often-patched coding structure. This software technology limits the overall flexibility of the current RAM System, and results in potentially risky, expensive, and time-consuming efforts to implement changes. As such, a modernization effort for RAM is currently underway to solve these key deficiencies.

In the 21st Century Strategic Plan, the USPTO has committed to aggressively implementing e-Government to handle the workload associated with the 21st Century economy. The continued growth in USPTO workload can only be effectively managed in an environment that provides for the electronic receipt, processing and reporting of the fee collection process that supports the provision of USPTO services and products. This electronic processing will enable the USPTO to migrate to 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.

The RAM Modernization investment is undergoing significant change and has not been sufficiently defined to support a complete select-level Exhibit 300 submission. Accordingly, this financial management system has not been approved by the CRB and ITIRB for full implementation. USPTO intends to update the documentation as the requisite analyses are completed in FY2009.

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

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

10. Did the Project Manager review this Exhibit? Yes

11. Contact information of Program/Project Manager?

Name

Phone Number

Email

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

b. When was the Program/Project Manager Assigned? 12/22/2008

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- c. What date did the Program/Project Manager receive the FAC-P/PM certification? If the certification has not been issued, what is the anticipated date for certification? 12/22/2009
12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project? Yes
- a. Will this investment include electronic assets (including computers)? Yes
- b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only) No
1. If "yes," is an ESPC or UESC being used to help fund this investment?
2. If "yes," will this investment meet sustainable design principles?
3. If "yes," is it designed to be 30% more energy efficient than relevant code?
13. Does this investment directly support one of the PMA initiatives? Yes
- If "yes," check all that apply: Expanded E-Government
Financial Performance
Budget Performance Integration
- a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?) a) Improve Financial Performance. Financial performance improved through rapid, accurate processing and reporting of receipts (b) Expand Electronic Government. USPTO provides for: instantaneous checking of fee status on issued patents; customer activity statements by payment type; self-service deposit account maintenance for USPTO deposit account holders
(c) Budget and Performance Integration Enables near instantaneous tracking of receipts as opposed to anticipated costs for execution.
14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.) No
- a. If "yes," does this investment address a weakness found during a PART review? No
- b. If "yes," what is the name of the PARTed program?
- c. If "yes," what rating did the PART receive?
15. Is this investment for information technology? Yes
- If the answer to Question 15 is "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.
- For information technology investments only:
16. What is the level of the IT Project? (per CIO Council PM Guidance) Level 1
17. In addition to the answer in 11(a), what project management qualifications does the Project Manager have? (per CIO Council PM Guidance) (1) Project manager has been validated as qualified for this investment
18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2008 agency high risk report (per OMB Memorandum M-05-23) No
19. Is this a financial management system? Yes
- a. If "yes," does this investment address a FFMI compliance area? Yes
1. If "yes," which compliance area: Financial Systems Requirements and Accounting Standards at the Transaction Level.
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

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Revenue Accounting and Management system (RAM) is a custom application with some COTS components that serves as the USPTO's fee collection system.

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

Hardware	3.20
Software	1.10
Services	11.90
Other	83.80

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities? N/A

22. Contact information of individual responsible for privacy related questions:

Name

Phone Number

Title Privacy Officer

E-mail

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

Question 24 must be answered by all Investments:

24. Does this investment directly support one of the GAO High Risk Areas? No

Section B: Summary of Spending (All Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)									
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY-1 and earlier	PY 2008	CY 2009	BY 2010	BY+1 2011	BY+2 2012	BY+3 2013	BY+4 and beyond	Total
Planning:	0	0	0	0					
Acquisition:	9.31873	3.15735	5.54837	5.67598					
Subtotal Planning & Acquisition:	9.31873	3.15735	5.54837	5.67598					
Operations & Maintenance:	25.8152	0.12687	1.7251	1.76478					
TOTAL:	35.13393	3.28422	7.27347	7.44076					
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	6.90424	1.3392	1.4832	1.52769					
Number of FTE represented by Costs:	31	10	10	10					

Note: For the multi-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's? No

a. If "yes," How many and in what year?

3. If the summary of spending has changed from the FY2009 President's budget request, briefly explain those changes:

Not applicable

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

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

Contracts/Task Orders Table:														* Costs in millions		
Contract or Task Order Number	Type of Contract/ Task Order (In accordance with FAR Part 16)	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/ Task Order	End date of Contract/ Task Order	Total Value of Contract/ Task Order (\$M)	Is this an Interagency Acquisition ? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the required security & privacy clauses? (Y/N)	Name of CO	CO Contact information (phone/email)	Contracting Officer FAC-C or DAWIA Certification Level (Level 1, 2, 3, N/A)	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition ? (Y/N)
DOC50PAPT0501005	CPFF w/award term incentives	Yes	12/17/2004	12/17/2004	12/31/2012	0.60046	No	Yes	Yes	NA	Yes	Yes		marva.brown@uspto.gov	Level 2	Yes
DOC50PAPT201026	CPAF Performance based	Yes	9/27/2002	10/1/2002	9/30/2008	0.02	No	Yes	Yes	NA	Yes	Yes		sylvia.vandyke@uspto.gov	Level 3	Yes
DOC50PAPT0401006	CPFF	Yes	4/29/2004	7/1/2004	6/30/2009	0.029	No	No	Yes	NA	No	Yes		chris.hannah@uspto.gov	Level 3	Yes
DOCPAPT0802260	FFP	Yes	6/16/2008	6/16/2008	11/17/2008	0.308325	No	No	Yes	NA	No	Yes		marva.brown@uspto.gov	Level 2	Yes

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

Earned value Management reporting is required and implemented in all contracts where the contractors are engaged in development, modernization, and enhancement (DME) type work over \$200K and longer than 90 days in duration. Contracts with EVM reporting include the System Development and Integration (SDI) contract and the Infrastructure, Design, Engineering, Architecture, and Integration (IDEAI) contracts. Three contracts, the Information Technology Product Assurance, the IT Facilities Management, and IT End User Support contracts are support level of effort activities and will not require EVM.

3. Do the contracts ensure Section 508 compliance? Yes

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

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

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

1. Is it Current? Yes

b. If "no," will an acquisition plan be developed?

1. If "no," briefly explain why:

Section D: Performance Information (All Capital Assets)

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures (indicators) must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov. The table can be extended to include performance measures for years beyond the next President's Budget.

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2005	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity	Efficiency	Use of online payment options.	Current number of Internet vs. In-house payments per year.FY09: Internet payments: ?FY09: Inhouse payments: ?	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using less FTE resources.	TBD
2005	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity	Efficiency	Use of online payment options.	Current number of Internet vs. In-house payments per year.FY09: Internet payments: ?FY09: Inhouse payments: ?	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using less FTE resources.	TBD
2005	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Technology Costs	Operations and Maintenance Costs	Best use of existing financial software products combined with internal programs developed to	Current maintenance cost of the RAM system. FY09: ?	The planned improvement will reduce software maintenance costs after the project is deployed.	TBD

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					maximize benefits gained from the USPTO IT investment.			
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Automation	Number of fee types that the agency will be able to accept through the Internet from our user community in general.	Current number of fee types collected online.FY04: 49	The planned improvement will allow more fees to be collected online at the USPTO e-Government websites.	In FY06 there were 162 diff. fee types accepted online over the internet
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Collections and Receivables	Customer flexibility for making fee payments at the USPTO e-Government websites.	Current number of individual online payment transactions per customer. FY04: 490K	This planned improvement allows for ease in completing fee payments and for providing greater flexibility to customers making online fee payments to reduce repetitive transactions by a single customer.	In FY06, there were 1,564,662 individual online payment transactions processed
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity	Efficiency	Use of online payment options.	Current number of Internet vs. In-house payments per year.FY04: Internet payments: 390KFY04: Inhouse payments: 3M	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using fewer FTE resources.	In FY06, there were 610,752 internet payments processed and 903,108 in house payments processed
2006	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Technology Costs	Operations and Maintenance Costs	Best use of existing financial software products combined with internal programs developed to maximize benefits gained from the USPTO IT investment.	Current maintenance cost of the RAM system.FY04: 3M	The planned improvement will reduce software maintenance costs after the project is deployed.	RAM system maintenance costs in FY06 \$3,619,218
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Automation	Number of fee types that the agency will be able to accept through the Internet from our user community in general.	Current number of fee types collected online. FY05: 62	Anticipated 10% increase in the number of fee types available online at the USPTO e-Government websites each year.	In FY07,there were 181 available fee types collected online over the internet
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Collections and Receivables	Customer flexibility for making fee payments at the USPTO e-Government websites.	Current number of individual online payment transactions per customer. FY05: 534,635	Anticipated 10% decrease in number of individual payments by a single customer each year.	In FY07, there were 2,328,757 individual transactions made online
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity	Efficiency	Use of online payment options.	Current number of Internet vs. In-house payments per year. FY05: Internet Payments: 534,635; In-House Payments: 1,728,180	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using less FTE resources.	In FY07 there were 856,264 internet payment processed and 632, 765 inhouse payment processed
2007	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Technology Costs	Operations and Maintenance Costs	Best use of existing financial software products combined with internal programs developed to maximize	Current maintenance cost of the RAM system. FY05: 5.69M	The planned improvement will reduce software maintenance costs after the project is deployed.	Through FY07, total maintenance costs 4.27M

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					benefits gained from the USPTO IT investment.			
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Automation	% increase customer use of the Financial Profile System	Number of Financial Profile accounts	Increase the number of accounts by 5%	There were 447 initial users of FP on 4/30/08 (two weeks after deployment)
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Accounting	Incorporate new accounting rules and train new federal and contract employees to maintain unqualified financial statement audit opinion	Unqualified financial statement audit option	Obtain unqualified financial statement audit incorporating new rules and training employees	Clean Audit Opinion for Financial Stmts.
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity	Efficiency	% increase of online payment options.	Current number of Internet vs. In-house payments per year	The planned improvement will increase the productivity and efficiency of the fee collection process at the agency while using less FTE resources.	Through Q3/FY07 there were 615,488 internet payments processed and 509,028 in-house payments processed. Final TBD
2008	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Reliability	% replacement of outdated technology	Current RAM technologies	0% replacement in FY08 actuals	0
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Automation	% increase customer use of the Financial Profile System	Will use actuals from FY08	5% increase from FY08 actuals	TBD
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Accounting	Incorporate new accounting rules and train new federal and contract employees to maintain unqualified financial statement audit opinion	Will use actuals from FY08	Obtain unqualified financial statement audit incorporating new rules and training employees	TBD
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity	Efficiency	% increase of online payment options.	Will use actuals from FY08	5% increase from FY08 actuals	TBD
2009	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Reliability	% replacement of outdated technology	Will use actuals from FY08	2% replacement in FY08 actuals	TBD
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Customer Results	Service Accessibility	Automation	% increase customer use of the Financial Profile System	Will use actuals from FY09	5% increase from FY09 actuals	TBD
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Mission and Business Results	Financial Management	Accounting	Incorporate new accounting rules and train new federal and contract employees to maintain	Will use actuals from FY09	Obtain unqualified financial statement audit incorporating new rules and training	TBD

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					unqualified financial statement audit opinion		employees	
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Processes and Activities	Productivity	Efficiency	% increase of online payment options.	Will use actuals from FY09	5% increase from FY09 actuals	TBD
2010	2.2 Protect intellectual property and improve the patent and trademark system.	Technology	Reliability and Availability	Reliability	% replacement of outdated technology	Will use actuals from FY09	5% replacement in FY08 actuals	TBD

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

8. Planning & Operational Systems - Privacy Table:					
(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
Adaptive & Perfective Maintenance to RAM (RAM 4.5)	No	No	No, because this is not an operational system and PIA has not been addressed yet.	No	This system is not a Privacy Act system of record.
PTOC-006-00 USPTO Revenue Accounting and Management System (RAM)	No	Yes	http://www.uspto.gov/web/doc/privacy_pia.htm	Yes	http://www.uspto.gov/web/doc/privacy_sorn.htm
PTOC-009-00 SRA Contractor System	No	No	No, because the system does not contain, process, or transmit personally identifiable information.	No	This system is not a Privacy Act system of record.
RAM Mod Phase 1: Develop RAM Services (RAM 5.0)	Yes	No	No, because this is not an operational system and PIA has not been addressed yet.	No	This system is not a Privacy Act system of record.
RAM Mod Phase 2: Implement COTS/GOTS and Begin Migration (RAM 5.1)	Yes	No	No, because this is not an operational system and PIA has not been addressed yet.	No	This system is not a Privacy Act system of record.
RAM Mod Phase 3: Migrate Additional Users/AISs (RAM 5.2)	Yes	No	No, because this is not an operational system and PIA has not been addressed yet.	No	This system is not a Privacy Act system of record.
RAM Mod Phase 4: Develop and Deploy Remaining Services (RAM 5.3)	Yes	No	No, because this is not an operational system and PIA has not been addressed yet.	No	This system is not a Privacy Act system of record.

Details for Text Options:
 Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.
 Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN.
 Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.

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

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

1. Is this investment included in your agency's target enterprise architecture? Yes

a. If "no," please explain why?

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

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

b. If "no," please explain why?

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

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

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

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

Specifics UEA activities previously mentioned and additional accomplishments include:

The UEA and the UEA segment architectures are being aligned with the updated USPTO Strategic Plan.

The EA Governance Board meets to review major IT investments.

UEA Principles and Standards have been formulated.

UEA Segment Architectures developed or being developed include:

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

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

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

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

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

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

a. If "yes," provide the six digit code corresponding to the agency segment architecture. The segment architecture codes are maintained by the agency Chief Architect. For detailed guidance regarding segment architecture codes, please refer to <http://www.egov.gov>. 600-000

4. Service Component Reference Model (SRM) Table:								
Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.egov.gov .								
Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
RAM	RAM is a mission critical system providing automated support and controls for the decentralized processing of: (1) all fees collected for products and services provided by the United States Patent and Trademark Office (USPTO), (2) debits and credits to	Back Office Services	Financial Management	Billing and Accounting			No Reuse	50

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4. Service Component Reference Model (SRM) Table:								
Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.egov.gov .								
Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
	customer deposit accounts, (3) and refunds. RAM maintains detailed information for these activities and updates the primary financial system on a daily basis.							
RAM Payment	Secure electronic payments to United States Patent and Trademark Office (USPTO). Payments made via debits and credits of customer accounts.	Back Office Services	Financial Management	Credit / Charge		015-10-01-14-01-1210-00	External	50

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

b. A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

c. 'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

d. Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the percentage of the BY requested funding amount transferred to another agency to pay for the service. The percentages in the column can, but are not required to, add up to 100%.

5. Technical Reference Model (TRM) Table:				
To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.				
FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Credit / Charge	Component Framework	Business Logic	Platform Independent Technologies	Microsoft Visual C++ 6
Credit / Charge	Component Framework	Business Logic	Platform Independent Technologies	Sun Microsystems Java EE 5 platform 5
Credit / Charge	Component Framework	Security	Certificates / Digital Signatures	Entrust Standard SSL Certificate
Credit / Charge	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer Microsoft v 4.x or higher
Billing and Accounting	Service Access and Delivery	Access Channels	Web Browser	Netscape Navigator Netscape v 4.x or higher
Billing and Accounting	Service Access and Delivery	Service Transport	Service Transport	Tumbleweed Secure Transport 4.6
Credit / Charge	Service Interface and Integration	Integration	Middleware	WebSphere MQ 6.0
Credit / Charge	Service Platform and Infrastructure	Database / Storage	Database	Oracle Oracle Database Server 10g
Credit / Charge	Service Platform and Infrastructure	Database / Storage	Storage	EMC Corporation Symmetrix 3930
Billing and Accounting	Service Platform and Infrastructure	Database / Storage	Storage	Hewlett-Packard HP NetServer LS 5/100
Credit / Charge	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM WebSphere Application Server V 6.0.2.9
Billing and Accounting	Service Platform and Infrastructure	Delivery Servers	Web Servers	Sun Microsystems Java System Web Server v 6.1
Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Ithaca Receipt Printer 63 & 90 Plus
Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Welch-Allyn Barcode scanner ST 5400
Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Welch-Allyn Check Reader 8300

Exhibit 300: USPTO Revenue Accounting and Management System (RAM) (Revision 21)

5. Technical Reference Model (TRM) Table:				
To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.				
FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Billing and Accounting	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Hewlett-Packard HP-UX (UNIX) Server HP rp3440
Credit / Charge	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	IBM AIX LPAR P595
Credit / Charge	Service Platform and Infrastructure	Support Platforms	Dependent Platform	Hewlett-Packard HP-UX 11i
Credit / Charge	Service Platform and Infrastructure	Support Platforms	Dependent Platform	IBM AIX 5.3
Credit / Charge	Service Platform and Infrastructure	Support Platforms	Dependent Platform	Microsoft Corporation Windows XP SP2
Credit / Charge	Service Platform and Infrastructure	Support Platforms	Independent Platform	Sun Microsystems Java Runtime Environment 1.4.2

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

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

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

a. If "yes," please describe.

Current RAM application can be accessed through FirstGov Portal under "Patent and Trademark Office" at URL: <https://rams.uspto.gov/eram/>

Exhibit 300: Part II: Planning, Acquisition and Performance Information
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Section A: Alternatives Analysis (All Capital Assets)

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

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

1. Did you conduct an alternatives analysis for this project? Yes
 - a. If "yes," provide the date the analysis was completed? 7/30/2008
 - b. If "no," what is the anticipated date this analysis will be completed?
 - c. If no analysis is planned, please briefly explain why:

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?
 - a. What year will the investment breakeven? (Specifically, when the budgeted costs savings exceed the cumulative costs.)
4. What specific qualitative benefits will be realized?

6. Will the selected alternative replace a legacy system in-part No
or in-whole?
 - a. If "yes," are the migration costs associated with the migration to the selected alternative included in this investment, the legacy investment, or in a separate migration investment?
 - b. If "yes," please provide the following information:

Section B: Risk Management (All Capital Assets)

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

1. Does the investment have a Risk Management Plan? Yes
 - a. If "yes," what is the date of the plan? 8/8/2008
 - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? No
- c. If "yes," describe any significant changes:

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

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

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

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

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

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

2. Is the CV% or SV% greater than +/- 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100) No

a. If "yes," was it the CV or SV or both?

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

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

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

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

Exhibit 300: USPTO Revenue Accounting and Management System (RAM) (Revision 21)

4. Comparison of Initial Baseline and Current Approved Baseline

Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004") and the baseline and actual total costs (in \$ Millions). In the event that a milestone is not found in both the initial and current baseline, leave the associated cells blank. Note that the 'Description of Milestone' and 'Percent Complete' fields are required. Indicate '0' for any milestone no longer active.

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date (mm/dd/yyyy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost (\$M)		Schedule (# days)	Cost (\$M)	
				Planned	Actual	Planned	Actual			
1	Adaptive and Corrective Maintenance to Legacy Revenue Accounting & Management System	6/30/2007	\$27.247086	6/30/2007	6/30/2007	\$31.698820	\$26.957090	0	\$4.741730	100%
2	Perfective Maintenance to Legacy Revenue Accounting & Management System	9/30/2007	\$7.690066	9/30/2007	9/30/2007	\$9.491030	\$9.810070	0	-\$0.319040	100%
3	Integration of Financial Profile Capability	1/30/2008	\$3.331359	1/30/2008	1/30/2008	\$1.168480	\$1.168480	0	\$0.000000	100%
4	Assessment and Study of Modernization	9/30/2007	\$0.848319	9/30/2007	9/30/2007	\$0.848319	\$0.538320	0	\$0.309999	100%
5	Incorporation of Pay.Gov	6/30/2008	\$1.071440	6/30/2008	5/17/2008	\$0.461820	\$0.461820	44	\$0.000000	100%
6	Business Process Review for COTS	11/30/2008	\$0.500000	11/30/2008		\$0.369260				15%
7	FY08 RAM Operation and Maintenance	9/30/2008	\$0.454910	9/30/2008	8/30/2008	\$0.454910	\$0.454910	31	\$0.000000	100%
8	Adaptive & Perfective Maint. to RAM (RAM 4.5) (Functionality, dates, and costs are estimates, completed prior to the documentation of detailed requirements and design and will be updated on approximately 02/27/09 when the documentation is completed)	5/29/2009	\$2.478320	5/29/2009		\$2.478320				0%
9	RAM Mod 5.0: Develop RAM Services (Functionality, dates, and costs are estimates, completed prior to the documentation of detailed requirements and design and will be updated on approximately 06/30/2009 when the documentation is	12/30/2009	\$6.370420	12/30/2009		\$6.370420				0%

4. Comparison of Initial Baseline and Current Approved Baseline

Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004") and the baseline and actual total costs (in \$ Millions). In the event that a milestone is not found in both the initial and current baseline, leave the associated cells blank. Note that the 'Description of Milestone' and 'Percent Complete' fields are required. Indicate '0' for any milestone no longer active.

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date (mm/dd/yyyy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost (\$M)		Schedule (# days)	Cost (\$M)	
				Planned	Actual	Planned	Actual			
	completed)									
10	FY09 RAM Operation and Maintenance	9/30/2009	\$2.076880	9/30/2009		\$2.076880			0%	
11	RAM Mod 5.1: COTS/GOTS and Begin Migration (Functionality, dates, and costs are estimates, completed prior to the documentation of detailed requirements and design and will be updated on approximately 06/30/2010 when the documentation is completed)	12/30/2010	\$6.841340	12/30/2010		\$6.841340			0%	
12	FY10 RAM Operation and Maintenance (Functionality, dates, and costs are estimates, completed prior to the documentation of detailed requirements and design and will be updated on approximately 06/30/2010 when the documentation is completed)	9/30/2010	\$2.127110	9/30/2010		\$2.127110			0%	