

Office of the Chief Information Officer Operational Information Technology Plan

FY 2005 – FY2006



October 2004

Executive Summary



Operational IT Plan FY 2005 – FY 2006

The Operational Information Technology Plan provides important information regarding the United States Patent and Trademark Office's vision for its ongoing information technology modernization efforts. The plan also provides a high-level outlook for critically important information technology systems currently being implemented or planned during FY 2005 and FY 2006. The information in this document is designed to support the important mission of the United States Patent and Trademark Office (USPTO).

The USPTO mission is to administer the laws relating to patents and trademarks, while ensuring the creation of valid, prompt and proper intellectual property rights and advising the Secretary of Commerce, the President of the United States and the Administration on all domestic and global aspects of Intellectual Property. As an integral part of this mission, the USPTO provides inventors and entrepreneurs with the protection and encouragement they need to take their inventive and creative ideas to the market place. This support ultimately enables job creation, economic growth, sustainable development, and improved living standards for all Americans.

To meet the challenges of the future, the USPTO has developed an ambitious strategic agenda to help position the agency to operate more successfully and efficiently in the 21st century. An important component of this agenda is "leveraging information technology." To build an information technology environment that will provide the means to help USPTO achieve the goals of the *USPTO 21st Century Strategic Plan*, the Office of the Chief Information Officer has envisioned the critical role of information technology in the *Strategic Information Technology Plan FY 2004 – 2009*. Equally important is compliance with legislative and executive mandates from Clinger-Cohen Act, Government Paperwork Elimination Act, guidance from the Office of Management and Budget and the U.S. General Accounting Office and other mandates that require USPTO to achieve operational efficiency and cost-effectiveness through a reliable information technology capital planning and investment control management process and a robust information technology enterprise architecture.

The current USPTO information technology environment represents the baseline from which future improvements will evolve. This environment supports the following operations: (1) Infrastructure and Office Automation; (2) Business Continuity; (3) Patent Business; (4) Trademark Business; (5) Dissemination; (6) Financial Management and Human Resources (Corporate Support); and (7) Intellectual Property Leadership (Policy). The systems that support these areas will follow the USPTO's current system development lifecycle management policy and supporting technical standards. System projects will apply common sense to tailor USPTO's lifecycle management methodology in keeping with the size and complexity of the project. Automated information system¹ projects will apply the concept of integrated project team to

¹ An automated information system is a combination of functional users, information technology personnel, business processes and procedures, application software, documentation, commercial off-the-shelf software, computer, networking and other information technology resources that collect, record, process, store, communicate, retrieve, display, and disseminate information.



Operational IT Plan FY 2005 – FY 2006

adequately staff the projects with a balanced mix of business area and highly skilled information technology personnel. Each project will be baselined in the USPTO project management monitoring system, through capital planning and investment control process, to ensure adequate visibility into actual progress and accurate tracking of costs.

The infrastructure strategies are consistent with the vision, goals, and objectives of the *Strategic Information Technology Plan FY 2004 – 2009*. To improve information technology efficiency and effectiveness by leveraging an enterprise architecture, the Chief Information Officer has developed several key-governing strategies pertaining to ongoing operations, modifications, augmentation, replacement, and maintenance of computer and communications equipment, network facilities and system and data base software.

- Develop a viable enterprise architecture program based on industry best practices and reusable components, compliant with the Federal Enterprise Architecture and compatible with the Technical Reference Model²;
- Provide maximum availability of computer systems to examiners, attorneys, the public and other patent and trademark offices in the event of an outage;
- Enhance and simplify the technology infrastructure to support business operations in an electronic government (i.e., simplify and unify)

This corporate response in information technology will enable USPTO to maintain current business production processing, meet the requirements of Public Law 106-113, American Inventors Protection Act, Madrid Protocol Implementation Act, the President's Management Agenda (i.e., E-Government initiative), and add new capability as technology moves forward. The continued improvement in USPTO's information technology will have positive outcomes, including reductions in patent and trademark cycle times, elimination of paper-based processing, and evolution of the business to electronic commerce, and an electronic workplace. In general, the existing information technology environment and initiatives enables the USPTO to continue its worldwide leadership in providing customer-valued intellectual property rights that spark innovation, create customer confidence, and promote creativity in the 21st century.

² The USPTO Technical Reference Model defines a comprehensive set of information technology standards, services, interfaces, supporting data formats, protocols, and products. The Technical Reference Model, populated with standards and standards-based commercial products, will serve as the focus to direct the acquisition, development and maintenance of the USPTO's automated information systems within the bounds of USPTO-designated standard products.