

## Business Case: Capital Asset Summary

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

#### Section A: Overview & General Information

**Date Investment First Submitted:** 2020-09-27  
**Date of Last Change to Activities:** 2021-07-27  
**Investment Auto Submission Date:**  
**Date of Last Investment Detail Update:** 2021-07-06  
**Date of Last Business Case Update:** 2021-07-06  
**Date of Last Revision:** 2021-07-27

**Agency:** 006 - Department of Commerce      **Bureau:** 51 - U.S. Patent and Trademark Office

**1. Name of this Investment:** USPTO Patents Product Line

**2. Unique Investment Identifier (UII):** 006-000805500

#### Section B: Investment Detail

- Provide at least one Agency Strategic objective code ([A-11 Section 230](#)) and/or Agency Priority Goal code ([A-11 Section 250](#)) that this investment aligns to on performance.gov. If this investment aligns to more than one Agency strategic objective code and/or Agency Priority goal code list all that apply. If your agency does not report to performance.gov please use "0". This is required for Agency IT Portfolio Summary Part 1 and Part 2 Investments, not for Part 3 Investments.**

Agency Strategic Objective(s):

006SO18023: Strengthen Intellectual Property Protection

006SO18026: Strengthen Domestic Commerce and the U.S. Industrial Base

006SO18036: Accelerate Information Technology Modernization

Agency Priority Goal(s):

- Briefly describe the investment's return on investment, including benefits internal and external to the government and outcomes achieved or planned.**

Benefits include: - Stabilize tools and capabilities of legacy systems will allow critical business functions to continue as they are essential for our business process and the reputation of the USPTO - The implement ST.26 to improve the amount of information disclosed and the technical format thus improving the quality of innovation for disclosing bio sequence listing inventions - Optimize pendency and examination timeframes, align production capacity with incoming workload, ensuring the highest level of quality for all work products - Address internal and external stakeholder experiences, priorities, and expectations related to examination time, quality, and application complexity - PTABs AIA case management functionality and ACTS functionality will continue to be stabilized and resiliency improved - Ensure highest level of quality for all work products - Mitigate PTABs reputational risk of untenable critical, highly-manual data management to a

reliable authoritative environment - Utilize AI tools and capabilities to assist examiners in developing search terms - Cluster and visualize search results to improve the quality of the prior art results and therefore the quality of patent examination - Capture PTAB data authoritatively to analyze results to support executive direction and external data calls - Change the Patent Term Adjustment calculation - Address business changes for the Integrated Quality System and other business changes for reporting and executive decision making.

3. **If this investment will result in the elimination or the reduction of another major or non-major investment(s), please complete the following:**

Table I.B.1 Affected Investment Information	
Investment UII	To Be Status
006-000805000	to be eliminated

4. **Does the Investment currently include an intra- or inter-Agency shared service (common, shared, or centralized solution)?:**

YES

5. **Does the Investment plan to include an Intra- or Inter-Agency shared service that it does not currently include (common, shared, or centralized solution)?:**

NO

6. **If systems contained in this Investment collect data from the public, please identify the OMB Control Numbers which authorize that data collection as per the Paperwork Reduction Act. Use [Reginfo](#) at the following link to identify information collection requests and OMB control numbers. Agencies can work with their Records Officers to determine the applicability.**

0651-0020|0651-0021|0651-0022|0651-0024|0651-0031|0651-0032|0651-0033|0651-0035|0651-0058|0651-0059|0651-0062|0651-0064|0651-0067|0651-0069|0651-0071|0651-0073|0651-0075|0651-0079

7. **Provide the name of the Investment-level project manager:**

John Sheers

8. **Select the qualification/experience level of the Investment-level project manager (select one):**

1 - FAC-P/PM(DAWIA-3)- Senior

## Section C: Life Cycle Costs

1. Provide the total estimated life cycle costs for the investment in millions. Note: Do not enter information in the grey cells as these will be calculated.

Table I.C.1 Life Cycle Costs				
	PY-1 & Prior	PY 2021	CY 2022	BY 2023
Planning Costs:	0	0	0	0
DME (Excluding Planning) Costs:	0	0	\$97.167720	\$97.102910
DME (Including Planning) Govt. FTEs:	0	0	\$21.444100	\$21.444102
Sub-Total DME (including Internal Labor (Govt. FTE)):	0	0	\$118.611820	\$118.547012
O & M Costs:	0	0	\$20.953220	\$20.540800
O & M Internal Labor (Govt. FTE):	0	0	\$21.533914	\$23.503544
Sub-Total O & M Costs (Including Internal Labor (Govt. FTE)):	0	0	\$42.487134	\$44.044344
Total Cost (Including Internal Labor (Govt. FTE)):	0	0	\$161.098954	\$162.591356
Total Cost Internal Labor (Govt. FTE) costs:	0	0	\$42.978014	\$44.947646
# of FTE rep by costs:			227	232
Total change from prior year final President's Budget (\$)		0	\$161.098954	
Total change from prior year final President's Budget		0.00%	0.00%	

Table I.C.1 Life Cycle Costs

	PY-1 & Prior	PY 2021	CY 2022	BY 2023
(%)				

2.
  - a. In which year did or will this investment begin? (specify year - e.g., PY-1= 2019)  
2021
  - b. In which year will this investment reach the end of its estimated useful life? (specify year - e.g., FY+5 = 2027)  
2026
3. Compare the funding levels for PY and CY to the final FY 2022 President's Budget for those same years. Briefly explain any significant changes. When making comparisons, ensure that you compare same-year-to-same-year (e.g., the FY20 level for 2020 versus the FY21 level for 2020):

## Business Case Detail: Performance Measurement Report

### Section A1: General Information

1. **Name of this Investment:** USPTO PATENTS PRODUCT LINE
2. **Unique Investment Identifier (UII):** 006-000805500

## Section C1: Projects Table

Projects Table C.1

Unique Project ID	Project Name	Project Goal	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)	Software Project?
210422	FY22 International Data Exchange Maintenance and Enhancements	Users products and services that allows access to and retrieval of Patent Classifications and related work sharing events	10/01/2021	09/30/2022	\$7.0	Yes
210121	FY21 Patent Center	Patent Portal is a unified interface that allows applicants to file, review, and manage patent applications, including searching published prior art	10/01/2020	09/30/2021	\$16.0	Yes
210421	FY21 International Data Exchange Maintenance and Enhancements	Users products and services that allows access to and retrieval of Patent Classifications and related work sharing events	10/01/2020	09/30/2021	\$7.0	Yes
210321	FY21 Patent Exam Center Maintenance and Enhancements	Patent Exam Center allows users to manage patent applications, search prior art, manage classification, make patentability determinations, document official government decisions and create correspondences, thereof	10/01/2020	09/30/2021	\$46.9	Yes
21A122	FY22 Patent Product Line Planning and Management Maintenance and Enhancements	Provide overall support for the management of the Product Line. Adheres to DoC/OMB reporting compliance including FAC/P-PM certification	10/01/2021	09/30/2022	\$0.7	Yes
210221	FY21 Patent Administrative Center Maintenance and Enhancements	Patent Administrative Center allows reviewers conduct formalities, document & fee review, manage bibliographic data, applicant representatives and correspondence information for numerous application types; and validate fees and export documents	10/01/2020	09/30/2021	\$28.4	Yes

Projects Table C.1

Unique Project ID	Project Name	Project Goal	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)	Software Project?
210721	FY21 Patent Business Management Information	Report generation that provides system users with improved workflow lists, generates employee productivity numbers, and provides metrics that enable informed decision-making	10/01/2020	09/30/2021	\$3.8	Yes
210122	FY22 Patent Center Maintenance and Enhancements	Patent Portal is a unified interface that allows applicants to file, review, and manage patent applications, including searching published prior art	10/01/2021	09/30/2022	\$16.0	Yes
21022	FY22 Patent Administrative Center Maintenance and Enhancements	Patent Administrative Center allows reviewers conduct formalities, document & fee review, manage bibliographic data, applicant representatives and correspondence information for numerous application types; and validate fees and export documents	10/01/2021	09/30/2022	\$28.4	Yes
210622	FY22 Patent Business and Content Management Services Maintenance and Enhancements	Users can access patent application documents and content stored in various formats	10/01/2021	09/30/2022	\$5.3	Yes
210621	FY21 Patent Business and Content Management Services Maintenance and Enhancements	Users can access patent application documents and content stored in various formats	10/01/2020	09/30/2021	\$5.3	Yes
21A121	FY21 Patent Product Line Planning and Management Maintenance and Enhancements	Provide overall support for the management of the Product Line. Adheres to DoC/OMB reporting compliance including FAC/P-PM certification	10/01/2020	09/30/2021	\$0.7	Yes
210822	FY22 Patent Public API Maintenance and Enhancements	Public / external developers can retrieve core Patent data in the cloud	10/01/2021	09/30/2022	\$0.1	Yes
210522	FY22 Patent Trial and Appeal Board Center Maintenance	Provides 1) internal users with a unified case management	10/01/2021	09/30/2022	\$10.3	Yes

Projects Table C.1

Unique Project ID	Project Name	Project Goal	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)	Software Project?
	and Enhancements	and processing interface; 2) external customers with an interface to file papers and conduct AIA trial business; 3) a comprehensive data source for enhanced stakeholder reporting and managing				
210322	FY22 Patent Exam Center Maintenance and Enhancements	Patent Exam Center allows users to manage patent applications, search prior art, manage classification, make patentability determinations, document official government decisions and create correspondences, thereof	10/01/2021	09/30/2022	\$46.9	Yes
210722	FY22 Patent Business Management Information	Report generation that provides system users with improved workflow lists, generates employee productivity numbers, and provides metrics that enable informed decision-making	10/01/2021	09/30/2022	\$3.8	Yes
210521	FY21 Patent Trial and Appeal Case Tracking System	Provides 1) internal users with a unified case management and processing interface; 2) external customers with an interface to file papers and conduct AIA trial business; 3) a comprehensive data source for enhanced stakeholder reporting and managing	10/01/2020	09/30/2021	\$10.3	Yes

## Section C2: Project Activities

1. Provide all non-agile project activities for projects in Table C.1 that started in a previous FY (PY and earlier) and that have not been completed by the beginning of the CY, as well as activities that are scheduled to start in the current FY and BY.



Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
210121	Release 1	Production Release for Patents Maintenance and Enhancements for Release 1	210121.1	2020-10-01	2020-10-01	2020-10-01	2020-12-31	2020-12-31	2020-12-31	4.000750	4.000750	4.208261
210421	Release 1	Production Release for FY21 International Data Exchange Maintenance and Enhance	210421.1	2020-10-01	2020-10-01	2020-10-01	2020-12-31	2020-12-31	2020-12-31	1.755500	3.458580	4.327480
210321	Release 1	Adding new Project & Project Activities to the new USPTO Patents Product Line investment	210321.1	2020-10-01	2020-10-01	2020-10-01	2020-12-31	2020-12-31	2020-12-31	11.717623	11.413880	15.766720
210221	Release 1	Production Release for Patents Administrative Center Maintenance and Enhancements for Release 1	210221.1	2020-10-01	2020-10-01	2020-10-01	2020-12-31	2020-12-31	2020-12-31	7.109250	5.777500	11.158280
210721	Release1	Production Release for FY21 Patent Data and Analytics Maintenance and Enhancements for Release 1	210721.1	2020-10-01	2020-10-01	2020-10-01	2020-12-31	2020-12-31	2020-12-31	0.954500	0.954510	0.284510
210621	Release 1	Production	210621.1	2020-10-01	2020-10-01	2020-10-01	2020-12-31	2020-12-31	2020-12-31	1.327500	1.327490	0.079670

Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
		Release for FY21 Patent Business and Content Management Services Maintenance and Enhancements for Release 1										
21A121	Release 1	Production Release FY21 Patent Product Line Planning and Management Maintenance and Enhancements for Release 1	21A121.1	2020-10-01	2020-10-01	2020-10-01	2020-12-31	2020-12-31	2020-12-31	0.170880	0.170880	0.000010
210521	Release 1	Production Release for FY21 Patent Trial and Appeal Board Center Maintenance and Enhancements for Release 1	210521.1	2020-10-01	2020-10-01	2020-10-01	2020-12-31	2020-12-31	2020-12-31	2.571750	2.571750	1.572070
210121	Release 2	Production Release for Patents Maintenance and Enhancements for Release 2	210121.2	2021-01-01	2021-01-02	2021-01-04	2021-03-31	2021-03-31	2021-03-31	4.000750	4.000760	3.246247
210421	Release 2	Production Release for FY21 International Data Exchange	210421.2	2021-01-01	2021-01-01	2021-01-04	2021-03-31	2021-03-31	2021-03-31	1.755500	3.407260	4.854500

Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
		Maintenance and Enhancements										
210321	Release 2	Production Release for FY21 Patent Exam Center Maintenance and Enhancements for Release 2	210321.2	2021-01-01	2021-01-01	2021-01-04	2021-03-31	2021-03-31	2021-03-31	11.717623	11.413880	9.617503
210221	Release 2	Production Release Patent Administrative Center Maintenance and Enhancements for Release 2	210221.2	2021-01-01	2021-01-01	2021-01-04	2021-03-31	2021-03-31	2021-03-31	7.109250	5.777500	6.948358
210721	Release 2	Production Release for FY21 Patent Data and Analytics Maintenance and Enhancements Release 2	210721.2	2021-01-01	2021-01-01	2021-01-04	2021-03-31	2021-03-31	2021-03-31	0.954500	0.954500	0.389870
210621	Release 2	Production Release for FY21 Patent Business and Content Management Services Maintenance and Enhancements for Release 2	210621.2	2021-01-01	2021-01-01	2021-01-04	2021-03-31	2021-03-31	2021-03-31	1.327500	1.327500	0.239120
21A121	Release 2	Production Release FY21 Patent Product	21A121.2	2021-01-01	2021-01-01	2021-01-04	2021-03-31	2021-03-31	2021-03-31	0.170880	0.170880	0.000010

Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
		Line Planning and Management Maintenance and Enhancements for Release 2										
210521	Release 2	Production Release for FY21 Patent Trial and Appeal Board Center Maintenance and Enhancements for Release 1	210521.2	2021-01-01	2021-01-01	2021-01-04	2021-03-31	2021-03-31	2021-03-31	2.571750	2.571750	2.520660
210121	Release 3	Production Release for Patents Maintenance and Enhancements for Release 3	210121.3	2021-04-01	2021-04-01	2021-04-01	2021-06-30	2021-06-30	2021-06-30	4.000750	4.000760	4.697410
210421	Release 3	Production Release for FY21 International Data Exchange Maintenance and Enhancements for or Release 3	210421.3	2021-04-01	2021-04-01	2021-04-01	2021-06-30	2021-06-30	2021-06-30	1.755500	3.407230	3.227110
210321	Release 3	Production Release for FY21 Patent Exam Center Maintenance and Enhancements for Release 3	210321.3	2021-04-01	2021-04-01	2021-04-01	2021-06-30	2021-06-30	2021-06-30	11.717623	11.413850	12.611480

Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
210221	Release 3	Production Release Patent Administrative Center Maintenance and Enhancements for Release 3	210221.3	2021-04-01	2021-04-01	2021-04-01	2021-06-30	2021-06-30	2021-06-30	7.109250	5.777520	7.133850
210721	Release 3	Production Release for FY21 Patent Data and Analytics Maintenance and Enhancements Release 3	210721.3	2021-04-01	2021-04-01	2021-04-01	2021-06-30	2021-06-30	2021-06-30	0.954500	0.954490	0.507260
210621	Release 3	Production Release for FY21 Patent Business and Content Management Services Maintenance and Enhancements for Release 2	210621.3	2021-04-01	2021-04-01	2021-04-01	2021-06-30	2021-06-30	2021-06-30	1.327500	1.327480	1.024530
21A121	Release 3	Production Release FY21 Patent Product Line Planning and Management Maintenance and Enhancements for Release 3	21A121.3	2021-04-01	2021-04-01	2021-04-01	2021-06-30	2021-06-30	2021-06-30	0.170880	0.170880	0.000010
210521	Release 3	Production Release for FY21 Patent Trial and	210521.3	2021-04-01	2021-04-01	2021-04-01	2021-06-30	2021-06-30	2021-06-30	2.571750	2.571730	1.215280

Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
		Appeal Board Center Maintenance and Enhancements for Release 1										
210121	Release 4	Production Release for Patents Maintenance and Enhancements for Release 4	210121.4	2021-07-01	2021-07-01	2021-07-01	2021-09-30	2021-09-30		4.000750	4.000760	
210421	Release 4	Production Release for FY21 International Data Exchange Maintenance and Enhancements	210421.4	2021-07-01	2021-07-01	2021-07-01	2021-09-30	2021-09-30		1.755500	3.407250	
210321	Release 4	Production Release for FY21 Patent Exam Center Maintenance and Enhancements for Release 4	210321.4	2021-07-01	2021-07-01	2021-07-01	2021-09-30	2021-09-30		11.717623	11.413890	
210221	Release 4	Production Release Patent Administrative Center Maintenance and Enhancements for Release 4	210221.4	2021-07-01	2021-07-01	2021-07-01	2021-09-30	2021-09-30		7.109250	5.777520	
210721	Release 4	Production Release for PFY21 Patent Data and Analytics	210721.4	2021-07-01	2021-07-01	2021-07-01	2021-09-30	2021-09-30		0.954500	0.954510	

Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
		Maintenance and Enhancements Release 4										
210621	Release 4	Production Release for FY21 Patent Business and Content Management Services Maintenance and Enhancements Release 4	210621.4	2021-07-01	2021-07-01	2021-07-01	2021-09-30	2021-09-30		1.327500	1.327500	
21A121	Release 4	Production Release FY21 Patent Product Line Planning and Management Maintenance and Enhancements for Release 4	21A121.4	2021-07-01	2021-07-01	2021-07-01	2021-09-30	2021-09-30		0.170880	0.170880	
210521	Release 4	Production Release for FY21 Patent Trial and Appeal Board Center Maintenance and Enhancements for Release 4	210521.4	2021-07-01	2021-07-01	2021-07-01	2021-09-30	2021-09-30		2.571750	2.571750	
210422	Release 1	Production Release for FY22 International Data Exchange Maintenance and	210422.1	2021-10-01	2021-10-01		2021-12-31	2021-12-31		1.755500	1.755500	

Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
Enhancements for Release 1												
21A122	Release 1	Production Release for FY22 Patent Business and Content Management Services Maintenance and Enhancements	21A122.1	2021-10-01	2021-10-01		2021-12-31	2021-12-31		0.170880	0.170880	
210122	Release 1	Production Release for FY22 Patent Center Maintenance and Enhancements	210122.1	2021-10-01	2021-10-01		2021-12-31	2021-12-31		4.000750	4.000750	
21022	Release 1	Production Release for FY22 Patent Administrative Center Maintenance and Enhancements	21022.1	2021-10-01	2021-10-01		2021-12-31	2021-12-31		7.109250	7.109250	
210622	Release 1	Production Release for FY22 Patent Business and Content Management Services Maintenance and Enhancements	210622.1	2021-10-01	2021-10-01		2021-12-31	2021-12-31		1.327500	1.327500	
210822	Release 1	Production Release for FY22 Patent Public API Maintenance	210822.1	2021-10-01	2021-10-01		2021-12-31	2021-12-31		0.029000	0.029000	



Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
		and Enhancements										
210522	Release1	Production Release for FY22 Patent Trial and Appeal Board Center Maintenance and Enhancements	210522.1	2021-10-01	2021-10-01		2021-12-31	2021-12-31		2.571750	2.571750	
210322	Release 1	Production Release for FY22 Patent Exam Center Maintenance and Enhancements	210322.1	2021-10-01	2021-10-01		2021-12-31	2021-12-31		11.717623	11.717623	
210722	Release 1	Production Release for FY22 Patent Data and Analytics Maintenance and Enhancements	210722.1	2021-10-01	2021-10-01		2021-12-31	2021-12-31		0.954500	0.954500	
210422	Release 2	Production Release for FY22 International Data Exchange Maintenance and Enhancements for Release 2	210422.2	2022-01-01	2022-01-01		2022-03-31	2022-03-31		1.755500	1.755500	
21A122	Release 2	Production Release for Production Release for FY22 Patent Center Maintenance	21A122.2	2022-01-01	2022-01-01		2022-03-31	2022-03-31		0.170880	0.170880	

Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
		and Enhancements										
210122	Release 2	Production Release for FY22 Patent Center Maintenance and Enhancements	210122.2	2022-01-01	2022-01-01		2022-03-31	2022-03-31		4.000750	4.000750	
21022	Release 2	Production Release for FY22 Patent Administrative Center Maintenance and Enhancements	21022.2	2022-01-01	2022-01-01		2022-03-31	2022-03-31		7.109250	7.109250	
210622	Release 2	Production Release for FY22 Patent Business and Content Management Services Maintenance and Enhancements	210622.2	2022-01-01	2022-01-01		2022-03-31	2022-03-31		1.327500	1.327500	
210822	Release 2	Production Release for FY22 Patent Public API Maintenance and Enhancements	210822.2	2022-01-01	2022-01-01		2022-03-31	2022-03-31		0.029000	0.029000	
210522	Release 2	Production Release for FY22 Patent Trial and Appeal Board Center Maintenance and	210522.2	2022-01-01	2022-01-01		2022-03-31	2022-03-31		2.571750	2.571750	

Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
		Enhancements										
210322	Release 2	Production Release for FY22 Patent Exam Center Maintenance and Enhancements	210322.2	2022-01-01	2022-01-01		2022-03-31	2022-03-31		11.717623	11.717623	
210722	Release 2	Production Release for FY22 Patent Data and Analytics Maintenance and Enhancements	210722.2	2022-01-01	2022-01-01		2022-03-31	2022-03-31		0.954500	0.954500	
210422	Release 3	Production Release for FY22 International Data Exchange Maintenance and Enhancements for Release 3	210422.3	2022-04-01	2022-04-01		2022-06-30	2022-06-30		1.755500	1.755500	
21A122	Release 3	Production Release for FY22 Patent Center Maintenance and Enhancements	21A122.3	2022-04-01	2022-04-01		2022-06-30	2022-06-30		0.170880	0.170880	
210122	Release 3	Production Release for FY22 Patent Center Maintenance and Enhancements	210122.3	2022-04-01	2022-04-01		2022-06-30	2022-06-30		4.000750	4.000750	
21022	Release 3	Production Release for	21022.3	2022-04-01	2022-04-01		2022-06-30	2022-06-30		7.109250	7.109250	

Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
		FY22 Patent Administrative Center Maintenance and Enhancements										
210622	Release 3	Production Release for FY22 Patent Business and Content Management Services Maintenance and Enhancements	210622.3	2022-04-01	2022-04-01		2022-06-30	2022-06-30		1.327500	1.327500	
210822	Release 3	Production Release for FY22 Patent Public API Maintenance and Enhancements	210822.3	2022-04-01	2022-04-01		2022-06-30	2022-06-30		0.029000	0.029000	
210522	Release 3	Production Release for FY22 Patent Trial and Appeal Board Center Maintenance and Enhancements	210522.3	2022-04-01	2022-04-01		2022-06-30	2022-06-30		2.571750	2.571750	
210322	Release 3	Production Release for FY22 Patent Exam Center Maintenance and Enhancements	210322.3	2022-04-01	2022-04-01		2022-06-30	2022-06-30		11.717623	11.717623	
210722	Release 3	Production Release for FY22 Patent	210722.3	2022-04-01	2022-04-01		2022-06-30	2022-06-30		0.954500	0.954500	

Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
		Data and Analytics Maintenance and Enhancements										
210422	Release 4	Production Release for FY22 International Data Exchange Maintenance and Enhancements for Release 4	210422.4	2022-07-01	2022-07-01		2022-09-30	2022-09-30		1.755500	1.755500	
21A122	Release 4	Production Release for FY22 Patent Center Maintenance and Enhancements	21A122.4	2022-07-01	2022-07-01		2022-09-30	2022-09-30		0.170880	0.170880	
210122	Release 4	Production Release for FY22 Patent Center Maintenance and Enhancements	210122.4	2022-07-01	2022-07-01		2022-09-30	2022-09-30		4.000750	4.000750	
21022	Release 4	Production Release for FY22 Patent Administrative Center Maintenance and Enhancements	21022.4	2022-07-01	2022-07-01		2022-09-30	2022-09-30		7.109250	7.109250	
210622	Release 4	Production Release for FY22 Patent Business and Content Management	210622.4	2022-07-01	2022-07-01		2022-09-30	2022-09-30		1.327500	1.327500	

Project Activity Table C.2.1

Unique Project ID	Activity Name	Activity Description	Structure ID	Planned Start Date	Projected Start Date	Actual Start Date	Planned Completion Date	Projected Completion Date	Actual Completion Date	Planned Total Costs	Projected Total Costs	Actual Total Costs
		Services Maintenance and Enhancements										
210822	Release 4	Production Release for FY22 Patent Public API Maintenance and Enhancements	210822.4	2022-07-01	2022-07-01		2022-09-30	2022-09-30		0.029000	0.029000	
210522	Release 4	Production Release for FY22 Patent Trial and Appeal Board Center Maintenance and Enhancements	210522.4	2022-07-01	2022-07-01		2022-09-30	2022-09-30		2.571750	2.571750	
210322	Release 4	Production Release for FY22 Patent Exam Center Maintenance and Enhancements	210322.4	2022-07-01	2022-07-01		2022-09-30	2022-09-30		11.717623	11.717623	
210722	Release 4	Production Release for FY22 Patent Data and Analytics Maintenance and Enhancements	210722.4	2022-07-01	2022-07-01		2022-09-30	2022-09-30		0.954500	0.954500	

## Section D: Operational Data

1. Provide the date and results of the last Operational Analysis (for operational and mixed life cycle systems/Investments):

1. **Date of Analysis:**
2. **Analysis Results:**
3. **Analysis Conclusion:**

2. **Report a minimum of 5 metrics using the following table to provide metrics and actual results for each individual metric:**

Metrics Definitions and Actual Results Table D.2 / D.3										
Metric ID	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	2020 Target	2021 Target	Measurement Condition	Reporting Frequency	Agency Strategic Objective / Agency Priority Goal	Is Metric Retired?
30128	Provide a standardized and balanced examination experience across the patent corps by reducing the processing time of the assignment engine. Each cycle of the assignment engine should execute in 4 hours.	Hours	2 - Strategic and Business Results		0.000000	4.000000	Under target	Annual	006SO18023 : Strengthen Intellectual Property Protection	No

  

Metric ID	Actual Result ID	Actual Result	Date of Actual Result	Comment
30128	283803	4.000000	03/31/2021	FY 21 goal is to reduce the processing time from 20 hours to 4 hours (a reduction of 16 hours over the year). As of Q2 FY 21, enhancements were made that reduced the cycle time to 4 hours which is currently meeting the yearly

Metrics Definitions and Actual Results Table D.2 / D.3

Metric ID	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	2020 Target	2021 Target	Measurement Condition	Reporting Frequency	Agency Strategic Objective / Agency Priority Goal	Is Metric Retired?
					30128	276714	9.000000	12/31/2020	goal. FY 21 goal is to reduce the processing time from 20 hours to 4 hours (a reduction of 16 hours over the year). As of Q1 FY 21, the team made significant progress and reduced the processing time from 20 hours to 9 hours.	
30127	Decouple PTAB and PALM databases to remove dependencies to allow independent maintenance and operation of the databases, thereby increasing resiliency and improving operations for internal and external users	percentage	1 - Customer Satisfaction (Process Results)		0.000000	100.000000	Over target	Annual	006SO18023 : Strengthen Intellectual Property Protection	No
					Metric ID	Actual Result ID	Actual Result	Date of Actual Result	Comment	
					30127	283804	100.000000	03/31/2021	100% overall completion of the targeted goal of 100% Decouple PTAB and PALM databases to remove dependencies to allow independent maintenance and operation of the databases	
					30127	276715	35.000000	12/31/2020	35% overall completion of the targeted goal of 100% Decouple PTAB and PALM databases to remove dependencies to allow independent maintenance and operation of the databases	



Metrics Definitions and Actual Results Table D.2 / D.3

Metric ID	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	2020 Target	2021 Target	Measurement Condition	Reporting Frequency	Agency Strategic Objective / Agency Priority Goal	Is Metric Retired?
30125	Improve patent examiners ability to review additional relevant prior art in search by loading ~70M Foreign Patent Documents into Search This is a monthly goal of 8.4M documents per month which totals 70M documents for the entire FY. In terms of percentage, this is 8.33% per month to reach the FY goal of 100 percent.	Percentage	2 - Strategic and Business Results		0.000000	100.000000	Over target	Monthly	006SO18023 : Strengthen Intellectual Property Protection	No

Metric ID	Actual Result ID	Actual Result	Date of Actual Result	Comment
30125	287985	98.570000	06/30/2021	As of June 2021, ~69M foreign images are available in Search. This exceeds the monthly target of increasing by 8.4M documents per month or in terms of percentage increasing by 8.33% per month. In this case, we are at 98.57% and exceeding expectations in meeting the FY goal.
30125	287984	97.810000	05/31/2021	The FY 21 goal is to have 100% of new foreign images and text (70M documents) available to Examiners in the new Search tool by the end of the fiscal year. As of May 2021, approximately 68.4M documents (97.81% of the yearly goal) are available to Examiners. This is

Metrics Definitions and Actual Results Table D.2 / D.3										
Metric ID	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	2020 Target	2021 Target	Measurement Condition	Reporting Frequency	Agency Strategic Objective / Agency Priority Goal	Is Metric Retired?
									ahead of target in achieving the yearly goal of 70M.	
					30125	284679	95.700000	04/30/2021	The FY 21 goal is to have 100% of new foreign images and text (70M documents) available to Examiners in the new Search tool by the end of the fiscal year. As of April 2021, approximately 67M documents (95.7% of the yearly goal) are available to Examiners. This is ahead of target in achieving the yearly goal of 70M.	
					30125	283805	92.400000	03/31/2021	Of the yearly goal to have 70M new foreign images and text documents available to Examiners in the new Search tool, there are currently 64.7M foreign images and text documents available.	
					30125	281577	92.400000	02/28/2021	750k new foreign images and text documents were added in February 2021. This is a total of 64.7M foreign images and text available to Examiners in the new Search tool.	
					30125	278564	88.600000	01/31/2021	21.5% monthly increase to new foreign images and text: 51M in December 2020 to 62M in January 2021. This is 88.6% of the yearly goal of ~70M foreign images and text.	
					30125	276716	72.850000	12/31/2020	13% monthly increase to new foreign images and text: 45M in November 2020 to 51M in December 2020. This is 72.85% of the yearly goal of ~70M foreign images and text.	
					30125	275193	64.280000	11/30/2020	12% increase to foreign data collections from 39M to 45M documents. This is 64.28% of the yearly goal of ~70M foreign images and text.	

Metrics Definitions and Actual Results Table D.2 / D.3

Metric ID	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	2020 Target	2021 Target	Measurement Condition	Reporting Frequency	Agency Strategic Objective / Agency Priority Goal	Is Metric Retired?
30124	Decrease dependency upon the COOLGen technology for Patent applications and hardware	Percentage	2 - Strategic and Business Results		0.000000	50.000000	Over target	Annual	006SO18023 : Strengthen Intellectual Property Protection	No

Metric ID	Actual Result ID	Actual Result	Date of Actual Result	Comment
30124	283806	25.000000	03/31/2021	As of Q2 FY21, the dependency upon the COOLGen technology for Patent applications and hardware has been reduced by 25% (this is half the yearly goal)
30124	276717	16.000000	12/31/2020	As of Q1 FY21, 16% is equal to 32 of the 50% goal to Decrease dependency upon the COOLGen technology for Patent applications and hardware.

30123	Deliver a scalable Patent Center tool to enable applicants to file text based applications in DOCX with performance levels that meet the adjusted SLAs. Target for FY 21 is 1 MB uploads within 25 seconds and 5 MB uploads within 102 seconds.	Percentage	2 - Strategic and Business Results	0.000000	100.000000	Over target	Annual	006SO18023 : Strengthen Intellectual Property Protection	No
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Metric ID	Actual Result ID	Actual Result	Date of Actual Result	Comment
30123	283807	100.000000	03/31/2021	As of Q2 FY 21, 1MB uploads

Metrics Definitions and Actual Results Table D.2 / D.3

Metric ID	Metric Description	Unit of Measure	Performance Measurement Category Mapping	Agency Baseline Capability	2020 Target	2021 Target	Measurement Condition	Reporting Frequency	Agency Strategic Objective / Agency Priority Goal	Is Metric Retired?
									average 18 seconds which is significantly faster than the 25 second annual target. 5MB uploads average 73 seconds which is also significant faster than the 102 second annual target. Performance testing will continue throughout FY2021.	
					30123	281578	100.000000	02/28/2021	As of February 2021, 1MB uploads average 11.81 seconds which is significantly faster than the 25 second annual target. 5MB uploads average 58.1 seconds which is also significant faster than the 102 second annual target. Performance testing will continue throughout FY2021.	
					30123	278565	100.000000	01/31/2021	As of January 2021, 1MB uploads average 11.81 seconds which is significantly faster than the 25 second annual target. 5MB uploads average 58.1 seconds which is also significant faster than the 102 second annual target. Performance testing will continue throughout FY2021.	
					30123	276718	89.950000	12/31/2020	As of Q1 FY21, 1MB uploads average 28.13 seconds which is 87.5% of the 25 second annual target. 5MB uploads average 110.02 seconds which is 92.4% of the 102 second annual target. The combined actual metric for 1MB and 5MB upload averages 89.95% of the annual target	