

PRE-AWARD SYNOPSIS
SOLE SOURCE AWARD FOR SUBJECT MATTER SERVICES:
LEAD IT ARCHITECT CONSULTING SERVICES

SYNOPSIS DATE: November 29, 2011

CONTRACTING OFFICE: United States Patent & Patent Office, Office of Procurement, 600 Dulany Street, Alexandria, VA, 22313-1450

NAICS CODE: 541611, Administrative Management and General Management Consulting Services

NOTICE CLOSING DATE: December 5, 2011

CONTRACTING OFFICER: Heather M. Bakos, 571.272.5351, Heather.Bakos@uspto.gov

ESTIMATED DOLLAR AWARD AMOUNT: \$500,000

ESTIMATED CONTRACT AWARD DATE: December 5, 2011

METHOD OF SOLICITATION: Request for Quote

DESCRIPTION: The Lead Consulting Architect for the Project shall provide mentoring and consulting services for a business-based analysis of the IT architecture to enable the development of a next-generation Patents electronic processing capability as follows:

- a. Assess overall business and IT requirements;
- b. Review as-is business and IT architecture documentation;
- c. Assess IT plans and work in progress;
- d. Review target business and IT architecture views and options; and
- e. Examine Patent transformation plans from a business, data, application and technical architecture perspective with a focus on viability, risk, achieving early ROI and alignment with the current state of the practice and tools

The Lead Consulting Architect shall perform the following evaluation activities:

- a. Interview USPTO customers, contractors, System Development Leads (SDLs) and other USPTO staff as necessary to gather system related issues, interdependencies, user requirements, desired software architecture, and envisioned software coding standard;
- b. Evaluate best industry and government practices and recommend the practices that can be effectively implemented at the USPTO;
- c. Evaluate interdependent AIs and provide recommendations on how the systems can be decoupled;
- d. Participate in reviews with steering committees and senior management; and

- e. Review existing strategy, plans, work in progress, target options and transformation plans to date.

The Lead Consulting Architect shall:

- a. Use advanced technical knowledge and communications skills to facilitate complex situations;
- b. Serve as an advisor for and provide direction with indirect reporting relationships; and
- c. Interact day-to-day with technologists, management, project management, contract developers, government developers, and other architects.
- d. Working with the USPTO technologists and management, define and document the current and future state architecture of the Patent systems and propose a migration strategy from the current state to the future state.

PROPOSED CONTRACTOR:

Tactical Strategy Group, Inc.

JUSTIFICATION FOR NON-COMPETITION:

The Patent and Patent Acquisition Guidelines (PTAG) specifically exempts USPTO from the Competition in Contracting Act (CICA - 41 USC 253).

The supplies or services needed by the agency are available from only one responsible source and no other type of supplies or services will satisfy the agency requirements.

Nature and/or description of the action being approved:

The purpose of this Justification for Sole Source is to obtain approval for negotiating solely with William Ulrich, Tactical Strategy Group (TSG), Inc. for Subject Matter Expert services pertaining to the Patent End to End (PE2E) Portfolio, Program and Projects. As the developer of the process the USPTO has adopted to align its business and IT vision, Mr. Ulrich possesses a unique set of qualifications to continue to provide direction and guidance to the PE2E Business Architecture teams. This process, The Systems Redevelopment Methodology (TSRM), will be used for the analysis and recommendations of the PE2E current and future state value streams, capability mapping and business solutions.

As the developer of TSRM, Mr. Ulrich has the unique ability and expertise to provide the best use of this process to deconstruct business architectures and provide recommendations to deliver the cross-functional, cross disciplinary visibility required to enable complex business transformations. Additionally, Mr. Ulrich possesses the unique ability and expertise to provide the best use of this process to determine the viability of a given business/IT transformation strategy from a fully independent perspective.

The USPTO contracted with TSG and Mr. Ulrich in FY2010 and 2011 to guide the Trademark business in the use of TSRM to prepare and deliver an assessment of the proposed Trademark Next Generation (TM NG) Program. The resulting report, the Trademark Business / IT Transformation Strategy Assessment Report, was submitted on December 16, 2010. The USPTO has accepted and is currently implementing the recommendations provided in the report

including the use of TSRM to continuously analyze and refine the Trademark Business Architecture.

Based on these results for the Trademark Business, the Patent Business senior management agrees that this same approach can add significant value to the Patent Business as well. Because of Mr. Ulrich's expertise and ownership in this area, he would require very little ramp up to apply TSRM to the Patent Business.

Although the Patent Business currently does not have the in-house expertise or capability, the decision was made to develop the internal capability and expertise to produce and maintain the Patent Business Architecture. Mr. Ulrich's expertise in the methodology already used by USPTO to do this makes him uniquely qualified to help stand up and guide this new Business Architecture team through the process of creating the Patent Business Architecture. With Mr. Ulrich's expertise and guidance in TSRM, the Patent Business Architecture team will make substantial progress in defining and mapping the Patent Business value streams and business capabilities of the current state and are identifying capability needs that will form the basis of the future state Business Architecture for USPTO.

Mr. Ulrich's unique expertise and experience with TSRM is required in order to complete the current state of the Business Architecture and develop the future state for the Business Architecture. This work is extremely important as it will be the foundation for the Patent End to End work. After the Business Architecture is complete, the Patent End to End Program will use the unique qualifications of Mr. Ulrich to help translate the Business Architecture into the Patent End to End Business/IT Architecture and solutions that meet the Patent business needs in a manner consistent with the other accepted recommendations made in the *Trademark Business / IT Transformation Strategy Assessment Report*.

Description of Market research conducted:

Market research was conducted through the Internet. Mr. Ulrich is the inventor and expert in The Systems Redevelopment Methodology (TSRM) adopted by the USPTO. This methodology was provided to the USPTO in FY2010 and 2011 and Mr. Ulrich's unique expertise in this methodology allows the USPTO to continue this work with the Patent Business. Mr. Ulrich's previous work with the USPTO gives him substantial background knowledge of both the patents and trademark businesses. He has a superlative set of qualifications as a business strategist relating to business value definition, software development methodologies and legacy system migration. Mr. Ulrich is widely published and a recognized industry leader of substantial reputation. Given how central Patents End to End is to the goals of this agency, it's difficult to justify going with someone who is less well-known and less respected, and the field of people who are as well-known and well-respected as Mr. Ulrich is very, very slim.

Mr. Ulrich is the only responsible source to meet the Agency's needs based on his unique expertise, experience and the Agency's adoption of the recommendations from Mr. Ulrich's report *Trademark Business / IT Transformation Strategy Assessment Report*. No other source has the expertise regarding the use of the recommended methodology to implement Mr. Ulrich's report findings and recommendations combined with Mr. Ulrich's qualifications to guide the Patents Business Architecture team in the development of the Patent End to End Business Architecture.

Past attempts by the USPTO to map business capabilities using other methodologies have failed to gain traction and provide value. By contrast, the USPTO has enjoyed immense success due to his efforts on the Trademarks Business Architecture. Mr. Ulrich's process has taken many years to develop, refine, and validate; thus, it is uniquely suited to create a business architecture that not only meets the needs of the Patents Office, but it provides a solution that aligns and integrates closely with the Trademarks Business architecture and allows the USPTO to leverage a common language for communicating business capabilities. We are not aware of any other similar process/methodology that meets our needs.

PLACE OF CONTRACT PERFORMANCE: United States Patent & Patent Office, 600 Dulany Street, Alexandria, VA 22313-1450 AND/OR the Contractor's place of business.

SET-ASIDE STATUS: This solicitation is intended for a small business.