

UNITED STATES PATENT AND TRADEMARK OFFICE

Information Technology Investment Review Board

Agency Administrative Order 212-05

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TABLE OF CONTENTS

Section

- I. Purpose
 - II. Scope
 - III. Policy
 - A. CPIC
 - B. Roles and Responsibilities
 - 1. Management Council
 - 2. Information Technology Investment Review Board
 - 3. CPIC Review Board
 - 4. Chief Information Officer
 - IV. CPIC Guide
 - V. Information and Assistance
 - VI. Effect on Other Orders
- Appendix A Capital Planning and Investment Control Process Guide

Information Technology Investment Review Board

I. PURPOSE

This Agency Administrative Order (AAO) sets forth the Information Technology Investment Review Board (ITIRB) policy for the United States Patent and Trademark Office (USPTO). Pursuant to the Patent and Trademark Office Efficiency Act and Department of Commerce Organization Order 10-14, the USPTO has independent control of its administrative and management functions, including managing, maintaining, procuring and evaluating IT investments. In accordance with the Clinger-Cohen Act of 1996 (Pub. L. 104-106), Section 5122, the USPTO establishes a Capital Planning and Investment Control (CPIC) process for maximizing the value and assessing and managing the risks of the agency's IT investments. The process will provide for a decision-making framework for selecting, controlling, and evaluating USPTO's portfolio of IT investments.

II. SCOPE

The policies established by this AAO apply to all offices, business units, and organizations responsible for the selection, management, and evaluation of USPTO IT investments which shall include IT, IT systems, and the maintenance or enhancement efforts associated with such systems.

III. POLICY

A. CPIC

This AAO sets forth essential duties in the operation of the USPTO's CPIC process. The CPIC process shall govern the selection of USPTO IT investments, the management of such investments, and the evaluation of the results of such investments. The framework of that process is reflected in Appendix A. The CPIC process will continue to be developed and maintained by the USPTO Chief Information Officer (CIO) with the advice and concurrence of the heads of the other USPTO business units.

B. Roles and Responsibilities

1. Management Council

The Management Council shall serve as the ITIRB. The criteria and dollar thresholds for the Management Council ITIRB are contained in the CPIC Guide, attached to this AAO as Appendix A.

2. Information Technology Investment Review Board (ITIRB)

The ITIRB shall oversee a CPIC process for the Agency that meets Clinger-Cohen standards and is in compliance with the requirements of the Office of Management and Budget, the Government Accountability Office's Investment Management framework, and other legislation and regulations that address capital planning and investment issues. The ITIRB ensures that the Agency's IT investment portfolio provides the best blend of investments to meet mission and strategic goals, while minimizing risks and maximizing return on investments. To reach this goal, the ITIRB ensures the CPIC process incorporates benefits and risk criteria linked to mission strategies and goals. The ITIRB also ensures that the Agency's IT investments are managed as strategic business resources supporting efficient and effective program delivery. The ITIRB CPIC process shall incorporate the following activities:

- the selection, management, and evaluation of IT investments
- integration with agency processes for making budget, financial, and program management decisions
- establishing minimum criteria to be applied in considering whether to undertake a particular investment in information systems, including criteria related to the quantitatively expressed projected net, risk-adjusted return on investment and specific quantitative and qualitative criteria for comparing and prioritizing alternative information systems investment projects
- the evaluation and approval of IT investment decision papers (IDP)
- identification of quantifiable measurements for determining the net benefits and risks of the proposed investment review of ongoing IT investment projects
- ensuring that status, progress, and outlook are consistent with project plans, in terms of cost, capability of the system to meet specified requirements, timeliness, and quality
- providing a means for senior management to obtain timely information regarding the progress of an investment in an information system, including a system of milestones for measuring progress, on an independently verifiable basis, in terms of cost, capability of the system to meet specified requirements, timeliness, and quality.

3. CPIC Review Board (CRB)

The CRB shall consist of representatives from the Under Secretary and Office of External Affairs, the CIO, the Commissioners for Operations of Patents and Trademarks, the Chief Financial Officer, the Chief Administrative Officer, and the General Counsel. An Associate General Counsel shall serve as a non-voting member of the CRB and advise the CRB on legal issues. The Management Council has delegated the authority to perform ITIRB activities to the CRB for those investments that meet the criteria and dollar thresholds for the CRB as contained in the CPIC Guide, attached to this AAO as Appendix A.

4. Chief Information Officer (CIO)

The CIO shall designate an IT Investment Coordinator whose responsibilities shall include compiling and maintaining a current inventory of IT investments and maintaining compliance with this AAO for all IT investments. The IT Investment Coordinator shall prepare reports (IT Investment Reports) at regular intervals or as requested by the heads of business units, concerning compliance with this AAO for all IT investments. The IT Investment Report shall be furnished to the CIO and the Commissioner for Patents, the Commissioner for Trademarks, the CFO, the CAO, and the General Counsel for review and verification with respect to the IT investments related to their respective operational areas.

IV. CPIC GUIDE

This Order incorporates the Capital Planning and Investment Control Guide, including the format for the IDP (Appendix A to this Order).

V. INFORMATION AND ASSISTANCE

Questions on this policy or additional guidance on implementation should be addressed to the Office of the Chief Information Officer.

VI. EFFECT ON OTHER ORDERS

This Order is a revision of Agency Administrative Order 212-05 Information Technology Investment Review Board originally dated February 2, 2005.

ISSUED BY:

Issued By: David J. Freeland, CIO, (Signature)



David J. Freeland
Chief Information Officer

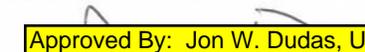
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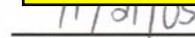
APPROVED BY:

Approved By: Jon W. Dudas, Under Secretary of
Commerce for Intellectual Property and Director of
the United States Patent and Trademark Office
(signature)



Jon W. Dudas
Under Secretary of Commerce for Intellectual Property and
Director of the United States Patent and Trademark Office

Signature Date: 11-21-05



Date

OFFICE OF PRIMARY INTEREST: Office of the Chief Information Officer

APPENDIX A

Capital Planning and Investment Control Process Guide

The Capital Planning and Investment Control Guide is available on the CIO intranet site at the following address:

http://ptoweb/ptointranet/cisd/cio_home/documentation/itirb/docs/cpic_guide_version_1_1.doc