



UNITED STATES PATENT AND TRADEMARK OFFICE

OFFICE OF THE CHIEF INFORMATION OFFICER

IT STANDARDS POLICY OCIO-1005-09

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I. PURPOSE

The purpose of this policy is to ensure that all IT investments, IT projects, and IT acquisitions are defined, developed and/or acquired consistent with USPTO IT standards, and to identify the roles and responsibilities relative to the governance and change control of the standards. Specifically this policy:

- i. Prescribes the processes and assigns responsibilities for conducting change control of IT Standards.
- ii. Prescribes the processes and assigns responsibilities for governing IT investments in compliance with IT Standards.

II. AUTHORITY

This policy supports the IT management improvement goals of the Clinger-Cohen Act of 1996, the Paperwork Reduction Act of 1995, the e-Government Act of 2002, and Section 508 of the Rehabilitation Act, as well as implementing regulations and guidance from the Federal CIO Council, General Accounting Office, Office of Management and Budget, or other government-wide advisory bodies that address Enterprise Architecture.

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III. SCOPE

This policy applies to all USPTO business units, USPTO contractors, and OCIO personnel that support the acquisition, development, implementation, operation, and maintenance of IT capabilities and assets. This policy applies to all IT Investments, projects, operations, and acquisitions.

IV. DEFINITIONS

IT Standard - A technical specification, definition, or format that has been approved by a recognized industry or government standards organization (ANSI, NIST, ISO, WIPO, OASIS, etc.) or is accepted as a de facto standard by the industry (W3C Recommendations, etc.). Standards exist for programming languages, software development, hardware and software products, operating systems, data formats, communications protocols, interfaces, etc.

USPTO IT Standard - An industry or government standard adopted as a standard by the USPTO OCIO. The USPTO normally develops profiles of standards for its internal use. A profile selects among options available in a standard's specification. USPTO standards may be based upon Federal and U.S. Department of Commerce (DOC) standards, recognized standards organizations, and/or de facto industry standards. Approved USPTO IT Standards are documented, as part of the IT Standard Profiles, within the USPTO Technical Reference Model (TRM).

USPTO IT Standard Product - A commercial (COTS) or government (GOTS) IT product or technology approved for use in the development, maintenance and operation of USPTO Automated Information Systems (AISs) and/or IT infrastructure. IT Standard Products are based upon approved USPTO IT Standards and are listed in the USPTO TRM or USPTO Service Reference Model (SRM). The lifecycle of a USPTO IT Standard Product is closely linked to the lifecycle of the product as managed by its vendor and to its internal lifecycle managed by its IT Architect.

IT Architect - An IT Architect is designated by an OCIO Group Director who is the primary owner and/or originator of one or more IT Standards or IT Standard Products. The OCIO Group Director responsibilities for specific standards or standard products are based upon the Directorate's mission.

Federal Enterprise Architecture (FEA) – all standards will be recorded and published in accordance with OMB's FEA guidelines. The FEA Enterprise Architecture, Technical Reference Model and Services Reference Model will serve as the official publication of OCIO Architecture, IT Standards and Standard Products/Services.

V. POLICY

USPTO IT Standards and IT Standard Products are established by the Chief Information Officer (CIO). All IT investments, projects, and acquisitions must be consistent with or use established USPTO IT

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Standards and IT Standard Products. Waivers from established USPTO IT Standards or IT Standard Products must be documented and granted by the Enterprise Architecture Governance Board (EAGB), as exceptions to the standards.

All USPTO business units, contractors, and employees shall follow and use the IT Standards and IT Standard Products established by the CIO. The CIO shall review requests for new, amended, or replacement IT Standards and IT Standard Products. The CIO shall consider USPTO-wide business and technical needs in determining approval of new, amended, or replacement standards or products. IT Standards and IT Standard Products shall be managed in accordance with a lifecycle that ensures they are established, implemented, used, waived, updated, revised, reviewed, and eventually retired, based on the value they add to the agency's mission.

Exceptions to IT Standards or IT Standard Products for which a waiver has been granted by the EAGB shall be reviewed and approved by the CIO. Exceptions shall be allowed only under extraordinary circumstances where a specific need cannot be met by existing IT Standards or IT Standard Products. When an exception is allowed, the requester and the CIO must agree upon a plan for technical support, training, and maintenance of any non-standard products prior to use in development. Exceptions shall be considered provisional and can be superseded at any time a USPTO IT Standard or IT Standard Product is established. If a broader need is determined at the time of an exception request, then a new USPTO IT Standard or IT Standard Product will be established.

VI. RESPONSIBILITIES

Chief Information Officer (CIO) and/or the Chief Technology Officer (CTO):

- Serves as the approving authority for all USPTO IT Standards, IT Standard Products, and waivers.
- Delegates approving authority as necessary.

EA Governance Board (EAGB):

- Verifies that IT projects and IT investments are formulated and executed consistent with the USPTO Enterprise Architecture (UEA).
- Approves IT Standard Products only when they are consistent with USPTO IT Standards.
- Reviews and approves waivers to use standards or products not yet established as USPTO IT Standards or IT Standard Products.
- Reviews and approves for recommendation to the CIO proposed changes to IT Standards or IT Standard Products.
- Reviews and approves for recommendation to the CIO proposed Research and Development (R&D) investments.

IT Architect:

- Provides subject matter expertise for IT Standards or IT Standard Products in their care.
- Provides leadership and drives technology standards development within each OCIO office and coordinates all change recommendations with the EAGB.

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- Manages the life cycle of the IT Standard(s) or IT Standard Product(s) in their care in compliance with OCIO policy and with any implementing processes and procedures.

Project Architecture Review Team (PART):

- Convened, as required, by the EAGB to provide in-depth architectural review of selected projects.
- Evaluates project architectural compliance with IT Standards and IT Standard Products.
- Evaluates project implementation of IT Standard Products and reports findings to product Technical Stewards.
- Elevates to the EAGB unresolved technical issues, requests to create new or to change existing standards, and requests for exception(s) to existing standards or standard products.

Project Team:

- Executes the development and deployment of their project in compliance with IT Standards and IT Standard Products.

VII. EFFECT ON OTHER POLICIES

This policy does not supersede any existing OCIO policies. This policy affects policies on IT Investments, the System Development Life Cycle, and IT Acquisitions and any processes or procedures that implement this and other policies.

ISSUED BY:



John B. Owens II
Chief Information Officer
United States Patent and Trademark Office

OFFICE OF PRIMARY INTEREST: Office of Infrastructure Engineering and Operations