Business Architecture and Major Portfolio Initiatives

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Background

- USPTO: Federal agency for granting U.S. Patents and registering Trademarks
- Vision: Leading the World in Intellectual Property Protection and Policy
- Mission: Fostering innovation, competitiveness and economic growth, domestically and abroad by delivering high quality and timely examination of patent and trademark applications, guiding domestic and international intellectual property policy, and delivering intellectual property information and education worldwide, with a highly skilled, diverse workforce.
United States Patent and Trademark Office (USPTO)
Business Architecture for Trademarks at USPTO

- The Trademark Office and Trademark Trial and Appeals Board (TTAB) drafted business architecture that covers the entire Trademark business.

- The Trademarks business architecture established in 2010 includes:
  - Capability map
  - Value streams
  - Value stream / capability cross-mappings

- The Trademark organization is using the business architecture:
  - For business impact analysis, business planning and prioritization
  - To support a major IT initiative - Trademark Next Generation (TMNG)
The Trademark capability map primarily focused on “customer facing” capabilities such as:

- Trademark Management
- Search Management
- Trademark Owner Management
- Trademark Representative Management
- Trademark ID and Classification Management

Supporting capabilities that include Employee Management, Finance Management, Training Management were also defined.

Strategic capabilities include Trademark Policy Management, Stakeholder Management.
Sample Trademark Value Streams

Register Trademark:
- Receive Application
- Process Payment
- Pre-Examine Application
- Examine Application
- Publish For Opposition
- Verify Use/Issue N0A
- Register Trademark

Accept SOU Extension Request:
- Receive SOU Extension Request
- Process Payment
- Review Minimum Requirements
- Examine SOU Extension Request
- Accept SOU Extension Request

Allow Statement Of Use (SOU):
- Receive SOU
- Process Payment
- Review Minimum Requirements
- Examine SOU
- Allow Statement Of Use (SOU)

Maintain Trademark:
- Receive Request
- Process Payment
- Examine Request
- Update Registration

Apply Trademark Change Request:
- Receive Request
- Process Payment
- Validate Request
- Examine Request
- Post Change

3/10/2014
Sample Trademark Value Streams

Resolve Trademark Dispute
- Receive Dispute
- Process Dispute
- Decide Dispute
- Disseminate Decision

Process Trademark Director Dispute
- Receive Request
- Process Payment
- Validate Request
- Process Dispute
- Decide Dispute
- Disseminate Decision

Manage Trademark Owner Information
- Review Information
- Submit Changes
- Validate Changes
- Apply Changes
- Notify Owner

Manage Trademark Representative Information
- Review Information
- Submit Changes
- Validate Changes
- Apply Changes
- Notify Representative

Manage Trademark Policies And Procedures
- Receive Request
- Review Policy
- Develop Policy
- Disseminate Policy
Sample TTAB Value Streams

Process Ex Parte Appeal
- Receive Notice Of Appeal
- Process Payment
- Issue Schedule...
- Present Arguments
- Develop & Disseminate...
- Terminate Proceeding

Process Opposition & Cancellation Request
- Receive Claim...
- Process Payment
- Issue Schedule...
- Accept Defense...
- Hold Discovery...
- Decide Pre-Trial...
- Hold Trial
- Present Argument...
- Develop &...
- Terminate...

Process Concurrent Use Requests
- Receive Concurrent...
- Issue Schedule...
- Accept Answer
- Hold Discovery...
- Decide Pre-Trial...
- Hold Trial
- Present Argument...
- Develop &...
- Terminate Proceeding...

Extend Time To Oppose
- Receive Request
- Review Extension
- Grant Extension
- Terminate Extension

Certify International Application
- Receive Request
- Process Payment
- Review Application
- Certify Application

3/10/2014
What is Trademark Next Generation?

- **The Trademark Next Generation (TMNG) portfolio** is based on improvement of Functional / Technical Services to users of the Trademark systems and standup of a next generation IT Platform.

- Trademark Office is creating a fully electronic, separate, sustainable, end-to-end system in which technology and user services will be developed, managed and adapted in an efficient and cost effective manner that meets current and future needs of the Trademark Office and system users.

- Resulting next generation IT systems, platform and functionality will enable optimal use of Trademark data by the public and employees.

- New technology that will reduce information technology development, enhancement and maintenance costs while providing a more manageable, agile and adaptable technology platform.

Source: https://www.fbo.gov/index?s=opportunity&mode=form&id=4b4877097088a8ae4bac3587e2b051cd&tab=core&cv=0
Business Architecture used in representing the Business Roadmap
Business Architecture used in representing Business priorities

- VS14 - Register Trademark Value Stream
- S15 - Receive Application Stage
- S16 - Process Payment Stage
- S17 - Pre-Examine Application Stage
- S18 - Publish for Opposition Stage
- S19 - Verify Use Issue Notice of Allowance (NOA)
- S20 - Register Trademark Stage
- S36 - Examine Application Stage
  - C108 - User / Role Authentication Management
  - C107 - Docket Management
  - C174 - TM Reporting
  - C175 - TM Analytics
  - C124 - Time processing Management
  - C118 - TM Routing
  - C110 - Case File Management
  - C176 - Jurisdiction Management
  - C180 - Withdrawal Mgmt
Trademark Value Stream Views Used For Release Planning

- **Register Trademark**
  - Receive Application
  - Process Payment
  - Pre-Examine Application
  - Examine Application
  - Publish For Opposition
  - Verify Use/Issue Noa
  - Register Trademark

- **Accept SOU Extension Request**
  - Receive SOU Extension Request
  - Process Payment
  - Review Minimum Requirements
  - Examine SOU Extension Request
  - Accept SOU Extension Request

- **Allow Statement Of Use (SOU)**
  - Receive SOU
  - Process Payment
  - Review Minimum Requirements
  - Examine SOU
  - Allow Statement Of Use (SOU)

- **Maintain Trademark**
  - Receive Request
  - Process Payment
  - Examine Request
  - Update Registration

Focus of TMNG work – Early Releases
Capabilities under value stream stage provide frame of reference for TMNG releases

- Capabilities that appear across multiple stages and value streams provide framework for creating and reusing software solutions
- Cross-mapping framework also provides an organizing framework for business requirements
Automation for the Examining Attorney is Required Across 3 Value Stream Stages

Many of the capabilities (below) automated during Examine Application stage will be used for the remaining two stages where the Examining Attorney works, as shown to left.
TMNG Uses Agile Methodology

- TMNG portfolio had several programs and most programs have multiple projects.

- Release definition and sequencing is driven by business roadmap and priorities.

- User stories are aligned to business architecture to ensure completeness and alignment to roadmap.

- User stories are defined and grouped by Sprints and Releases.

- Project based requirements are synchronized through business architecture as well.
Value stream stages and capabilities help frame “what” should be implemented as defined by requirements.

Value stream stage helps focus on who the stakeholder is (e.g. Examining Attorney) and what type of work drives requirements.

Level of completeness required for a capability within a stage is defined by the business.
Business, Data, and Application Architecture

- Capability map is used as input to data architecture conceptual and logical models
- Capabilities and value streams are mapped to legacy applications as input to retirement planning
- As new software is deployed the old software will be replaced with new services
Managing Business Architecture and It’s Use

- Lightweight tooling is used to model and manage the business architecture
- Business architecture is then uploaded into an enterprise architecture (EA) tool and tied to current and future state application architecture
- Business architecture representations are also loaded into Rally for use in Agile requirements tracking
Closing Discussion

- Business architecture was defined by the business and is used by the TMNG program and OCIO team for:
  - Business roadmap definition
  - Requirements tracking
  - High level framework for envisioning case management
  - Determining opportunities for reusable solutions across the business
  - Making sure multiple projects work against same business perspective
  - Planning and tracking evolution of software portfolio
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