

Statement of Work
Intellectual Property Management System Requirements
N00014-16-RFI-0007

This notice constitutes a Request for Information (RFI) for the purpose of determining market capability of Small Business and Large Business sources. This RFI is for planning purposes only and shall not be construed as a request for proposals, solicitation, or commitment on the part of the Government to issue any future solicitation. The Government will not reimburse any costs associated with the development and submission of materials in response to this request.

The purpose of this announcement is to determine whether or not there are any Small and Large Business Concerns capable of providing the required services described below. Interested parties should submit capability statements in accordance with the instructions provided below. Interested parties are also required to indicate their small business type (i.e., 8(a)) and any additional type they may hold (i.e., Small Disadvantaged Business (SDB), Small Business Development Program, Women-Owned Small Business, Historically Underutilized Business Zone (HuBZone), Veteran-Owned Small Business (VOSB), and Service-Disabled Veteran-Owned Small Business (SDVOSB)).

Capability statements shall not exceed ten (10) pages in length and must be submitted electronically no later than 2:00 PM Eastern Daylight Time 20 May 2016.

Intellectual Property Management System Requirements

The Department of the Navy (DON) requires an intellectual property docketing and management Information Technology (IT) solution that is capable of the docketing of patents, trademarks, and agreements (e.g., tracking matters such as patent licenses, Cooperative Research and Development Agreements (CRADAs), and other Technology Transfer agreements). The project background and associated DON system requirements are discussed below. It is anticipated that all of the requirements can be fulfilled by a single commercial solution.

The users of the patent and trademark docketing system will consist of approximately 75 Navy Office of General Counsel (OGC) personnel (e.g., patent attorneys, trademark attorneys, and support staff) at approximately 20 commands nationwide. Additionally, Technology Transfer personnel, such as Office of Research and Technology Applications (ORTAs), their staff, and Trademark Licensing Office personnel will utilize the Agreement tracking system and require access to the patent and trademark systems.

The Office of Naval Research (ONR) has maintained operations of the docketing system requirements for OGC attorneys and support staff since approximately 1985 with an Intellectual Property Management Information System (IPMIS). IPMIS is an Oracle based system developed in-house at ONR that provides basic docketing and case tracking functions for patents and trademarks. For some time, IPMIS has been in an out of cycle maintenance posture, operating without any application updates or system upgrades.

IT System Requirements

The IT solution must comply with all applicable Department of Defense (DOD) and DON Chief Information Officer regulatory, legal, governance and compliance requirements. Additionally, any solution must be compatible with Navy Next Generation Enterprise Network (NGEN) end point client requirements as articulated below.

Desktop Requirements (ref attached):

1. Must be interoperable with Internet Explorer (IE) 11.
2. IE plug-ins or add-ons that are not approved and supported by NGEN are not allowed.

Application Requirements:

1. The Application Programming Interface (API) must be web-based and portable to the cloud.
2. The application must be able to run in a virtualized environment.
3. The application must be capable of running without installation of an associated client on the desktop.
4. The API must meet the applicable accessibility standards at 36 CFR§ 1194, U.S. Architectural and Transportation Barriers Compliance Board (Access Board) under the authority of Section 508 of the Rehabilitation Act Amendment of 1998.

Authentication and Authorization Requirements:

1. The application must be compatible with the Department of Defense (DOD) Common Access Card for authentication.

Cloud Requirements (if a cloud-based solution is proposed):

1. The application must be capable of being hosted in a cloud environment.
2. The cloud provider must provide a solution that meets the DoD cloud requirements of FedRAMP Plus as outlined in DoD's Cloud Computing SRG: http://iase.disa.mil/cloud_security/cloudsrg/Pages/home.aspx.
3. Must comply with requirements of the interim rule announced at 80 FR 81472 (December 30, 2015).
4. It is anticipated that the system will contain low level PII and Controlled Unclassified Information (CUI). Presently the Controlled Unclassified Information (CIU) impact level is four (4). Reference Defense Information Systems Agency (DISA) DOD Cloud Computing SRG v1r1, dated 12 January 2015. Link: https://www.wbdg.org/pdfs/dod_cloudcomputing.pdf

Navy Server Requirements (for Navy hosted software solutions)

1. System must operate on Windows 2012 and SQL Server. There is no support for Linux/Unix and Oracle at projected DON hosting facilities.

Records Retention Requirements

SECNAV M-5210.1 requires that any system implemented would allow the DON to identify records for purposes such as preservation of records having long-term permanent worth; destruction of temporary records; retirement or transfer of records no longer required in the conduct of daily business; and periodic review to ensure timely destruction of eligible records. The Department of the Navy (DON) requires an intellectual property docketing and management IT solution that is capable of the docketing of patents, trademarks, and general matters (tracking agreements such as patent licenses, CRADAs, and other Technology Transfer agreements). Discussed below are the background of the project and the requirements for any system DON acquires. It is anticipated that all of the requirements can be fulfilled by a single commercial solution.

Patent Docketing System Requirements

1. Docketing – Automated docketing in system based upon country laws. The system would provide an electronic (emailed or other) copy of any office actions to an attorney and/or docketing staff member. The input of the office action into the system would automatically generate an action due by the attorney in the system, including due dates. Country law updates are provided on a regular basis, to include at a minimum the UPSTO rules and the international stage of the Patent Cooperation Treaty (PCT).
2. Dockets – Generates a docket by attorney. Customizable date range for viewing due dates. Can be viewed by attorney or office-wide. System actions must be generated with appropriate advance reminders, so that it appears on the responsible attorney's docket report well in advance of the due date.
3. Document uploads – System allows users to upload important documents for others to view in the system, for example assignments. The Navy does not have a centralized storage space for documents, so users will need to be able to upload/store documents to command network shares.
4. Connectivity to the United States Patent and Trademark Office databases – essential that the system have the ability to connect to the USPTO databases in order to electronically retrieve USPTO correspondence. Ideally the system would be able to identify discrepancies in data manually entered into the system and the USPTO records. Additional country connectivity is a plus.
5. Reporting – Ability to generate a range of reports by attorney, by office, by command, and overall Navy on data entered into the system. Navy needs ability to

track inventions, application filings, and patents issued Navy-wide. Ability to customize reports a plus.

6. Generate new distinct case/matter numbers sequentially for patent and trademark matters all OGC commands upon initial intake.
7. Case family groupings - Allow display of case family relationships for related applications.
8. Key data fields must be searchable, preferably with wildcards.
9. Backups: Information in the system must be backed up each night and stored at a separate location. Each OGC command should be able to download the backup for their respective office. System administrators/reporting personnel must be able to do the same for the entire Navy.
10. A variety of permission levels should be available within the system, such as a “no-delete” or “view only” permission.

Requirements specific to Navy OGC:

1. Identify the particular OGC command that is the custodian of the case.
2. Identify the particular OGC attorney that is responsible for the case.
3. Identify the employer of each inventor for every disclosure. For example, invention disclosures may name as inventors Navy employees, other Government employees, contractor personnel, students, and others.
4. Identify the primary technical office within the command that generated the invention.
5. Limit access to matters to attorneys and staff within the identified responsible command, with the exception that system administrators/reporting personnel may access all cases.
6. Allow for personnel at the responsible office to have different level of permissions within the system than personnel in other offices (role-based access).
7. The system must have the flexibility for an administrator to add in-house rules to reflect Navy OGC-specific workflow.
8. Allow for the designation of system administrators and/or reporting officials that have permission to access all records.

Patent Docketing system preferred features

1. Dockets can be exported to Outlook calendars.
2. Users should be able to generate integrated docket reports that include actions due from all modules.
3. Permissions should also include a custom read-only type that will hide pending office actions from a user with this permission type.

4. The system would generate daily emails with new office actions to the responsible attorneys and one or more support staff or general docketing email addresses.
5. The system should integrate with an optional annuity payment service for foreign annuities. If a foreign annuity payment service is integrated, the cost of paying foreign annuities must go to the command that has custody of the case. It is not anticipated that the system will be used to pay U.S. maintenance fees.
6. The system should be able to generate and send form emails to inventors, supervisors, or other POCs.
7. The system should have a field for archival (historical) case numbers and this field must be searchable, to ensure that we can identify pre-existing cases with non-systematic case numbers. Due to the irregularities in the IPMIS system, some of our commands have been doing their docketing locally, and have home-grown case numbering that does not track with the overall DON case numbering.

Trademark Docketing System Requirements

1. Docketing – Automated docketing in system based upon country laws, including the Madrid Protocol. The system would provide an electronic (emailed or other) copy of any office actions to an attorney and/or docketing staff member. The input of the office action into the system would automatically generate an action due by the attorney in the system, including due dates. Country law updates are provided on a regular basis, to include at a minimum the UPSTO rules and the country laws of the Madrid Protocol countries. The system must accurately calculate Madrid Protocol dates.
2. The system must be able to handle both ex parte and inter partes proceedings before the USPTO (e.g., oppositions and cancellations.) For inter partes matters, the system must generate all Trademark Trial and Appeal Board (TTAB) and statutory deadlines automatically. The system must also generate actions for party-driven actions, such as motions, pleadings, discovery requests, and the like.
3. For Intent to Use (ITU) applications, a Notice of Allowance should automatically generate a Statement of Use action, with appropriate reminders.
4. The system must generate due diligence reminders automatically, including status checks after responses are filed.
5. The system must generate registration maintenance due dates, with reminders, automatically on registration entry.
6. Dockets – Generates a docket by attorney. Customizable date range for viewing due dates. Can be viewed by attorney or office-wide. System actions must be generated with appropriate advance reminders, so that it appears on the responsible attorney's docket report well in advance of the due date.

7. Document uploads – System allows users to upload important documents for others to view in the system, for example assignments. Image uploads available for trademarks. The Navy does not have a central storage place for these documents, so users will need to be able to upload/store documents locally.
8. Connectivity to the United States Patent and Trademark Office databases – essential that the system have the ability to connect to the USPTO databases in order to electronically retrieve USPTO correspondence. Ideally, the system would identify discrepancies in data manually entered into the system and the USPTO records. Additional country connectivity is a plus.
9. Reporting – Ability to generate reports by attorney, by office, by command, and overall Navy on data entered into the system. DON needs ability to track trademarks, application filings, and trademarks registered issued DON-wide. Ability to customize reports a plus.
10. Generate distinct docket (matter) numbers sequentially for all OGC offices for trademark registration requests as they are received. (Navy Case numbers)
11. Case family groupings - Allow each trademark disclosure to have differing identifiers for different application filings.
12. Key data fields must be searchable, preferably with wildcards.
13. Each OGC office must be able to download the data for their respective office on a daily basis. System administrators/reporting personnel must be able to do the same for the entire Navy.
14. Permission levels must include a “no-delete” type, allowing users with this permissions level to create and edit (but not delete) records.

Requirements specific to Navy OGC:

1. Identify the particular OGC office that is the custodian of the mark.
2. Identify the particular OGC attorney that is responsible for the mark.
3. Identify the point of contact for each mark by primary command and individual contact.
4. Limit access to matters to attorneys and staff within the identified responsible office, with the exception that system administrators/reporting personnel may access all cases.
5. Allow for personnel at the responsible office to have different level of permissions within the system than personnel in other offices (role-based access).
6. The system must have the ability for an administrator to add in-house rules to reflect Navy OGC-specific workflow.

7. Allow for the designation of system administrators and/or reporting officials that have permission to access all records.

General Matters and Licensing (Agreements System) Requirements

1. Linking of Agreements with the associated patents or trademarks—users should be able to see the associated patents or trademarks from a license, and see the associated licenses from a patent or trademark.
2. The system must provide actions due and payments due, to track receipt of, e.g., agreement renewal dates, royalty due dates, proof of insurance renewals, and the like.
3. Marks and classes associated with a license should be selectable from a pull down list, and should be searchable.

Agreement System Preferred Features

1. License drafting should be supportable through document management.
2. Payments due should be exportable to a spreadsheet to facilitate budgeting and auditing.

Data Migration

A separate plan for supporting migration of the approximately 10,000 records in IPMIS (Oracle based) and two other current patent docketing systems over to the new system is preferred. The Naval Research Laboratory has approximately 9600 records in a CPI database (many are duplicative of the 10,000 records in IPMIS); and the Naval Medical Research Center has approximately 1000 records in PATTSY. Note that there is no remote access to the records available due to security requirements. A data migration plan would require either an onsite transfer at a Navy location or that the work be done in an environment meeting the security requirements listed above. Any contractors provided access to the data would need to obtain access to the building and a System Authorization Access Request (SAAR) before they can access the Navy's data. The Navy's data must always be contained in a system meeting the security requirements detailed above.

CONTENT OF CAPABILITY

The content of the capability statements should include the following information.

Business Summary Page: The business summary page should specifically state the system/services your organization can provide.

Use short sentences or bullet statements to:

- Describe your organization's patent docketing system capabilities.
- Describe your organization's trademark docketing system capabilities.
- Describe your organization's general matters tracking system capabilities.

- Describe your organization's demonstrated ability to provide country law updates for patent and trademark docketing on a regular basis.
- Describe your organizations demonstrated ability to meet all DOD/DON IT requirements.
- Describe your organization's demonstrated ability to meet all DOD/DON data security requirements.
- Describe your organization's demonstrated ability to meet record retention requirements.
- Describe your organization's demonstrated ability to migrate data from differing systems.
- Describe your organization's demonstrated ability to provide technical support to multiple users at different locations.
- Describe your organization's demonstrated ability to provide training on the system/service to multiple users at different locations.
- Describe your organization's demonstrated ability to provide separate billing for different locations.
- Describe your organization's demonstrated ability to make foreign annuity payments.

ADMINISTRATIVE REQUIREMENTS

Vendors not already registered in the System for Award Management (SAM) will be required to register in SAM prior to award. Information on SAM registration is available at <http://www.sam.gov>.

INSTRUCTIONS FOR SUBMISSION OF CAPABILITY STATEMENTS

Capability statements shall not exceed ten (10) pages in length (excluding Past Performance inputs) and must be submitted electronically no later than 2:00 PM Eastern Daylight Time 20 May 2016.

Capability statements should include the following:

1) State whether or not your company has a Defense Contract Audit Agency (DCAA) approved Estimating, Purchasing and Accounting System. If not, please explain.

2) Provide five (5) Past Performance evaluations; The Past Performance shall demonstrate the Small Businesses ability to perform all identified capabilities and requirements.

In order to maximize efficiency and minimize the time of the evaluation of the capability statement(s), it is required that all Offerors submit their capability statement in accordance with the format and content specified. Your electronic submission shall be prepared so that it meets the following format requirements:

- 8.5 x 11 inch paper
- Double spaced typed lines
- No graphics or pictures
- 1 inch margins
- 12-point Times New Roman font in text
- No hyperlinks
- Microsoft Word or Adobe Acrobat software

- All files named with the file extension “doc” or “PDF

CONTRACTS POINT OF CONTACT

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