

OFFICE FOR HARMONIZATION IN THE INTERNAL MARKET
(TRADE MARKS AND DESIGNS)

COOPERATION FUND PROGRAMME SUPPORT OFFICE

PROJECT BRIEF

CF 2.14-19 – Future Software Package

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Quality Criteria (to be used by reviewers)

<p>Clarity of language</p> <p>Consistency of facts and figures</p> <p>Presentation</p> <p>Objectives clearly defined</p> <p>Expectation of OHIM for POs clearly stated</p>
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1. Project Definition

1.1. Introduction

- **About this document**

This document has been produced to capture the scope, investment needed, dependencies on other projects and anticipated payback so that the constituent parts of the project, herein referred to as the “Project”, can be prioritised, funded and authorised. This brief (the “Project Brief”) will provide the basis for the Programme Manager of the Cooperation Fund to present the Project to the Cooperation Fund Management Board to approve and launch the Project.

An overview of the definitions, acronyms and abbreviations used in this Project Brief can be found under Annex 1.

- **Overview**

The Future Software Package (“FSP”) is intended to produce an extensive suite of e-business tools and software which will represent the next step in business process management for the IP offices of Europe.

The Cooperation Fund’s mission, as defined by the ABBC, is to “support the modernisation of National Offices” in order to “improve end-user experience” across the EU TM and Design community.

The Cooperation Fund now offers an opportunity to substantially advance and improve upon those online services which Offices now make available. This will only succeed if the Project is based on (a) a good partnership with the National Offices and (b) on taking lessons learnt from previous initiatives into account.

With this in mind, in July 2010 the Management Board launched CF 213 TM-XML Standards and Architecture, which set out to prepare the way for the FSP. Initial results of that work are now becoming available, and the Office has decided to accelerate work on the launch of the FSP itself by delivering the project brief for the FSP.

- **The Short Hop Option**

In keeping with this gradual approach, this Project brief includes an option to take a “short hop”, carrying out Management Stage One (e-filing). As it involves establishing major elements of the overall framework and support structure, as well as the most difficult part of the development work, this Stage represents a considerable part of the expenditure (c. €5 million). It offers, however, the possibility for a re-plan or pullback should there be evidence to suggest that the approach is not likely to work. It also means that Offices will be asked to commit in two tranches:

- Intent to implement – involvement in Work Package One (e-filing): April 2011
- Intent to implement – involvement in Work Packages Two and Three: October 2011.
 - This second implementation will go ahead based on the judgement of the Management Board. If: The approach is broadly successful, and a reasonable number of offices are ready to go ahead, the Project Manager will recommend continuation.

- In the event that major delays arise, or serious concerns remain among Offices, work will continue on WP 1, but WP2 and 3 will be placed on hold. In the event of a re-start on these work packages, this will lead to significant delays and increased cost. It is therefore critical that offices take an active role in the early stages of the project so that they are able to commit to remaining elements of the package no later than October 2011.
- This option reflects the determination of the Board and the Programme Team to push ahead with the project, but also their willingness to withdraw rather than spend the full sum on a package that is of limited or marginal perceived utility to National Offices.

- **Background**

The Future Software Package is one of the projects of the Cooperation Fund. The OHIM Cooperation Fund (in short, the “CF”) was established in February 2010 to support further harmonization in trademarks (in short “TMs”) and designs, modernise National Offices and enhance user-experience Europe-wide.

The CF Management Board received many project suggestions from National Offices and user associations. These were carefully examined and used as the basis for establishing a list of 23 projects. These projects are one-off activities delivering clear benefits, with concrete outputs and clear start and end dates.

Suggestions were called under four headings or fields:

- Harmonization projects both including existing projects like TMview and new projects like Designview, a common examiner support tool and a common tool for the classification of goods and services;
- A suggested list of software packages (e-filing, e-opposition, e-cancellation, e-renewal and e-payment) to support National Offices in providing easier access to trade mark and design protection;
- Information services comprising communication and training initiatives to help companies better understand the Community Trade Mark (CTM) and the Registered Community Design (RCD) systems;
- Activities to facilitate the enforcement of trade mark and design rights, helping the work of judges, customs and other relevant authorities.

This Project falls under Field 2, covering the solution which supports National Offices in providing easier access to trade mark and design protection. Following the 18 May 2010, the CF Management Board issued the following mandate to the Project Manager:

e-filing for TM and designs	
Programme ID:	CF2.14
Expected start:	2Q 2011
Timeline	2011 – 2014
Principles	Interoperability: modernising and streamlining tools and processes
Description	Field 2 aims to create a common software package enabling National Offices to offer a range of additional services to users, in order to improve efficiency and enhance end user experience. This project will focus on functionalities closely related to the filing of applications.

e-opposition for TM	
Programme ID:	CF2.15
Expected start:	2Q 2011
Timeline	2011 – 2014
Principles	Interoperability: modernising and streamlining tools and processes
Description	Field 2 aims to create a common software package enabling National Offices to offer a range of additional services to users, in order to improve efficiency and enhance end user experience. This project will focus on functionalities closely related to the filing and handling of oppositions.
e-cancellation for TM and designs	
Programme ID:	CF2.16
Expected start:	2Q 2011
Timeline	2011 – 2014
Principles	Interoperability: modernising and streamlining tools and processes
Description	Field 2 aims to create a common software package enabling National Offices to offer a range of additional services to users, in order to improve efficiency and enhance end user experience. This project will focus on functionalities closely related to the filing and handling of cancellations.
e-registration for TM and designs	
Programme ID:	CF2.17
Expected start:	2Q 2011
Timeline	2011 – 2014
Principles	Interoperability: modernising and streamlining tools and processes
Description	Field 2 aims to create a common software package enabling National Offices to offer a range of additional services to users, in order to improve efficiency and enhance end user experience. This project will focus on functionalities closely related to the filing and handling of records and renewals.
e-payment for TM and designs	
Programme ID:	CF2.18
Expected start:	2Q 2011
Timeline	2011 – 2014
Principles	Interoperability: modernising and streamlining tools and processes
Description	Field 2 aims to create a common software package enabling National Offices to offer a range of additional services to users, in order to improve efficiency and enhance end user experience. This project will focus on functionalities closely related to fee payment and account management.
Back-office for TM and designs	
Programme ID:	CF2.19
Expected start:	2Q 2011
Timeline	2011 – 2014
Principles	Interoperability: modernising and streamlining tools and processes
Description	Field 2 aims to create a common software package enabling National Offices

	to offer a range of additional services to users, in order to improve efficiency and enhance end user experience. This project will focus on functionalities closely related to the area of case handling systems with a view to streamline trade mark and design processes.
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Table 1 - Project mandates

Taken together, these mandates almost describe the full lifecycle of trademarks and designs. To ensure (a) a coherent solution & user experience and (b) the interoperability & integration between these six aspects, this project brief combines these six mandates into a single project. For reasons of economy and efficiency, it is likely that much of the work will be carried out by a single team. In addition, precise understanding of the detailed services included within the six areas outlined above varies between offices.

As preparatory work for the projects under this field, a fact-finding and feasibility study for the Future Software Package solution was conducted. During the fact-finding a strong disparity in the current level of provision of electronic services was identified across different National Offices.

Based on these studies, a phased approach was recommended, to deliver the Future Software Package solution. It should be based on a sound architecture, concepts of prototypes & pilots, and a progressive roll-out.

The time between the fact-finding and feasibility study and the creation of this project brief was used to do part of the groundwork by the CF project 2.13 (started in 2010) in the form of (a) an initial catalogue of business & technical services for both trademarks and designs, and (b) initial architecture guidelines. This groundwork was meant to give the Future Software Package project a jump start.

1.2. The Challenge

Despite efforts in order to introduce online accessibility to services in many National Offices, there is a gap in the number, nature and quality of online services currently offered. This has led to a situation in which users of the trademark and design systems in the EU need to operate differently in different jurisdictions, creating an unnecessary burden, especially if they file or already have TMs or Designs in several European countries.

The Cooperation Fund now offers an opportunity to substantially improve this situation by working together to provide enhanced online services in National Offices.

To do this, the project must:

Be based on a solid partnership with the National Offices and end-users

Take clear account of lessons learnt from previous initiatives particularly those led by EPO and WIPO.

Some basic decisions are needed early in the project. What will we do? How will it work, and be put into place?

Several National Offices have shown different levels of interest. Some high-level discussions have already taken place with them in order to ensure that their needs and expectations are integrated into and reflected in the Project.

1.3. Objectives of the Project

- **Project objectives in relation to the CF goals**

The project aims to scope, develop and roll-out an IT-based e-business and back office solution offering a range of additional services to users (both internal and external), in order to improve internal efficiency and enhance end user experience¹.

These services will be provided online, and must ensure that normal expectations for online services are met. This means high availability and acceptable performance levels. Where in order to support online services, a back-office part is provided, then the back-office part must be able to function without disruption during the offices' normal working hours.

The solution must also be manageable and adaptable in order to accommodate future changes in a cost-effective way, and remain at all times cost-effective to operate.

By doing this, the Future Software Package will help National Offices provide a wider range of online services, improving the end-user experience. By using online means to communicate, offices will be able to perform early checks on users' requests, improving the overall service performance, especially if carefully integrated with their back-office tools.

The Future Software Package is fully aligned with the 3 Cooperation Fund goals.

CF goals	Project alignment	Comments
Modernizing and streamlining National Office systems along common lines to provide effective and efficient services	High	Ability to replace existing services with services provided by Future Software Package
Encourage harmonization and use of EU TM systems and practices across the EU	Medium	Ability to replace existing services with services provided by Future Software Package. The strive towards a broad use of common systems and services
Assisting the competent authorities in the EU Member States to better promote and enforce trademark and design rights in their jurisdictions.	Medium	Better online support for the management of users' trademarks and designs.

Table 2 - Cooperation Fund goals

This alignment is also reflected under the expected benefits of this Project, which are set out at Chapter 1.4.

¹ Vision as defined in the list of projects of the Cooperation Fund.

- **Vision of the Project**

The vision of the Project is to deliver a Future Software Package which services are used by a large number of participating National Offices. The Future Software Package must be able to be extended with new services at later stages.

1.4. Expected benefits

The degree to which each individual participating national office benefits from the Future Software Package will be closely related to the current level of automation and online presence of the particular Office. Overall, the following should be considered:

1. **Improvement in predictability.** A certain level of formal checks can be performed by the tool itself at the moment of interacting with the user. By ensuring that requests are formally correct, users can be given the certainty that their request is receivable or solve any deficiencies immediately.
2. **Harmonization.** A key objective of the Cooperation Fund is the harmonization of examination practices and tools in the European Union. The Future Software package should bring a common solution based, to the maximum extent possible, on commonly agreed interfaces.
3. **Improvement of examination time.** By having a certain amount of automation in the formal checking of client interactions, less manual tasks will need to take place, hence speeding up the overall process of handling each request. These benefits can in turn improve the overall examination time of the Office, as examiners can concentrate on substance tasks. These benefits will be more pronounced if the integration with the back-office tools used by examiners is tighter.
4. **Improvement in transparency.** By having online access to information and services, Offices can enhance the customer experience and improve confidence within their user base.
5. **Cost savings.** Costs can be reduced both for Offices as well as for end users. Automation of routine manual tasks will allow Offices to concentrate in substantial matters, while at the same time a harmonized, easy to use interface will save time and money for users trying to communicate with the Office.

Whereas quite instinctively it is easy to conclude that the less “online” an Office is today, the bigger the benefits that the Future Software Package will bring, the picture is in fact more complex. Where an office may be offering a wide range of online services already, the degree of integration with the back-office and the automation level in that integration is also a key to establishing potential benefits. An Office with little integration between an existing “front-office” and a back-office may be able to benefit greatly from the Future Software Package².

² In OHIM's experience, most of the benefits of online systems reside in the efficiency gains that can be obtained in the processing of the requests in the back-office. For some products this may mean up to 90% of all quantifiable benefits.

2. Project plan

The project plan establishes the preliminary basis for managing the project, including the project approach, project team and stakeholders, work description, deliverables, planning (tools), time and cost estimates and tolerances, project risks and dependencies as well as reporting, quality, communications and close-out management strategies.

2.1. Project principles

Due to the project's nature, like (a) the project's visibility within the Cooperation Fund, (b) its exposure to expectations from stakeholders, (c) open questions regarding the solution's detailed scope and functionality, and (d) the involvement of National Offices, four project principles were defined to help take sound decisions:

1. **Prioritise (select essential services).** Due to the project's importance, and the wide range of stakeholders, it will not be possible to build and roll out everything anyone can imagine. Each functionality must therefore be carefully prioritised with the participating offices' priorities and needs. The project will first focus on delivering essential services which can be easily developed.
2. **Future proof solution.** The Future Software Package must be future proof. Based on a sound architecture, the solution's modular nature has to facilitate (a) the solution's extension with new services in the future and (b) the services' transformation from newly developed services into shared services.
3. **Checks and balances.** The project will make use of formal feedback cycles and continual process of architectural conformity, which means we will make sure all of the components continue to work together, and are in line with the overall vision, as they are developed.
4. **Phased approach based on functionalities (useable units).** The project is based on a combination of parallel work streams and phases of development. Work will be broken down into logical, independent work packages, which will be built, tested, and rolled out, first in pilot Offices, and then in early adopter offices, followed by remaining participating offices. This means that stakeholders will have both an early feeling for what the solution will look like, and how it will work, with plenty of opportunity for learning.

Like the Cooperation Fund's goals, these principles will guide the project. They have also guided the proposed initial set of work packages and the project approach.

2.2. Work packages

The work of the project will be split up into independent work packages (i.e., a Participating Office could elect to implement one package, but not necessarily all). Each work package will deliver a set of services that can be rolled out when ready in National Offices. Due the services' distribution into work packages, the work packages can be designed and developed in parallel. This helps the project to be thought out in a modular way right from the beginning and to deliver a "future proof" solution that can be extended with new services afterwards.

The project scope defining the solution's offered functionality at a more detailed level is not yet available at this moment. Therefore the different project mandates were used to come to the following set of work packages.

1. E-filing for trademarks

The purpose of the E-filing for trademarks work package is to produce a set of services that will allow clients to initiate the registration of a trademark online.

The initial step in this process corresponds with the provision of an intuitive and easy to use online form. In order to have an easy to use experience, the form should look simple, yet provide functions that will assist the user to file quickly and effectively. These may include the ability to import a previous application as a template, attach supporting documents, assist in the proper classification of goods and services, and globally enforce the accuracy of the application with formal requirements (mandatory fields, formats, certain business rules). The provision of a receipt for the user is the expected outcome of this initial step.

Extra services in this work package may enhance the assistance given to the applicant with respect to the predictability of their application (search reports from existing online databases prior to filing and information from other databases via Common Examiner's Support Tool³), ability to find professional representation and to be able to store and automatically recall information for subsequent applications.

2. E-filing for designs

The purpose of the E-filing for designs work package is to produce a set of services that will allow clients to initiate the registration of a design online.

As with trademarks, the initial step in this process corresponds with the provision of an intuitive and easy to use online form. Further to the aspects already mentioned in the context of trademarks, special care should be paid to two specific aspects of designs: the large number of visual representations and the possibility for multiple applications.

Extra services in this work package may enhance the assistance given to the applicant with a strong focus on the possibility of submitting the views for the application, ability to find professional representation, ability to store and automatically recall information for subsequent applications and search graphical images etc.

3. E-payment

The purpose of the E-payment work package is to produce a set of services that will allow clients to pay online for any of the services included in the other work packages.

The payment methods may be multiple and typically will include credit card payment. Users will be asked to provide information concerning the payment, and in the case of credit cards, will communicate via a secure channel with the merchant bank in order to validate in the information and perform the payment in real-time. Proper error handling and clear confirmations of the transactions to the user will be ensured. The unique transaction identifier will be recorded for its use as tracking means for the payment.

Extra services may allow for the tracking of the history of payments, the management of the fees, the possibility to refund via an administration console for undue sums, etc.

³ CF Project 1.2.10

4. E-opposition for trademarks

The purpose of the E-opposition for trademarks work package is to produce a set of services that will allow clients to challenge the registration of a trademark online.

The initial step in this process corresponds to the provision of an intuitive and easy to use online form for the opponent to state the scope and grounds of opposition. In order to have an easy to use experience, the form should look simple, yet provide functions that will assist the user file quickly and effectively. These may include the ability to import a previous right from an existing online database, attach supporting documents and globally enforce the accuracy of the notice concerning admissibility (mandatory fields, formats, certain business rules). The provision of a receipt for the opponent is the normal outcome of this initial step.

The other steps would cover activities in the inter-partes phase up until the decision or the closure of the proceedings.

Extra services may allow for the tracking of deadlines, access to the case law, ability to find professional representation, typically modifying either the challenged trademark or the opposition during the course of the proceedings, etc.

5. E-cancellation for trademarks

The purpose of the E-cancellation for trademarks work package is to produce a set of services that will allow clients to challenge registered trademarks online.

The generic term E-cancellation covers both revocation (as from the date of the request) and invalidity (with retroactive effect). The different steps of online filing, admissibility of the cancellation request, inter-partes stage, final decision and possible extra services apply mutatis mutandis to the work package for E-opposition for trademarks.

6. E-invalidity for designs

The purpose of the E-invalidity for designs work package is to produce a set of services that will allow clients to challenge registered designs online.

As with E-cancellation for trademarks, the different steps of online filing, admissibility of the invalidity request, inter-partes stage, final decision and possible extra services apply mutatis mutandis to this work package.

7. E-registration for trademarks

The purpose of the E-registration for trademarks work package is to produce a set of services that will allow clients to enter and update entries into the trademark register.

The initial step in this process corresponds with the entry of a trademark into the Register. Once filed, the trademark information is kept in the Register and any change to this initially set of data is versions in order to be able to follow the history of changes intervened. Typically this stage may include the provision of a registration certificate.

After the entry of the trademark into the registry, a number of its characteristics may change, including the owner (transfer), the representative on file (appointment or replacement of a representative), the owner's or representative's details (change of name or address), the representation of the trademark (alterations), the scope (either by partial surrender, partial transfer or division), etc. Protection may also come to an end or be renewed either by surrender/lapse or renewal. Third party rights relating to trademarks may need to be entered into the Register. Some of these changes or requests may require a verification and documentary evidence.

8. E-registration for designs

The purpose of the E-registration for designs work package is to produce a set of services that will allow clients to enter and update entries into the design register.

As with E-registration for trademarks, designs are entered into the design register at the end of a successful examination phase, are similarly subject to modifications while they are in the register and are removed from the register following an invalidity procedure, after they are surrendered by the client or they may lapse at the end of their lifetime.

This will also include the management of publication of deferred designs.

9. Back-office for trademarks

The purpose of the back-office for trademarks work package is to produce a set of services that will allow Office staff to manage and track the trademark files during the registration and post-registration stages.

This involves being able to visualise and search the content of user requests, including their attachments, entry date, etc. The examiner handling the request must be able to communicate any deficiency identified in the request to the clients and to indicate a deadline for resolution. Deadlines must be tracked in order to ensure that legal delays are respected. The tool must allow managers to track the pending tasks for each file, and allocate those tasks to precise examiners, either manually or via a configurable rule-based system of allocation.

The tool must include functionality to either simply manage payments or integrate an existing system where payments are managed. It must also include simple functionality or integrate with an existing system for managing the publication of information (trademark bulletin or equivalent).

The data modelling behind the tool shall enable obtaining statistical information for management purposes.

Extra services may also include integration with decision support systems (Common Examiner Support Tool, similarity of goods and services, automated search reports, image matching, etc).

10. Back-office for designs

The purpose of the back-office for designs work package is to produce a set of services that will allow Office staff to manage and track the design files during the registration and post-registration stages.

The back-office for designs, must, as with trademarks, support case management, tracking of deadlines, allocation of tasks and be integrated with financial and publication systems. Likewise, data modelling shall allow statistical information for supporting business processes.

Extra functionality may also include support tools for decision making.

This set of work packages is used as input for the project's approach and planning. It will be used during the first project phase to determine, based on the National Offices' priorities and needs, a final set of work packages together with the order in which they will be built.

This could lead to the exclusion of low-priority work packages, or the definition of new ones.

For the project approach this set of work packages are distributed over three streams, following the lifecycle for trademarks and designs:

- Stream 1:
 - a. E-filing for trademarks
 - b. E-filing for designs
 - c. E-payment
 - d. E-opposition for trademarks
- Stream 2:
 - e. E-cancelation for trademarks
 - f. E- invalidity for designs
 - g. E-registration for trademarks
 - h. E-registration for designs
- Stream 3:
 - i. Back office for trademarks
 - j. Back office for designs

2.3. Project approach

- Overall approach

This approach determined enables maximum use to be made of existing tools and processes, achieving best value for money and minimising wastage later on in the process. It also ensures that the Future Software Package will sit on solid foundations, be safely directed, and deliver visible, useable results at the earliest stage.

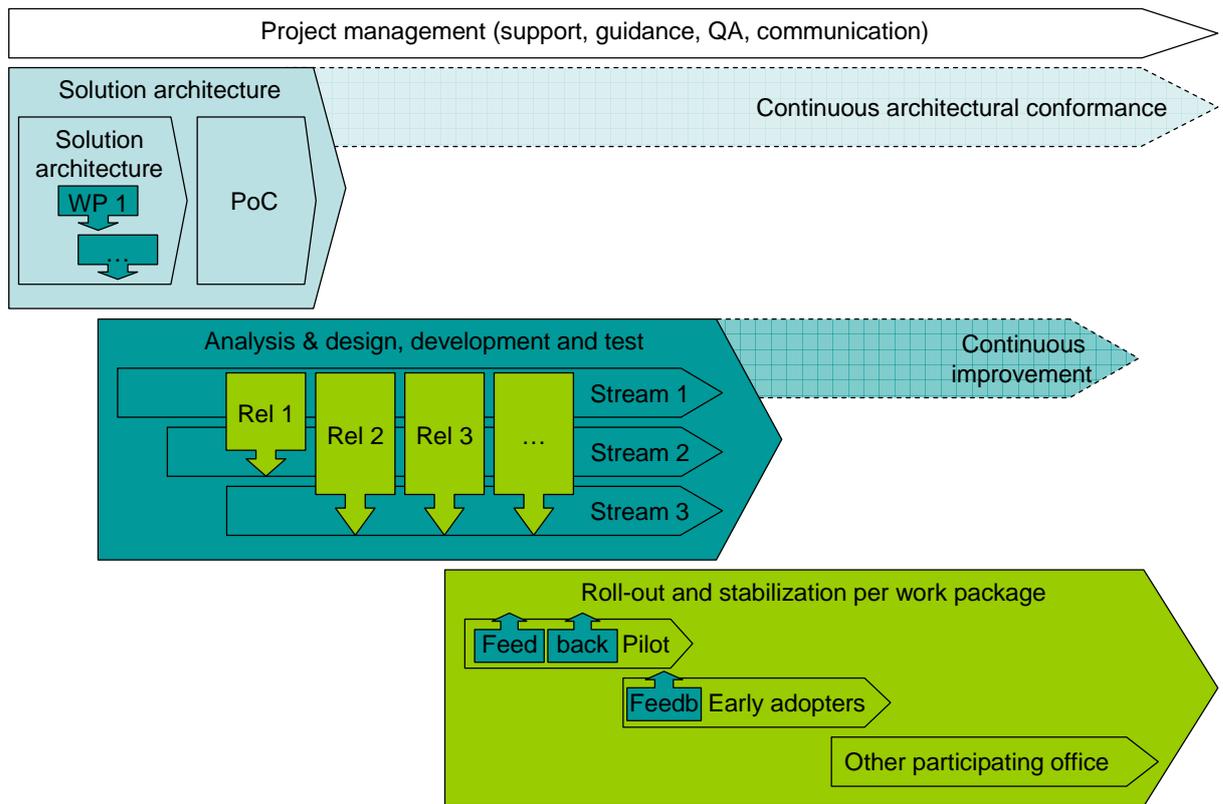


Figure 1 - Approach overview

As illustrated in the figure above, the project is divided in three phases that run in parallel:

- Solution architecture phase, to define the set of services included in the work packages
- Analysis & design, development and test phase, to realise the work packages by delivering sets of services via releases
- Roll-out and stabilisation phase per work package, to put the set of services into production within participating National Offices

Each of these phases will now be described in detail:

The solution architecture phase is split into two parts, the solution architecture development and continuous architectural conformance activities.



Figure 2 - Solution architecture phase

1. Within the first part of this phase the solution architecture⁴ (see Annex 3¹¹) will be worked out. This will be based on the statement of architecture work, a document describing the architecture scope, objectives, assumptions and vision.

An investigation of existing systems and information will be performed. This includes (a) deliverables expected from project CF.2.13 such as initial services catalogues and legislation aspects, (b) solutions used by participating National Offices and (c) an initial round of requirements gathering and analysis (priorities, needs, and scope).

The functionality to be built will be described in terms of business services, information system services and their interactions. This describes the solution's high-level functional and non-functional requirements.

These defined services will then be logically grouped into business functions and logical application components.

The business functions and logical application components will be mapped to the suggested solutions in order to determine the solutions' ability to be re-used.

These defined logical components can be seen as major groups of functionality and thus will be distributed to the work packages.

Security, data privacy and legislation aspects will be addressed and covered in the form of functional and non-functional requirements.

The solution architecture itself will periodically undergo quality and conformance checks to ensure that it remains fit for purpose. This is essential as it will be used as a reference in subsequent architectural conformance reviews.

Next to that, conceptual integration patterns will be developed to facilitate the integration efforts during the roll-out and stabilisation phase.

⁴ Solution architecture aims to address specific problems and requirements, usually through the high-level design of specific information systems or applications. The functionality in scope is often described in form of services.

In addition, a proof of concept (PoC) will be delivered. It will be based on the input from the solution architecture phase. This PoC serves to give stakeholders a feeling for what the solution will look (and feel) like, and an indication of whether the project is still on the right track.

The architecture team's strict adherence to both the concept of time boxing and the prioritisation principle will allow it, to develop a fit for purpose architecture that enables implementation of essential services, meeting the participating National Offices' priorities and needs, within the given timeframe.

2. The second part of the solution architecture phase focuses on continuous architectural conformance activities. These foreseen activities help to keep a project's typical deviation from its target to a minimum and hence contribute to a better benefits realisation. They are equivalent to a building architect's daily visits to the construction site to ensure the growing construction resembles his blue-prints. They ensure (a) the services' proper re-use, design, implementation and roll-out and (b) the project's proper guidance in content related questions.

Although they have the characteristics of formal review procedures, they must always be executed with a very strong focus on **pro-active guidance and support** of the analysis, development and roll-out teams. This pro-active nature, like telling the analysis and development teams upfront (a) which standards they need to use and (b) against which criteria their work will be reviewed, is essential. It will help the teams to set their focus, thus contributing to a sound solution. In addition these dialogues (incl. the feedback) help the architecture team to (a) check the solution architecture's fit-for-purpose and (b) keep the solution architecture up-to-date.

An upfront integration analysis of the participating National Offices will be conducted. In combination with the conceptual integration patterns, this should provide insight into the needed integration effort and costs as well as feedback to the architecture and analysis & development teams on the real situation in National Offices.

The analysis & design, development and test phase is also split in two parts. The first part concentrates on the actual analysis & design, development and test of the work packages while the second part is about continuous improvement of the functionality that has already been built.

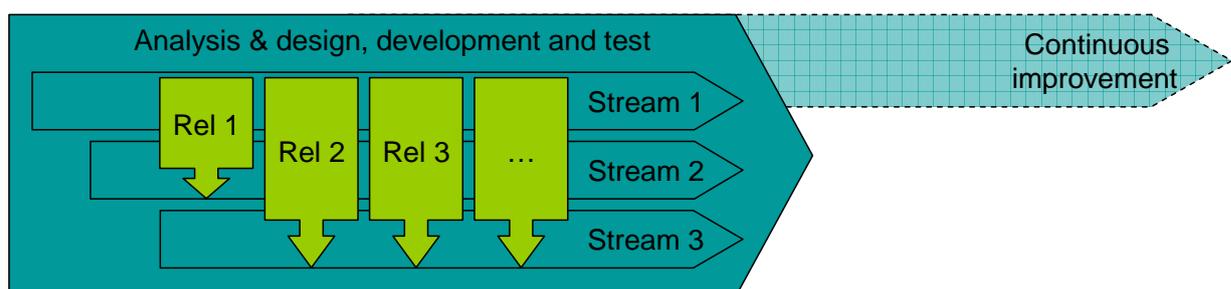


Figure 3 - Analysis & design, development and test phase

1. Within the first part of this phase three parallel streams will be launched. Due to work packages' independence, they can be distributed among the three parallel development streams.

Based on the logical components, their services, and the preparatory work on the TM-XML and DS-XML standards, an analysis and design exercise (per work package) will define detailed functional and non-

functional requirements needed to provide sufficient input for the development of that work package. Within this exercise the analysis & design teams pick up the solution architecture and will deliver analysis & design documents like functional and technical designs, including the functional and non-functional requirements.

These analysis & design documents will undergo formal architectural conformance checks to ensure (a) the functional and technical designs are aligned with the solution architecture and (b) the solution architecture continuous fit-for-purpose based on the newly won insight.

The development teams will then develop the work packages, based on the approved functional and technical designs. This could mean the build of functionality from scratch or the re-use and adaptation of an existing application.

The test teams will work closely together with the development teams and continuously perform “system tests” on the developed work packages. The “system integration tests” and “user acceptance tests” are performed at a later stage during the roll-out within the participating National Offices.

Like the analysis & design documents, the work of the development teams will be reviewed as well. Conformance checks against both the analysis & design documents and the solution architecture will be performed.

Outcome of the work package developments will be bundled into releases and, after testing, pushed out regularly. These enforced short release cycles will prevent the typical “submarine effect” of large implementation projects (no tangible progress or added value within the first years).

The phased start-up of the three streams will minimise initial issues with each successive stream due to the lessons learnt from the PoC and stream 1.

2. The second part of this phase will focus on continuous improvement. The project reserved a budget per work package to enhance a work package’s developed functionality with improvements and new services. This helps the project to focus on the delivery of essential services (prioritisation principle) in the first part of this phase and still have budget and time left to for continuous improvement actions.

The feedback and lessons learned from architecture conformance checks and early roll-out of releases will be fed back to the teams. This not only enables the project to deliver added value at a much earlier stage, to learn from previous releases but also helps to keep the project on track.

The roll-out and stabilisation phase is the third phase. It focuses on deploying the different work packages into production. Each work package will be rolled out in three waves.

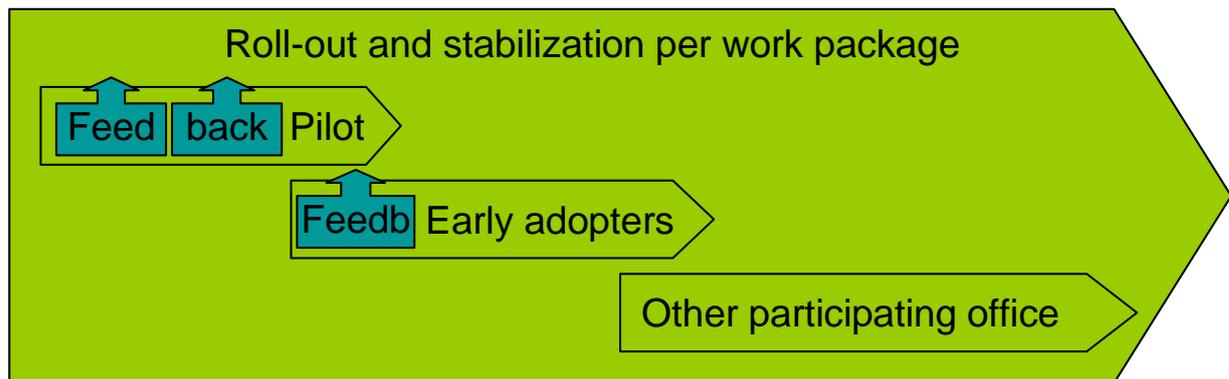


Figure 4 - Roll-out and stabilization phase

1. The first wave is about rolling out a work package within the national office that volunteer to pilot it. Due to the proposed modular approach the pilot national office can immediately test releases and provide feedback to the development teams and thus help shape the product at a very early stage
2. The second wave focuses on the roll-out of successfully piloted work package (successfully tested and adapted within the pilot National Offices) within the “early adopting” offices. This enables early adopting offices to still contribute to the final releases.
3. The third wave concentrates on the other participating offices which wished to join at a later stage to be able to enjoy a solution that already went through its “growing pains”.

Currently a budget of EUR 700.000 per national office is foreseen to cover integration costs. If the integration costs for a participating national office exceed the budget, a decision by the CF management board needs to be taken on how to proceed. The integration analysis conducted during the solution architecture phase and the insight gathered during the roll-out will be used as input for this decision.

Next to the deployment of the sets of services, the roll-out and stabilisation phase includes supporting activities like training (probably with the help of e-learning modules) and budgeted post production support.

In addition a solution governance body (including a clear mandate and processes) will be put in place to oversee bug fixing, corrections, future extensions and the inclusion of functionality into the common part of the solution.

- **Project scope and exclusions**

The following [tasks / activities] are:

- **In scope:**
 - Solution architecture of the Future software Package
 - Analysis, design, development and test of 10 work packages, starting with essential services and budgeted continuous improvements afterwards
 - Integration analysis for the participating countries for the work packages they will implement
 - Deployment and integration efforts of the software package into participating Offices' environments, up to a limited amount.

- Out of scope:
 - Any creation, development, modification, fill-in or other preparatory actions regarding particular databases that an office may wish to use with the Future Software Package.
 - Substantial additional functionalities in the Back Office. These are expensive, and likely to require very significant tailoring to meet specific office practices.
 - Except for a time-bound post-production support after the installation and beginning of operations of the Future Software Package at each office, corrective, preventive and adaptive maintenance activities are excluded from this project

- **Constraints**

The Project will be facing a number of constraints, as detailed below:

- **Time restrictions:** The project must be completed no later than the end of 2015. Hence the importance of sticking to the prioritisation rule and the strict time boxing.
- **Resources restrictions:** A wide range of resources from the National Offices, user associations and OHIM are needed to deliver the project successfully. The availability of the right resources has an immediate impact not only on timelines (start of resources being delayed) and quality (resource with the right skills not being available) but also on the acceptance of the solution (e.g. delivered services do not match the National Offices' priorities and needs).

2.4. Project team and stakeholders organisation

In order to carry out these activities, intensive interaction and coordination with the National Offices and user associations is needed to gather different ideas, approaches, experiences, requirements, constraints and preferences.

Besides the intensive participation of the National Offices and user associations, the Project will also involve the participation of a Project Manager, the CF Programme Manager, the CF and other stakeholders, as reflected in the below diagram.

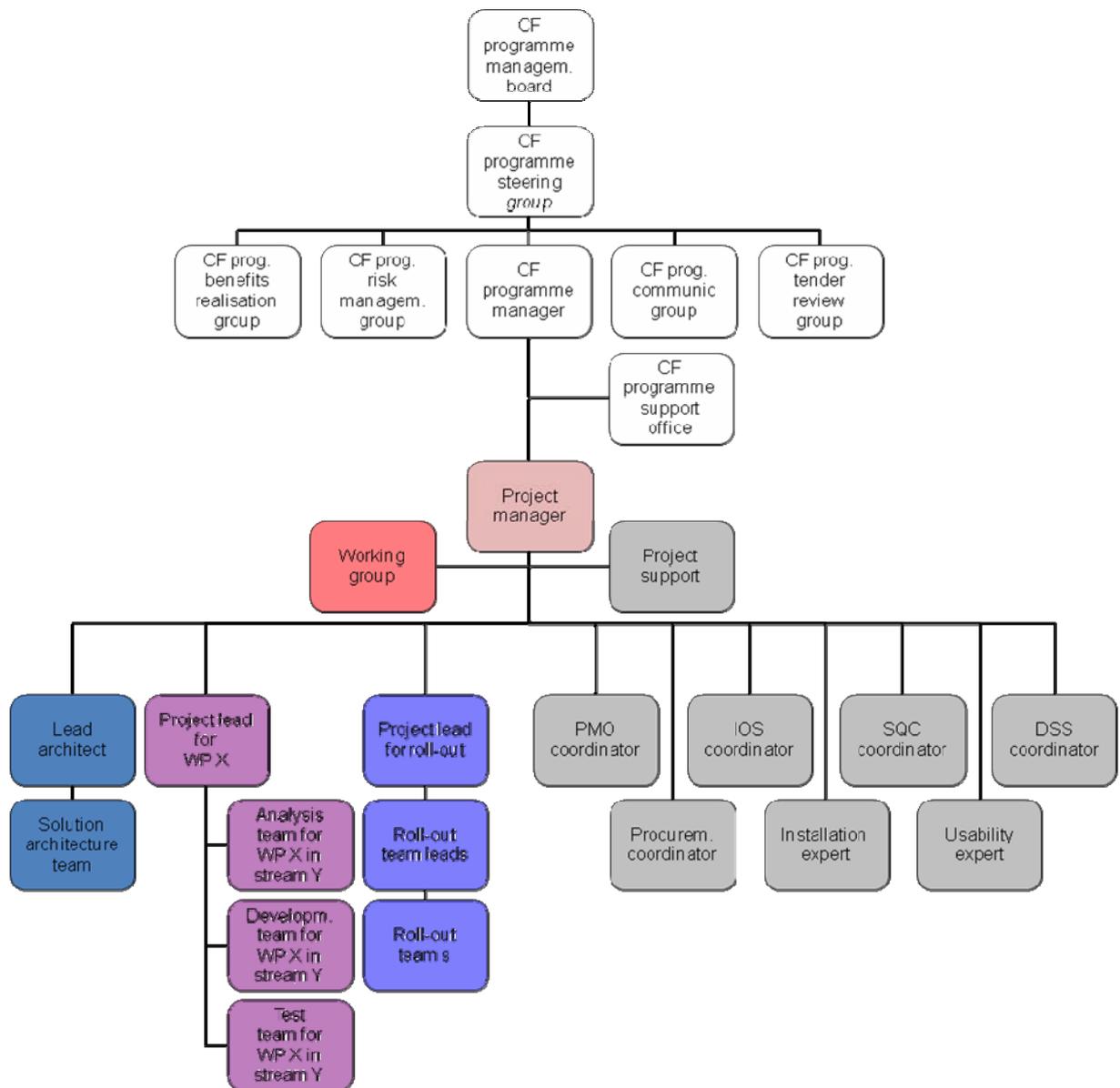


Figure 5 - Project Team and Stakeholders

- Roles and responsibilities

The 3 tables below summarise the key roles involved in the Project as well as their main responsibilities within OHIM, the Cooperation Fund and the external provider, which will be contracted for the performance of certain tasks and activities under this Project.

Roles	Responsibilities
Project manager	The project manager revises the management of the lifecycle of the Project and the quality of its products delivered within the specified constraints of time and cost. (S)he revises plans, monitors and reports on the Project together with the Project Leads

Roles	Responsibilities
	<p>and the Lead Architect and reports to the CF programme manager.</p> <p>(S)he is authorised to lead the Project on a day-to-day basis on behalf of the CF management board within the constraints laid down by the board.</p> <p>(S)he acts as a central point of communication.</p> <p>(S)he is responsible for presenting the Project at the gate review process.</p>
Working group participants	<p>The working group consists of participants from the National Office or User Association IP experts:</p> <ul style="list-style-type: none"> • They will provide general support and knowledge throughout the whole Project. • They are responsible for the requirements of the product to cover the needs of their National Office <p>The working group should have a natural mix of 50% business and 50% IT experts.</p> <p>Working group participants will change during the different phases of the project to fit the current needs.</p>
OHIM Architecture Team	The OHIM Architecture Team is responsible for assisting the Project Manager in providing guidelines and expertise on the solution architecture
Trademark and design experts	The Trademark and design experts responsible for providing general support and knowledge regarding trademarks and designs throughout the whole Project:
Project leads for work packages	<p>The project lead for one of the streams is responsible for the delivery of the work packages assigned to his stream.</p> <p>(S)he will be judged on the quality of the roll-out delivered within the specified constraints of time and cost.</p> <p>(S)he is responsible for planning, monitoring and reporting on the roll-out to the project manager.</p> <p>(S)he is responsible for producing project management documentation.</p>
PMO coordinator	The PMO coordinator is responsible for the quality assurance at project management level.
Procurement coordinator	The procurement coordinator is responsible for contractual issues with external providers.
IOS coordinator	The Installation coordinator is responsible for coordinating the Installations and Infrastructure. Service of the OHIM.
SQC coordinator	The SQC coordinator is responsible for coordinating the Software Quality Control of the Project.

Roles	Responsibilities
DSS coordinator	The DSS coordinator is responsible for assisting the Project Lead in providing any technical clarifications and responsible together with the OHIM Architecture Team for providing guidelines and expertise on the solution architecture, and its conformance throughout the lifecycle of the project.

Table 3 - Roles and responsibilities within OHIM

Apart from the main roles in the Project, there will also be other parties and stakeholders involved in the Project:

Roles	Responsibilities
CF Management Board	The CF programme board appoints the project manager, and periodically reviews progress. It will approve stage gates and major changes where applicable.
CF programme steering group	The CF programme steering group ensures that all internal OHIM issues are addressed by the CF programme manager.
CF programme benefits realisation group	The CF programme benefits realisation group should be consulted to detail the benefits realisation aspects during the project (start up)
CF programme risk management group	<p>The CF programme risk management group is established to:</p> <ul style="list-style-type: none"> ▪ recognise possible risk factors and identify related risks ▪ assess the potential impact of these risks for the programme ▪ select the adequate risk response and implement action plans ▪ monitor the status of the risks and keep stakeholders informed <p>It will be in close contact with the CF programme manager, PSO and the project manager in order to identify and register any new risk that could arise along the duration of the Project.</p>
CF programme manager	The programme manager is responsible to the CF programme steering group for the operations of the CF, overall planning, and leading the development and implementation of the project portfolio.
CF programme tender review group	The CF programme tender review group supports the OHIM procurement team. They will assure that tendering procedures across the CF are carried out efficiently, consistently and in accordance with best practice.
CF programme support office	<p>The CF programme support office (PSO) supports the CF programme manager and project managers of the CF's projects.</p> <p>It aids those involved in the Project by provision of technical and administrative capacity, and quality assurance.</p>

Table 4 - Roles and responsibilities within the Cooperation Fund

Project tasks and activities will be outsourced to external providers, which will need to provide the following external resources for the Project:

Roles	Responsibilities
Project support	<p>The project support is responsible for the</p> <ul style="list-style-type: none"> ▪ communication with the NOs and UAs ▪ administrative support ▪ preparation of working group and other meetings ▪ documentation issues ▪ other project supporting activities.
Lead architect	<p>The lead architect is responsible for delivering the solution architecture and the proper execution of the continuous architectural conformance activities.</p>
Project lead for work packages	<p>The stream lead for one of the streams is responsible for the delivery of the work packages assigned to his stream.</p> <p>(S)he will be judged on the quality of its products delivered within the specified constraints of time and cost.</p> <p>(S)he is responsible for planning, monitoring and reporting on the stream to the project manager.</p> <p>(S)he is responsible for producing project management documentation.</p>
Analysis & Design teams for work packages	<p>The Analysis & Design team within one of the streams is responsible for the analysis and design of the work packages assigned to that stream. Their deliverables must be in line with the solution architecture.</p>
Development teams for work packages	<p>The development team within one of the streams is responsible for the correct implementation of the work packages assigned to that stream. Their deliverables must be in line with the solution architecture.</p>
Test teams for work packages	<p>The test team (from the SQC provider) within one of the streams is responsible for testing the deliverables of the Project.</p> <p>The SQC Provider is not the same as the Provider of the deliverables.</p>
Project lead for roll-out	<p>The Project lead for roll-out is responsible for the roll-out of the work packages at the POs as well as for the QA strategy implementation.</p>
Roll-out teams	<p>The roll-out team for a group of participating offices is responsible for executing the work package's proper roll-out within its group of participating offices (pilot, early adopter, other</p>

	POs). The roll-out teams will be a collaborative effort between the FSP Project Team and the participating offices.
Installation expert	The installation expert is responsible for the installation of the Software Package in the test and demo environments.
Usability expert	The usability expert is responsible for performing the necessary tests in terms of usability of the product to be developed.

Table 5 - Roles and responsibilities within the external provider

- **Recruitment**

Recruitment of additional resources will be required on the following levels:

- **National Offices and User Associations**

Experts from National Offices and User Associations will be selected among those interested to participate, based on objective selection criteria (see Annex 2Error! Reference source not found.).

2.5. Work description

Under this chapter the work to be done under the Project is first broken down into high-level tasks and activities, followed by an overview of the main Project Deliverables and acceptance criteria.

- **Tasks and activities**

A preliminary overview of the tasks and activities follows below, together with a short description of each task or activity and followed by a table indicating the Project roles to be involved and the estimated man days per profile.

The abovementioned tasks and activities, as well as their planning, are further elaborated in the Project Plan under chapter 2.7. This information will be the basis for the cost estimates calculated under chapter 2.8.

- **Major Deliverables**

The following list shows the expected major deliverables for this Project:

1. Solution architecture

The solution architecture is a means to (a) document functionality of the solution, (b) demonstrate its business value and (c) guide the subsequent development and roll-out activities. It is built up by the following documents:

- Statement of architecture work, including in particular
 - Scope and constraints
 - Plan for the architectural work
 - Risks and mitigation activities
 - Work product performance assessments
 - Business case and KPI metrics
- Refined statements of business principles, business goals, business drivers and architecture principles
- Baseline architectures, giving insight into
 - current processes and their in-/outputs

- current IT application landscape
- available solutions and services for/to internal & external users,
- legislations
- (ongoing) initiatives of Participating National Offices
- Target architectures, giving insight into
 - desired process and their in-/outputs
 - desired IT application landscape
 - Catalogue of business and technology services (incl. their descriptions)
 - Grouping of services into logical components
 - Interaction diagrams of services (and logical components)
- Integration patterns describing possible general solution alternatives on how the different work packages can be integrated into participating National Offices.
- List of architecture assumptions
- Gap analysis
- Business impact analysis documenting and assessing business risks, threads, vulnerabilities, controls and mitigation actions

Hence, the solution architecture can be seen as a means of demonstrating the business value of subsequent development work to key stakeholders, and the return of investment to those stakeholders from supporting and participating in the subsequent work.

2. Integration analysis and scenarios

The integration analysis will be used as the foundation for defining the roll-out in a participating national office. It will combine the integration patterns determined within the solution architecture phase with the insight into the office's situation, in order to propose an integration scenario for the solution's roll-out.

3. Proof of Concept

The proof of concept (PoC), based on the input from the solution architecture, serves to give stakeholders a feeling (a) for what the solution will look (and feel) like and (b) if the project is still on the right track.

4. Deliverables per work package

Each work package will develop its assigned components, leading to the following deliverables

- Analysis & design documents like functional and technical designs, including functional and non-functional requirements, software architecture designs and data model designs
- System test documents like test approach, strategy, test plans, test cases, test reports, list of defects
- Releases (including their source code and documentation) that successfully pass unit and product tests and can be rolled out
- Feedback traceability matrix to gather, track, process and communicate feedback from other streams and roll-out teams
- Business continuity plan
- Installation, deployment, configuration and migration scripts
- Training plan and training material that is needed to conduct the user training

5. Roll-out related deliverables

During the roll-out of the releases to pilot, early adopting or other participating National Offices, the following deliverables will be created:

- Roll-out plan describing the roll-out plan, approach, team, responsibilities and communication on both a global and national office perspective
- A solution governance body (including a change management board and processes) will be put in place
- System integration test documents like test strategy, test plans, test cases and their results, list of defects
- User acceptance test documents like test strategy, test plans, test cases and their results, list of defects

- Data migration strategy in case data needs to be migrated
- Input for maintenance strategy
- Input for monitoring strategy
- List of acceptance criteria and baseline measurements to be able to measure the roll-out's success in the participating national office

6. Prioritised future functionality wish list

The project will strictly adhere to the 80-20-principle and thus focus on the delivery of essential services. In addition new functionality wishes will probably be encountered during the development and roll-out of the work packages. Hence all functionality wishes that won't be delivered by this Project, will be gathered and an initial prioritisation will be executed. This prioritised functionality wish list will serve as input for future improvement projects.

2.6. Project planning tools

MS-Project and MS-Excel will be used as appropriate. As a minimum, the identified Project Tasks, Milestones and Resource estimations will be uploaded into Clarity, to ensure that at all times the Clarity tool includes the relevant Project information.

In general, Clarity will be used by the Project Manager for broader Project management and reporting, including timesheets.

2.7. Project time plan

The total duration of the Project is estimated to be 4 years, from September 2011 till October 2015.

Following schedule is an extract of the Project Plan on a high level:

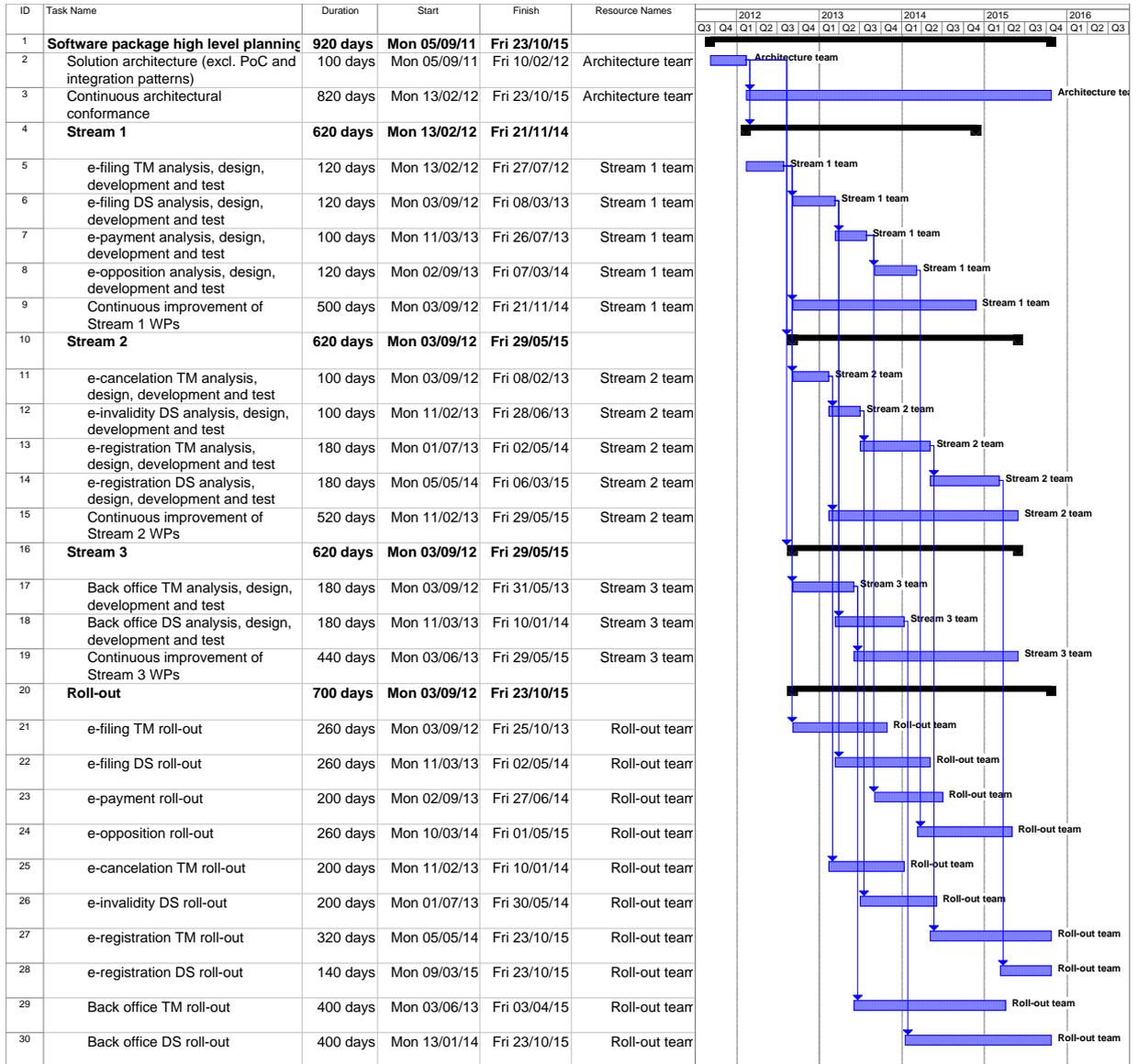


Figure 6 - Project plan overview

2.8. Project cost estimates

The overall revised estimated cost for this project over a period of 4 years (September 2011 till October 2015) is EUR 20.989.510.

The total project effort estimated has been estimated at 44.227 man days.

Roles	Estimated man days
Analysis & design teams for WPs	2.485
Development teams for WPs	6.430
DSS coordinator	368
Installation expert	200
IOS Coordinator	184
Lead architect	920
OHIM architecture team	92
Procurement coordinator	92
Project lead for roll-out	920
Project leads for work packages	2.760
Project leads for work packages - SNE	1.840
Project Manager	920
Project Support	920
PSO	184
Roll-out Team FSP	10.500
Roll-out Team PO	10.500
Solution architecture team	650
SQC Coordinator	184
Test teams for WPs	2.440
Trademark and design experts	184
Usability Expert	92
Working Group	2.062
Grand Total	44.227

Revised cost estimates per cost category are as follows:

Cost Category	Project Brief Apr / Jul 2011	Project Brief Review Oct 2011
Integration	5.250.000	5.250.000
IT Project Costs	13.756.500	12.381.800
Non-IT Project Costs	1.455.633	1.455.633
Management Reserve	2.051.898	1.902.077
Grand Total	22.514.031	20.989.510

Revised cost estimates per cost category and per year are as follows:

Cost Category	Project Brief Apr / Jul 2011	Project Brief Review Oct 2011
Integration	5.250.000	5.250.000
PO	5.250.000	5.250.000
2012	104.500	104.500
2013	1.316.000	1.316.000
2014	2.391.500	2.391.500
2015	1.438.000	1.438.000
IT Project Costs	13.756.500	12.381.800
Development	7.696.500	6.561.000
2011	285.000	285.000
2012	1.781.500	1.559.500
2013	2.839.000	2.346.000
2014	1.676.500	1.416.000
2015	1.114.500	954.500
IT Services	560.000	320.800
2011	37.500	18.000
2012	136.000	78.800
2013	136.000	78.800
2014	136.000	78.800
2015	114.500	66.400
Hardware & Software	250.000	250.000
2012	250.000	250.000
Deployment	5.250.000	5.250.000
2012	104.500	104.500
2013	1.316.000	1.316.000
2014	2.391.500	2.391.500
2015	1.438.000	1.438.000
Non-IT Project Costs	1.455.633	1.455.633
Meetings	109.431	109.431
2011	14.861	14.861
2012	27.020	27.020
2013	27.020	27.020
2014	27.020	27.020
2015	13.510	13.510
Studies & Consulting	64.400	64.400
2012	16.800	16.800
2013	16.800	16.800
2014	16.800	16.800
2015	14.000	14.000
Translation	300.000	300.000
2012	75.000	75.000

2013	75.000	75.000
2014	75.000	75.000
2015	75.000	75.000
Working Group	981.802	981.802
2011	31.802	31.802
2012	250.000	250.000
2013	250.000	250.000
2014	250.000	250.000
2015	200.000	200.000
Management Reserve	2.051.898	1.902.077
Grand Total	22.514.031	20.989.510

Daily rates for development, associated software quality control and project support has been reduced to reflect maximum forecasted rate. This revision results in a reduction of 7% of the overall budget compared to the estimates defined in the original project brief.

2.9. Project tolerances

The time and cost tolerances for the Cooperation Fund projects will be the same for all Cooperation Fund projects and will be set by the Cooperation Fund Programme Support Office in collaboration with the Programme Steering Group as soon as the respective projects have been approved.

2.10. Risk analysis

This preliminary risk matrix is specific to the Project and lists possible areas of risks. It is complementary to the "Cooperation Fund Programme Risk Matrix":

Risk	Risk Symptoms	Area	P	I	P*I	Owner	Action
Procurement project (CF2.13) is delayed	The framework contract resulting from that project is not available as initially foreseen.	Interdependencies	L	M	2	Project manager	Watch
Delays and resource planning	If deadlines and gateways are delayed.	Interdependencies	M	M	4	Project Manager	Watch Closely monitor dependencies
Key experts	If key team members / business or IT experts are not or no longer available	Resource availability	M	H	6	Project Manager	Watch
Business Rules impossible to implement	Business rules could be required which may not be supported by the tool.	Implementation	H	M	6	Project Manager	Mitigate Use a flexible architecture and involve Offices in the working group.
Scope of the	Scope of the minimal back-	Other	M	H	6	Project	Watch

Risk	Risk Symptoms	Area	P	I	P*I	Owner	Action
minimal back-office	office grows to represent a maximal back-office (EM++ size)					Manager	
“Submarine effect”	Implementation progress is not visible to stakeholders	Implementation	M	M	4	Project Manager	Watch
EPO déjà vu	Stakeholders see the project as a second EPO project	Implementation	M	L	2	Project Manager	Mitigate Talk to EPO team to get their lessons learnt and advice. Manage stakeholders

Table 6 - Project Risk Register

2.11. Key dependencies

A number of key dependencies can be identified with other projects under the Cooperation Fund or OHIM in general:

Project	Type			Impact	Description
	D	S	O		
Project TM-XML standard extension and Architecture Definition (CF 2.13)	•			High	Delivers fundamental information for the architecture solution of the Project.
Project “Standard Procurement” (CF 2.13)	•			High	The development will fall under the framework development contract established under this project. Therefore, its development is directly dependent on the result of that Project.
Common e-Learning Tool	•			High	Training for the users and administrators of the Project deliverable could be trained using the e-Learning Tool.
Common Portal for Applications	•			High	The portal functionalities like authentication and authorisation will be used by the Project.
Common Examiner Support Tool		•		Medium	Integrate the Common Examiner Support Tool Report at the time of filing in order to give the filer an idea of the likelihood of rejection.

Project	Type			Impact	Description
	D	S	O		
Project “Search Image Functionality” (CF 1.1.1.)		•		Medium	This functionality could be used in the work packages, for example e-Filing.
Project TM View		•		Low	Lessons learned. This is the first project where multiple NOs have been working together. From its experiences the FSP should learn.
Project “Harmonised Quality Standards” (CF 1.2.5)		•		Low	Put in place the measurement mechanisms for the indicators agreed under CF 1.2.5.
Harmonised User Satisfaction Survey			•	Low	Outcome of the surveys could measure if benefits of the Project are realised.

Table 7 - Key dependencies

2.12. Project plan and schedule reporting procedure

As set out in the Programme Operating Rules agreed by all internal parties involved in the CF:

- The Project Manager will report to the PSO.
- Project managers create, maintain and update the following minimal documents for their projects:
 - A risk register and, if appropriate, the suggested contingency plans.
 - Project plan and schedule (including breakdown tasks, costs, time and resources). It will include tracking information (actual and planned) in a visual manner.
 - A stakeholder engagement and communications plan.
- The documents will be reported upon using a standard template (according to Programme Operating Rules)
- The documents shall be kept as light as possible but the PM retains the authority to define their content and set the reporting schedule. Initially a meeting with the PSO will be set up on a fortnightly basis.
- Project Managers are responsible for preparing the content for a Gate Review. PSO will support them in the process.

As well as the Project Manager-PSO interactions, the PSO will also hold independent 6-weekly meetings with the Risk Group and, when deemed necessary, with the Tender Review Group respectively. In each meeting the PSO will report to them on the status of the Project and will bring up any topic under their fieldwork that needs either further discussion or their validation.

Task	Recurrence	Assigned role	Responsibilities
Regular reporting	Monthly updates. Weekly updates via Clarity tool	Project Lead	Monthly reporting to the PSO: Project plan, risk register and communications plan
Gate review management	Undefined	Project Manager / Project lead	Documentation for the Gate Review process
Reporting to Risk Group	Every 6 weeks	PSO	Update on the latest status and issues to discuss
Reporting to Tender Review Group	Regularly, in the event of a tender-related issue	PSO	Update on the latest status and issues to discuss
Reporting to Programme Steering Group	Monthly	Programme Manager	Update on the latest status and issues to discuss

Table 8 - Reporting Task and Responsibility Matrix

2.13. Quality Management and quality expectations

Next to the architectural conformance activities, quality activities in the development lifecycle are performed.

The quality activities of the development of the software will follow a standard approach by a specialised contractor, independent of the contractor employed to implement the software. The overall process is illustrated here:

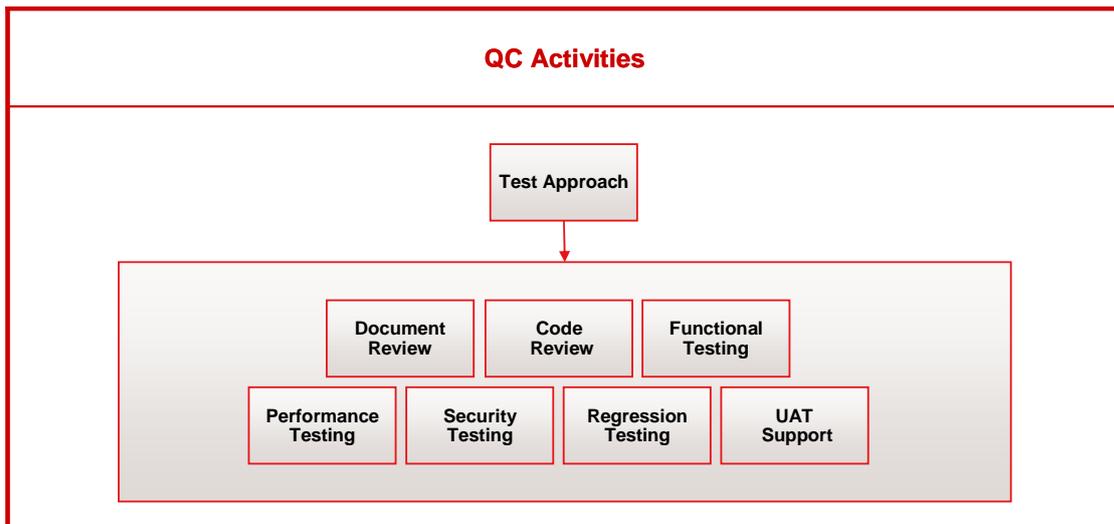


Figure 7 - Quality management overview

The basic test approach is defined at the beginning of the Project and it consists of the production of a software test approach, where the specific scope of the software quality control activities will be defined. For the definition of this scope, stakeholders are consulted and ultimately, the Project Manager will receive a "Test Approach Document" specific for the Project.

The following activities will always be present in every Project, and executed by the specialised contractor:

- Document review of the requirements in order to establish acceptance criteria before starting the implementation phase.
- Elaboration of a test plan and test design
- Validation of key Project documents: The purpose of the document verification for an application is early detection of errors in documentation, in order to increase the quality of the product in the next phases of development.
- Check of continuous build and automatic deployment
- Static and Dynamic testing
- Use of incidents tracking tool

- Code review: The aim of the code review is to determine the quality of the software developed, and to compare the quality between different applications.
- Stress and performance analysis: The aim of performance testing is to verify that the applications going to production operate according to their defined response times, and are able to handle the load they are required to handle.
- Security testing: The aim of security testing is to verify that the applications going to production operate according to its security requirements and to any security standards set for the software.

The following are also needed, but may be carried out by users instead of a specialised team

- **UAT support**

The objective of UAT support is to provide technical and functional support to acceptance testing.

- **Functional testing**

The aim of functional testing is to verify that the applications going to Production operate according to their functional requirements.

In order to improve the transparency, the specialised software quality control provider will report findings both to the Project Manager and OHIM's Head of Quality Assurance Sector in the IT Department.

2.14. Communications and knowledge management

- **National office interactions**

The communication and interactions between the Project members and the National Offices will take place through:

- Periodic meetings (telephone, video, in person, etc.) are expected between all involved Project members. Regular Project updates will be sent to Working Group members and other offices with intent to implement the Project.
- Continuous contacts, by the use of various tools described in the chapter below.

- **Tools**

Apart from using general e-mail for official communications, collaborative tools have proven very successful in past OHIM projects involving significant coordination of effort among Participating Offices. A quick assessment of the available and most widely extended collaborative tools in the market (e.g. Google Docs, wiki software...) reveals MediaWiki to be among the most powerful and appropriate tools for this type of Project. MediaWiki's simplicity, web-based operation and free-of-charge approach, allows participants in different locations to easily exchange ideas in an organised and efficient way.

To sum up, different types of tools will be used during the Project, namely:

- E-mail: will be used in initial communications during the Project and in formal communications to keep all the National Offices updated (even if they do not actively participate), and in reporting to the Cooperation Fund PSO.

- **Clarity:** will be used as an internal project management and reporting tool, including all relevant Project information like tasks, activities, milestones, risks and issues as well as time and cost estimates and actuals. This information will also be used to baseline and check the Project's status and track any progress made. Internal participants will also be asked to submit timesheets through Clarity.
- **CFWiki:** once the Project has been launched, all the participants involved in the Project should, as far as possible, keep all the communications and documentation inside a wiki. To the extent possible this must be CFWiki. This will help to maintain all the information related to the Project stored in a unique and central repository and fully accessible by every participant in the Project.
- **Videoconference:** can be used throughout the whole Project as an easy tool to hold conferences with different parties whenever it is needed or beneficiary to have a close contact, as if all participants were physically present in the same room.

2.15. Closing-out strategy

The closeout strategy for this project is especially important, as the decisions made will have an impact for the lifetime of the products of the Fund. It is likely that once in place the products of this project will operate for a decade, or perhaps more, and will continue to have a positive impact on the operation of the European IP landscape throughout that period.

Once the main deliverables have been completed, all relevant payments made, and the sustainability requirements identified, the Project Manager will present the project's results to the Management Board, which will identify main lessons learned at the programme level, direct the Programme Manager accordingly and close out the project.

2.16. ANNEXES

- ANNEX 1 – Definitions, Acronyms and Abbreviations Table

Definition / Acronym / Abbreviation	Description
ABBC	Administrative Board and Budget Committee
ACF	Architecture Content Framework of TOGAF
ADM	Architectural Development Method of TOGAF
Architectural conformance	Pro-active guidance & support and review & gate-keeping activities to minimize a project's deviation from its target
CESTO	Common Examiner Support Tool
CF	Cooperation Fund
CTM	Community Trade Mark
DS	Designs
DS-XML	The Design Extensible Markup Language (DS-XML) was initiated in 2005 at the Office for Harmonization in the Internal Market as an open standard based on TM-XML for the exchange of information in XML on Design information.
EPO	European Patent Office
EU	European Union
FSP	Future Software Package
IOS	Infrastructure and Operations Service
IP	Intellectual property
IT	Information technology
ITD-DSS	Within OHIM IT Department
ITD-QA	Quality Assurance sector within OHIM IT Department
KPI	Key performance indicator
NO	National Office
OHIM	Office for Harmonization in the Internal Market
PMO	Project management office
PO	Participating (national) Office
PoC	Proof of concept
PSO	Programme support office
QA	Quality assurance
QC	Quality control
RCD	Registered Community Design, an industrial design right that covers the European Community
Solution architecture	Solution architecture aims to address specific problems and requirements, usually through the high-level design of specific information systems or applications. The functionality in scope is often described in form of services.
SQC	Software Quality Control
TCO	Total cost of ownership
TM	Trademarks
TMD	OHIM Trademarks Department
TM-XML	The Trade Mark Extensible Markup Language (TM-XML) is an XML open standard for the trademark business and for the exchange of trademark information between the Industrial Property Offices and its partners or users.
TOGAF	The Open Group Architecture Framework
UA	User associations

WP	Work package
WIPO	World Intellectual Property Organisation

- **ANNEX 2 – Profiles of roles needed for the project**

This annex describes the profiles of roles needed for the project:

Role	Profile
Working group participants	<p>The working group should of 50% business and 50% IT experts. They should have extensive experience in working in project-driven environments.</p> <p>Nature of the tasks</p> <ul style="list-style-type: none"> ▪ Contribute to the definition of high level specifications ▪ Support the preparation of the Functional Analysis Document ▪ Validate the final version of such document. ▪ Liaise with other areas of their own Office’s business, such as trade marks and IT. ▪ Participate in prototype assessment tests and contribute to the summarize the feedback ▪ Participate in User Acceptance Tests. ▪ Attend project meetings ▪ Report and communicate within the Working Group. ▪ Communicate and liaise with other National Offices which are not part of the Working Group. <p>Knowledge and skills</p> <ul style="list-style-type: none"> ▪ Experience in decision taking in the area of trademarks. ▪ Knowledge of the internal processes and workflows ▪ Experience in defining requirements for IT systems
Project support	<p>The project support must have several years of extensive experience in supporting programme managers or big projects (TCO of more than €5 million in an international setting. (S)he must be able to work in a multi national environment. Previous experience within the domain of the European Commission is of high value.</p>
Lead architect	<p>The lead architect should have at least 4 years of work experience within the domain of enterprise architecture. TOGAF 9 or TOGAF 8.1.1 certification desirable.</p> <p>(S)he must have several years of extensive experience in fulfilling the lead architect role in big projects in an international setting.</p> <p>(S)he should have a sound combination of theoretical and practical knowledge.</p> <p>(S)he should understand the business as well as the technical challenges and be able to mitigate them.</p>

Role	Profile
	<p>As (s)he is one of the linking pins, (s)he must have excellent communication skills to bridge the gap between not only business and IT but also (content wise) between stakeholders on the executive level and the different project teams.</p> <p>(S)he must have pro-active attitude to guide and support the project teams.</p>
Solution architecture team	<p>The solution architect should have at least 4 years of work experience within the domain of business and/or IT architecture. TOGAF 9 or TOGAF 8.1.1 certification desirable.</p> <p>(S)he must have several years of extensive experience in fulfilling the solution architect role in medium projects in an international setting.</p> <p>(S)he should have a sound combination of theoretical and practical knowledge.</p> <p>(S)he should understand the business as well as the technical challenges and be able to mitigate them together with his/her architecture peers.</p> <p>(S)he must have pro-active attitude to guide and support the project teams.</p>
Project lead for work packages	<p>The project lead should have several years of experience in leading IT development projects in an international setting. Prince2 certification is an advantage.</p> <p>S)he must have pro-active attitude to guide and support the project teams.</p>
Analysis & design team members	<p>The Analysis & design team members should have several years of experience in analysis & design.</p>
Development team members	<p>The development team members should have several years of experience in development.</p>
Test team members	<p>The test team members should have several years of experience in testing.</p>
Project lead for roll-out	<p>The project lead should have several years of experience in leading software deployment projects in an international setting. Prince2 certification is an advantage.</p> <p>(S)he must have experience in executing QA strategies.</p> <p>S)he must have pro-active attitude to guide and support the project teams.</p>
Roll-out team members	<p>The roll-out project team members should have several years of experience in software deployment projects in an international setting.</p> <p>They must have experience in executing QA strategies.</p>
Installation expert	<p>The installation expert should have several years experience in this domain.</p>
Usability expert	<p>The usability expert should have several years experience in this domain.</p>

- **ANNEX 3 – Approach for solution architecture**

This annex is based on the available TOGAF 9 documentation⁵ and the book “IAF explained”⁶. The approach is based on TOGAF 9, the industry standard framework for developing enterprise architectures:

- TOGAF’s Architecture Development Method (ADM)

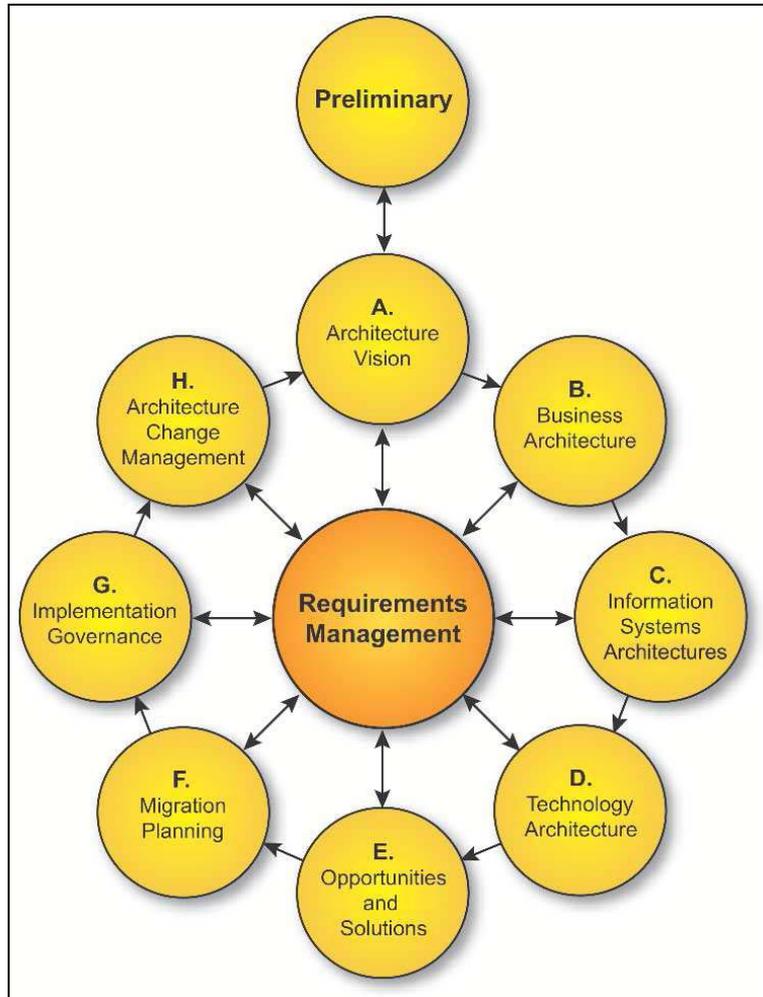


Figure 8 - TOGAF Architecture Development Method

⁵ TOGAF Version 9 - A Manual; Van Haren Publishing; ISBN-13: 978-9087532307

⁶ The Integrated Architecture Framework Explained: Why, What, How; Springer; ISBN-13: 978-3642115172

- Architecture Content Framework (ACF)

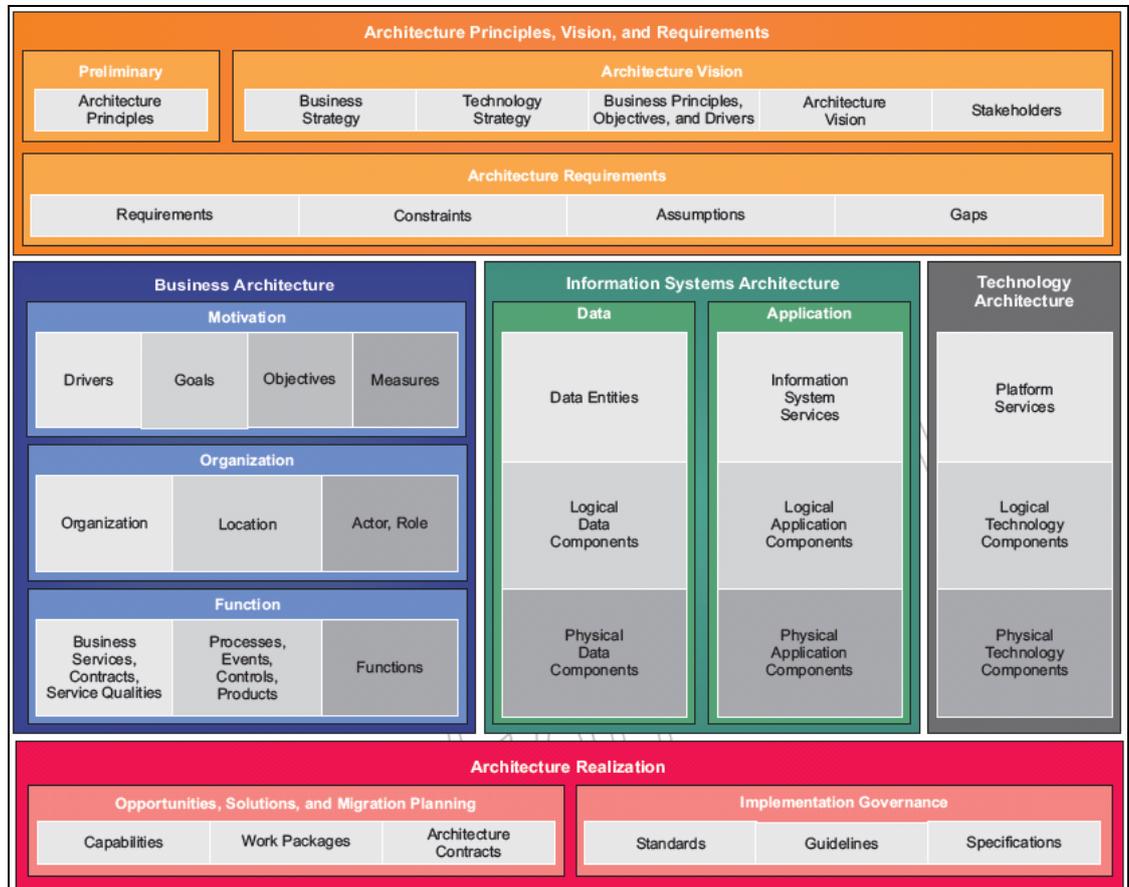
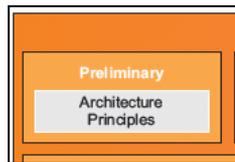


Figure 9 - Architecture Content Framework

- Some ADM Guidelines and Techniques to support the application of the ADM
 - Architecture Principles (TOGAF 9, chapter 23)
 - Approach to Stakeholder Management (TOGAF 9, chapter 24)
 - Business Scenarios (TOGAF 9, chapter 25)
 - Gap Analysis (TOGAF 9, chapter 26)
 - Business Transformation Readiness Assessment (TOGAF 9, chapter 30)

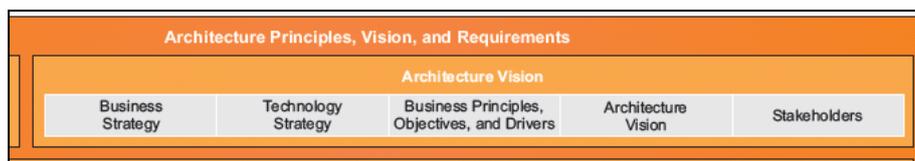
This will lead to the Project's following solution architecture approach:

- Preliminary Phase. This phase is about defining “where, what, why, who, and how we do architecture” during the Project. Part of this phase's work is already delivered by this project brief.



The main activities covered during this phase are as followed:

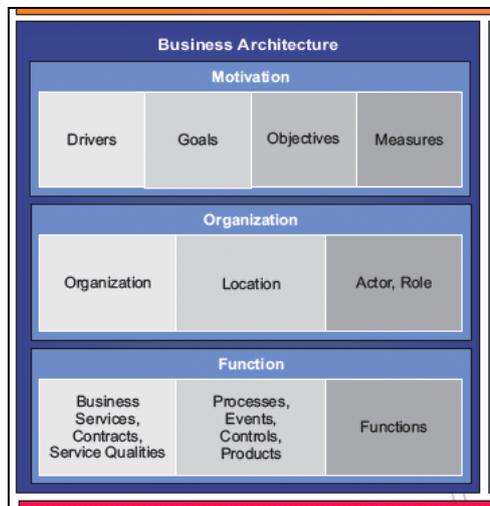
- Define the enterprise scope.
 - Identify key drivers and elements in the organisational context.
 - Identify key stakeholders, their issues and their concerns.
 - Define the requirements for architecture work.
 - Define the architecture principles that will inform any architecture work.
 - Define the framework to be used.
 - Define the relationships between management frameworks.
 - Implement architecture tools.
 - Define architectural conformance activities.
- **A. Architecture Vision.** This phase is about defining the architecture vision and setting up and approving the Statement of Architecture Work.



The main activities covered during this phase are as follows:

- Validate statements of business principles, business goals, and business drivers.
- Sketch initial baseline and target architectures.
- Articulate an Architecture Vision.
- Define architecture scope.
- Define Context diagram.
- Define Architecture objective.

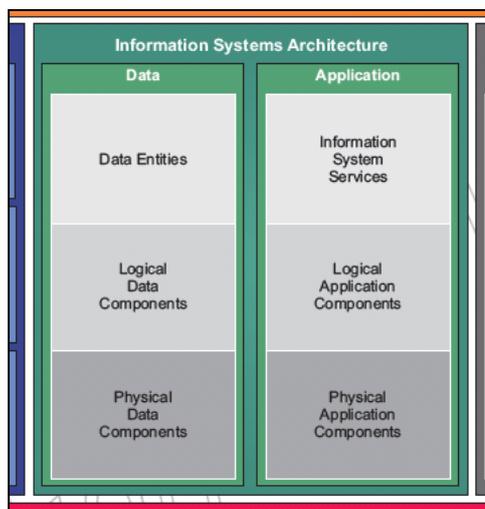
- Define Architecture constraints.
 - Define Architecture assumptions.
 - Define architectural conformance activities.
 - Approved Statement of Architecture Work.
- **B. Business Architecture.** This phase is about defining the business architecture. The business architecture describes the organisational, functional, process, information, legislative, and geographic aspects of the business environment, based on the business principles, business goals, and strategic drivers. Hence the business architecture is (a) a means of demonstrating the business value of subsequent architecture work to key stakeholders and (b) a prerequisite for architecture work in any other domain (Data, Application, and Technology).



The main activities covered during this phase are as followed:

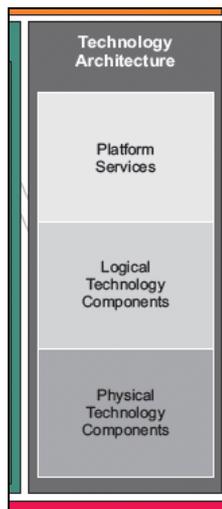
- Develop Baseline Business Architecture Description.
 - Develop Target Business Architecture Description.
 - Perform gap analysis.
 - Define roadmap components.
 - Resolve impacts across the Architecture Landscape.
 - Conduct formal stakeholder review.
 - Finalize the Business Architecture.
- **C. Information Systems Architecture.** This phase defines both the data and application architecture.

- The data architecture defines the major types and sources of data necessary to support the business but is not concerned with database design. Including the logical application components that serve as the system of record or reference for enterprise master data, it gives insight into how and where enterprise data entities are created, stored, transported, and reported.
- The application architecture defines the major kinds of application systems necessary to (a) process or manage the data, (b) to present information to the human and computer actors in the enterprise, and (c) to support the business. It is important to note that this effort is not concerned with applications systems design or software architecture. It is concerned with the description of services, their grouping into logical application components, including the mapping to physical application components.



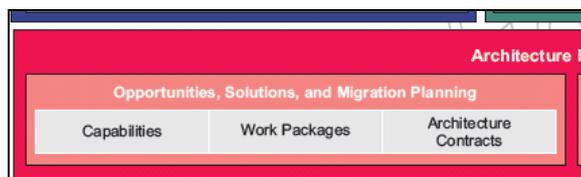
The main activities covered during this phase are as follows:

- Develop Baseline Information Systems Architecture Description.
 - Develop Target Information Systems Architecture Description.
 - Perform gap analysis.
 - Define roadmap components.
 - Resolve impacts across the Architecture Landscape.
 - Conduct formal stakeholder review.
 - Finalize the Information Systems Architecture.
- **D. Technology Architecture.** This phase defines the Technology architecture which covers the infrastructure aspects like needed platform services and infrastructure components on which the Information systems and application components do rely on.



The main activities covered during this phase are as follows:

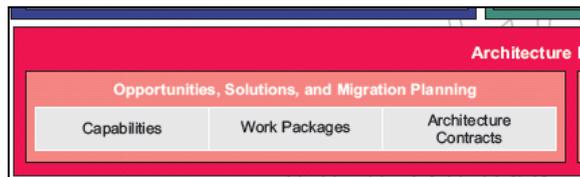
- Develop Baseline Technology Architecture Description
 - Develop Target Technology Architecture Description
 - Perform gap analysis
 - Define roadmap components.
 - Resolve impacts across the Architecture Landscape.
 - Conduct formal stakeholder review.
 - Finalize the Technology Architecture.
- E. Options and Solutions. This phase is about distributing the physical components into work packages and defining a first high-level Implementation and Migration Strategy.



The main activities covered during this phase are as follows:

- Determine business constraints for implementation.
- Review and consolidate gap analysis results from phases B to D.
- Refine and validate dependencies.
- Confirm readiness and risk for business transformation

- Formulate high-level Implementation and Migration Strategy.
 - Identify and group major work packages.
 - Create portfolio and project charters for the development streams.
 - Generate and gain consensus on the high-level Implementation and Migration Strategy.
- **F. Migration planning.** This phase is about finalizing a detailed Implementation and Migration Plan, based on the high-level Implementation and Migration Strategy.



The main activities covered during this phase are as follows:

- Finalise a detailed implementation and migration plan
- **G. Implementation Governance.** This phase runs in parallel with both, the analysis & design, development and test phase and the roll-out and stabilisation phase. Its main objective is to ensure the architectural conformance of the work done during the analysis & design, development and test phase and the roll-out and stabilisation phase.



The main objectives covered during this phase are as follows:

- To govern and manage an Architecture Contract covering the overall implementation.
 - To perform appropriate governance functions while the solution is being implemented and deployed.
 - To ensure conformance of the deployed solution with the Target Architecture.
- **H. Architecture Change Management.** This phase concentrates on architecture activities after the project is closed down. Hence this Project won't cover this phase.

The main objectives of this phase are as follows:

- To ensure that baseline architectures continue to be fit-for-purpose.
- To assess the performance of the architecture and make recommendations for change.

- To assess changes to the framework and principles set up in previous phases.
 - To establish an architecture change management process for the new enterprise architecture baseline that is achieved with completion of phase G.
 - To maximize the business value from the architecture and ongoing operations.
 - To operate the Governance Framework.
- **Requirements Management.** This is at the centre of the ADM and relates to all other phases as they produce and need to comply with requirements for enterprise architecture. Requirements for enterprise architecture are identified, stored, and fed into and out of the relevant ADM phases. This also includes architecture constraints, architecture assumptions, and gaps.



- ANNEX 4 – Current services catalogue from CF 2.13

Service type	Service name
Business service	File Alteration of a Registered Trade Mark
Business service	File Alteration to the Representation of Trade Mark
Business service	File Appeal
Business service	File Cancellation of Trade Mark
Business service	File Cancellation of Trade Mark Licence Record
Business service	File Cancellation of Trade Mark Sub-Licence Record
Business service	File Change of Address Record
Business service	File Change of Address Record for an International Trade Mark
Business service	File Change of Name Record
Business service	File Change of Name Record for an International Trade Mark
Business service	File Claim of Seniority for an International Trade Mark
Business service	File Community to National Trade Mark Conversion Request
Business service	File Community Trade Mark Application
Business service	File Declaration and Submission of Priority Documents
Business service	File for Transfer of Right for an International Trade Mark
Business service	File International Trade Mark Application
Business service	File International Trade Mark License Record
Business service	File International Trade Mark Renewal
Business service	File Limitation of the List of Goods and Services
Business service	File Observations
Business service	File Opposition
Business service	File Request for a Certified Copy of Trade Mark
Business service	File Request for a Copy of Trade Mark
Business service	File Request for a Statement of Grounds of a Decision
Business service	File Request for Amendments or Correction
Business service	File Request for Correction of Registered Mark
Business service	File Request for Extension of Opposition Time
Business service	File Request for Re-Publication
Business service	File Request for Suspension of Examination
Business service	File Request for Transfer of Right
Business service	File Trade Mark Application
Business service	File Trade Mark Application Withdrawal
Business service	File Trade Mark Licence Record
Business service	File Trade Mark Renewal
Business service	File Trade Mark Sub-Licence Record
Business service	File Transfer of Right Record
Business service	File Translation of Opposition Arguments
Business service	Query Trade Mark Register
Information system service	Get Appeal Resource
Information system service	Get Applicant Resource
Information system service	Get Correspondence Address Resource
Information system service	Get Representative Resource

Information system service	Get Trade Mark Image Resource
Information system service	Get Trade Mark Image Thumbnail Resource
Information system service	Get Trade Mark Licence Resource
Information system service	Get Trade Mark Recordal Resource
Information system service	Get Trade Mark Renewal Resource
Information system service	Get Trade Mark Resource
Information system service	Identity Management Interface
Information system service	Search Trade Mark Resource

Table 9 - Current services catalogue from CF 2.13

- **ANNEX 5 – Project governance approach**

The following figure illustrates the main responsibilities of the project team, working group and the CF management team.

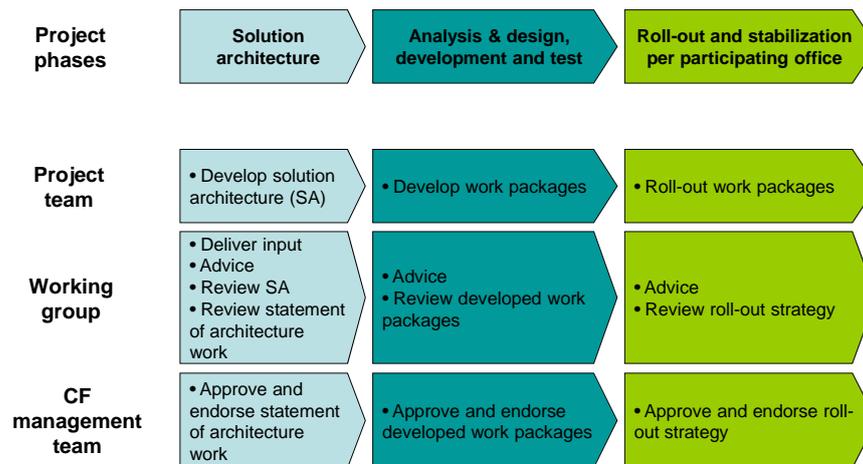


Figure 10 - Governance approach overview

- **ANNEX 6 – Approach to re-use existing solutions or services**

The following approach will be used to determine the re-use (incl. its extent) of an existing solution or set of services (from now on referred to as “proposed solutions”) that a participating National Office is proposing.

As the solution architecture phase does not only cover the “what” and “how” but also the “with what”. The question of re-use will be addressed throughout the whole solution architecture phase:

- While developing the conceptual part of the solution architecture (“what”), the proposed solutions’ services (descriptions) will be used as input for defining the Future Software Package’s functionality, keeping the architecture scope, principles and constraints in mind.
- While developing the logical part of the solution architecture (“how”), the proposed solutions’ logical components (descriptions) will be used to check if (incl. the extent) these existing logical components can provide the to-be services, keeping the architecture scope, principles and constraints in mind.
- While developing the physical part of the solution architecture (“with what”), the proposed solutions’ physical components (descriptions) will be used to check if (incl. the extent) these existing physical components can provide the to-be logical components, keeping the architecture scope, principles and constraints in mind.

As just described above, the question of re-use is interwoven with the development of the solution architecture. First the proposed solutions (incl. their descriptions) will be used as input to define the Future Software Package’s functionality. Then the proposed solutions’ components are matched for re-use. This leads to an objective approach on re-use of existing applications.

Hence it is a prerequisite that the proposed solutions, when proposed, have been documented in sufficient detail. This means that the participating National Offices need to perform first some kind of reengineering to provide the needed documentation for the Project. The documentation should contain the following:

- Information system services that describe the functionality of the application
- Logical application components that resemble collections of information system services. These are the components or modules of an application or system.
- Physical application component that resemble the application or system

The steps described in the solution architecture approach to define the information system architecture can be used for inspiration on how to perform this reengineering exercise.

• ANNEX 7 – Bubble chart Project Team

