

Chief Information Officer ES-0340 Alexandria, Virginia

I. Introduction

This position is located in the Office of the Chief Information Officer (OCIO), United States Patent and Trademark Office.

II. Duties

The incumbent of this position serves as the U. S. Patent and Trademark Office's Chief Information Officer (CIO) and, as such, is the principal advisor to the Under Secretary for Intellectual Property and Director of the United States Patent and Trademark Office on the application of information technology (IT) to improve business processes. The CIO provides leadership and management of the OCIO organization and is ultimately responsible for the development, implementation, maintenance, enhancement, and operation of USPTO's automated information systems, and serves as the agency's senior information technology, privacy and records management official.

Specifically, the incumbent provides leadership and management of the following areas:

- IT Strategic Planning
- IT Organization and Workforce Leadership and Management
- Capital Planning and Investment Management for Information Technology and Related Initiatives
- · Information Security
- Enterprise Architecture
- IT System Acquisition, Modernization, Development, Integration and Delivery
- IT Infrastructure and Systems Operation, Maintenance and End User Support
- IT Disaster Recovery and Business Continuity
- E-Government and Other Automation Initiatives
- Information Collection and Paperwork Reduction
- Information Dissemination
- · Records Management
- Privacy Protection
- IT Stakeholder and Customer Experience Excellence

III. Educational Requirement

NOTE: There is not an educational requirement for this position.



IV. Professional Technical Qualifications

The incumbent must possess the following Professional Technical Qualifications:

- Demonstrated leadership ability to lead and manage a large, diverse, and multi-functional technical organization which includes both government employees and a large contractor workforce.
- Demonstrated ability and expert knowledge of enterprise-wide information technology operations, programs and projects including data center operations, distributed digital voice and data networks, capacity and performance management, help desk operations, service level agreement management and reporting, configuration management, and change control.
- 3. Expert knowledge of and demonstrated experience in strategic and tactical information technology planning to implement state-of-the-art information processing and other emerging technologies such as collaboration tools, service oriented architecture, Internet, Intranet, extranet, multimedia, and mobile computing, and security management tools.
- 4. Expert knowledge of and demonstrated experience in software engineering to include AIS lifecycle management technologies, system development and delivery, requirements management, quality assurance, configuration and metrics, program and project management, and customer experience excellence.

V. Executive Core Qualifications

The incumbent must possess the following Executive Core Qualifications:

- Leading People
- Leading Change
- Results Driven
- Business Acumen
- Building Coalitions

VI. Supervision and Guidance

The position reports directly to the Under Secretary for Intellectual Property and Director of the United States Patent and Trademark Office who provides only administrative direction. The incumbent independently plans and executes work, and keeps the Director informed on progress through periodic informal briefings.

The incumbent serves as the technical authority on all matters related to business process reengineering, system development and acquisition, system architecture and engineering, computer and network operations, and information dissemination; recommendations and commitments are authoritative. Instructions are confined to broad administrative direction on



matters of general policy and objectives established by the Under Secretary for Intellectual Property and Director of the United States Patent and trademark Office and by the Office of Management and Budget. The incumbent is expected to plan, develop and direct programs in a fully independent manner. No detailed review is provided for the work assigned by the Director; decisions made by the incumbent are reviewed only in terms of whether overall mission and goals of the USPTO are met, including timely and accurate issuance of patents and registration of trademarks.

VII. SES Designation

The Chief Information Officer position has been designated as a General position in the Senior Executive Service. As circumstances and organizational needs dictate it can thus be filled by either career or non-career appointees.

VIII. Security Designation and Drug Testing Requirement (if applicable)

The security designation of this position is listed as 4C, there is a drug testing requirement for this position.



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Job Code ES9161

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SES Performance Management System Executive Performance Agreement



Part 1. Consultation. I h	ave revie	wed this plai	n and have been	consulted	on its develo	opment.			
Executive's Name (Last, First, MI); Holcombe, Henry J.							isal Pd. /2019	2/12/2019 -	
Executive's Signature:	(b)(6)					Date:	16 AP	R2419	
Title: Chief Information C	Officer					Organ	ization: O	CIO	
Rating Official's Name (Lo	ast, First,	MI): Peter, L	aura			CA	NC 🗌 I	LT/LE 🗌	
Rating Official's Signature	(b)(6)					Date:	2 Ju	ly 2019	
Part 2. Progress Review					a T			0	
Executive's Signature:						Date:			
Rating Official's Signature	e:					Date:			
Reviewing Official's Signa	ture (Opt	ional):				Date:			
Part 3. Summary Rating									
Initial Summary Rating	Level Outstan	5.77	Level 4 Commendable		vel 3 Juccessful	Minimal Satisfact	lly	Level 1 Unsatisfactory	
Rating Official's Name (Last, First, MI): Peter, Laura									
Rating Official's Signature	: :					Date:	Date:		
Executive's Signature:						Date:	Date:		
Reviewing Official's Signa	ture <i>(Opt</i>	ional):				Date:			
Higher Level Review (if a	oplicable)							,	
I request a higher leve	l review.	Executive'	s Initials:			Date:			
Higher Level Review Com	pleted					Date:			
Higher Level Reviewer Sig	nature:								
Performance Review Boa	rd Recon	mendation	Level 5	5 🗆	Level 4	Level 3	Leve	el 2 Level 1	
PRB Chair Signature:							Date:		
Annual Summary Rating			Level 5	5	Level 4	Level 3	Leve	12 Level 1	
Appointing Authority Sign	ature:						Date:		
Part 4. Derivation Formu	la and Ca	lculation of	Annual Summar	y Rating			THE		
-	Elem	ent Rating Final			Score Final				
Critical Element	Initial	(if changed	l) Weight	Initial	(if change	d) S	Summary	Level Ranges	
1. Leading Change			10%			_	475-500) = Level 5	
Leading People Business Acumen			10%				400-474 = Level 4		
4. Building Coalitions			10%					e Level 3	
5. Results Driven		Name of the last	60%			Ami) = Level 2	
Total			100 points	Any CE rated Level 1 = Level 1					

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or Governmentwide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- Level 4: The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position.
- Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive routinely does not meet established performance expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or outcomes.

Element Rating Level Points	Level 5 = 5 points	
	Level 4 = 4 points	
	Level 3 = 3 points	
	Level 2 = 2 points	
	Level 1 = 0 points	

Execut	ive Name and ID:	Holcombe, Henry	Appraisal I	Period: FY 2019
Critical	Element 1. Leading	Change	(Minimum weight 5 points)	Weight 10%
organiz implem major s service transpa	ational and program lenting innovative so hifts in direction or a and program perfore	goals, priorities, values, and o lutions to make organizational approach, as appropriate. Bala mance; creates a work environ s program focus, even under a	plements an organizational vision that integrates ther factors. Assesses and adjusts to changing sit improvements, ranging from incremental improvences change and continuity; continually strives to ment that encourages creative thinking, collaborativersity.	uations, vements to improve
1.	OCIO Strategic plan standard will be mea	is. This OCIO Business Plan is	CIO Business Plan, derived from synthesizing the s to be review and updated yearly as needed. Succupdate to the OCIO Business Plan that encompass	cess in this
2.	Action Planning and transformational cha process (known as I of DevOps will be n	I DevOps Council meetings. The council meetings of the OCIO culture to employ to all IT development measured by the continued adoptes and operational efficiencies	ship team through active participation in the bi-we have meetings are charged with effectively continual brace the most advanced, continuous build and deand systems. Success in this standard and the contion of DevOps practices in automated delivery at and through the implementation of a culture of DevOps practices.	ning a sployment attinued adoption and testing,
3.	OCIO. The executive methods of continuous internal processes lo operational processes	we will ensure the organizations ous process improvement. Success yet effective; and an investr	re will support a continuous process improvement al implementation and training of employees and recess in this standard will be measured by keeping the ment in the streamlining of at least two new and in The executive will provide at least one organizationing body once established.	nanagers on the the OCIO aproved
4.	Develops strategies efforts and initiative		o implement IT stabilization, modernization, and g	overnance
	255			
Kating (Official Narrative: <i>(O</i>	ptional)		

Level 2

Level 1

Level 3

Level 4

Level 5

Critical Element Rating – Leading Change

	l Element 2. Leading People	(Minimum weight 5	Weight 10%
points)			
the org mission for full resolut employ commu- conduct quality	etory Performance Requirement: Designs and implementation horizontally and vertically, and fosters high in, and goals. Provides an inclusive workplace that fost participation by all employees; facilitates collaboration of conflicts. Ensures employee performance planayees receive constructive feedback, and that employee unicated performance standards. Holds employees act. Seeks and considers employee input. Recruits, retry, diverse workforce that reflects the nation, with the sixes while supporting workforce diversity, workplace in	n ethical standards in meeting the organization's sters the development of others to their full pote on, cooperation, and teamwork, and supports on are aligned with the organization's mission and ees are realistically appraised against clearly defice ountable for appropriate levels of performance tains, and develops the talent needed to achieve skills needed to accomplish organizational performance.	s vision, tential; allows constructive nd goals, that fined and ce and e a high ormance
Agency	y-Specific Performance Requirements		
	develop, and implement actions to improve employee e ources including the USPTO People Survey, Federal E		
subpare environ	tes the protection of whistleblowers by: responding coagraph (A) or (B) of section 2302(b)(8); taking respon nent in which employees of the agency feel comfortaboriate authorities.	nsible actions to resolve disclosures; and fosteri	ng an
1.	The executive will lead their organization through co levels of staff and to customers. This communication OCIO organization. The executive will actively partitive Meetings (4 per year) to encourage employee engage in the OCIO Strategic plan. Messaging throughout the foster the high ethical standards. The organization wire resolution while supporting an environment that foster Success in this goal will be measured by the complete a yearly updated Business Plan and associated budget on the progress of our team.	is both horizontal among Executives and vertical icipate in regular All Hands (2 per year), and All ement at all levels to achieving the mission and when organization will be positive, inclusive and could support through its leadership constructive covers development of its employees to their full position of at least 2 all hands meetings, 4 all supervi	cally within the ll Supervisors vision defined collaborative to entitle totential.
2.	The executive will continuously improve the OCIO of positive steps to improve the OCIO culture. Success if OCIO employee survey and improving year-over-year based on survey's results; and acting upon assigned p	in this standard will be measured by participation ar employee participation for your office; execut	n in the annual
a l:	Human Resource Management - Effectively analyze a plans with OCIO strategic and operational plans and performance cycles. Support development and training Manage all hiring actions to the agreed upon plans. Collaboration a. Continue collaboration with HR/LR/ER with union OCIO assigned tasking and structure to suport SIT of Complete progress and annual performance review target with an acceptable variance of no more than	ensure staff is fairly appraised during mid and e ing to optimize their contribution to overall miss [Note: This goal is highly dependant on OHR in support, to maintain employee PAP alignment TP and OITP goals. we in accordance with mid-year and end-year due	end year sion success. t with the e dates - 100%
lating C	Official Narrative: (Optional)		

Level 2

Level 1

Level 3

Level 4

Level 5

Critical Element Rating – Leading People

Executive Name and ID: Holcombe, Henry

Critical Element 3. Business Acumen	(Minimum weight 5 points) Weight 10%
information resources in a manner that instills pub	analyzes, acquires, and administers human, financial, material, and lic trust and accomplishes the organization's mission. Uses technology es the operating budget; prepares budget requests with justifications;
Agency-Specific Performance Requirements	
•	analyze and utilize technology and other resources to provide ources. [Note: This goal is highly dependent on OHR collaboration]
a. Stretch goal of organizational a approved vacancies for FY 201	uthorized Full Time Equivalents (FTE) positions filled - Target 100% of 9.
	fecitve for the most proritiezed plan and the best resources are available tion of implemenation of IT project.
	ip with the establishment of proper internal organizational controls to chedule allowances by quarter. Targets for this goal include:
ii. Execution on Quarter 2 financial plantii. Execution on Quarter 3 financial planting	an allocation to within 15% of the quarterly allocation. an allocation to within 10% of the quarterly allocation. an allocation to within 5% of the quarterly allocation. an allocation to within 5% of the quarterly allocation. are of Procurement collaboration.
included in the inventory at the begins measured by 98% of projects kick	planned, measured by the percent of projects kicked off that were inning of the fiscal year. (Reflects over-all planning) Success in this goal ted off as per plan (minus any change due to budget variances) Office of Procurement and Business Unit collaboration]
execution timeliness). Success in the	ed as planned based on kick off date by Quarter. (Reflects project is goal is measured by 90% execution by quarter se of Procurement and Business Unit collaboration]
	ticipation in the Implementation Plan for the IT Cost Estimation his goal will be measured by the ability of the executive to prepare and FY21 financial plan.
Rating Official Narrative: (Optional)	
Critical Element Rating – Business Acumen	Level 5 Level 4 Level 3 Level 2 Level 1

Critical Element 4. Building Coalitions		۱۹)	/linimum welg	ht 5 points)	Weight 10%
Mandatory Performance Requirement: Solicits a customers. Coordinates with appropriate parties facilitate an open exchange of opinion from diver advocates, and expresses facts and ideas in a con externally, as appropriate. Develops a profession external politics that affect the work of the organ	to maximize inpose groups and st vincing manner a al network with	ut from the wi rengthen inter and negotiates	dest range of a mal and extern with individua	appropriate st ial support. Es als and groups	akeholders to xplains, internally and
Agency-Specific Performance Requirements					
 The executive will work directly on meeting issues and/or, concerns, on customer delive participation in at least one task force or veconcerns, and/or interests which generated customer. The executive will leverage the effectively across all business units to ach 	veries and reques working group wi d not only a stron ir leadership skil	ts. Success in to the another buse ger working re and abilities	his standard w iness unit focu clationship, but to build partne	ill be measure sing directly o a reasonable	ed by on their issues, result for the
 The executive will actively participate in management concerns, while forming a st cooperative and open relationship. The ke from diverse groups with strengthen intern among parties and all the business units to approach, OCIO can develop demand driv business units to improve professional net 	ronger working r y success factors hal and external s achieve the goal yen products and	elationship will of relationship support that will sand mission services to enh	th the unions to o is facilitating ill result in the of the OCIO B nance customer	provide the ran open excheffective parts Business Plan.	most ange of opinion tership(s) With this
 The executive will actively participate in a customers including facilitated PPAC and IT improvements. With this approach, OC and external customer satisfaction to impre- 	TPAC meetings CIO can develop	as well as inde demand driven	ependent meeti products and	ngs in order to services to en	o demonstrate hance internal
Rating Official Narrative: (Optional)					
Critical Element Rating – Building Coalitions	Level 5	Level 4	Level 3	Level 2	Level 1

Critical Element 5. Results Driven

(Minimum Weight 20 points)

Weight 60%

This critical element must have at least 1 performance requirement (there is no maximum number of requirements, agency should specify if it sets a maximum number).

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

Strategic Alignment-identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

Performance Requirement 1: Organizational Goals (60%)

- Patents Legacy The use of MyUSPTO/RBAC authentication for all USPTO external Patents users and retire at least two legacy systems. TARGET: Full transition of all EFSWeb/Private PAIR users to MyUSPTO/RBAC. STRETCH: Retire two Legacy Systems (OACS and MADRAS).
- Patents Legacy Decrease dependency upon the COOL: Gen applications/T-Rex Server. TARGET: 50% Completion of PALM PCT-OPS, Pre-Exam and Expo conversions. STRETCH: Completion of all PALM Expo COOL: Gen conversion for the Activity Engine, Patent Common Domain Model Services, Batch Services and business specific processes.
 - Patents End to End (PE2E) Deploy 6-9 enhancements to PE2E (DAV, OC and CPC). **TARGET:** CPC Implement CPC INTL; integrate CAT with other PE2E apps (DAV, Search, OC); Re-class Progress Tracking Tool/Dashboard Reports; enhance My CPC Collection Feb 2019Patent Center Achieve 80% EFSWeb parity.

STRETCH: Patent Center - 100% EFSWeb Parity.

- 3. Patents End to End (PE2E) Content Management System. **TARGET:** Migrate all legacy services from IFW to CMS. **STRETCH:** Retire IFW DB1/DB2.
- Global Dossier Global Dossier Improvements. TARGET: Implement a public to sign up for alerts & notifications on status changes for US applications. STRETCH: Alerts and notifications for status changes for all IP5 applications.
- 5. Trademark Next Gen Develop, deploy, and accept TMNG Exam; and rollout TMNG Exam to an expanded user group. TARGET: Q4 2019: Complete divisional capability supporting the Exam tool; get BU approval to proceed with expanded beta tests of the Exam tool based on results/feedback from initial beta group.
 Our Complete Form Perceptage address asymptotic to 50 beta testers then

Q4: Complete Form Paragraph editor; expand up to 50 beta testers then up to 100 beta testers of the Exam tool.

Q4: Expand to 200 beta testers of the Exam tool; train and deploy to four Law Offices beyond the 200 users prior to Q4 Quict Time.

STRETCH: Establish a joint BU/OCIO vision for trademark

Strategic Alignment: USPTO 2018 – 2022 Strategic Plan MISSION SUPPORT GOAL Deliver Organizational Excellence OBJECTIVE 2: OPTIMIZE SPEED. OUALITY, AND COST-EFFECTIVENESS OF INFORMATION TECHNOLOGY DELIVERY TO ACHIEVE BUSINESS VALUE Initiative D. Maintain effective legacy systems during transition to their retirement GOAL I - Optimize Patent Quality and Timeliness **OBJECTIVE 3: FOSTER INNOVATION** THROUGH BUSINESS EFFECTIVENESS Initiative C. Enhance information technology interfaces available to external users of patent systems

GOAL II - Optimize Trademark Quality and Timeliness OBJECTIVE 3: FOSTER BUSINESS EFFECTIVENESS Initiative D. Focus information technology efforts on improving efficiencies in core business operations

- information technology based on TMNG beta results and recommendations stemming from enterprise-wide analysis of USPTO's Modernization program.
- 6. Trademarks Legacy Enhance production systems to align with proposed trademark regulatory changes; and maintain optimal service for TM production systems for internal and external users. TARGET: Q4: Implement changes to TM systems supporting Mandatory Electronic Filing rulemaking. Q4: Implement changes to TM systems supporting U.S. Counsel rulemaking. STRETCH: In addition to meeting FY19 business priorities associated with rulemaking changes, we will also upgrade the infrastructure and enhance end-user capabilities of internal trademark systems dependent on approval of the proposed Trademark Production System Enhancement (TPSE) CIDP and based on Product Owner priorities. Potential systems to be upgraded/enhanced include FAST1, FAST2, Madrid, TRADEUPS, TICRS, and/or TTABIS.
- 7. PTAB E2E Continued development of PTAB Appeals **TARGET**: Completion of PTAB Appeals scope and retirement of ACTS. **STRETCH**: Foundation for "One Board, One Docket" for appeals
- Certification and Assignments Dissemination Process assignment recordation requests. TARGET: Process assignment recordation requests on average within 4 days. STRETCH: Within 3 days.
- 9. Storage Storage Reclamation **TARGET**: Reduce underutilized storage to meet 75% utilization. **STRETCH**: Reduce underutilized storage to meet 85% utilization.
- Virtual Desktop Infrastructure Host and self-provisioning of development workstations. TARGET: Implement Lab VDI Self-Provisioning Capability. STRETCH: 50% of all Lab VDI requests made via the Self-Provisioning Capability.
- PTONet Replace End-of-Life network equipment in Contractor Access Sites. TARGET: Complete 50% of CAS site upgrades by May 2019. STRETCH: Complete 100% of CAS site upgrades by end of Q4 July 2019.
- Database Consolidation- Reduced licensing cost and increased system availability. TARGET: Consolidate 60% of small and midsize Databases. STRETCH: Consolidate over 75% of the small and midsize databases.
- 13. Platform Automation Enhancements Market and Migrate applications/services to Wildfly or Springboot in Platform Automation Stack (new feature) reducing license cost. TARGET: Market and Migrate (5+) applications/services to either Open Source WildFly or Springboot. STRETCH: Market and Migrate (10+) applications/services to Open Source WildFly or Springboot.
- 14. Big Data Continue to solidify Big Data Reservoir as foundation for advanced applications and analytics, and deliver advanced applications. TARGET: 1. Deliver Unity to OPIM for Assessment with improvements to follow. 2. Enhance Patent Bulk Search and Download API and PTMT; viz.
 - a. Deliver PTAB API with Trials and Appeals Data to the Open Data Portal
 - b. Deploy Big Data Infrastructure v3.0 with attached storage
 - c. Deploy updated Assignments API **STRETCH: 1.** Complete a new release to publish an updated PTAB API that includes data from EFOIA. Internal and External text search capability of AIA trials decisions
 - 2. Complete another PTAB release that includes data from Appeals and

MISSION SUPPORT GOAL
Deliver Organizational Excellence
OBJECTIVE 2: OPTIMIZE SPEED,
QUALITY, AND COSTEFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
ACHIEVE BUSINESS VALUE
Initiative D. Maintain effective legacy
systems during transition to their
retirement

GOAL I - Optimize Patent Quality and Timeliness
OBJECTIVE 4: ENHANCE
OPERATIONS OF THE PATENT
TRIAL AND APPEAL BOARD
Initiative E. Develop and enhance tools to promote transparency and enable increased use of operational data

MISSION SUPPORT GOAL
Deliver Organizational Excellence
OBJECTIVE 2: OPTIMIZE SPEED,
QUALITY, AND COSTEFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
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Deliver Organizational Excellence
OBJECTIVE 2: OPTIMIZE SPEED,
QUALITY, AND COSTEFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
ACHIEVE BUSINESS VALUE
E. Establish agency-wide data governance

Interferences and text search capability.

3. Deploy enhanced Big Data Reservoir / HDP 3.x

- 15. Security POA&M items on Government owned/managed systems. TARGET: No POA&M items on Government owned/managed systems delayed for 90 days. STRETCH: No POA&M items on Government owned/managed systems delayed for 60 days.
- 16. DevOps Implement Automated Deployment pipeline.
 TARGET: Automated Deployment pipeline (including Phase 2 Quality Gates) is used for 50% of Next Generation systems promotion and deployments. STRETCH: Automated Deployment pipeline(including Phase 2 Quality Gates) is used for 75% of Next Generation systems promotion and deployments.
- 17. Enterprise Business Systems MyUSPTO production deployments. TARGET: Deliver four quarterly releases with functionality related to authentication, personalization and Intellectual Property (IP) portfolio monitoring and management for the Agency's public customers. STRETCH: Begin transition to OIEO / Operations & Maintenance (O&M) mode.

MISSION SUPPORT GOAL
Deliver Organizational Excellence
OBJECTIVE 2: OPTIMIZE SPEED,
QUALITY, AND COSTEFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
ACHIEVE BUSINESS VALUE

Performance Requirement 2: Business Solutions and Technical Leadership (20%)

- No repeat findings for the Annual Financial Audit. <u>Stretch</u>: Removal of significant deficiency (control weaknesses only). <u>Note</u>: partially subject to auditor perception/opinion.
- POA&M Balance ("% of POA&M Total Difference per Reporting Period") not to grow more than 15%. <u>Stretch</u>: not to grow more than 10%.
- Provide executive leadership in meeting all federally mandated security requirements including the use of PIV cards, adherence to Financial audit standards, timely adherence to annual security training, and adherence to Assessment and Authorization requirements.
- 4. Enhance Development capabilities by moving OCIO processes and culture to all Agile Development Methodology and establishing more effective contracting relationships. Success in this standard will be measured by the integration and adoption of Rally performance data into EPMS reporting.
- 5. Provide all federally mandated reports including the completion and submission of the OMB Exhibit 300 budget artifacts by end of each year and draft OMB 300's by end of each year; Complete monthly updates to OMB's IT Dashboard and accompanying financial plan and resource allocation (ATE).

Strategic Alignment:

USPTO 2018 – 2022 Strategic Plan,
MISSION SUPPORT GOAL
Deliver Organizational Excellence
OBJECTIVE 2: OPTIMIZE SPEED,
QUALITY, AND COSTEFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
ACHIEVE BUSINESS VALUE

Performance Requirement 3: Service Delivery (Office Level) (20%)	Strategic Alignment:
 Provide executive leadership in ensuring timely execution of contract renewals by completing all procurement actions without any interruption in service. Implement CFO directed Procurement Improvements to help protect the agency from adverse actions, audits and investigations. Ensure all Assessment and Authorization (A&A) requirements are accomplished for an Authority to Operate (ATO) or Interim Authority to Test (IATT). Success in this standard will be measured by obtaining an ATO or IATT for 100% of all Government and Contractors systems. 	USPTO 2018 – 2022 Strategic Plan, OBJECTIVE 2: OPTIMIZE SPEED, QUALITY, AND COST- EFFECTIVENESS OF INFORMATION TECHNOLOGY DELIVERY TO ACHIEVE BUSINESS VALUE
Performance Requirement 4:	Strategic Alignment:
Rating Official Narrative: (Optional)	
Critical Element Rating – Results Driven	Level 3 Level 2 Level 1

Deriving the Results Driven Rating Worksheet

Executive Name Holcombe, Henry Rating Period FY 2019 Results Driven Results Driven Performance Weight Performance Point Ranges to Rating Level Score Initial Element Performance Requirement (multiply Requirement Requirements Rating Level by) Points Score Score (PR) Score Points 475 - 500 = Level 5 Rating Performance Score Points 400 - 474 = Level 4 Rating Requirement 1 Score Points 300 - 399 = Level 3 Rating Performance Requirement 2 Score Points 200 - 299 = Level 2 Rating Score Performance Any PR rated Level 1 overall score Requirement 3 must be = Level 1 Rating Score

___ = Level ___

Example of Results Driven Element Being Rated Level 4

= 100%

Performance Requirement 4

Performance Requirement

Total Score

Example of Resu				21.2	In 4 n:
Results Driven Performance Requirements (PR)	Performance Requirement Rating Level Score	Weight (multiply by)	Performance Requirement Points Score	Point Ranges to Rating Level Score	Results Driven Initial Element Score
				Points 475 – 500 = Level 5 Rating	54 354 1
Performance Requirement 1	4	x 25	100	Score Points 400 – 474 = Level 4 Rating	
Performance Requirement 2	5	x 30	150	Score Points 300 – 399 = Level 3 Rating	
Performance Requirement 3	5	x 15	75	Score Points 200 – 299 = Level 2 Rating	
Performance Requirement 4	3	x 30	90	Score Any PR rated Level 1 overall score	116
	37 (77 S & 20 Y)	= 100%	AND ACTOR	must be = Level 1 Rating Score	
Performance Requirement Total Score			415	415= Level 4	4*

^{*}Results Driven Rating is 4 – to be transferred to Initial Element Score beside Results Driven Critical Element on the bottom of page 1.

SES Performance Management System Executive Performance Agreement



Part 1. Consultation. I h	ave revie	wed this plar	n and have been d	onsulted	on its develo	pment.				
Executive's Name (Last, F		Holcombe, þ	lenry J.			Appra 9/30/	isal Pd. 2020	10/1/2019 -		
Executive's Signature:	(b)(6)					Date:	Date: 30 SEP 19			
Title: Chief Information C	fficer					Organ	Organization: OCIO			
Rating Official's Name (Lo	st, First,	MI): Peter, La	aura			CA 🗵	NC 🗌	LT/LE		
Rating Official's Signature	(b)(6)					Date:	9/2	0/2019		
Part 2. Progress Review							1/3	0/201/		
Executive's Signature:						Date:				
Rating Official's Signature	2:					Date:				
Reviewing Official's Signa	ture (Opt	ional):				Date:				
Part 3. Summary Rating								-		
Initial Summary Rating	Leve		Level 4 Commendable	_	vel 3 uccessful	Leve Minima Satisfac	lly	Level 1 Unsatisfactory		
Rating Official's Name (Lo	ıst, First, I	ИІ): Peter, L	aura							
Rating Official's Signature: Date:										
Executive's Signature:						Date:	Date:			
Reviewing Official's Signa	ture (Opt	ional):				Date:				
Higher Level Review (if a	oplicable)									
I request a higher leve	el review.	Executive'	s Initials:			Date:				
Higher Level Review Com	pleted					Date:				
Higher Level Reviewer Sig	nature:									
Performance Review Boo	rd Recom	mendation	Level 5		Level 4	Level 3	Leve	el 2 Level 1		
PRB Chair Signature:					1		Date:			
Annual Summary Rating			Level 5		Level 4	Level 3	Leve	el 2 🔲 Level 1		
Appointing Authority Sign	ature:		1				Date:			
Part 4. Derivation Formu	la and Ca	Iculation of	Annual Summary	Rating		1				
	Elem	ent Rating			Score					
Critical Element 1. Leading Change	Initial	Final (if changed	d) Weight	Initial	Final (if change	d) :	Summary Level Ranges 475-500 = Level 5			
2. Leading People			10%							
3. Business Acumen			10%				400-474 = Level 4			
4. Building Coalitions			10%					9 = Level 3		
5. Results Driven			60 %			1		9 = Level 2		
Total	P. Carlo	Clair.	100 points			Any	CE rated	Level 1 = Level 1		

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or Governmentwide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- Level 4: The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position.
- Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive routinely does not meet established performance expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or outcomes.

Element Rating	Level	Points
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Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

4. Optimize the Workforce:

- Realign, Challenge Skill Sets and Train Organization in a changing environment supporting the vision of an System Integrator approach to Product delivery
- Implementation of Agile Pilot Teams
- Transition from Project to a Product Teams structure
- Optimize Organization to support the goal of a flatter structure

Rating Official Narrative: (Optional)				.,,	TAINNE T
Critical Element Rating – Leading Change	Level 5	Level 4	Level 3	Level 2	Level 1

· · · · · · · · · · · · · · · · · · ·	
Critical Element 2. Leading People (Minimum weight 5 points)	Weight 10%
Mandatory Performance Requirement: Designs and implements strategies that maximize employee potent the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vand goals. Provides an inclusive workplace that fosters the development of others to their full potential; also participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports construct of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that receive constructive feedback, and that employees are realistically appraised against clearly defined and comperformance standards. Holds employees accountable for appropriate levels of performance and conduct. So considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, divers that reflects the nation, with the skills needed to accomplish organizational performance objectives while su workforce diversity, workplace inclusion, and equal employment policies and programs.	vision, mission, lows for full live resolution it employees nmunicated Seeks and se workforce
Agency-Specific Performance Requirements	
Lead, develop, and implement actions to improve employee engagement in your area based on employee fee gathered from sources including the USPTO People Survey, Federal Employee Viewpoint Survey, focus groups initiatives.	
Promotes the protection of whistleblowers by: responding constructively when an employee makes disclosure subparagraph (A) or (B) of section 2302(b)(8); taking responsible actions to resolve disclosures; and fostering environment in which employees of the agency feel comfortable making disclosures to supervisory employees appropriate authorities.	an
1. The executive will lead their organization through continual communication of vision, direction and plevels of staff and to customers. This communication is both horizontal among Executives and vertical OCIO organization. The executive will actively participate in regular All Hands (2 per year), and All Sul Meetings (4 per year) to encourage employee engagement at all levels to achieving the mission and in the OCIO Strategic plan. Messaging throughout the organization will be positive, inclusive and coll foster the high ethical standards. The organization will support through its leadership constructive corresolution while supporting an environment that fosters development of its employees to their full places in this goal will be measured by the completion of at least 2 all hands meetings, 4 all supervise a yearly updated Business Plan and associated budget on time; and weekly messages from the execution progress of their team.	ally within the pervisors vision defined aborative to offlict otential.
2. The executive will continuously improve the OCIO organization, management, and processes through positive steps to improve the OCIO culture. Success in this standard will be measured by encouraging in employee surveys and improving year-over-year employee participation for your office; executing on survey's results; and acting upon assigned portions of the current OCIO Strategic Human Capital P.	participation plans based
 3. Human Resource Management - Effectively analyze and manage staff performance by integrating perplans with OCIO strategic and operational plans and ensure staff is fairly appraised during mid and experformance cycles. Support development and training to optimize their contribution to overall mis Manage all hiring actions to the agreed upon plans. a. Continue collaboration with HR/LR/ER with union support, to maintain employee PAP alignment wassigned tasking and structure to suport SITP and OITP goals. b. Complete progress and annual performance reviews in accordance with mid-year and end-year dual 100% target with an acceptable variance of no more than 2 weeks due to specific staff circumstant illness, etc.). 	nd year ssion success. with the OCIO ue dates -
Rating Official Narrative: (Optional)	

Level 3

Level 2

Level 1

Level 4

Level 5

Critical Element Rating – Leading People

Critical Element 3. Business Acumen	(Minimum weight 5 points) Weight 10%
information resources in a manner that instills put to enhance processes and decision making. Exec and manages resources.	es, analyzes, acquires, and administers human, financial, material, and ublic trust and accomplishes the organization's mission. Uses technology cutes the operating budget; prepares budget requests with justifications;
Agency-Specific Performance Requirements	
 Human Information Resource - Effectivel transparancy and trust regarding human 	ly analyze and utilize technology and other resources to provide resources.
 a. Stretch goal of organizationa approved vacancies for FY 20 	al authorized Full Time Equivalents (FTE) positions filled - Target 100% of 020.
_	t effecitve for the most proritiezed plan and the best resources are owner satifcation of implemenation of IT project.
	Iship with the establishment of proper internal organizational controls to nd schedule allowances by quarter. Targets for this goal include:
i. Execution on Quarter 1 financial	plan allocation to within 15% of the quarterly allocation.
	plan allocation to within 10% of the quarterly allocation.
	plan allocation to within 5% of the quarterly allocation.
iv. Execution on Quarter 4 financial	plan allocation to within 5% of the quarterly allocation.
3. Project Execution	
 i. Total Project Inventory executed included in the inventory at the b 	as planned, measured by the percent of projects kicked off that were beginning of the fiscal year. (Reflects over-all planning) Success in this goal licked off as per plan (minus any change due to budget variances)
	cuted as planned based on kick off date by Quarter. (Reflects project this goal is measured by 90% execution by quarter
Rating Official Narrative: (Optional)	
Critical Element Rating – Business Acumen	Level 5 Level 4 Level 3 Level 2 Level 1

Critical Element 4. Building Coalitions	(Minimum weight 5 points) Weight 10%
facilitate an open exchange of opinion from diverse group advocates, and expresses facts and ideas in a convincing m	nize input from the widest range of appropriate stakeholders to
issues and/or, concerns, on customer deliveries ar participation in at least one task force or working a concerns, and/or interests which generated not or	acceeding the needs of the customers by robustly handling their and requests. Success in this standard will be measured by group with another business unit focusing directly on their issues, ally a stronger working relationship, but a reasonable result for idership skills and abilities to build partnerships by executing exprise wide excellence.
management concerns, while forming a stronger v cooperative and open relationship. The key succes opinion from diverse groups with strengthen inter partnership(s) among parties and all the business	with the Unions as appropriate in driving results in line with working relationship with the unions to provide the most is factors of relationship is facilitating an open exchange of inal and external support that will result in the effective units to achieve the goals and mission of the OCIO Business Planton products and services to enhance customer satisfaction in network and alliances within the agency.
customers including facilitated PPAC and TPAC me to demonstrate IT improvements. With this appro	view meetings of major IT deliverables to internal and external etings, business unit reviews, and independent meetings in order ach, OCIO can develop demand driven products and services to in to improve professional network and alliances within the
tating Official Narrative: (Optional)	
ritical Element Rating – Building Coalitions Leve	Level 4 Level 3 Level 2 Level 1

Critical Element 5. Results Driven

(Minimum Weight 20 points) Weight 60%

This critical element must have at least 1 performance requirement (there is no maximum number of requirements, agency should specify if it sets a maximum number).

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

Strategic Alignment-identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

Performance Requirement 1: Maximize Technical Stability and Supportability

for Product (40%) (Performance Metrics TBD)

- a) Maintain Technical Debt Heat map
- b) Maintain Versioning of Desktop Applications
- c) Stabilize Non-production Environments
- d) Stabilize Audio Visual and Conferencing Capabilities
 - Implement Enterprise Services
 - Asset Management
 - Virtual Collaboration Phones, A/V, Skype
 - Call Centers
- e) Maintain EA Lifecycle Management of Product/Technology
- Reclaim and optimize system utilization
- g) Promote code reuse
- h) Maintain Assets and optimize CMDB
- i) Explore Hybrid Cloud Usage
- Adopt Chaos Engineering techniques to maximize stability & reliability j)
- Adopt Observability techniques to maximize application supportability
- Adopt Resilience Engineering techniques to maximize stability & supportability

Strategic Alignment:

USPTO 2018-2022 Strategic Plan

Mission Support Goals:

Deliver Organizational Excellence; Objective 2: Optimize Speed, Quality and Cost-Effectiveness of IT Delivery to Achieve Business Value

Performance Requirement 2: Maximized Automation and Standardization of Products and Services (20%) (Performance Metrics TBD)

- a) Maintain and enhance Automated Deployment Pipeline
- b) Expand usage of containerization and Consolidation
- c) Standardize Test Data Management
- d) Explore Bots usage for Server Management
- e) Standardize usage of Vocabulary across Products
- f) Ensure usage and integration of Common Components
 - Rationalize and reuse standardize enterprise applications
 - Adopt Hybrid Multi-Cloud first policy where appropriate

Strategic Alignment:

USPTO 2018-2022 Strategic Plan

Mission Support Goals:

Deliver Organizational Excellence: Objective 2: Optimize Speed, Quality and Cost-Effectiveness of IT Delivery to Achieve Business Value

Performance Requirement 3: Maximize Usage of Standardization of Access Controls for Products TBD)	, –		Strategic Alig USPTO 2018	gnment: –2022 Strateg	ic Plan
a) Maintain and enhance Role Based Access Co b) Enhance Resiliency and Governance	ntrol and Integratio	n	Objective 2:	nizational Exce Optimize Spee eness of IT De	ed, Quality and
Performance Requirement 4: Maximize new Tec Data to Solve Business Problems (25%) (Perforr a) Explore use of new Technology solutions and b) Establish and maintain Data Governance, Di Data standards c) Improve IT transparency Practice/focus on grater business cost optimization Rating Official Narrative: (Optional)	mance Metrics TBD destablish guideline ata Strategy, Data) on usage Quality and	Mission Sup Deliver Orga Objective 2:	-2022 Strategi port Goals: nizational Exce Optimize Spee eness of IT De	ellence; ed, Quality and
Critical Element Rating – Results Driven	Level 5	Level 4	Level 3	Level 2	Level 1

Executive Name and ID: Holcombe, Henry J.	Appraisal Period: FY20
Part 6: Summary Rating Narrative (Mandatory)	
The state of the s	
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	0.79
Part 7: Executive's Accomplishment Narrative (Optional)	
	11
	5.0
	1.0
Part 8: Agency Use	
Part 8. Agency Ose	
	1

Deriving the Results Driven Rating Worksheet

Executive Name Henry J. Holcombe Rating Period FY20

Results Driven Performance Requirements (PR)	Performance Requirement Rating Level Score	Weight (multiply by)	Performance Requirement Points Score	Point Ranges to Rating Level Score	Results Driven Initial Element Score
Performance Requirement 1		X 40		Points 475 – 500 = Level 5 Rating Score Points 400 – 474 = Level 4 Rating Score	ava.
Performance Requirement 2		X 20		Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating	
Performance Requirement 3		X 15		Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 4		X 25			
CY TO		= 100%			1000
Performance Requirement Total Score	NO.			= Level	

Example of Results Driven Element Being Rated Level 4

Results Driven Performance Requirements (PR)	Performance Requirement Rating Level Score	Weight (multiply by)	Performance Requirement Points Score	Point Ranges to Rating Level Score	Results Driven Initial Element Score
	3-1-5			Points 475 – 500 = Level 5 Rating	200
Performance Requirement 1	4	x 25	100	Score Points 400 – 474 = Level 4 Rating	
Performance Requirement 2	5	x 30	150	Score Points 300 – 399 = Level 3 Rating	
Performance Requirement 3	5	x 15	75	Score Points 200 – 299 = Level 2 Rating	
Performance Requirement 4	3	x 30	90	Score Any PR rated Level 1 overall score	
SECONDA		= 100%		must be = Level 1 Rating Score	
Performance Requirement Total Score			415	415= Level 4	4*

^{*}Results Driven Rating is 4 – to be transferred to Initial Element Score beside Results Driven Critical Element on the bottom of page 1.



SES Performance Management System Executive Performance Agreement



Part 1. Consultation. I h	ave review	ed this plan an	d have been	consulted o	n its developme	nt.
Executive's Name Owens	, John B. II					Appraisal Pd. 10/01/2015 – 09/30/2016
Executive's Signature:	100					Date: 4/25/16
Title: Chief Information						Organization: OCIO
Rating Official's Name: R	ussel(b)(6)					CA NC LT/LE
Rating Official's Signature	2:					Date: 4/25/16
Part 2. Progress Review	(b)(6)					
Executive's Signature:						Date: 6/17/16
Rating Official's Signature	e:					Date: 6/17/16
Reviewing Official's Signa	ture (Optio	onal):				Date:
Part 3. Summary Rating	(b)(6)					
Initial Summary Rating						
Rating Official's Name (Lo	ast, Fir. (b)(6)	(
Rating Official's Signature	e:					Date: 10/19/16
Executive's Signature:						Date: 10/19/16
Reviewing Official's Signa	iture (Date:
Higher Level Review (if a	pplicable)					
☐ I request a higher leve	el review.	Executive's Ir	nitials:			Date:
Higher Level Review Com	pleted					Date:
Higher Level Reviewer Sig	gnature:					
Performance Review Boo	ard Recom	mendation	(b)(6)			
PRB Chair Signature:						Date:
Annual Summary Rating	!		(b)(6)			
Appointing Authority Sig	nature:					Date:
Part 4. Derivation Form	ula and Ca	Iculation of An	nual Summa	ry Rating		
	Elem	ent Rating			Score	
4.6545.555		Final			Final	4.000.00.00.00
Critical Element 1. Leading Change	Initial (b)(6)	(if changed)	Weight 10%	Initial (b)(6)	(if changed)	Summary Level Ranges
2. Leading People			10%			475-500 = Level 5
3. Business Acumen			10%			400-474 = Level 4
4. Building Coalitions			10%			300-399 = Level 3
5. Results Driven			60%			200-299 = Level 2
Total			100%			Any CE rated Level 1 = Level 1

Part 5. Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- Level 4: The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.
- Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or outcomes.

Element	Pating	loval	Dointe
ciement	Raulie	rever	PUIIILS

Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

Critical Element 1. Leading Change

(Minimum weight 5%)

Weight 10%

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Status

- The executive will actively participate update of an OCIO Business Plan, derived from the USPTO and OCIO Strategic plans. This OCIO Business Plan will be updated yearly. Success in this standard will be measured by completing a yearly update to the OCIO Business Plan, and emphasizing the mission, vision and values of the office.
- 2. The executive will actively participate in the OCIO Strategic Leadership Team through active participation in the weekly System Quality Review Meeting to effectively continue a transformational change of the OCIO culture to embrace continuous build and deployment (DevOps) of all IT systems. Success in this standard and the continued adoption of DevOps will be measured by the continued adoption of DevOps through blogs, communications and industry events.
- 3. The executive will support a continuous process improvement program in the OCIO. The executive will support the organizational implementation and training of employees and managers on the methods of continuous process improvement. Success in this standard will be measured by keeping the OCIO internal processes lean and an investment in the streamlining of at least two operational processes should take place in FY16. The executive will provide at least one organizational member to participate in a Process Excellence Program governing body once established.
- Lead, develop, and implement actions to improve employee engagement in your area based on employee feedback gathered from sources including the USPTO People Survey, Federal Employee Viewpoint Survey, focus groups and other initiatives.

Critical Element 2. Leading People

(Minimum weight 5%) Weight 10%

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements Status 1. Human Resource Management - Effectively manage staff performance by integrating performance plans with OCIO strategic and operational plans and ensure staff is fairly appraised during mid and end year performance cycles. Support development and training to optimize their contribution to overall mission success. Manage all hiring actions to the agreed upon plans. [Note: This goal is highly dependent on OHR collaboration] a. Continue collaboration with HR/LR/ER with union support, to maintain employee PAP alignment with the OCIO assigned tasking and structure to suport SITP and OITP goals. b. Complete progress and annual performance reviews in accordance with mid-year and endyear due dates - 100% target with an acceptable variance of no more than 2 weeks due to specific staff circumstances (i.e., illness, etc.). Stretch goal of organizational authorized Full Time Equivalents (FTE) positions filled - Target 100% of approved vacancies for FY 2015. 2. The executive will lead their organization through continual communication of direction and progress to staff and customers. The executive will actively participate in regular All Hands (3 per year), and All Managers Meetings (3 per year) to encourage employee engagement at all levels to achieving the mission and vision defined in the OCIO Strategic plan. Success in this standard will be measured by 3. The executive will continuously improve the OCIO organization, management, and processes through taking positive steps to improve the OCIO culture. Success in this standard will be measured by participation in the annual OCIO employee survey and improving year-over-year employee participation for your office; executing plans based on survey's results; and acting upon assigned

portions of the current OCIO Strategic Human

Capital Plan.	(b)(6)		
Rating Official Narrative: (Optional)			
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.1			
	(b)(6)		
Critical Element Rating – Leading People			
Simon Element Nating - Leading reopie			
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Critical Element 3. Business Acumen

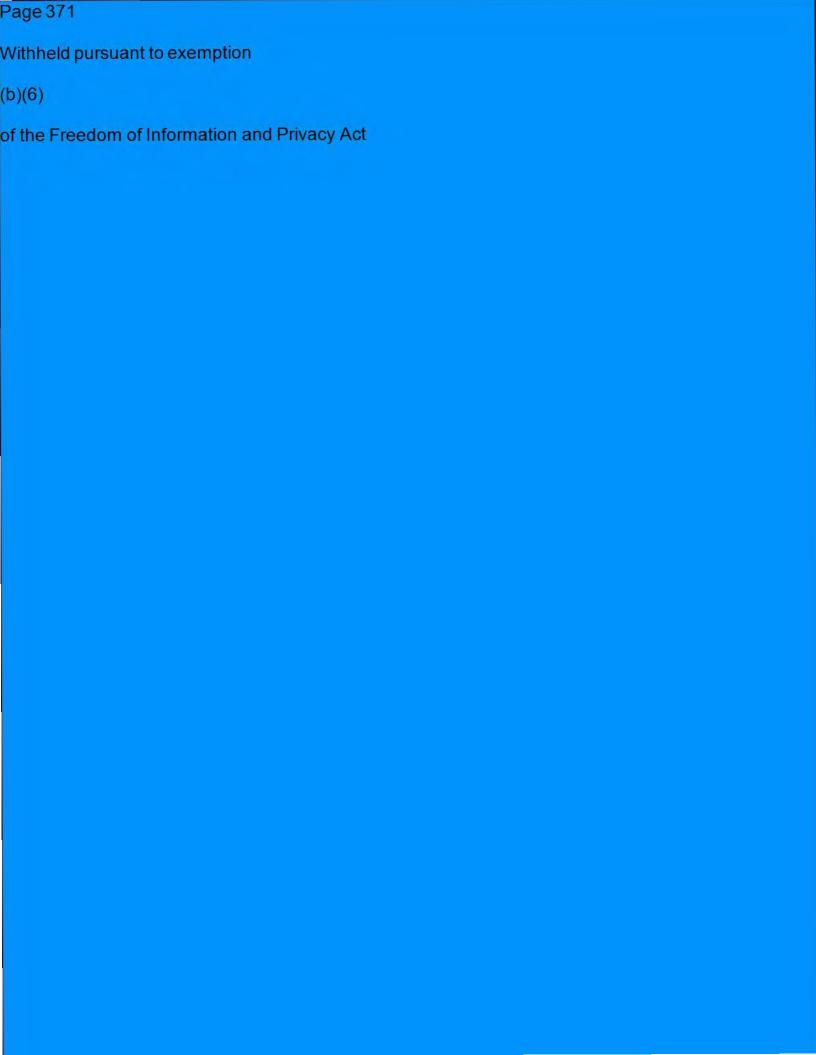
(Minimum weight 5%)

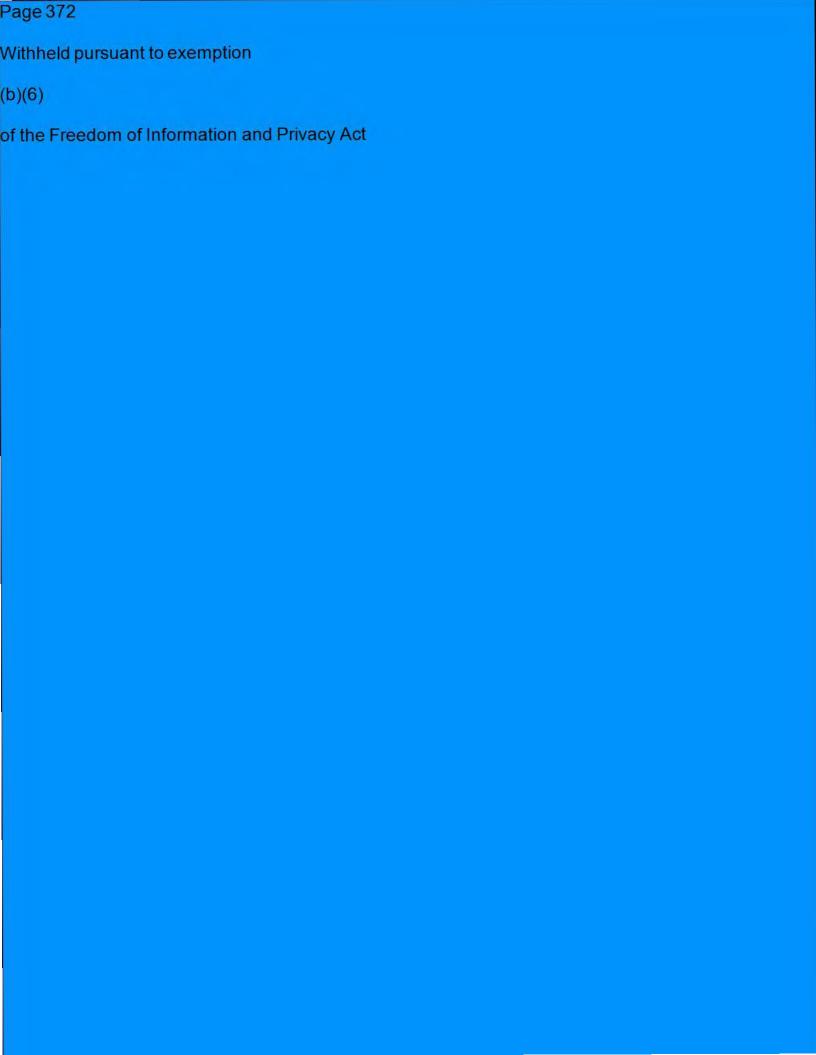
Weight 10%

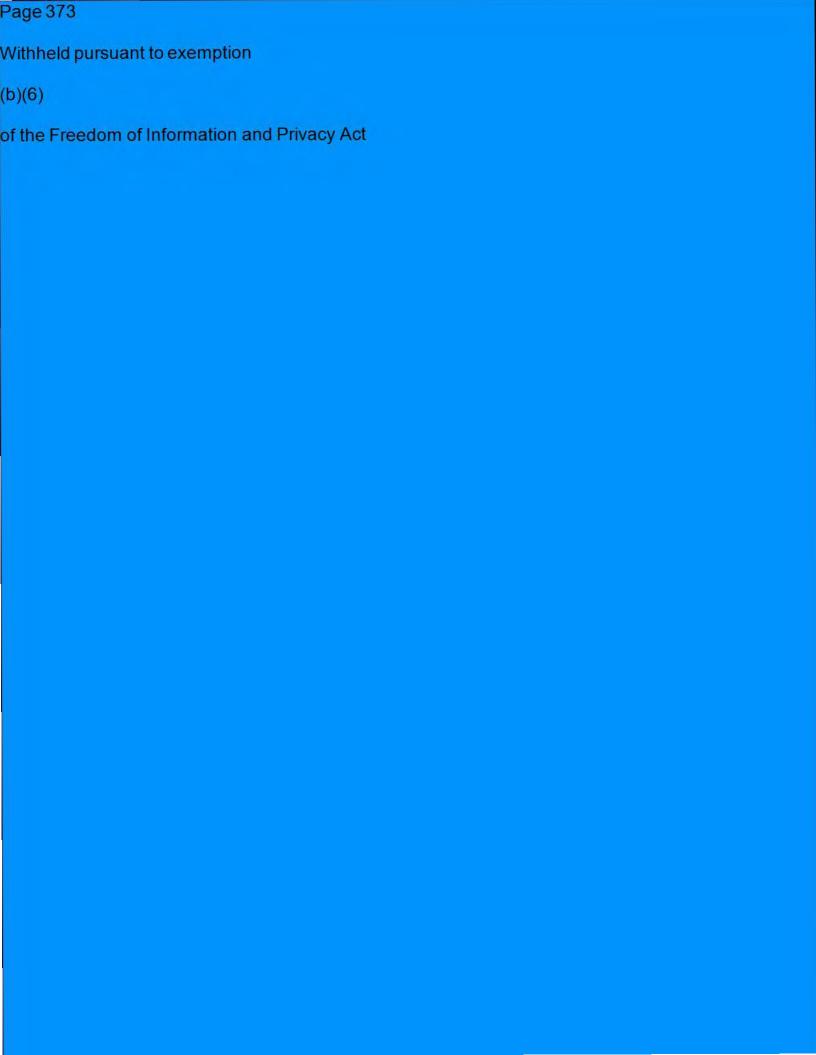
Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements	Status
 The executive will exercise fiscal stewardship with the establishment of proper internal organizational controls to manage the office budgets within cost and schedule allowances by quarter. Targets for this goal include: 	(b)(6)
 Execution on Quarter 1 financial plan allocation to within 15% of the quarterly allocation. 	
 Execution on Quarter 2 financial plan allocation to within 10% of the quarterly allocation. 	
iii. Execution on Quarter 3 financial plan allocation to within 5% of the quarterly allocation.	
v. Execution on Quarter 4 financial plan allocation to within 5% of the quarterly allocation. [Note: This goal is highly dependant on Office	
of Procurement collaboration] 2. Project Execution	-
 Total Project Inventory executed as planned measured by the percent of projects kicked off that were included in the inventory at the beginning of the fiscal year. (Reflects over-all planning) 	

planned based on kick off date by Quarter. (Reflects project execution timeliness). (b)(6)
(b)(G)
(b)(G)
(b)(G)
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(b)(6)
(b)(6)
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(b)(6)
*(b)(6)
a(b)(6)
(b)(6)







3. Knowledge of, and active support and participation in the Implementation Plan for the IT Cost Estimation Process Improvements project. Success in this goal will be measured by the ability of the executive to prepare and submit a more	(b)(6)
accurate a defensible FY17 and FY18 financial plan.	
[Note: This goal is highly dependant on Office of Procurement and Business Unit collaboration]	
Rating Official Narrative: (Optional)	
Critical Element Rating – Business Acumen (b)(6)	

Critical Element 4. Building Coalitions

(Minimum weight 5%)

Weight 10%

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements Status 1. The executive will work directly on focusing on customer interests by handling their issues and/or, concerns, on customer deliveries and requests. Success in this standard will be measured by participation in at least one task force or working group with another business unit focusing directly on their issues, concerns, and/or interests which generated not only a stronger working relationship, but a reasonable result for the customer. The executive will leverage their leadership skills and abilities to build partnerships by executing effectively across all business units to achieve enterprise wide excellence. The executive will actively participate in working with the Unions as appropriate in driving results in line with management concerns, while forming a stronger working relationship with the unions. The executive will actively participate in regular review meetings of major IT deliverables to internal and external customers including facilitated PPAC and TPAC meetings as well as independent meetings in order to demonstrate IT improvements.

Rating Official Narrative: (Optional)

100

Critical Element 5. Results Driven

(Minimum Weight 20%)

Weight 60%

Agency Goals/Objectives for current FY: Must have at least 1 result (may have up to 4)

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.

Performance Requirement 1: Organizational Goals (60%)	Strategic Alignment:	Status:
1. Storage as a Service - Improve process for storage requests; reviews; sizing; tiering; approvals and decommissioning; reduce cost of SIMS by 30%	1 - 12. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments	(b)(6)
 Boyers Alternate Processing site Tier readiness Tier 3 and Tier 2 established. 		
PE2E – Complete 4 Quarterly Patents End to End Updates		
4. PE2E - Release Search EST and OC as part of the patents end to end suite of tools		
5. Deploy: (1) end-to- end TMNG Examiner capabilities; (2) Deploy 3 enhancement releases		
 TMNG eFile: 1) Deploy all Attorney actions in eFile for closed beta; Conduct Open beta 		

7. Certification and Assignments meets or exceeds their yearly SLAs 8. RBAC completed and stable in two data centers with a project complete uptime of 99.9%; integration with 3 business environments 9. Cloud Infrastructure- Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability 10. Service Delivery - Complete the Remedy 7.6 deployment including asset management, create plan for migration to the cloud in FY17. 11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10 testing of legacy AISs	Assignments meets or exceeds their yearly SLAs 8. RBAC completed and stable in two data centers with a project complete uptime of 99.9%; integration with 3 business environments 9. Cloud Infrastructure—Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability 10. Service Delivery—Complete the Remedy 7.6 deployment including asset management; create plan for migration to the cloud in FY17. 11. Desktop Management—Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	Assignments meets or exceeds their yearly SLAs 8. RBAC completed and stable in two data centers with a project complete uptime of 99.9%; integration with 3 business environments 9. Cloud Infrastructure—Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability 10. Service Delivery—Complete the Remedy 7.6 deployment including asset management; create plan for migration to the cloud in FY17. 11. Desktop Management—Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	Assignments meets or exceeds their yearly SLAs 8. RBAC completed and stable in two data centers with a project complete uptime of 99.9%; integration with 3 business environments 9. Cloud Infrastructure—Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability 10. Service Delivery—Complete the Remedy 7.6 deployment including asset management; create plan for migration to the cloud in FY17. 11. Desktop Management—Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10			
8. RBAC completed and stable in two data centers with a project complete uptime of 99.9%; integration with 3 business environments 9. Cloud Infrastructure Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability 10. Service Delivery - Complete the Remedy 7.6 deployment including asset management; create plan for migration to the cloud in FY17. 11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	8. RBAC completed and stable in two data centers with a project complete uptime of 99.9%; integration with 3 business environments 9. Cloud Infrastructure Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability 10. Service Delivery - Complete the Remedy 7.6 deployment including asset management; create plan for migration to the cloud in FY17. 11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	8. RBAC completed and stable in two data centers with a project complete uptime of 99.9%; integration with 3 business environments 9. Cloud Infrastructure Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability 10. Service Delivery - Complete the Remedy 7.6 deployment including asset management; create plan for migration to the cloud in FY17. 11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	8. RBAC completed and stable in two data centers with a project complete uptime of 99.9%; integration with 3 business environments 9. Cloud Infrastructure Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability 10. Service Delivery - Complete the Remedy 7.6 deployment including asset management; create plan for migration to the cloud in FY17. 11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	Assignments meets or	(b)(6)	
stable in two data centers with a project complete uptime of 99.9%; integration with 3 business environments 9. Cloud Infrastructure - Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability 10. Service Delivery - Complete the Remedy 7.6 deployment including asset management; create plan for migration to the cloud in FY17. 11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	stable in two data centers with a project complete uptime of 99.9%; integration with 3 business environments 9. Cloud Infrastructure - Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability 10. Service Delivery - Complete the Remedy 7.6 deployment including asset management; create plan for migration to the cloud in FY17. 11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	stable in two data centers with a project complete uptime of 99.9%; integration with 3 business environments 9. Cloud Infrastructure - Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability 10. Service Delivery - Complete the Remedy 7.6 deployment including asset management; create plan for migration to the cloud in FY17. 11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	stable in two data centers with a project complete uptime of 99.9%; integration with 3 business environments 9. Cloud Infrastructure - Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability 10. Service Delivery - Complete the Remedy 7.6 deployment including asset management; create plan for migration to the cloud in FY17. 11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	SLAs		
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Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability 10. Service Delivery - Complete the Remedy 7.6 deployment including asset management; create plan for migration to the cloud in FY17. 11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability 10. Service Delivery - Complete the Remedy 7.6 deployment including asset management; create plan for migration to the cloud in FY17. 11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability 10. Service Delivery - Complete the Remedy 7.6 deployment including asset management; create plan for migration to the cloud in FY17. 11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability 10. Service Delivery - Complete the Remedy 7.6 deployment including asset management; create plan for migration to the cloud in FY17. 11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	with 3 business		
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11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10	10. Service Delivery - Complete the Remedy 7.6 deployment including asset management; create plan for migration to		
				11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10		

12. Data Dissemination Complete big data pan and establish	(b)(6)		
technology base; generate two useful reports.			
13. Complete transition of O&M contracts and update of Operation Support Plans (OSPs) and achieve 99.9% overall system uptime 14. POA&M Remediation - No POA&M items delayed for 90			
days. Stretch: No POA&M items delayed for 60 days.			
PTO 516E 05/2013			

erformance Requirement L: Business Solutions and	Strategic Alignment:	Status:
echnical Leadership (20%)		
No repeat findings	1. Management	(b)(6)
for the Annual	Goal: Achieve	
Financial Audit.		
Stretch: Removal of	Organizational Excellence	
significant	1. Leverage	
deficiency (control	Benefits of	
weaknesses only).	IT	
Note: partially	Investments	
subject to auditor		
perception/opinion	•	
2. POA&M Balance ("9	2. Management	
of POA&M Total	Goal: Achieve	
Difference per		
Reporting Period") not to grow more	Organizational	
than	Excellence 1. Leverage	
15%. Stretch: not	Benefits of	
to grow more than	IT	
10%.	Investments	
)		

Provide executive	3. Management
leadership in	Goal: Achieve
meeting all	
federally mandated	
	Excellence
	1. Leverage
PIV cards,	Benefits of IT
adherence to	Investments
standards, timely	
adherence to	
Assessment and	
	security requirements including the use of PIV cards, adherence to Financial audit standards, timely adherence to annual security training, and

4. Enhance 4. Management Development Goal: Achieve capabilities by moving OCIO Organizational processes and Excellence culture to all Agile 1. Leverage Development Benefits of Methodology and IT establishing more Investments effective contracting relationships. Success in this standard will be measured by the integration and adoption of Rally performance data into EPMS reporting. 5. Provide all federally Management mandated reports Goal: Achieve including the completion and Organizational submission of the Excellence

OMB Exhibit 300 budget artifacts by end of January, 2016 and draft OMB 300's by end of September, 2016; Complete monthly updates to OMB's IT Dashboard and accompanying financial plan and resource allocation (ATE).	1. Leverage Benefits of IT Investments)(6)
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	mance Requirement 3: Service elivery (Office Level) (20%)	Strategic Alignment:	Status:
	Provide executive leadership in ensuring timely execution of contract renewals by completing all procurement actions without any interruption in service.	1-4. Management Goal: Achieve Organizational Excellence 1. Leverage	(b)(6)
2.	Implement CFO directed Procurement Improvements to help protect the agency from adverse actions, audits and investigations.	Benefits of IT Investments	
3.	Ensure all Assessment and Authorization (A&A) requirements are accomplished for an Authority to Operate (ATO) or Interim Authority to Test (IATT). Success in this standard will be measured by obtaining an ATO or IATT for 100% of all Government and contractors systems the end of FY15 to be FISMA compliant.		

Divoras .	
(b)(6)	
Rating Official Narrative: (Optional)	
	(b)(6)
Critical Element Rating – Results Driven	
and a series of the series of	

Executive Name and ID: Owens II, John B.	Rating Period: FY 2016
Part 6: Summary Rating Narrative (Mandatory)	
The transfer of the control of the c	
Part 7: Executive's Accomplishment Narrative (Optional)	
Part 7: Executive's Accomplishment Narrative (Optional)	
Part 7: Executive's Accomplishment Narrative (Optional)	
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Part 7: Executive's Accomplishment Narrative (Optional)	
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Part 7: Executive's Accomplishment Narrative (Optional)	
Part 7: Executive's Accomplishment Narrative (Optional) Part 8: Agency Use	

Deriving the Results Driven Rating Worksheet

Executive Name Owens II, John B. Rating Period FY 2016

Results Driven Performance Requirements (PR)	Performance Requirement Rating Level Score	Weight (multiply by)	Performance Requirement Points Score	Point Ranges to Rating Level Score	Results Driven Initial Element Score
Performance Requirement 1				Points 475 – 500 = Level 5 Rating Score Points 400 – 474 = Level 4 Rating Score	
Performance Requirement 2				Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating	
Performance Requirement 3				Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 4					
Porformanco	NEXT A	= 100%			277 922
Performance Requirement Total Score		No.		= Level	

Example of Results Driven Element Being Rated Level 4

Results Driven Performance Requirements (PR)	Performance Requirement Rating Level Score	Weight (multiply by)	Performance Requirement Points Score	Point Ranges to Rating Level Score	Results Driven Initial Element Score
R-DEW. 13	BIT OF THE PARTY		FEDINGS.	Points 475 – 500 = Level 5 Rating	10000
Performance Requirement 1		x 25		Score Points 400 – 474 = Level 4 Rating	15 pro 15 pr
Performance Requirement 2		x 30		Score Points 300 – 399 = Level 3 Rating	
Performance Requirement 3		x 15		Score Points 200 – 299 = Level 2 Rating	
Performance Requirement 4		x 30		Score Any PR rated Level 1 overall score	
		= 100%		must be = Level 1 Rating Score	
Performance Requirement Total Score	K S				4*

^{*}Results Driven Rating is 4 – to be transferred to Initial Element Score beside Results Driven Critical Element on the bottom of page 1.



SES Performance Management System Executive Performance Agreement



Part 1. Consultation. /	have review	wed this plan ar	nd have bee	en consulted o	on its developm	ent.
Executive's Name Ower	ns II, John B o)(6)	•	-			Appraisal Pd. 10/01/2016 – 09/30/2017
Executive's Signature)(O)					Date: 9/30/2016
Title: Chief Information	Officer					Organization: OCIO
Rating Official's Name:						CA NC LT/LE
Rating Official's Signatu	re: (b)(6	5)				Date: /0/19/16
Part 2. Progress Review		. /				
Executive's Signature:	(b)(6)					Date: 5/2/17
Rating Official's Signatu	ıre					Date: \$/2/17
Reviewing Official's Sign	nature (Opt	ional):				Date:
Part 3. Summary Ratin	g		1			
Initial Summary Rating	(b)(6)					
Rating Official's Name (MI): Slifer, Russi	ell Scar	diro An	thony P	
Rating Official's Signatu	re: (b)(6)				,	Date: 11/3/17
Executive's Signature:						Date:
Reviewing Official's Sign	nature (Opt	ional): (b)(6))			Date:
Higher Level Review (if	applicable)		•			
☐ I request a higher le	vel review.	Executive's Ir	nitials:			Date:
Higher Level Review Co	mpleted	b)(6)				Date: 11/6/17
Higher Level Reviewer S	Signature:	(b)(6)				1,011
Performance Review Bo	oard Recom	mendation	(b)(6)			
	(b)(6)					Date:
Annual Summary Ratin	g /		(b)(6)		**	
Appointing Authority Sig	gnature:	(b)(6)				Date:
Part 4. Derivation Form	nula and Ca	Iculation of An	nual Sumn	nary Rating		
	Elem	ent Rating			Score	
Critical Element	to tall all	Final)	1.111.1	Final	C
Critical Element 1. Leading Change	Initial (b)(6)	(if changed)	Weight 10%	Initial (b)(6)	(if changed)	Summary Level Ranges
2. Leading People	1 / (- /		10%	(-)(-)		475-500 = Level 5
Business Acumen			10%			400-474 = Level 4
4. Building Coalitions			10%			300-399 = Level 3
5. Results Driven			60%			200-299 = Level 2
Total			100%			Any CE rated Level 1 = Level 1
	4-1-					

Part 5. Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- Level 4: The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.
- Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or outcomes.

Element Rating Level Points	
	Level 5 = 5 points
	Level 4 = 4 points
	Level 3 = 3 points
	Level 2 = 2 points
	Level 1 = 0 points

Critical Element 1. Leading Change

(Minimum weight 5%) Weight 10%

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

(b)(6)

- 1. The executive will actively participate update of an OCIO Business Plan, derived from the USPTO and OCIO Strategic plans. This OCIO Business Plan will be updated yearly. Success in this standard will be measured by completing a yearly update to the OCIO Business Plan, and emphasizing the mission, vision and values of the office.
- 2. The executive will actively participate in the OCIO Strategic Leadership Team through active participation in the weekly System Quality Review Meeting to effectively continue a transformational change of the OCIO culture to embrace continuous build and deployment (DevOps) of all IT systems. Success in this standard and the continued adoption of DevOps will be measured by the continued adoption of DevOps through blogs, communications and industry events.
- 3. The executive will support a continuous process improvement program in the OCIO. The executive will support the organizational implementation and training of employees and managers on the methods of continuous process improvement. Success in this standard will be measured by keeping the OCIO internal processes lean and an investment in the streamlining of at least two operational processes should take place in FY16. The executive will provide at least one organizational member to participate in a Process Excellence Program governing body once established.

 Lead, develop, and implement actions to improve employee engagement in your area based on employee feedback gathered from sources including the USPTO People Survey, Federal

Employee Viewpoint Survey, focus groups and other initiatives.	(b)(6)

Rating Official Narrative: (Optional)			
		-4	
	(b)(6)		
	(b)(6)		
ritical Element Rating – Leading Change	(

Critical Element 2. Leading People

(Minimum weight 5%) Weight 10%

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements	Status
1. Human Resource Management - Effectively manage staff performance by integrating performance plans with OCIO strategic and operational plans and ensure staff is fairly appraised during mid and end year performance cycles. Support development and training to optimize their contribution to overall mission success. Manage all hiring actions to the agreed upon plans. [Note: This goal is highly dependant on OHR collaboration]	(b)(6)
a. Continue collaboration with HR/LR/ER with union support, to maintain employee PAP alignment with the OCIO assigned tasking and structure to suport SITP and OITP goals.	
b. Complete progress and annual performance reviews in accordance with mid-year and end-year due dates - 100% target with an acceptabl variance of no more than 2 weeks due to specific staff circumstances (i.e., illness, etc.).	e
 Stretch goal of organizational authorized Full Time Equivalents (FTE) positions filled - Target 100% of approved vacancies for FY 2017. 	
 The executive will lead their organization through continual communication of direction and progres to staff and customers. The executive will actively participate in regular All Hands (3 per year), and Al 	

Managers Meetings (3 per year) to encourage employee engagement at all levels to achieving the mission and vision defined in the OCIO Strategic plan. Success in this standard will be measured by	(b)(6)
3. The executive will continuously improve the OCIO organization, management, and processes through taking positive steps to improve the OCIO culture. Success in this standard will be measured by participation in the annual OCIO employee survey and improving year-over-year employee participation for your office; executing plans based on survey's results; and acting upon assigned portions of the current OCIO Strategic Human Capital Plan.	
Rating Official Narrative: (Optional)	
(b)(6) Critical Element Rating – Leading People	

Critical Element 3. Business Acumen

(Minimum weight 5%)

Weight 10%

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

	Agency-Specific Performance Requirements	Status
1.	The executive will exercise fiscal stewardship with the establishment of proper internal organizational controls to manage the office budgets within cost and schedule allowances by quarter. Targets for this goal include:	(b)(6)
i.	Execution on Quarter 1 financial plan allocation to within 15% of the quarterly allocation.	
ii.	Execution on Quarter 2 financial plan allocation to within 10% of the quarterly allocation.	
iii.	Execution on Quarter 3 financial plan allocation to within 5% of the quarterly allocation.	
iv.	Execution on Quarter 4 financial plan allocation to within 5% of the quarterly allocation. [Note: This goal is highly dependant on Office of Procurement collaboration]	
2.		
i.	Total Project Inventory executed as planned measured by the percent of projects kicked off that were included in the inventory at the beginning of the fiscal year. (Reflects over-all planning)	
ii.	Percent of Project Inventory executed as planned based on kick off date by Quarter. (Reflects project execution timeliness).	

Rating Official Narrative: (Optional)	
	1)
Critical Element Rating – Business Acumen (b)(6)	
Citation Lientent nutring - business Acutifeit	

Critical Element 4. Building Coalitions

(Minimum weight 5%)

Weight 10%

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

_	Agency-Specific Performance Requirements	Status
Ι.	The executive will work directly on focusing on customer interests by handling their issues and/or, concerns, on customer deliveries and requests. Success in this standard will be measured by participation in at least one task force or working group with another business unit focusing directly on their issues, concerns, and/or interests which generated not only a stronger working relationship, but a reasonable result for the customer. The executive will leverage their leadership skills and abilities to build partnerships by executing effectively across all business units to achieve enterprise wide excellence.	(b)(6)
2.	The executive will actively participate in working with the Unions as appropriate in driving results in line with management concerns, while forming a stronger working relationship with the unions.	
3.	The executive will actively participate in regular review meetings of major IT deliverables to internal and external customers including facilitated PPAC and TPAC meetings as well as independent meetings in order to demonstrate IT improvements.	
g O		

Critical Element 5. Results Driven

(Minimum Weight 20%)

Weight 60%

Agency Goals/Objectives for current FY: Must have at least 1 result (may have up to 4)

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.

	erformance Requirement 1: Organizational Goals (60%)	Strategic Alignment:	Status:
	Retire eDan	1 - 12. Management Goal: Achieve	(b)(6)
3. 4.	Trademark legacy systems (TEAS, TTABVUE, TTABIS, ESTTTA) enhanced to support four regulatory changes including a Jan 2017 fee adjustment.	Organizational Excellence 1. Leverage Benefits of IT Investments	
	(Target); and retire PRPS (Stretch) Certification and Assignments		
	meets or exceeds their yearly SLAs		
7.	New virtual hosting technology a. Baseline – Legacy Virtual workstation solution b. Target – Host 100% of all virtual test		

workstations and provide self-provisioning to test teams. c. Stretch – Host 30% virtual development workstations and provide self-provisioning to development teams.	(b)(6)	
8. New virtual server		
technology		
a. Baseline – Existing		
Virtual server		
environment		
b. Target – Develop baseline container		
technology and deploy in lab		
environment.		
c. Stretch – Deploy		
container technology		
for NG application in		
production.		
9. RBAC 2 factor		
a. Baseline – Oracle Role		
Based Access Control		
b. Target – Capability		
Implemented,		
Successfully Tested		
and Integrated with 1 Business Unit		
Application		
c. Stretch – Capability is		
utilized by at least 2		
Business Unit		
Applications		
10. New network		
a. Baseline – PTONet 3.x		
b. Target – Migration of		
IT West, Boyer's and		
IT East to PTONet 4		
complete by 9/2017		
i. Migration of		
IT West		

Network to PTONet 4

Core	(b)(6)	
complete by		
11/2016		
ii. Migration of		
IT East to		
PTONet 4		
Core		
complete by		
9/2017		
c. Stretch - Migration of		
Boyers to PTONet 4		
Core complete by		
12/2016		
11. Boyers		
d. Baseline – Alternate		
processing site is fully		
standalone with the		
exception of		
authentication and		
standalone		
Cloudforms presence.		
e. Target - 100%		
standalone		
infrastructure		
environment		
f. Stretch – 2 additional		
Applications running		
@ Boyers in either		
Tier 2 or Tier 3		
configuration		
*** Application consumption of the		
Boyers Tiers and success of this metric		
s dependent upon Application		
readiness and availability.		
12. Deploy 4,000 new laptops in		
2017. Stretch – deploy 5,700		
by end of year.		
	4	

		(b)(6)	
13. Dissemination - Process assignment recordation requests on average with days. Stretch goal of 3 da			
14. Dissemination - Update P Examination Data Search (PEDS) with all public PAL data. Stretch goal to update PEDS with "search by deleter functionality.	M ate		
15. POA&M Remediation - No POA&M items delayed for days. <u>Stretch</u> : No POA&M items delayed for 60 days	r 90 /		
erformance Requirement	Strategic Alignment:	Status:	

Performance Requirement 2: Business Solutions and Technical Leadership (20%)	Strategic Alignment:	Status:
 No repeat findings for the Annual Financial Audit. Stretch: Removal of significant deficiency (control weaknesses only). 	Management Goal: Achieve Organizational Excellence Leverage Benefits of IT	(b)(6)

Note: partially subject to auditor perception/opinion.	Investments	
2. POA&M Balance ("% of POA&M Total Difference per Reporting Period") not to grow more than 15%. Stretch: not to grow more than 10%.	2. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments	(b)(6)
3. Provide executive leadership in meeting all federally mandated security requirements including the use of PIV cards, adherence to Financial audit standards, timely adherence to annual security training, and adherence to Assessment and Authorization requirements	3. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments	

		(b)(6)
1. Enhance Development capabilities by moving OCIO processes and culture to all Agile Development Methodology and establishing more effective contracting relationships. Success in this standard will be measured by the integration and adoption of Rally performance data	4. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments	
into EPMS reporting. Provide all federally mandated reports including the completion and submission of the OMB Exhibit 300 budget artifacts by end of January, 2017 and draft OMB 300's by end of September, 2017; Complete monthly updates to OMB's IT Dashboard and accompanying financial plan and resource allocation (ATE).	5. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments	

Delivery (Office Level) (20%)		
 Provide executive leadership in ensuring timely execution of contract renewals by completing all procurement actions without any interruption in service. 	1-4. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments	(b)(6)
2. Implement CFO directed Procurement Improvements to help protect the agency from adverse actions, audits and investigations.		
3. Ensure all Assessment and Authorization (A&A) requirements are accomplished for an Authority to Operate (ATO) or Interim Authority to Test (IATT). Success in this standard will be measured by obtaining an ATO or IATT for 100% of all Government and contractors systems the end of FY17 to be FISMA compliant.		

Rating Official Narrative: (Optional) (b)(6)		
Critical Element Rating – Results Driven	(b)(6)	



SES Performance Management System Executive Performance Agreement



Part 1. Consultation. I have reviewed this plan and have been consulted on its development.								
Executive's Name Owens, John B. II					Appraisal Pd. 10/01/2015 – 09/30/2016			
Executive's Signature (b)(6)						Date:	4/25/16	
Title: Chief Information (Officer					Organi	ration: OCIO	
Rating Official's Name: I	Russell Slife	/_	>			СА 🗌	NC LT/LE	
Rating Official's Signatur	e: (b)(6)					Date:	4/25/16	
Part 2. Progress Review	Lu Vov							
Executive's Signature:	(b)(6)					Date:	6/17/16	
Rating Official's Signatur	e: (b)(6	6)				Date: 6/17/16		
Reviewing Official's Sign	ature (Optio	onal):				Date:		
Part 3. Summary Rating	(b)(6)							
Initial Summary Rating								
Rating Official's Name (L	The same of the sa		II					
Rating Official's Signatur						Date: 10/19/16		
Executive's Signature:	(b)(6)					Date: 10/19/16		
Reviewing Official's Signature (Optional):						Date:		
Higher Level Review (if	applicable)							
I request a higher level review. Executive's Initials:						Date:		
Higher Level Review Completed					Date:			
Higher Level Reviewer S	ignature:							
Performance Review Bo	ard Recom	mendation	(b)(6)					
PRB Chair Signature:							Date:	
Annual Summary Rating (b)(6)								
Appointing Authority Signature:						Date:		
Part 4. Derivation Formula and Calculation of Annual Summary Rating								
	Element Rating Score							
Critical Element	Initial	Final	Woight	Initial	Final (if changed)	(Summary Loyal Pangas	
1. Leading Change	Initial (b)(6)	(if changed)	Weight 10%	Initial (b)(6)	(ii changeu)	- 3	Summary Level Ranges	
2. Leading People	10%					475-500 = Level 5		
3. Business Acumen	10%					400-474 = Level 4 300-399 = Level 3		
4. Building Coalitions	palitions 10%							
5. Results Driven 60%					200-299 = Level 2			
Total 100% Any CE rated Level 1 = Level 1							CE rateu Level 1 - Level 1	

Part 5. Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- Level 4: The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.
- Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or outcomes.

Element	Pating	loval	Dointe
ciement	Raulie	rever	PUIIILS

Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

Critical Element 1. Leading Change

(Minimum weight 5%)

Status

Weight 10%

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

(b)(6)

- The executive will actively participate update of an OCIO Business Plan, derived from the USPTO and OCIO Strategic plans. This OCIO Business Plan will be updated yearly. Success in this standard will be measured by completing a yearly update to the OCIO Business Plan, and emphasizing the mission, vision and values of the office.
- 2. The executive will actively participate in the OCIO Strategic Leadership Team through active participation in the weekly System Quality Review Meeting to effectively continue a transformational change of the OCIO culture to embrace continuous build and deployment (DevOps) of all IT systems. Success in this standard and the continued adoption of DevOps will be measured by the continued adoption of DevOps through blogs, communications and industry events.
- 3. The executive will support a continuous process improvement program in the OCIO. The executive will support the organizational implementation and training of employees and managers on the methods of continuous process improvement. Success in this standard will be measured by keeping the OCIO internal processes lean and an investment in the streamlining of at least two operational processes should take place in FY16. The executive will provide at least one organizational member to participate in a Process Excellence Program governing body once established.
- Lead, develop, and implement actions to improve employee engagement in your area based on employee feedback gathered from sources including the USPTO People Survey, Federal Employee Viewpoint Survey, focus groups and other initiatives.

Rating Official Narrative: (Optional)	
Rating Official Native: (Optional)	
	(b)(6)
	(b)(6)
Critical Element Rating – Leading Change	
STATE OF THE PARTY	

Critical Element 2. Leading People

(Minimum weight 5%) V

Weight 10%

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

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(b)(6)
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Capital Plan.	(b)(6)
Rating Official Narrative: (Optional)	
	Ϋ́
.1	
<u> </u>	(b)(6)
Critical Element Rating – Leading People	

Critical Element 3. Business Acumen

(Minimum weight 5%)

Weight 10%

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

	Agency-Specific Performance Requirements	Status
1.	The executive will exercise fiscal stewardship with the establishment of proper internal organizational controls to manage the office budgets within cost and schedule allowances by quarter. Targets for this goal include:	(b)(6)
i.	Execution on Quarter 1 financial plan allocation to within 15% of the quarterly allocation.	
ii.	Execution on Quarter 2 financial plan allocation to within 10% of the quarterly allocation.	
iii.	Execution on Quarter 3 financial plan allocation to within 5% of the quarterly allocation.	
iv.	Execution on Quarter 4 financial plan allocation to within 5% of the quarterly allocation. [Note: This goal is highly dependant on Office of Procurement collaboration]	
2.		
	Total Project Inventory executed as planned measured by the percent of projects kicked off that were included in the inventory at the beginning of the fiscal year. (Reflects over-all planning)	

ii. Percent of Project Inventory executed as planned based on kick off date by Quarter. (Reflects project execution timeliness	(b)(6)
*** Program Management Division FY16 – Mid Year	
Deployment Assessment:	
(b)(6)	

(b)(6)Deployment Approved @ initial Formal ORR Follow Up Required to reach approval Deployment Conditionally Approved Deployment Not approved Deployment Cancelled Deployment Postponed ORR Postponed or Cancelled Unknown **Number of PDA's Conducted** Successful Successful/Encountered Issues Partial Success Unsuccessful/Rolled Back Success Rate Based on PDA reports (including partial success)

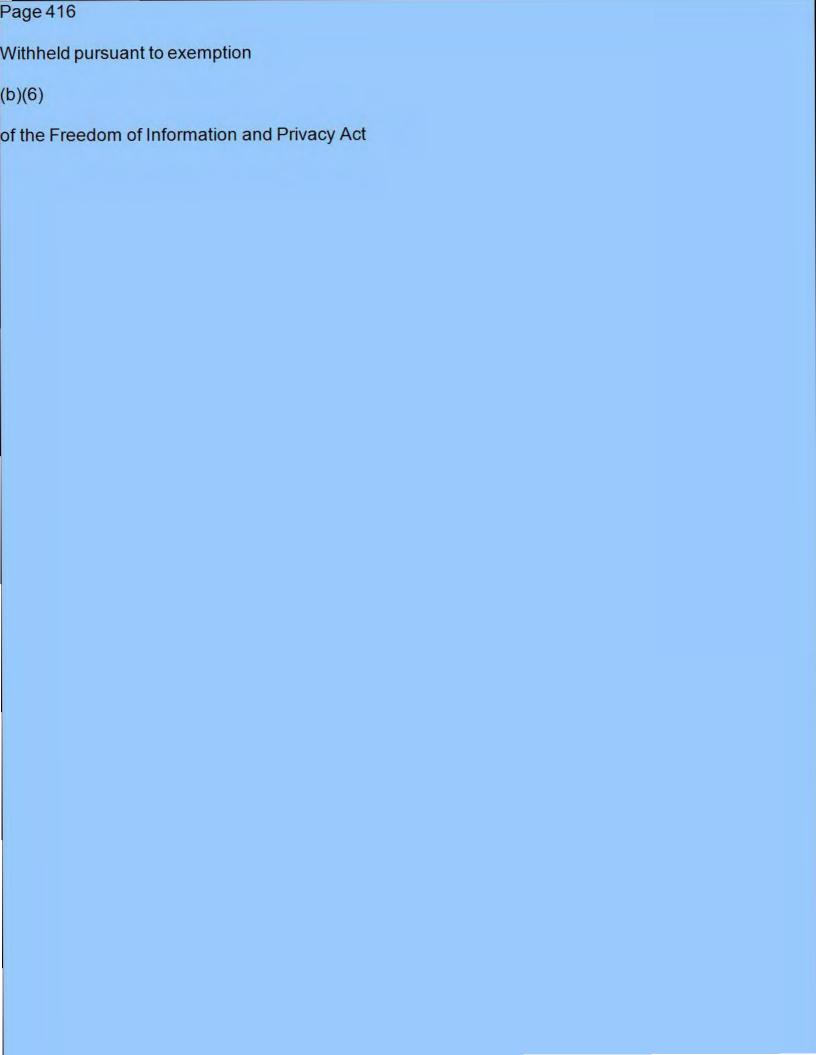
Deployments by Business Area:

Business Area	Dep	R Only loyme ssesse	nts		oject Ro Deployn Assess	nents	Totals			Products Deployed/Affected		
Fiscal Year	FY16*	FY15	FY14	FY16	* FY15	FY14	FY16*	FY15	FY14	FY16*	FY15	FY14
Corporate	(b)(6)											
Dissemination												
Patents												
PTAB												
Trademark												
TTAB												
Infrastructure	4											
Total												
Infrastructure												
Maint												
Activities												
GRAND TOTAL												

Deployments by Office:

Office /	CR Only De	eployments ssed	Project I Deployment		Infrastructure Maintenance Activities		
Division	FY16*	FY15	FY16*	FY15	FY16*	FY15	
OPG	(b)(6)						
OPAO							
OAED.CSD							
OAED.PSD							
OAED.TSD							

	DIEO DIMS DFMS GRAND TOTAL	
	Program Management D)(6)	
*:		



3.	Knowledge of, and active support and	(b)(6)
	participation in the Implementation Plan for the IT	
	Cost Estimation Process Improvements project.	
	Success in this goal will be measured by the ability	
	of the executive to prepare and submit a more	
	accurate a defensible FY17 and FY18 financial	
	plan.	
	P. S	
	This goal is highly dependant on Office of ement and Business Unit collaboration]	
Rating O	fficial Narrative: (Optional)	
	ere.	
Critical	(b)(6)	
Critical E	lement Rating – Business Acumen	

Critical Element 4. Building Coalitions

(Minimum weight 5%)

Weight 10%

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements Status (b)(6)1. The executive will work directly on focusing on customer interests by handling their issues and/or, concerns, on customer deliveries and requests. Success in this standard will be measured by participation in at least one task force or working group with another business unit focusing directly on their issues, concerns, and/or interests which generated not only a stronger working relationship, but a reasonable result for the customer. The executive will leverage their leadership skills and abilities to build partnerships by executing effectively across all business units to achieve enterprise wide excellence. The executive will actively participate in working with the Unions as appropriate in driving results in line with management concerns, while forming a stronger working relationship with the unions. The executive will actively participate in regular review meetings of major IT deliverables to internal and external customers including facilitated PPAC and TPAC meetings as well as independent meetings in order to demonstrate IT improvements.

Rating Official Narrative: (Optional)

(b)(6)

Critical Element Rating – Building Coalitions

Critical Element 5. Results Driven

(Minimum Weight 20%)

Weight 60%

Agency Goals/Objectives for current FY: Must have at least 1 result (may have up to 4)

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.

Performance Requirement 1: Organizational Goals (60%)	Strategic Alignment:		Status:
 Storage as a Service - Improve process for storage requests; reviews; sizing; tiering; approvals and decommissioning; reduce cost of SIMS by 30% 	1 - 12. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments	(b)(6)	
 Boyers Alternate Processing site Tier readiness Tier 3 and Tier 2 established. 			
3. PE2E – Complete 4 Quarterly Patents End to End Updates			
 PE2E - Release Search EST and OC as part of the patents end to end suite of tools 			
5. Deploy: (1) end-to- end TMNG Examiner capabilities; (2) Deploy 3 enhancement releases			
 TMNG eFile: 1) Deploy all Attorney actions in eFile for closed beta; Conduct Open beta 			

7. Certification and Assignments meets or	(b)(6)
exceeds their yearly SLAs	
8. RBAC completed and stable in two data centers with a project complete uptime of 99.9%; integration with 3 business environments	
9. Cloud Infrastructure - Improve our virtualized environment by expanding the use of production across 2 data centers and achieving 99.9% availability	
10. Service Delivery - Complete the Remedy 7.6 deployment including asset management; create plan for migration to the cloud in FY17.	
11. Desktop Management - Complete Printer, Scanner and SOHO router deployments; Select new laptop and complete windows 10 testing of legacy AISs	

	In vo	
	(b)(6)	
1 1		
41		
12. Data Dissemination		
Complete big data pan		
and establish		
technology base;		
generate two useful		
reports.		
13. Complete transition of		
O&M contracts and		
update of Operation		
Support Plans (OSPs)		
and achieve 99.9%		
overall system uptime		
14. POA&M Remediation -		
No POA&M items		
delayed for 90		
days. <u>Stretch</u> : No		
DOARALitams delayed		
POA&M items delayed		
for 60 days.		

		(b)(6)
Performance Requirement 2: Business Solutions and Technical Leadership (20%)	Strategic Alignment:	Status:
1. No repeat findings for the Annual Financial Audit. Stretch: Removal of significant deficiency (control weaknesses only). Note: partially subject to auditor perception/opinion.	Management Goal: Achieve Organizational Excellence Leverage Benefits of IT Investments	(b)(6)
2. POA&M Balance ("% of POA&M Total Difference per Reporting Period") not to grow more than 15%. Stretch: not to grow more than 10%.	2. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments	
(b)(6)		

(b)(6)		
Provide executive leadership in	Management Goal: Achieve	(b)(6)
meeting all		
federally mandated security	Organizational Excellence	
requirements	1. Leverage	
including the use of PIV cards,	Benefits of IT	
adherence to	Investments	
Financial audit standards, timely		
adherence to annual security		
training, and		
adherence to Assessment and		
Authorization		
requirements		
*** PIV Card:		
(b)(6)		

(1-)(0)		
(b)(6)		
Annual Security Training:(b)(6)(b)(6)		
4. Enhance Development capabilities by moving OCIO processes and culture to all Agile Development Methodology and establishing more effective contracting relationships. Success in this standard will be measured by the integration and adoption of Rally performance data into EPMS reporting.	4. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments	(b)(6)
5. Provide all federally mandated reports including the completion and submission of the	5. Management Goal: Achieve Organizational Excellence	(b)(6)

Exhibit 300 et artifacts by f January, and draft 300's by end otember, Complete hly updates to s IT board and npanying cial plan and rce allocation	
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Performance Requirement 3: Service Delivery (Office Level) (20%)	Strategic Alignment:	Status:	
Provide executive leadership in ensuring timely execution of contract renewals by completing all procurement actions without any interruption in service. Implement CFO directed	1-4. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT	(b)(6)	
Procurement Improvements to help protect the agency from adverse actions, audits and investigations.	Investments		
3. Ensure all Assessment and Authorization (A&A) requirements are accomplished for an Authority to Operate (ATO) or Interim Authority to Test (IATT). Success in this standard will be measured by obtaining an ATO or IATT for 100% of all Government and contractors systems the end of FY15 to be FISMA compliant.			

(b)(6)
Rating Official Narrative: (Optional)
Critical Element Rating — Results Driven

Executive Name and ID: Owens II, John B.	Rating Period: FY 2016
Part 6: Summary Rating Narrative (Mandatory)	
The transfer of the control of the c	
Part 7: Executive's Accomplishment Narrative (Optional)	
Part 7: Executive's Accomplishment Narrative (Optional)	
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Part 7: Executive's Accomplishment Narrative (Optional)	
Part 7: Executive's Accomplishment Narrative (Optional) Part 8: Agency Use	

Deriving the Results Driven Rating Worksheet

Executive Name Owens II, John B. Rating Period FY 2016

Results Driven Performance Requirements (PR)	Performance Requirement Rating Level Score	Weight (multiply by)	Performance Requirement Points Score	Point Ranges to Rating Level Score	Results Driven Initial Element Score
Performance Requirement 1				Points 475 – 500 = Level 5 Rating Score Points 400 – 474 = Level 4 Rating Score	
Performance Requirement 2				Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating	
Performance Requirement 3				Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 4					
Porformanco	NEXT A	= 100%			277 922
Performance Requirement Total Score		No.		= Level	

Example of Results Driven Element Being Rated Level 4

Results Driven Performance Requirements (PR)	Performance Requirement Rating Level Score	Weight (multiply by)	Performance Requirement Points Score	Point Ranges to Rating Level Score	Results Driven Initial Element Score
R-DEW. 13	BIT OF STREET		FEDINGS.	Points 475 – 500 = Level 5 Rating	10000
Performance Requirement 1		x 25		Score Points 400 – 474 = Level 4 Rating	15 pro 15 pr
Performance Requirement 2		x 30		Score Points 300 – 399 = Level 3 Rating	
Performance Requirement 3		x 15		Score Points 200 – 299 = Level 2 Rating	
Performance Requirement 4		x 30		Score Any PR rated Level 1 overall score	
		= 100%		must be = Level 1 Rating Score	
Performance Requirement Total Score	K S				4*

^{*}Results Driven Rating is 4 – to be transferred to Initial Element Score beside Results Driven Critical Element on the bottom of page 1.

Owens, Joh	hn	
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(b)(6)



SES Performance Management System Executive Performance Agreement



Part 1. Consultation.	have review	ved this plan ar	nd have be	en consulted	on its developm	nent.
Executive's Name Owens II, John B.				Appraisal Pd. 10/01/2016 – 09/30/2017		
Executive's Signature: (b)(6)					Date: 9/30/2016	
Title: Chief Information	Officer					Organization: OCIO
Rating Official's Name:	Russell Slife	er /	7 4			CA NC LT/LE
Rating Official's Signatu	re: (b)(6					Date: 10/19/16
Part 2. Progress Review	W ,	1				
Executive's Signature:	(b)(6)					Date: 5/2/17
Rating Official's Signatu	re: (b)(6)				Date: \$/2/17
Reviewing Official's Sign	nature (Opt	ional):				Date:
Part 3. Summary Ratin	g					
Initial Summary Rating	(b)(6)					
Rating Official's Name (Last, First, I	ИI): Slifer, Russi	H Scar	diro, A.	othony P	
Rating Official's Signatu	(1-)(0)				,	Date: 11/3/17
Executive's Signature:						Date:
Reviewing Official's Signature (Optional): (b)(6)					Date:	
Higher Level Review (if	applicable)		•	_		
☐ I request a higher le	vel review.	Executive's Ir	nitials:			Date:
Higher Level Review Completed (b)(6)						Date: 11/6/17
Higher Level Reviewer S	Signature:	(b)(6)				
Performance Review B	oard Recom	mendation	(b)(6)			
PRB Chair Signature:	(b)(6)					Date:
Annual Summary Ratin	g		(b)(6)			
Appointing Authority Si	gnature:	(b)(6)				Date:
Part 4. Derivation Form	nula and Ca	Iculation of An	nual Sumn	nary Rating		
Critical Element	Elem	ent Rating Final (if changed)	Weight	Initial	Score Final (if changed)	Summary Level Ranges
1. Leading Change	(b)(6)		10%	(b)(6)		475-500 = Level 5
2. Leading People			10%			475-500 = Level 5 400-474 = Level 4
Business Acumen Building Coalitions			10%			300-399 = Level 3
5. Results Driven			60%			200-299 = Level 2
Total	100		100%			Any CE rated Level 1 = Level 1

Part 5. Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- Level 4: The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.
- Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or outcomes.

Element Rating Level Points	
	Level 5 = 5 points
	Level 4 = 4 points
	Level 3 = 3 points
	Level 2 = 2 points
	Level 1 = 0 points

Critical Element 1. Leading Change

(Minimum weight 5%) Weight 10%

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements Status 1. The executive will actively participate update of an (b)(6) OCIO Business Plan, derived from the USPTO and OCIO Strategic plans. This OCIO Business Plan will be updated yearly. Success in this standard will be measured by completing a yearly update to the OCIO Business Plan, and emphasizing the mission, vision and values of the office. 2. The executive will actively participate in the OCIO Strategic Leadership Team through active participation in the weekly System Quality Review Meeting to effectively continue a transformational change of the OCIO culture to embrace continuous build and deployment (DevOps) of all IT systems. Success in this standard and the continued adoption of DevOps will be measured by the continued adoption of DevOps through blogs, communications and industry events. 3. The executive will support a continuous process improvement program in the OCIO. The executive will support the organizational implementation and training of employees and managers on the methods of continuous process improvement. Success in this standard will be measured by keeping the OCIO internal processes lean and an investment in the streamlining of at least two operational processes should take place in FY16. The executive will provide at least one organizational member to participate in a Process Excellence Program governing body once established. 4. Lead, develop, and implement actions to improve employee engagement in your area based on employee feedback gathered from sources

including the USPTO People Survey, Federal

Employee Viewpoint Survey, focus groups and other initiatives.	(b)(6)	

ating Official Narrative: (Option	zI)		
		,	
	(b)(6)		
itical Element Rating – Leading	Change		

Critical Element 2. Leading People

(Minimum weight 5%) Weight 10%

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements	Status
1. Human Resource Management - Effectively manage staff performance by integrating performance plans with OCIO strategic and operational plans and ensure staff is fairly appraised during mid and end year performance cycles. Support development and training to optimize their contribution to overall mission success. Manage all hiring actions to the agreed upon plans. [Note: This goal is highly dependant on OHR collaboration]	(b)(6)
a. Continue collaboration with HR/LR/ER with union support, to maintain employee PAP alignment with the OCIO assigned tasking and structure to suport SITP and OITP goals.	
 b. Complete progress and annual performance reviews in accordance with mid-year and end-year due dates - 100% target with an acceptable variance of no more than 2 weeks due to specific staff circumstances (i.e., illness, etc.). 	
 Stretch goal of organizational authorized Full Time Equivalents (FTE) positions filled - Target 100% of approved vacancies for FY 2017. 	
2. The executive will lead their organization through continual communication of direction and progress to staff and customers. The executive will actively participate in regular All Hands (3 per year), and All	

employee engagement at all levels to achieving the mission and vision defined in the OCIO Strategic plan. Success in this standard will be measured by	(b)(0)
The executive will continuously improve the OCIO organization, management, and processes through taking positive steps to improve the OCIO culture. Success in this standard will be measured by participation in the annual OCIO employee survey and improving year-over-year employee participation for your office; executing plans based on survey's results; and acting upon assigned portions of the current OCIO Strategic Human Capital Plan.	
ficial Narrative: (Optional)	
(b)(6)	
ement Rating – Leading People	
The state of the s	The executive will continuously improve the OCIO organization, management, and processes through taking positive steps to improve the OCIO culture. Success in this standard will be measured by participation in the annual OCIO employee survey and improving year-over-year employee participation for your office; executing plans based on survey's results; and acting upon assigned portions of the current OCIO Strategic Human Capital Plan. ficial Narrative: (Optional)

Critical Element 3. Business Acumen

(Minimum weight 5%)

Weight 10%

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

	Agency-Specific Performance Requirements	Status
1.	The executive will exercise fiscal stewardship with the establishment of proper internal organizational controls to manage the office budgets within cost and schedule allowances by quarter. Targets for this goal include:	(b)(6)
i.	Execution on Quarter 1 financial plan allocation to within 15% of the quarterly allocation.	
ii.	Execution on Quarter 2 financial plan allocation to within 10% of the quarterly allocation.	
iii.	Execution on Quarter 3 financial plan allocation to within 5% of the quarterly allocation.	
iv.	Execution on Quarter 4 financial plan allocation to within 5% of the quarterly allocation. [Note: This goal is highly dependant on Office of Procurement collaboration]	
2.	Project Execution	
i	Total Project Inventory executed as planned measured by the percent of projects kicked off that were included in the inventory at the beginning of the fiscal year. (Reflects over-all planning)	
ii.	Percent of Project Inventory executed as planned based on kick off date by Quarter. (Reflects project execution timeliness).	

Rating Official Narrative: (Optional)	
(b)(6)	
Critical Element Rating – Business Acumen	

Critical Element 4. Building Coalitions

(Minimum weight 5%)

Weight 10%

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

	Agency-Specific Performance Requirements	Status
1.	The executive will work directly on focusing on customer interests by handling their issues and/or, concerns, on customer deliveries and requests. Success in this standard will be measured by participation in at least one task force or working group with another business unit focusing directly on their issues, concerns, and/or interests which generated not only a stronger working relationship, but a reasonable result for the customer. The executive will leverage their leadership skills and abilities to build partnerships by executing effectively across all business units to achieve enterprise wide excellence.	(b)(6)
2.	The executive will actively participate in working with the Unions as appropriate in driving results in line with management concerns, while forming a stronger working relationship with the unions.	
3.	The executive will actively participate in regular review meetings of major IT deliverables to internal and external customers including facilitated PPAC and TPAC meetings as well as independent meetings in order to demonstrate IT improvements.	
3 O	Official Narrative: (Optional)	

Critical Element 5. Results Driven

(Minimum Weight 20%)

Weight 60%

Agency Goals/Objectives for current FY: Must have at least 1 result (may have up to 4)

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.

	erformance Requirement 1: Organizational Goals (60%)	Strategic Alignment:	Status:
1.		1 - 12. Management	(b)(6)
2.	Deploy PE2E Beta of OC	Goal: Achieve Organizational	
3.	Deploy PE2E Beta EST	Excellence	
4.	Trademark legacy systems (TEAS, TTABVUE, TTABIS, ESTTTA) enhanced to support four regulatory changes including a Jan 2017 fee adjustment.	1. Leverage Benefits of IT Investments	
5.	Deliver PTAB E2E Derivations (Target); and retire PRPS (Stretch)		
6.	Certification and Assignments meets or exceeds their yearly SLAs		
7.	New virtual hosting technology a. Baseline – Legacy Virtual workstation solution b. Target – Host 100% of all virtual test		

workstations and provide self-provisioning to test	(b)(6)	
teams. c. Stretch – Host 30% virtual development workstations and		
provide self- provisioning to development teams.		
8. New virtual server		
technology a. Baseline – Existing Virtual server		
environment		
b. Target – Develop baseline container technology and		
deploy in lab environment.		
c. Stretch – Deploy		
container technology		
for NG application in		
production.		
9. RBAC 2 factor		
a. Baseline – Oracle Role		
Based Access Control		
b. Target - Capability		
Implemented, Successfully Tested		
and Integrated with 1		
Business Unit		
Application		
c. Stretch – Capability is utilized by at least 2		
Business Unit		
Applications		
10. New network		
a. Baseline – PTONet 3.x		
b. Target – Migration of		
IT West, Boyer's and		
IT East to PTONet 4		
complete by 9/2017 i. Migration of		
IT West		
Network to		
PTONet 4		

Core		(D)(O)	
11/20 ii. Migra IT Eas PTON Core	olete by 016 ation of st to Net 4 olete by 17 ration of ONet 4 te by ternate te is fully with the on and oresence. % e dditional running either 3 of the nis metric n otops in	(b)(6)	

	(b)(6)	
13. Dissemination - Process assignment recordation		
requests on average within 4		
days. Stretch goal of 3 days		
14. Dissemination - Update Patent		
Examination Data Search		
(PEDS) with all public PALM		
data. Stretch goal to update PEDS with "search by delta"		
functionality.		
15. POA&M Remediation - No		
POA&M items delayed for 90		
days. <u>Stretch</u> : No POA&M items delayed for 60 days.		
actived for ou days.		

Performance Requirement 2: Business Solutions and Technical Leadership (20%)	Strategic Alignment:	Status:
1. No repeat findings for the Annual Financial Audit. Stretch: Removal of significant deficiency (control weaknesses only).	1. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT	(b)(6)

	Note: partially subject to auditor perception/opinion.	Investments
2.	POA&M Balance ("% of POA&M Total Difference per Reporting Period") not to grow more than 15%. Stretch: not to grow more than 10%.	2. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments
3.	Provide executive leadership in meeting all federally mandated security requirements including the use of PIV cards, adherence to Financial audit standards, timely adherence to annual security training, and adherence to Assessment and Authorization requirements	3. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments

		(b)(6)
4. Enhance Development capabilities by moving OCIO processes and culture to all Agile Development Methodology and establishing more effective contracting relationships. Success in this standard will be measured by the integration and	4. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments	
adoption of Rally performance data into EPMS reporting. 5. Provide all federally mandated reports including the completion and submission of the OMB Exhibit 300 budget artifacts by end of January, 2017 and draft OMB 300's by end of September, 2017; Complete monthly updates to OMB's IT Dashboard and accompanying financial plan and resource allocation (ATE).	5. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments	

Delivery (Office Level) (2		(1.)(2)
Provide executive lead in ensuring timely executed of contract renewals lead completing all procure actions without any interruption in service	over a coution Goal: Achieve Goy ement Organizational Excellence	fIT
Implement CFO direct Procurement Improve to help protect the ag from adverse actions, and investigations.	ements ency	
3. Ensure all Assessment Authorization (A&A) requirements are accomplished for an A to Operate (ATO) or In Authority to Test (IAT Success in this standa be measured by obtain ATO or IATT for 100% Government and contributed in the Authority of IATT for 100% Government and contributed in the Authority of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATO of IATT for 100% Government and contributed in the IATT f	Authority nterim T). rd will ning an of all	

Rating Official Narrative: (Optional) (b)(6)		
Critical Element Rating – Results Driven	(b)(6)	

SES Performance Management System Executive Performance Agreement



Part 1. Consultation. / /	ave revie	wed this plai	n and have	been c	onsulted	on its deve	elopm	ent.			
Executive's Name (Last, First, MI); Holcombe, Henry J. 09/30/2019							2/12	2/2019 -			
Executive's Signature:	(b)(6)							Date: 16 APR 2419			419
Title: Chief Information C	Officer							Organ	ization: C	CIO	
Rating Official's Name (L	ast, First,	MI): Peter, L	aura					СА	NC 🗌	LT/LE	
Rating Official's Signature	e: (b)(6))						Date:	2 Ju	ly	2019
Part 2. Progress Review				-1						0	
Executive's Signature:								Date:			
Rating Official's Signature	e:							Date:			
Reviewing Official's Signa	ature (Opt	tional):						Date:			
Part 3. Summary Rating					11		7		141		
Initial Summary Rating							Level 2 Level 1 Minimally Unsatisfactory Satisfactory				
Rating Official's Name (Lo	ast, First,	MI): Peter, L	aura								
Rating Official's Signature	2:							Date:			
Executive's Signature:								Date:			
Reviewing Official's Signa	ture (Opt	ional):						Date:			7.16
Higher Level Review (if a	pplicable)										*
I request a higher leve	el review.	Executive'	's Initials:					Date:			
Higher Level Review Com	pleted							Date:			
Higher Level Reviewer Sig	gnature:										
Performance Review Boo	ırd Recon	nmendation		evel 5		Level 4	Le	vel 3	Leve	el 2	Level 1
PRB Chair Signature:									Date:		
Annual Summary Rating			l	evel 5		Level 4	Le	vel 3	Leve	12	Level 1
Appointing Authority Sign	nature:								Date:		
Part 4. Derivation Formu	ıla and Ca	lculation of	Annual Su	mmary	Rating				1877	0.	
Element Rating Score Final Final											
Critical Element 1. Leading Change	Initial	(if changed	d) Weig 10%	ht	Initial	(if chang	ged)	S	ummary	Level	Ranges
2. Leading People			10%						475-500		
3. Business Acumen			10%						400-474		
4. Building Coalitions	-		10%						300-399 200-299		
5. Results Driven	ins his		60%	ints				Any			1 = Level 1
Total 100 points											

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or Governmentwide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- Level 4: The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position.
- Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive routinely does not meet established performance expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or outcomes.

Element Rating Level Points	Level 5 = 5 points	
	Level 4 = 4 points	
	Level 3 = 3 points	
	Level 2 = 2 points	
	Level 1 = 0 points	

Execut	ive Name and ID:	Holcombe, Henry	Appraisal I	Period: FY 2019
Critical	Element 1. Leading	Change	(Minimum weight 5 points)	Weight 10%
organiz implem major s service transpa	ational and program lenting innovative so hifts in direction or a and program perfore	goals, priorities, values, and o lutions to make organizational approach, as appropriate. Bala mance; creates a work environ s program focus, even under a	plements an organizational vision that integrates ther factors. Assesses and adjusts to changing sit improvements, ranging from incremental improvences change and continuity; continually strives to ment that encourages creative thinking, collaborativersity.	uations, vements to improve
1.	OCIO Strategic plan standard will be mea	is. This OCIO Business Plan is	CIO Business Plan, derived from synthesizing the s to be review and updated yearly as needed. Succupdate to the OCIO Business Plan that encompass	cess in this
2.	Action Planning and transformational cha process (known as I of DevOps will be n	I DevOps Council meetings. The same of the OCIO culture to emple of the OCIO culture to emple of the Ocyops) to all IT development measured by the continued adoptes and operational efficiencies	ship team through active participation in the bi-we have meetings are charged with effectively continual brace the most advanced, continuous build and deand systems. Success in this standard and the contion of DevOps practices in automated delivery at and through the implementation of a culture of DevOps practices.	ning a sployment attinued adoption and testing,
3.	OCIO. The executive methods of continuous internal processes lo operational processes	we will ensure the organizations ous process improvement. Success yet effective; and an investr	re will support a continuous process improvement al implementation and training of employees and recess in this standard will be measured by keeping the ment in the streamlining of at least two new and in The executive will provide at least one organizationing body once established.	nanagers on the the OCIO aproved
4.	Develops strategies efforts and initiative		o implement IT stabilization, modernization, and g	overnance
	255 - 1 N			
Kating (Official Narrative: <i>(O</i>	ptional)		

Level 2

Level 1

Level 3

Level 4

Level 5

Critical Element Rating – Leading Change

	l Element 2. Leading People	(Minimum weight 5	Weight 10%
points)			
the org mission for full resolut employ commu- conduct quality	etory Performance Requirement: Designs and implementation horizontally and vertically, and fosters high in, and goals. Provides an inclusive workplace that fost participation by all employees; facilitates collaboration of conflicts. Ensures employee performance planayees receive constructive feedback, and that employee unicated performance standards. Holds employees act. Seeks and considers employee input. Recruits, retry, diverse workforce that reflects the nation, with the sixes while supporting workforce diversity, workplace in	n ethical standards in meeting the organization's sters the development of others to their full pote on, cooperation, and teamwork, and supports on are aligned with the organization's mission and ees are realistically appraised against clearly defice ountable for appropriate levels of performance tains, and develops the talent needed to achieve skills needed to accomplish organizational performance.	s vision, tential; allows constructive nd goals, that fined and ce and e a high ormance
Agency	y-Specific Performance Requirements		
	develop, and implement actions to improve employee e ources including the USPTO People Survey, Federal E		
subpare environ	tes the protection of whistleblowers by: responding coagraph (A) or (B) of section 2302(b)(8); taking respon nent in which employees of the agency feel comfortaboriate authorities.	nsible actions to resolve disclosures; and fosteri	ng an
1.	The executive will lead their organization through co levels of staff and to customers. This communication OCIO organization. The executive will actively partitive Meetings (4 per year) to encourage employee engage in the OCIO Strategic plan. Messaging throughout the foster the high ethical standards. The organization wire resolution while supporting an environment that foster Success in this goal will be measured by the complete a yearly updated Business Plan and associated budget on the progress of our team.	is both horizontal among Executives and vertical icipate in regular All Hands (2 per year), and All ement at all levels to achieving the mission and whe organization will be positive, inclusive and could support through its leadership constructive covers development of its employees to their full position of at least 2 all hands meetings, 4 all supervi	cally within the ll Supervisors vision defined collaborative to entitle totential.
2.	The executive will continuously improve the OCIO of positive steps to improve the OCIO culture. Success if OCIO employee survey and improving year-over-year based on survey's results; and acting upon assigned p	in this standard will be measured by participation ar employee participation for your office; execut	n in the annual
a l:	Human Resource Management - Effectively analyze a plans with OCIO strategic and operational plans and performance cycles. Support development and training Manage all hiring actions to the agreed upon plans. Collaboration a. Continue collaboration with HR/LR/ER with union OCIO assigned tasking and structure to suport SIT of Complete progress and annual performance review target with an acceptable variance of no more than	ensure staff is fairly appraised during mid and e ing to optimize their contribution to overall miss [Note: This goal is highly dependant on OHR in support, to maintain employee PAP alignment TP and OITP goals. we in accordance with mid-year and end-year due	end year sion success. t with the e dates - 100%
lating C	Official Narrative: (Optional)		

Level 2

Level 1

Level 3

Level 4

Level 5

Critical Element Rating – Leading People

Executive Name and ID: Holcombe, Henry

Critical Element 3. Business Acumen	(Minimum weight 5 points) Weight 10%
information resources in a manner that instills pub	analyzes, acquires, and administers human, financial, material, and lic trust and accomplishes the organization's mission. Uses technology es the operating budget; prepares budget requests with justifications;
Agency-Specific Performance Requirements	
· · · · · · · · · · · · · · · · · · ·	analyze and utilize technology and other resources to provide ources. [Note: This goal is highly dependent on OHR collaboration]
a. Stretch goal of organizational a approved vacancies for FY 201	uthorized Full Time Equivalents (FTE) positions filled - Target 100% of 9.
	fecitve for the most proritiezed plan and the best resources are available tion of implemenation of IT project.
	ip with the establishment of proper internal organizational controls to chedule allowances by quarter. Targets for this goal include:
ii. Execution on Quarter 2 financial plantii. Execution on Quarter 3 financial planting	an allocation to within 15% of the quarterly allocation. an allocation to within 10% of the quarterly allocation. an allocation to within 5% of the quarterly allocation. an allocation to within 5% of the quarterly allocation. are of Procurement collaboration.
included in the inventory at the begins measured by 98% of projects kick	planned, measured by the percent of projects kicked off that were inning of the fiscal year. (Reflects over-all planning) Success in this goal ted off as per plan (minus any change due to budget variances) Office of Procurement and Business Unit collaboration]
execution timeliness). Success in the	ed as planned based on kick off date by Quarter. (Reflects project is goal is measured by 90% execution by quarter se of Procurement and Business Unit collaboration]
	ticipation in the Implementation Plan for the IT Cost Estimation his goal will be measured by the ability of the executive to prepare and FY21 financial plan.
Rating Official Narrative: (Optional)	
Critical Element Rating – Business Acumen	Level 5 Level 4 Level 3 Level 2 Level 1

Critical Element 4. Building Coalitions		۱۹)	/linimum welg	ht 5 points)	Weight 10%
Mandatory Performance Requirement: Solicits a customers. Coordinates with appropriate parties facilitate an open exchange of opinion from diver advocates, and expresses facts and ideas in a con externally, as appropriate. Develops a profession external politics that affect the work of the organ	to maximize inpose groups and st vincing manner a al network with	ut from the wi rengthen inter and negotiates	dest range of a mal and extern with individua	appropriate st ial support. Es als and groups	akeholders to xplains, internally and
Agency-Specific Performance Requirements					
 The executive will work directly on meeting issues and/or, concerns, on customer delive participation in at least one task force or veconcerns, and/or interests which generated customer. The executive will leverage the effectively across all business units to ach 	veries and reques working group wi d not only a stron ir leadership skil	ts. Success in to the another buse ger working re and abilities	his standard w iness unit focu clationship, but to build partne	ill be measure sing directly o a reasonable	ed by on their issues, result for the
 The executive will actively participate in management concerns, while forming a st cooperative and open relationship. The ke from diverse groups with strengthen intern among parties and all the business units to approach, OCIO can develop demand driv business units to improve professional net 	ronger working r y success factors hal and external s achieve the goal yen products and	elationship will of relationship support that will sand mission services to enh	th the unions to o is facilitating ill result in the of the OCIO B nance customer	provide the ran open excheffective parts Business Plan.	most ange of opinion tership(s) With this
 The executive will actively participate in a customers including facilitated PPAC and IT improvements. With this approach, OC and external customer satisfaction to impre- 	TPAC meetings CIO can develop	as well as inde demand driven	ependent meeti products and	ngs in order to services to en	o demonstrate hance internal
Rating Official Narrative: (Optional)					
Critical Element Rating – Building Coalitions	Level 5	Level 4	Level 3	Level 2	Level 1

Critical Element 5. Results Driven

(Minimum Weight 20 points)

Weight 60%

This critical element must have at least 1 performance requirement (there is no maximum number of requirements, agency should specify if it sets a maximum number).

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

Strategic Alignment-identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

Performance Requirement 1: Organizational Goals (60%)

- Patents Legacy The use of MyUSPTO/RBAC authentication for all USPTO external Patents users and retire at least two legacy systems. TARGET: Full transition of all EFSWeb/Private PAIR users to MyUSPTO/RBAC. STRETCH: Retire two Legacy Systems (OACS and MADRAS).
- Patents Legacy Decrease dependency upon the COOL: Gen applications/T-Rex Server. TARGET: 50% Completion of PALM PCT-OPS, Pre-Exam and Expo conversions. STRETCH: Completion of all PALM Expo COOL: Gen conversion for the Activity Engine, Patent Common Domain Model Services, Batch Services and business specific processes.
 - Patents End to End (PE2E) Deploy 6-9 enhancements to PE2E (DAV, OC and CPC). **TARGET:** CPC Implement CPC INTL; integrate CAT with other PE2E apps (DAV, Search, OC); Re-class Progress Tracking Tool/Dashboard Reports; enhance My CPC Collection Feb 2019Patent Center Achieve 80% EFSWeb parity.

STRETCH: Patent Center - 100% EFSWeb Parity.

- 3. Patents End to End (PE2E) Content Management System. **TARGET:** Migrate all legacy services from IFW to CMS. **STRETCH:** Retire IFW DB1/DB2.
- Global Dossier Global Dossier Improvements. TARGET: Implement a public to sign up for alerts & notifications on status changes for US applications. STRETCH: Alerts and notifications for status changes for all IP5 applications.
- 5. Trademark Next Gen Develop, deploy, and accept TMNG Exam; and rollout TMNG Exam to an expanded user group. TARGET: Q4 2019: Complete divisional capability supporting the Exam tool; get BU approval to proceed with expanded beta tests of the Exam tool based on results/feedback from initial beta group.
 Our Complete Form Perceptage address asymptotic to 50 beta testers then

Q4: Complete Form Paragraph editor; expand up to 50 beta testers then up to 100 beta testers of the Exam tool.

Q4: Expand to 200 beta testers of the Exam tool; train and deploy to four Law Offices beyond the 200 users prior to Q4 Quict Time.

STRETCH: Establish a joint BU/OCIO vision for trademark

Strategic Alignment: USPTO 2018 – 2022 Strategic Plan MISSION SUPPORT GOAL Deliver Organizational Excellence OBJECTIVE 2: OPTIMIZE SPEED. OUALITY, AND COST-EFFECTIVENESS OF INFORMATION TECHNOLOGY DELIVERY TO ACHIEVE BUSINESS VALUE Initiative D. Maintain effective legacy systems during transition to their retirement GOAL I - Optimize Patent Quality and Timeliness **OBJECTIVE 3: FOSTER INNOVATION** THROUGH BUSINESS EFFECTIVENESS Initiative C. Enhance information technology interfaces available to external users of patent systems

GOAL II - Optimize Trademark Quality and Timeliness OBJECTIVE 3: FOSTER BUSINESS EFFECTIVENESS Initiative D. Focus information technology efforts on improving efficiencies in core business operations

- information technology based on TMNG beta results and recommendations stemming from enterprise-wide analysis of USPTO's Modernization program.
- 6. Trademarks Legacy Enhance production systems to align with proposed trademark regulatory changes; and maintain optimal service for TM production systems for internal and external users. TARGET: Q4: Implement changes to TM systems supporting Mandatory Electronic Filing rulemaking. Q4: Implement changes to TM systems supporting U.S. Counsel rulemaking. STRETCH: In addition to meeting FY19 business priorities associated with rulemaking changes, we will also upgrade the infrastructure and enhance end-user capabilities of internal trademark systems dependent on approval of the proposed Trademark Production System Enhancement (TPSE) CIDP and based on Product Owner priorities. Potential systems to be upgraded/enhanced include FAST1, FAST2, Madrid, TRADEUPS, TICRS, and/or TTABIS.
- 7. PTAB E2E Continued development of PTAB Appeals **TARGET**: Completion of PTAB Appeals scope and retirement of ACTS. **STRETCH**: Foundation for "One Board, One Docket" for appeals
- Certification and Assignments Dissemination Process assignment recordation requests. TARGET: Process assignment recordation requests on average within 4 days. STRETCH: Within 3 days.
- 9. Storage Storage Reclamation **TARGET**: Reduce underutilized storage to meet 75% utilization. **STRETCH**: Reduce underutilized storage to meet 85% utilization.
- Virtual Desktop Infrastructure Host and self-provisioning of development workstations. TARGET: Implement Lab VDI Self-Provisioning Capability. STRETCH: 50% of all Lab VDI requests made via the Self-Provisioning Capability.
- PTONet Replace End-of-Life network equipment in Contractor Access Sites. TARGET: Complete 50% of CAS site upgrades by May 2019. STRETCH: Complete 100% of CAS site upgrades by end of Q4 July 2019.
- Database Consolidation- Reduced licensing cost and increased system availability. TARGET: Consolidate 60% of small and midsize Databases. STRETCH: Consolidate over 75% of the small and midsize databases.
- 13. Platform Automation Enhancements Market and Migrate applications/services to Wildfly or Springboot in Platform Automation Stack (new feature) reducing license cost. TARGET: Market and Migrate (5+) applications/services to either Open Source WildFly or Springboot. STRETCH: Market and Migrate (10+) applications/services to Open Source WildFly or Springboot.
- 14. Big Data Continue to solidify Big Data Reservoir as foundation for advanced applications and analytics, and deliver advanced applications. TARGET: 1. Deliver Unity to OPIM for Assessment with improvements to follow. 2. Enhance Patent Bulk Search and Download API and PTMT; viz.
 - a. Deliver PTAB API with Trials and Appeals Data to the Open Data Portal
 - b. Deploy Big Data Infrastructure v3.0 with attached storage
 - c. Deploy updated Assignments API **STRETCH: 1.** Complete a new release to publish an updated PTAB API that includes data from EFOIA. Internal and External text search capability of AIA trials decisions
 - 2. Complete another PTAB release that includes data from Appeals and

MISSION SUPPORT GOAL
Deliver Organizational Excellence
OBJECTIVE 2: OPTIMIZE SPEED,
QUALITY, AND COSTEFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
ACHIEVE BUSINESS VALUE
Initiative D. Maintain effective legacy
systems during transition to their
retirement

GOAL I - Optimize Patent Quality and Timeliness
OBJECTIVE 4: ENHANCE
OPERATIONS OF THE PATENT
TRIAL AND APPEAL BOARD
Initiative E. Develop and enhance tools to promote transparency and enable increased use of operational data

MISSION SUPPORT GOAL
Deliver Organizational Excellence
OBJECTIVE 2: OPTIMIZE SPEED,
QUALITY, AND COSTEFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
ACHIEVE BUSINESS VALUE

MISSION SUPPORT GOAL
Deliver Organizational Excellence
OBJECTIVE 2: OPTIMIZE SPEED,
QUALITY, AND COSTEFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
ACHIEVE BUSINESS VALUE
E. Establish agency-wide data governance

Interferences and text search capability.

3. Deploy enhanced Big Data Reservoir / HDP 3.x

- 15. Security POA&M items on Government owned/managed systems. TARGET: No POA&M items on Government owned/managed systems delayed for 90 days. STRETCH: No POA&M items on Government owned/managed systems delayed for 60 days.
- 16. DevOps Implement Automated Deployment pipeline.
 TARGET: Automated Deployment pipeline (including Phase 2 Quality Gates) is used for 50% of Next Generation systems promotion and deployments. STRETCH: Automated Deployment pipeline(including Phase 2 Quality Gates) is used for 75% of Next Generation systems promotion and deployments.
- 17. Enterprise Business Systems MyUSPTO production deployments. TARGET: Deliver four quarterly releases with functionality related to authentication, personalization and Intellectual Property (IP) portfolio monitoring and management for the Agency's public customers. STRETCH: Begin transition to OIEO / Operations & Maintenance (O&M) mode.

MISSION SUPPORT GOAL
Deliver Organizational Excellence
OBJECTIVE 2: OPTIMIZE SPEED,
QUALITY, AND COSTEFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
ACHIEVE BUSINESS VALUE

Performance Requirement 2: Business Solutions and Technical Leadership (20%)

- No repeat findings for the Annual Financial Audit. <u>Stretch</u>: Removal of significant deficiency (control weaknesses only). <u>Note</u>: partially subject to auditor perception/opinion.
- POA&M Balance ("% of POA&M Total Difference per Reporting Period") not to grow more than 15%. <u>Stretch</u>: not to grow more than 10%.
- Provide executive leadership in meeting all federally mandated security requirements including the use of PIV cards, adherence to Financial audit standards, timely adherence to annual security training, and adherence to Assessment and Authorization requirements.
- 4. Enhance Development capabilities by moving OCIO processes and culture to all Agile Development Methodology and establishing more effective contracting relationships. Success in this standard will be measured by the integration and adoption of Rally performance data into EPMS reporting.
- 5. Provide all federally mandated reports including the completion and submission of the OMB Exhibit 300 budget artifacts by end of each year and draft OMB 300's by end of each year; Complete monthly updates to OMB's IT Dashboard and accompanying financial plan and resource allocation (ATE).

Strategic Alignment:

USPTO 2018 – 2022 Strategic Plan,
MISSION SUPPORT GOAL
Deliver Organizational Excellence
OBJECTIVE 2: OPTIMIZE SPEED,
QUALITY, AND COSTEFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
ACHIEVE BUSINESS VALUE

Performance Requirement 3: Service Delivery (Office Level) (20%)	Strategic Alignment:
 Provide executive leadership in ensuring timely execution of contract renewals by completing all procurement actions without any interruption in service. Implement CFO directed Procurement Improvements to help protect the agency from adverse actions, audits and investigations. Ensure all Assessment and Authorization (A&A) requirements are accomplished for an Authority to Operate (ATO) or Interim Authority to Test (IATT). Success in this standard will be measured by obtaining an ATO or IATT for 100% of all Government and Contractors systems. 	USPTO 2018 – 2022 Strategic Plan, OBJECTIVE 2: OPTIMIZE SPEED, QUALITY, AND COST- EFFECTIVENESS OF INFORMATION TECHNOLOGY DELIVERY TO ACHIEVE BUSINESS VALUE
Performance Requirement 4:	Strategic Alignment:
Rating Official Narrative: (Optional)	
Critical Element Rating – Results Driven	Level 3 Level 2 Level 1

Deriving the Results Driven Rating Worksheet

Executive Name Holcombe, Henry Rating Period FY 2019 Results Driven Results Driven Performance Weight Performance Point Ranges to Rating Level Score Initial Element Performance Requirement (multiply Requirement Requirements Rating Level by) Points Score Score (PR) Score Points 475 - 500 = Level 5 Rating Performance Score Points 400 – 474 = Level 4 Rating Requirement 1 Score Points 300 - 399 = Level 3 Rating Performance Requirement 2 Score Points 200 - 299 = Level 2 Rating Score Performance Any PR rated Level 1 overall score Requirement 3 must be = Level 1 Rating Score

___ = Level ___

Example of Results Driven Element Being Rated Level 4

= 100%

Performance Requirement 4

Performance Requirement

Total Score

Example of Resu				21.2	In 4 n:
Results Driven Performance Requirements (PR)	Performance Requirement Rating Level Score	Weight (multiply by)	Performance Requirement Points Score	Point Ranges to Rating Level Score	Results Driven Initial Element Score
				Points 475 – 500 = Level 5 Rating	54 354 1
Performance Requirement 1	4	x 25	100	Score Points 400 – 474 = Level 4 Rating	
Performance Requirement 2	5	x 30	150	Score Points 300 – 399 = Level 3 Rating	
Performance Requirement 3	5	x 15	75	Score Points 200 – 299 = Level 2 Rating	
Performance Requirement 4	3	x 30	90	Score Any PR rated Level 1 overall score	116
	37 (77 S & 20 Y)	= 100%	AND ACTOR	must be = Level 1 Rating Score	
Performance Requirement Total Score			415	415= Level 4	4*

^{*}Results Driven Rating is 4 – to be transferred to Initial Element Score beside Results Driven Critical Element on the bottom of page 1.

SES Performance Management System Executive Performance Agreement



Part 1. Consultation. / /	ave revie	wed this plai	n and have been d	consulted	on its develo	pment.				
Executive's Name (Last, First, MI): Holcombe, Henry J.							Appraisal Pd. 10/1/2019 - 9/30/2020			
Executive's Signature: (b)(6)							Date: 30 SEP 19			
Title: Chief Information C	Officer					Organ	ization: C	OCIO		
Rating Official's Name (L	ast, First,	MI): Peter, L	aura			CA 🖂	NC 🗌	LT/LE 🗌		
Rating Official's Signature	Date:	Date: 9/30/2019								
Part 2. Progress Review								•		
Executive's Signature:						Date:				
Rating Official's Signature	e:					Date:				
Reviewing Official's Signa	ature (Opt	ional):				Date:				
Part 3. Summary Rating										
Initial Summary Rating Level 5 Commendable Level 3 Fully Successful						Leve Minimal Satisfact	ly	Level 1 Unsatisfactory		
Rating Official's Name (Lo	ast, First, i	MI): Peter, L	aura			,				
Rating Official's Signature: Date:										
Executive's Signature:							Date:			
Reviewing Official's Signa	ture (Opt	ional):				Date:				
Higher Level Review (if a	pplicable)									
☐ I request a higher leve	el review.	Executive	's Initials:			Date:				
Higher Level Review Com	pleted					Date:				
Higher Level Reviewer Sig	gnature:									
Performance Review Boo	ard Recon	mendation	Level 5		Level 4	Level 3	Leve	el 2 Level 1		
PRB Chair Signature:							Date:			
Annual Summary Rating			Level 5		Level 4	Level 3	Leve	el 2 Level 1		
Appointing Authority Sign	nature:						Date:	,		
Part 4. Derivation Formu	ıla and Ca	Iculation of	Annual Summar	/ Rating		- 2				
	Elem	ent Rating			Score					
Critical Element	Final Final Final Critical Element Initial (if changed) Weight Initial (if changed) Summary Level Ranged						Level Ranges			
1. Leading Change	meiai	(ii change)	10%	micial	(ii change	4,				
2. Leading People			10%				475-500 = Level 5			
3. Business Acumen			10%			+1		4 = Level 4 9 = Level 3		
4. Building Coalitions			10%					9 = Level 3 9 = Level 2		
5. Results Driven			60 %			Any		Level 1 = Level 1		
Total 100 points										

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or Governmentwide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- Level 4: The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position.
- Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- Level 1: In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive routinely does not meet established performance expectations/timelines/targets and fails to produce or produces unacceptable work products, services, or outcomes.

Element Rating	Level	Points
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Level 5 = 5 points

Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 points

Level 1 = 0 points

4. Optimize the Workforce:

- Realign, Challenge Skill Sets and Train Organization in a changing environment supporting the vision of an System Integrator approach to Product delivery
- Implementation of Agile Pilot Teams
- Transition from Project to a Product Teams structure
- Optimize Organization to support the goal of a flatter structure

Rating Official Narrative: (Optional)				.,,	TAINNE T
Critical Element Rating – Leading Change	Level 5	Level 4	Level 3	Level 2	Level 1

· · · · · · · · · · · · · · · · · · ·	
Critical Element 2. Leading People (Minimum weight 5 points)	Weight 10%
Mandatory Performance Requirement: Designs and implements strategies that maximize employee potent the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vand goals. Provides an inclusive workplace that fosters the development of others to their full potential; also participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports construct of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that receive constructive feedback, and that employees are realistically appraised against clearly defined and comperformance standards. Holds employees accountable for appropriate levels of performance and conduct. So considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, divers that reflects the nation, with the skills needed to accomplish organizational performance objectives while su workforce diversity, workplace inclusion, and equal employment policies and programs.	vision, mission, lows for full live resolution it employees nmunicated Seeks and se workforce
Agency-Specific Performance Requirements	
Lead, develop, and implement actions to improve employee engagement in your area based on employee fee gathered from sources including the USPTO People Survey, Federal Employee Viewpoint Survey, focus groups initiatives.	
Promotes the protection of whistleblowers by: responding constructively when an employee makes disclosure subparagraph (A) or (B) of section 2302(b)(8); taking responsible actions to resolve disclosures; and fostering environment in which employees of the agency feel comfortable making disclosures to supervisory employees appropriate authorities.	an
1. The executive will lead their organization through continual communication of vision, direction and plevels of staff and to customers. This communication is both horizontal among Executives and vertical OCIO organization. The executive will actively participate in regular All Hands (2 per year), and All Sur Meetings (4 per year) to encourage employee engagement at all levels to achieving the mission and in the OCIO Strategic plan. Messaging throughout the organization will be positive, inclusive and coll foster the high ethical standards. The organization will support through its leadership constructive corresolution while supporting an environment that fosters development of its employees to their full places in this goal will be measured by the completion of at least 2 all hands meetings, 4 all supervise a yearly updated Business Plan and associated budget on time; and weekly messages from the execution progress of their team.	ally within the pervisors vision defined aborative to offlict otential.
2. The executive will continuously improve the OCIO organization, management, and processes through positive steps to improve the OCIO culture. Success in this standard will be measured by encouraging in employee surveys and improving year-over-year employee participation for your office; executing on survey's results; and acting upon assigned portions of the current OCIO Strategic Human Capital P.	participation plans based
 3. Human Resource Management - Effectively analyze and manage staff performance by integrating perplans with OCIO strategic and operational plans and ensure staff is fairly appraised during mid and experformance cycles. Support development and training to optimize their contribution to overall mis Manage all hiring actions to the agreed upon plans. a. Continue collaboration with HR/LR/ER with union support, to maintain employee PAP alignment wassigned tasking and structure to suport SITP and OITP goals. b. Complete progress and annual performance reviews in accordance with mid-year and end-year dual 100% target with an acceptable variance of no more than 2 weeks due to specific staff circumstant illness, etc.). 	nd year ssion success. with the OCIO ue dates -
Rating Official Narrative: (Optional)	

Level 3

Level 2

Level 1

Level 4

Level 5

Critical Element Rating – Leading People

Critical Element 3. Business Acumen (Minimum weight 5 points) Weight 10%							
information resources in a manner that instills put to enhance processes and decision making. Exec and manages resources.	es, analyzes, acquires, and administers human, financial, material, and ublic trust and accomplishes the organization's mission. Uses technology cutes the operating budget; prepares budget requests with justifications;						
Agency-Specific Performance Requirements							
 Human Information Resource - Effectivel transparancy and trust regarding human 	ly analyze and utilize technology and other resources to provide resources.						
 a. Stretch goal of organizationa approved vacancies for FY 20 	al authorized Full Time Equivalents (FTE) positions filled - Target 100% of 020.						
_	t effecitve for the most proritiezed plan and the best resources are owner satifcation of implemenation of IT project.						
	Iship with the establishment of proper internal organizational controls to nd schedule allowances by quarter. Targets for this goal include:						
i. Execution on Quarter 1 financial	plan allocation to within 15% of the quarterly allocation.						
	plan allocation to within 10% of the quarterly allocation.						
	plan allocation to within 5% of the quarterly allocation.						
iv. Execution on Quarter 4 financial	plan allocation to within 5% of the quarterly allocation.						
3. Project Execution							
 i. Total Project Inventory executed included in the inventory at the b 	as planned, measured by the percent of projects kicked off that were beginning of the fiscal year. (Reflects over-all planning) Success in this goal licked off as per plan (minus any change due to budget variances)						
	cuted as planned based on kick off date by Quarter. (Reflects project this goal is measured by 90% execution by quarter						
Rating Official Narrative: (Optional)							
Critical Element Rating – Business Acumen	Level 5 Level 4 Level 3 Level 2 Level 1						

Critical Element 4. Building Coalitions	(Minimum weight 5 points) Weight 10%
facilitate an open exchange of opinion from diverse group advocates, and expresses facts and ideas in a convincing m	nize input from the widest range of appropriate stakeholders to
issues and/or, concerns, on customer deliveries ar participation in at least one task force or working a concerns, and/or interests which generated not or	acceeding the needs of the customers by robustly handling their and requests. Success in this standard will be measured by group with another business unit focusing directly on their issues, ally a stronger working relationship, but a reasonable result for idership skills and abilities to build partnerships by executing exprise wide excellence.
management concerns, while forming a stronger v cooperative and open relationship. The key succes opinion from diverse groups with strengthen inter partnership(s) among parties and all the business	with the Unions as appropriate in driving results in line with working relationship with the unions to provide the most is factors of relationship is facilitating an open exchange of inal and external support that will result in the effective units to achieve the goals and mission of the OCIO Business Planton products and services to enhance customer satisfaction in network and alliances within the agency.
customers including facilitated PPAC and TPAC me to demonstrate IT improvements. With this appro	view meetings of major IT deliverables to internal and external etings, business unit reviews, and independent meetings in order ach, OCIO can develop demand driven products and services to in to improve professional network and alliances within the
tating Official Narrative: (Optional)	
ritical Element Rating – Building Coalitions Leve	Level 4 Level 3 Level 2 Level 1

Critical Element 5. Results Driven

(Minimum Weight 20 points) Weight 60%

This critical element must have at least 1 performance requirement (there is no maximum number of requirements, agency should specify if it sets a maximum number).

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

Strategic Alignment-identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

Performance Requirement 1: Maximize Technical Stability and Supportability

for Product (40%) (Performance Metrics TBD)

- a) Maintain Technical Debt Heat map
- b) Maintain Versioning of Desktop Applications
- c) Stabilize Non-production Environments
- d) Stabilize Audio Visual and Conferencing Capabilities
 - Implement Enterprise Services
 - Asset Management
 - Virtual Collaboration Phones, A/V, Skype
 - Call Centers
- e) Maintain EA Lifecycle Management of Product/Technology
- Reclaim and optimize system utilization
- g) Promote code reuse
- h) Maintain Assets and optimize CMDB
- i) Explore Hybrid Cloud Usage
- Adopt Chaos Engineering techniques to maximize stability & reliability j)
- Adopt Observability techniques to maximize application supportability
- Adopt Resilience Engineering techniques to maximize stability & supportability

Strategic Alignment:

USPTO 2018-2022 Strategic Plan

Mission Support Goals:

Deliver Organizational Excellence; Objective 2: Optimize Speed, Quality and Cost-Effectiveness of IT Delivery to Achieve Business Value

Performance Requirement 2: Maximized Automation and Standardization of Products and Services (20%) (Performance Metrics TBD)

- a) Maintain and enhance Automated Deployment Pipeline
- b) Expand usage of containerization and Consolidation
- c) Standardize Test Data Management
- d) Explore Bots usage for Server Management
- e) Standardize usage of Vocabulary across Products
- f) Ensure usage and integration of Common Components
 - Rationalize and reuse standardize enterprise applications
 - Adopt Hybrid Multi-Cloud first policy where appropriate

Strategic Alignment:

USPTO 2018-2022 Strategic Plan

Mission Support Goals:

Deliver Organizational Excellence: Objective 2: Optimize Speed, Quality and Cost-Effectiveness of IT Delivery to Achieve Business Value

Performance Requirement 3: Maximize Usage of Standardization of Access Controls for Products TBD)	Strategic Alignment: USPTO 2018–2022 Strategic Plan				
a) Maintain and enhance Role Based Access Co b) Enhance Resiliency and Governance	Mission Support Goals: Deliver Organizational Excellence; Objective 2: Optimize Speed, Quality and Cost-Effectiveness of IT Deliverγ to Achieve Business Value				
Performance Requirement 4: Maximize new Tec Data to Solve Business Problems (25%) (Perforr a) Explore use of new Technology solutions and b) Establish and maintain Data Governance, Di Data standards c) Improve IT transparency Practice/focus on grater business cost optimization Rating Official Narrative: (Optional)	Strategic Alignment: USPTO 2018–2022 Strategic Plan Mission Support Goals: Deliver Organizational Excellence; Objective 2: Optimize Speed, Quality and Cost-Effectiveness of IT Delivery to Achieve Business Value				
Critical Element Rating – Results Driven	Level 5	Level 4	Level 3	Level 2	Level 1

Executive Name and ID: Holcombe, Henry J.	Appraisal Period: FY20
Part 6: Summary Rating Narrative (Mandatory)	
The state of the s	
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	0.79
Part 7: Executive's Accomplishment Narrative (Optional)	
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	1.0
Part 8: Agency Use	
Part 8. Agency Ose	
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Deriving the Results Driven Rating Worksheet

Executive Name Henry J. Holcombe Rating Period FY20

Results Driven Performance Requirements (PR)	Performance Requirement Rating Level Score	Weight (multiply by)	Performance Requirement Points Score	Point Ranges to Rating Level Score	Results Driven Initial Element Score
Performance Requirement 1		X 40		Points 475 – 500 = Level 5 Rating Score Points 400 – 474 = Level 4 Rating Score	ava.
Performance Requirement 2		X 20		Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating	
Performance Requirement 3		X 15		Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 4		X 25			
CY TO		= 100%			1000
Performance Requirement Total Score	NO.			= Level	

Example of Results Driven Element Being Rated Level 4

Results Driven Performance Requirements (PR)	Performance Requirement Rating Level Score	Weight (multiply by)	Performance Requirement Points Score	Point Ranges to Rating Level Score	Results Driven Initial Element Score
	3-1-5			Points 475 – 500 = Level 5 Rating	200
Performance Requirement 1	4	x 25	100	Score Points 400 – 474 = Level 4 Rating	
Performance Requirement 2	5	x 30	150	Score Points 300 – 399 = Level 3 Rating	
Performance Requirement 3	5	x 15	75	Score Points 200 – 299 = Level 2 Rating	
Performance Requirement 4	3	x 30	90	Score Any PR rated Level 1 overall score	
SECONDA		= 100%		must be = Level 1 Rating Score	
Performance Requirement Total Score			415	415= Level 4	4*

^{*}Results Driven Rating is 4 – to be transferred to Initial Element Score beside Results Driven Critical Element on the bottom of page 1.