



**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:

1. 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.
2. 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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Office of the Chief Information Officer

POSITION DESCRIPTION

Job Code ES9161

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**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 (<i>Last, First, MI</i>): Holcombe, Henry J.	Appraisal Pd. 2/12/2019 - 09/30/2019
Executive's Signature: (b)(6)	Date: 16 APR 2019
Title: Chief Information Officer	Organization: OCIO
Rating Official's Name (<i>Last, First, MI</i>): Peter, Laura	CA <input type="checkbox"/> NC <input type="checkbox"/> LT/LE <input type="checkbox"/>
Rating Official's Signature: (b)(6)	Date: 2 July 2019

Part 2. Progress Review

Executive's Signature:	Date:
Rating Official's Signature:	Date:
Reviewing Official's Signature (<i>Optional</i>):	Date:

Part 3. Summary Rating

Initial Summary Rating	<input type="checkbox"/> Level 5 Outstanding	<input type="checkbox"/> Level 4 Commendable	<input type="checkbox"/> Level 3 Fully Successful	<input type="checkbox"/> Level 2 Minimally Satisfactory	<input type="checkbox"/> Level 1 Unsatisfactory
Rating Official's Name (<i>Last, First, MI</i>): Peter, Laura					
Rating Official's Signature:					Date:
Executive's Signature:					Date:
Reviewing Official's Signature (<i>Optional</i>):					Date:

Higher Level Review (if applicable)

<input type="checkbox"/> I request a higher level review. Executive's Initials:	Date:
Higher Level Review Completed <input type="checkbox"/>	Date:
Higher Level Reviewer Signature:	

Performance Review Board Recommendation

Performance Review Board Recommendation	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
PRB Chair Signature:	Date:				

Annual Summary Rating

Annual Summary Rating	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
Appointing Authority Signature:	Date:				

Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change			10%			475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
2. Leading People			10%			
3. Business Acumen			10%			
4. Building Coalitions			10%			
5. Results Driven			60%			
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

Critical Element 1. Leading Change**(Minimum weight 5 points) Weight 10%**

Mandatory Performance Requirement: 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

1. The executive will actively lead updating of the OCIO Business Plan, derived from synthesizing the USPTO and OCIO Strategic plans. This OCIO Business Plan is to be review and updated yearly as needed. Success in this standard will be measured by completing a yearly update to the OCIO Business Plan that encompasses and executes on the mission, vision and values of the office.
2. The executive will actively guide the OCIO leadership team through active participation in the bi-weekly Strategic Action Planning and DevOps Council meetings. These meetings are charged with effectively continuing a transformational change of the OCIO culture to embrace the most advanced, continuous build and deployment process (known as DevOps) to all IT development and systems. Success in this standard and the continued adoption of DevOps will be measured by the continued adoption of DevOps practices in automated delivery and testing, development practices and operational efficiencies and through the implementation of a culture of DevOps thinking across the organization.
3. Through leading change management, the executive will support a continuous process improvement program in the OCIO. The executive will ensure 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 yet effective; and an investment in the streamlining of at least two new and improved operational processes should take place in FY19. The executive will provide at least one organizational member to participate in a Process Excellence Program governing body once established.
4. Develops strategies and takes appropriate actions to implement IT stabilization, modernization, and governance efforts and initiatives as directed.

Rating Official Narrative: *(Optional)*

Critical Element Rating – Leading Change

 Level 5 Level 4 Level 3 Level 2 Level 1

Critical Element 2. Leading People points)	(Minimum weight 5	Weight 10%
<p>Mandatory Performance Requirement: 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.</p>		
Agency-Specific Performance Requirements		
<p><i>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.</i></p>		
<p><i>Promotes the protection of whistleblowers by: responding constructively when an employee makes disclosures described in subparagraph (A) or (B) of section 2302(b)(8); taking responsible actions to resolve disclosures; and fostering an environment in which employees of the agency feel comfortable making disclosures to supervisory employees or other appropriate authorities.</i></p>		
<ol style="list-style-type: none"> 1. The executive will lead their organization through continual communication of vision, direction and progress to all levels of staff and to customers. This communication is both horizontal among Executives and vertically within the OCIO organization. The executive will actively participate in regular All Hands (2 per year), and All Supervisors Meetings (4 per year) to encourage employee engagement at all levels to achieving the mission and vision defined in the OCIO Strategic plan. Messaging throughout the organization will be positive, inclusive and collaborative to foster the high ethical standards. The organization will support through its leadership constructive conflict resolution while supporting an environment that fosters development of its employees to their full potential. Success in this goal will be measured by the completion of at least 2 all hands meetings, 4 all supervisors meetings; a yearly updated Business Plan and associated budget on time; and All Employee weekly messages from the CIO on the progress of our team. 2. 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 3. Human Resource Management - Effectively analyze and 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 <ol style="list-style-type: none"> 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.). 		
Rating Official Narrative: (Optional)		
Critical Element Rating – Leading People	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4
	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2
		<input type="checkbox"/> Level 1

Critical Element 3. Business Acumen	(Minimum weight 5 points)	Weight 10%
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Mandatory Performance Requirement: 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

1. Human Information Resource - Effectively analyze and utilize technology and other resources to provide transparency and trust regarding human resources. **[Note: This goal is highly dependant on OHR collaboration]**
 - a. Stretch goal of organizational authorized Full Time Equivalentts (FTE) positions filled - Target 100% of approved vacancies for FY 2019.
 - b. Ensure hiring needs are most effecitve for the most proritized plan and the best resources are available to ensure buiness owner satifaction of implemenation of IT project.

2. The exccutive 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:
 - 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]

3. 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) Success in this goal is measured by 98% of projects kicked off as per plan (minus any change due to budget variances)

[Note: This goal is highly dependant on Office of Procurement and Business Unit collaboration]
 - ii. Percent of Project Inventory executed as planned based on kick off date by Quarter. (Reflects project execution timeliness). Success in this goal is measured by 90% execution by quarter

[Note: This goal is highly dependant on Office of Procurement and Business Unit collaboration]

4. 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 accurate defensible FY20 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**(Minimum weight 5 points)****Weight 10%**

Mandatory Performance Requirement: 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

1. The executive will work directly on meeting and exceeding the needs of the customers by robustly 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.
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 to provide the most cooperative and open relationship. The key success factors of relationship is facilitating an open exchange of opinion from diverse groups with strengthen internal and external support that will result in the effective partnership(s) among parties and all the business units to achieve the goals and mission of the OCIO Business Plan. With this approach, OCIO can develop demand driven products and services to enhance customer satisfaction among the business units to improve professional network and alliances within the agency.
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. With this approach, OCIO can develop demand driven products and services to enhance internal and external customer satisfaction to improve professional network and alliances within the agency and beyond.

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%)

1. 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).
2. 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 2019 Patent 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.
4. 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.
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 Quiet 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, QUALITY, 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
8. 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.
10. 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.
11. PTO Net - 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.
12. 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 COST-
EFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
ACHIEVE BUSINESS VALUE
Initiative D. Maintain effective legacy
systems during transition to their
retirement

GOAL 1 - 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 COST-
EFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
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MISSION SUPPORT GOAL
Deliver Organizational Excellence
OBJECTIVE 2: OPTIMIZE SPEED,
QUALITY, AND COST-
EFFECTIVENESS 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 COST-
EFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
ACHIEVE BUSINESS VALUE

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

1. No repeat findings for the Annual Financial Audit. **Stretch:** Removal of significant deficiency (control weaknesses only). **Note:** partially subject to auditor perception/opinion.
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%.
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.
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 COST-
EFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
ACHIEVE BUSINESS VALUE

<p>Performance Requirement 3: Service Delivery (Office Level) (20%)</p> <ol style="list-style-type: none"> 1. Provide executive leadership in ensuring timely execution of contract renewals by completing all procurement actions without any interruption in service. 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 (IATIT). Success in this standard will be measured by obtaining an ATO or IATIT for 100% of all Government and Contractors systems. 	<p>Strategic Alignment:</p> <p>USPTO 2018 – 2022 Strategic Plan, OBJECTIVE 2: OPTIMIZE SPEED, QUALITY, AND COST- EFFECTIVENESS OF INFORMATION TECHNOLOGY DELIVERY TO ACHIEVE BUSINESS VALUE</p>				
<p>Performance Requirement 4:</p>	<p>Strategic Alignment:</p>				
<p>Rating Official Narrative: (Optional)</p>					
<p><i>Critical Element Rating – Results Driven</i></p>	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1

Part 6: Summary Rating Narrative *(Mandatory)*

Part 7: Executive's Accomplishment Narrative *(Optional)*

Part 8: Agency Use

Deriving the Results Driven Rating Worksheet

Executive Name Holcombe, Henry

Rating Period FY 2019

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 Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 2					
Performance Requirement 3					
Performance Requirement 4					
		= 100%			
Performance Requirement Total Score				___ = 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
Performance Requirement 1	4	x 25	100	Points 475 – 500 = Level 5 Rating Score Points 400 – 474 = Level 4 Rating Score Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 2	5	x 30	150		
Performance Requirement 3	5	x 15	75		
Performance Requirement 4	3	x 30	90		
		= 100%			
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 have reviewed this plan and have been consulted on its development.*

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 Officer	Organization: OCIO
Rating Official's Name (Last, First, MI): Peter, Laura	CA <input checked="" type="checkbox"/> NC <input type="checkbox"/> LT/LE <input type="checkbox"/>
Rating Official's Signature: (b)(6)	Date: 9/30/2019

Part 2. Progress Review

Executive's Signature:	Date:
Rating Official's Signature:	Date:
Reviewing Official's Signature (Optional):	Date:

Part 3. Summary Rating

Initial Summary Rating	<input type="checkbox"/> Level 5 Outstanding	<input type="checkbox"/> Level 4 Commendable	<input type="checkbox"/> Level 3 Fully Successful	<input type="checkbox"/> Level 2 Minimally Satisfactory	<input type="checkbox"/> Level 1 Unsatisfactory
Rating Official's Name (Last, First, MI): Peter, Laura					
Rating Official's Signature:	Date:				
Executive's Signature:	Date:				
Reviewing Official's Signature (Optional):	Date:				

Higher Level Review (if applicable)

<input type="checkbox"/> I request a higher level review. Executive's Initials:	Date:
Higher Level Review Completed <input type="checkbox"/>	Date:
Higher Level Reviewer Signature:	

Performance Review Board Recommendation	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
PRB Chair Signature:	Date:				
Annual Summary Rating	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
Appointing Authority Signature:	Date:				

Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change			10%			475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
2. Leading People			10%			
3. Business Acumen			10%			
4. Building Coalitions			10%			
5. Results Driven			60%			
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

Critical Element 1. Leading Change**(Minimum weight 5 points)**

Weight 10%

Mandatory Performance Requirement: 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

1. The executive will actively lead updating of the OCIO Business Plan, derived from synthesizing the USPTO and OCIO Strategic plans. This OCIO Business Plan is to be reviewed and updated yearly as needed. Success in this standard will be measured by completing a yearly update to the OCIO Business Plan that encompasses and executes on the mission, vision and values of the office.
2. The executive will actively guide the OCIO leadership team through active participation in the bi-weekly Strategic Action Planning. These meetings are charged with effectively continuing a transformational change of the OCIO culture to embrace the most advanced, continuous build and deployment process (known as DevSecOps) to all IT development and systems. Success in this standard will be measured by the continued adoption of DevSecOps practices in automated delivery and testing, development practices and operational efficiencies and through the implementation of a culture of DevSecOps thinking across the organization.
3. Through leading change management, the executive will support a continuous process improvement program in the OCIO. The executive will ensure 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 yet effective; and an investment in the streamlining of at least two new and improved operational processes should take place in FY20. The executive will provide at least one organizational member to participate in a Process Excellence Program governing body.
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)*

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 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

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.

Promotes the protection of whistleblowers by: responding constructively when an employee makes disclosures described in subparagraph (A) or (B) of section 2302(b)(8); taking responsible actions to resolve disclosures; and fostering an environment in which employees of the agency feel comfortable making disclosures to supervisory employees or other appropriate authorities.

1. The executive will lead their organization through continual communication of vision, direction and progress to all levels of staff and to customers. This communication is both horizontal among Executives and vertically within the OCIO organization. The executive will actively participate in regular All Hands (2 per year), and All Supervisors Meetings (4 per year) to encourage employee engagement at all levels to achieving the mission and vision defined in the OCIO Strategic plan. Messaging throughout the organization will be positive, inclusive and collaborative to foster the high ethical standards. The organization will support through its leadership constructive conflict resolution while supporting an environment that fosters development of its employees to their full potential. Success in this goal will be measured by the completion of at least 2 all hands meetings, 4 all supervisors meetings; a yearly updated Business Plan and associated budget on time; and weekly messages from the executives on the progress of their team.
2. 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 encouraging participation in employee surveys 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
3. Human Resource Management - Effectively analyze and 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.
 - a. Continue collaboration with HR/LR/ER with union support, to maintain employee PAP alignment with the OCIO assigned tasking and structure to support 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.).

Rating Official Narrative: *(Optional)*

Critical Element Rating – Leading People

 Level 5 Level 4 Level 3 Level 2 Level 1

Critical Element 3. Business Acumen**(Minimum weight 5 points)****Weight 10%**

Mandatory Performance Requirement: 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

1. Human Information Resource - Effectively analyze and utilize technology and other resources to provide transparency and trust regarding human resources.
 - a. Stretch goal of organizational authorized Full Time Equivalent (FTE) positions filled - Target 100% of approved vacancies for FY 2020.
 - b. Ensure hiring needs are most effective for the most prioritized plan and the best resources are available to ensure business owner satisfaction of implementation of IT project.
2. 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:
 - 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.
3. 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) Success in this goal is measured by 98% of projects kicked off as per plan (minus any change due to budget variances)
 - ii. Percent of Project Inventory executed as planned based on kick off date by Quarter. (Reflects project execution timeliness). Success in 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%**

Mandatory Performance Requirement: 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

1. The executive will work directly on meeting and exceeding the needs of the customers by robustly 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.
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 to provide the most cooperative and open relationship. The key success factors of relationship is facilitating an open exchange of opinion from diverse groups with strengthen internal and external support that will result in the effective partnership(s) among parties and all the business units to achieve the goals and mission of the OCIO Business Plan. With this approach, OCIO can develop demand driven products and services to enhance customer satisfaction among the business units to improve professional network and alliances within the agency.
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, business unit reviews, and independent meetings in order to demonstrate IT improvements. With this approach, OCIO can develop demand driven products and services to enhance internal and external customer satisfaction to improve professional network and alliances within the agency and beyond.

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%
<p>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).</p>	
<p>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.</p>	
<p>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.</p>	
<p>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.</p>	
<p>Performance Requirement 1: Maximize Technical Stability and Supportability for Product (40%) (Performance Metrics TBD)</p> <ul style="list-style-type: none"> a) Maintain Technical Debt Heat map b) Maintain Versioning of Desktop Applications c) Stabilize Non-production Environments d) Stabilize Audio Visual and Conferencing Capabilities <ul style="list-style-type: none"> - Implement Enterprise Services - Asset Management - Virtual Collaboration Phones, A/V, Skype - Call Centers e) Maintain EA Lifecycle Management of Product/Technology f) Reclaim and optimize system utilization g) Promote code reuse h) Maintain Assets and optimize CMDB i) Explore Hybrid Cloud Usage j) Adopt Chaos Engineering techniques to maximize stability & reliability k) Adopt Observability techniques to maximize application supportability l) Adopt Resilience Engineering techniques to maximize stability & supportability 	<p>Strategic Alignment:</p> <p>USPTO 2018–2022 Strategic Plan</p> <p>Mission Support Goals: Deliver Organizational Excellence; Objective 2: Optimize Speed, Quality and Cost-Effectiveness of IT Delivery to Achieve Business Value</p>
<p>Performance Requirement 2: Maximized Automation and Standardization of Products and Services (20%) (Performance Metrics TBD)</p> <ul style="list-style-type: none"> 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 <ul style="list-style-type: none"> - Rationalize and reuse standardize enterprise applications - Adopt Hybrid Multi-Cloud first policy where appropriate 	<p>Strategic Alignment:</p> <p>USPTO 2018–2022 Strategic Plan</p> <p>Mission Support Goals: Deliver Organizational Excellence; Objective 2: Optimize Speed, Quality and Cost-Effectiveness of IT Delivery to Achieve Business Value</p>

<p>Performance Requirement 3: Maximize Usage of Identity Management & Standardization of Access Controls for Products (15%) (Performance Metrics TBD)</p> <ul style="list-style-type: none"> a) Maintain and enhance Role Based Access Control and Integration b) Enhance Resiliency and Governance 	<p>Strategic Alignment: USPTO 2018–2022 Strategic Plan</p> <p>Mission Support Goals: Deliver Organizational Excellence; Objective 2: Optimize Speed, Quality and Cost-Effectiveness of IT Delivery to Achieve Business Value</p>				
<p>Performance Requirement 4: Maximize new Technology solutions through Data to Solve Business Problems (25%) (Performance Metrics TBD)</p> <ul style="list-style-type: none"> a) Explore use of new Technology solutions and establish guideline on usage b) Establish and maintain Data Governance, Data Strategy, Data Quality and Data standards c) Improve IT transparency Practice/focus on IT demand-side spending for grater business cost optimization 	<p>Strategic Alignment: USPTO 2018–2022 Strategic Plan</p> <p>Mission Support Goals: Deliver Organizational Excellence; Objective 2: Optimize Speed, Quality and Cost-Effectiveness of IT Delivery to Achieve Business Value</p>				
<p>Rating Official Narrative: <i>(Optional)</i></p>					
<p>Critical Element Rating – Results Driven</p>	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1

Part 6: Summary Rating Narrative *(Mandatory)*

Part 7: Executive's Accomplishment Narrative *(Optional)*

Part 8: Agency Use

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 Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 2		X 20			
Performance Requirement 3		X 15			
Performance Requirement 4		X 25			
		= 100%			
Performance Requirement Total Score				___ = 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
Performance Requirement 1	4	x 25	100	Points 475 – 500 = Level 5 Rating Score Points 400 – 474 = Level 4 Rating Score Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 2	5	x 30	150		
Performance Requirement 3	5	x 15	75		
Performance Requirement 4	3	x 30	90		
		= 100%			
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>I have reviewed this plan and have been consulted on its development.</i>						
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				Organization: OCIO		
Rating Official's Name: Russell (b)(6)				CA <input type="checkbox"/> NC <input type="checkbox"/> LT/LE <input type="checkbox"/>		
Rating Official's Signature: (b)(6)				Date: 4/25/16		
Part 2. Progress Review						
Executive's Signature: (b)(6)				Date: 6/17/16		
Rating Official's Signature: (b)(6)				Date: 6/17/16		
Reviewing Official's Signature (Optional):				Date:		
Part 3. Summary Rating						
(b)(6)						
Initial Summary Rating						
(b)(6)						
Rating Official's Name (Last, First, Middle Initial): (b)(6)						
Rating Official's Signature: (b)(6)				Date: 10/19/16		
Executive's Signature: (b)(6)				Date: 10/19/16		
Reviewing Official's Signature (Optional): (b)(6)				Date:		
Higher Level Review (if applicable)						
<input type="checkbox"/> I request a higher level review. Executive's Initials:				Date:		
Higher Level Review Completed <input type="checkbox"/>				Date:		
Higher Level Reviewer Signature:						
Performance Review Board Recommendation				(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						
Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change	(b)(6)		10%	(b)(6)		475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
2. Leading People	(b)(6)		10%	(b)(6)		
3. Business Acumen	(b)(6)		10%	(b)(6)		
4. Building Coalitions	(b)(6)		10%	(b)(6)		
5. Results Driven	(b)(6)		60%	(b)(6)		
Total			100%			

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
<p>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.</p>	<p>(b)(6)</p>
<p>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.</p>	
<p>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.</p>	
<p>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.</p>	

Rating Official Narrative: *(Optional)*

(b)(6)

Critical Element 2. Leading People

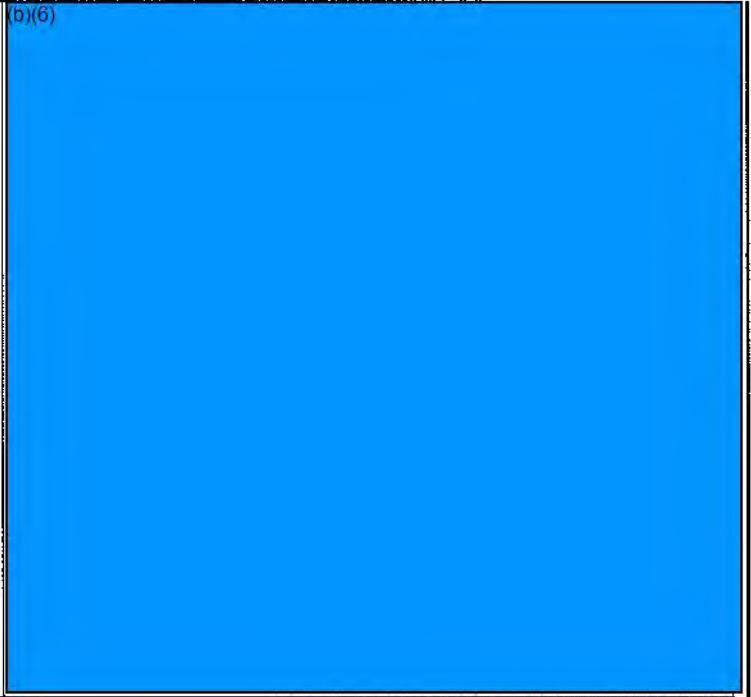
(Minimum weight 5%) Weight 10%

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
<p>1. <i>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]</i></p>	(b)(6)
<p>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.</p>	
<p>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.).</p>	
<p>c. Stretch goal of organizational authorized Full Time Equivalents (FTE) positions filled - Target 100% of approved vacancies for FY 2015.</p>	
<p>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</p>	
<p>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</p>	

Capital Plan.

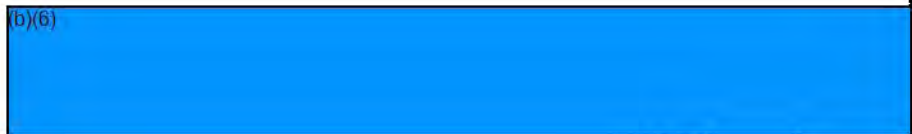
(b)(6)



Rating Official Narrative: *(Optional)*

Critical Element Rating – Leading People

(b)(6)



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.			
<p>[Note: This goal is highly dependant on Office of Procurement collaboration]</p>			
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).

(b)(6)



(b)(6)



Withheld pursuant to exemption

(b)(6)

of the Freedom of Information and Privacy Act

Withheld pursuant to exemption

(b)(6)

of the Freedom of Information and Privacy Act

Withheld pursuant to exemption

(b)(6)

of the Freedom of Information and Privacy Act

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 accurate a defensible FY17 and FY18 financial plan.

[Note: This goal is highly dependant on Office of Procurement and Business Unit collaboration]

(b)(6)

Rating Official Narrative: *(Optional)*

Critical Element Rating – Business Acumen

(b)(6)

Critical Element 4. Building Coalitions	(Minimum weight 5%)	Weight 10%
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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.	

Rating Official Narrative: *(Optional)*

Critical Element Rating – Building Coalitions	(b)(6)
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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)
2. Boyers Alternate Processing site Tier readiness Tier 3 and Tier 2 established.		
3. 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		
6. TMNG eFile: 1) Deploy all Attorney actions in eFile for closed beta; 2) Conduct Open beta		

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

(b)(6)

12. Data Dissemination
Complete big data pan
and establish
technology base;
generate two useful
reports.

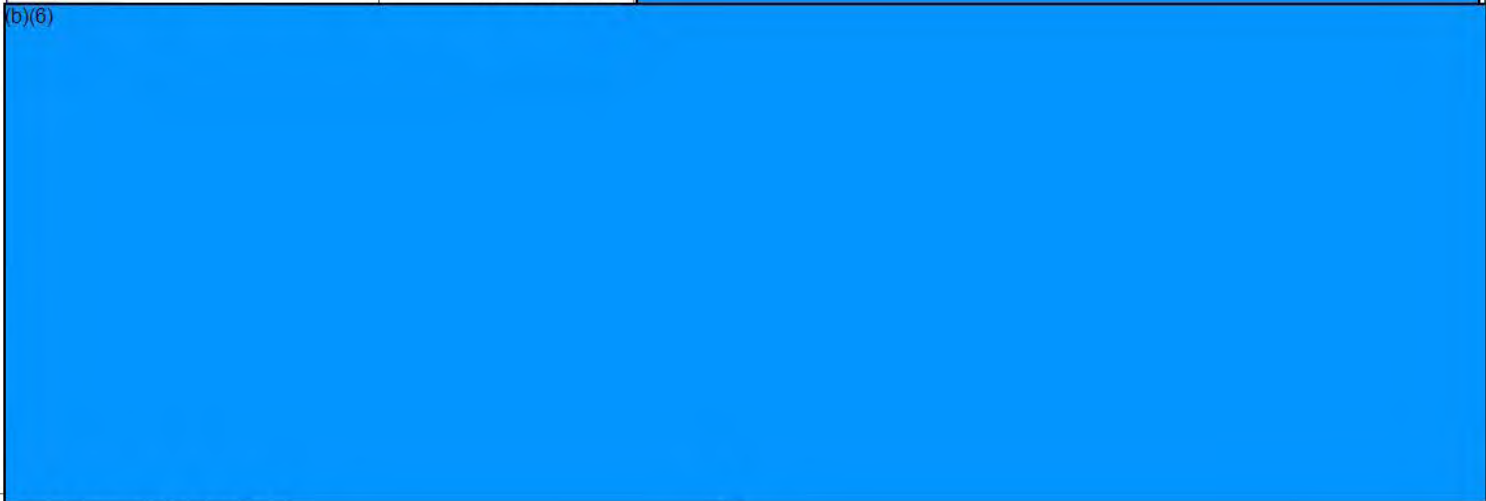
13. Complete transition of
O&M contracts and
update of Operation
Support Plans (OSPs)
and achieve 99.9%
overall system uptime

14. POA&M Remediation -
No POA&M items
delayed for 90
days. **Stretch:** No
POA&M items delayed
for 60 days.

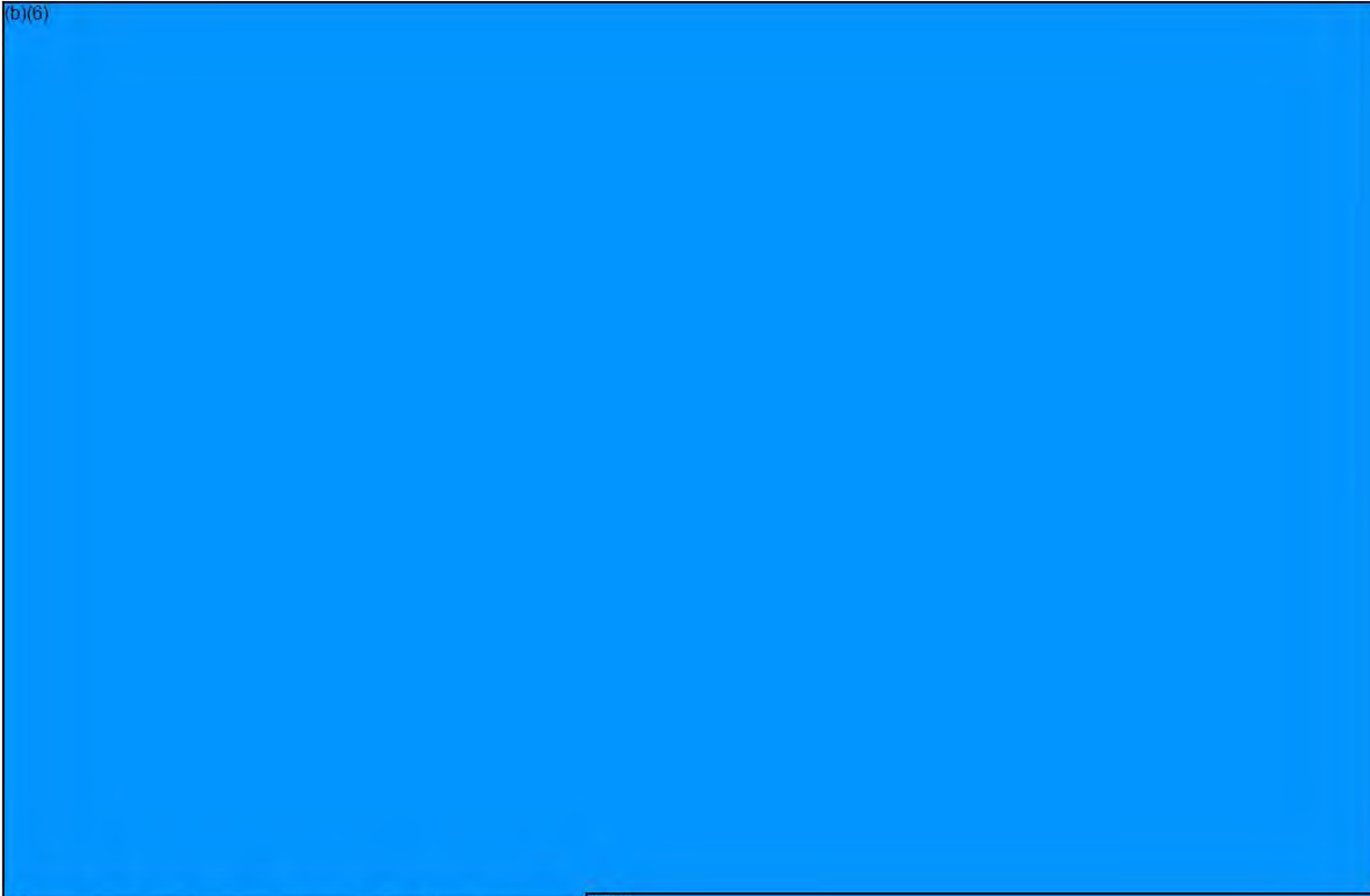
(b)(6)



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.	1. Management Goal: Achieve Organizational Excellence 1. 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)



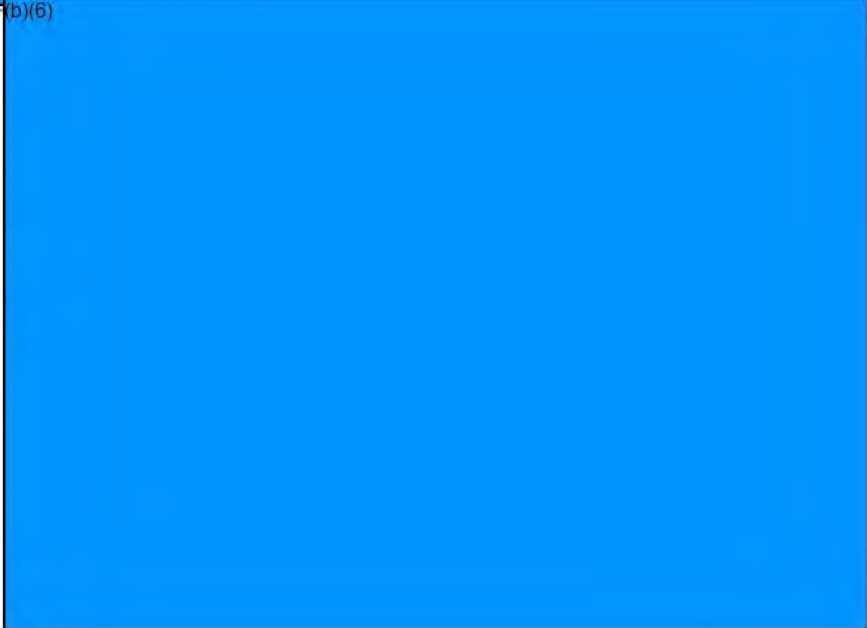
(b)(6)



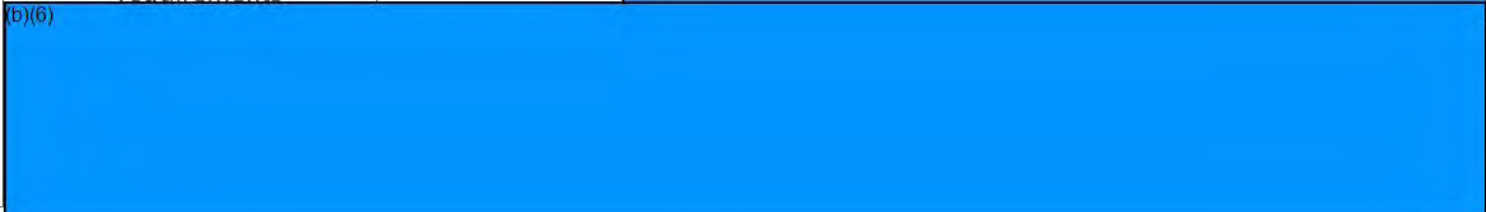
3. Provide executive leadership in meeting all federally mandated security requirements including the use of PIV cards, adherence to Financial audit standards, timely adherence to annual security training, and adherence to Assessment and Authorization requirements

3. Management Goal: Achieve Organizational Excellence
 1. Leverage Benefits of IT Investments

(b)(6)



(b)(6)



(b)(6)

<p>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.</p>	<p>4. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments</p>	<p>(b)(6)</p>
<p>5. Provide all federally mandated reports including the completion and submission of the</p>	<p>5. Management Goal: Achieve Organizational Excellence</p>	<p>(b)(6)</p>

<p>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).</p>	<p>1. Leverage Benefits of IT Investments</p>	<p>(b)(6)</p>
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Performance Requirement 3: Service Delivery (Office Level) (20%)	Strategic Alignment:	Status:
<p>1. Provide executive leadership in ensuring timely execution of contract renewals by completing all procurement actions without any interruption in service.</p>	<p>1-4. Management Goal: Achieve</p>	<p>(b)(6)</p>
<p>2. Implement CFO directed Procurement Improvements to help protect the agency from adverse actions, audits and investigations.</p>	<p>Organizational Excellence</p> <p>1. Leverage Benefits of IT Investments</p>	
<p>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.</p>		

(b)(6)

(b)(6)

Rating Official Narrative: *(Optional)*

Critical Element Rating – Results Driven

(b)(6)

Part 6: Summary Rating Narrative *(Mandatory)*

Blank area for Part 6: Summary Rating Narrative

Part 7: Executive's Accomplishment Narrative *(Optional)*

Blank area for Part 7: Executive's Accomplishment Narrative

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 Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 2					
Performance Requirement 3					
Performance Requirement 4					
		= 100%			
Performance Requirement Total Score				___ = 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
Performance Requirement 1		x 25		Points 475 – 500 = Level 5 Rating Score Points 400 – 474 = Level 4 Rating Score Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 2		x 30			
Performance Requirement 3		x 15			
Performance Requirement 4		x 30			
		= 100%			
Performance Requirement Total Score					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, John

(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 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 Slifer	CA <input type="checkbox"/> NC <input type="checkbox"/> LT/LE <input type="checkbox"/>
Rating Official's Signature: (b)(6)	Date: 10/19/16

Part 2. Progress Review

Executive's Signature: (b)(6)	Date: 5/2/17
Rating Official's Signature: (b)(6)	Date: 5/2/17
Reviewing Official's Signature (Optional):	Date:

Part 3. Summary Rating

Initial Summary Rating (b)(6)	
Rating Official's Name (Last, First, MI): Slifer, Russell Scardino Anthony P	
Rating Official's Signature: (b)(6)	Date: 11/3/17
Executive's Signature:	Date:
Reviewing Official's Signature (Optional): (b)(6)	Date:

Higher Level Review (if applicable)

<input type="checkbox"/> I request a higher level review. Executive's Initials:	Date:
Higher Level Review Completed (b)(6)	Date: 11/6/17
Higher Level Reviewer Signature: (b)(6)	

Performance Review Board Recommendation

PRB Chair Signature: (b)(6)	Date:
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Annual Summary Rating

Appointing Authority Signature: (b)(6)	Date:
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Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change	(b)(6)		10%	(b)(6)		475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
2. Leading People			10%			
3. Business Acumen			10%			
4. Building Coalitions			10%			
5. Results Driven			60%			
Total			100%			

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
<p>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.</p>	(b)(6)
<p>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.</p>	
<p>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.</p>	
<p>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</p>	

Employee Viewpoint Survey, focus groups and other initiatives.

(b)(6)

Rating Official Narrative: *(Optional)*

Critical Element Rating – Leading Change

(b)(6)



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
<p>1. <i>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]</i></p>	(b)(6)
<p>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.</p>	
<p>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.).</p>	
<p>c. Stretch goal of organizational authorized Full Time Equivalents (FTE) positions filled - Target 100% of approved vacancies for FY 2017.</p>	
<p>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</p>	

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)*

Critical Element Rating – Leading People

(b)(6)

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.			
<p style="text-align: center;">[Note: This goal is highly dependant on Office of Procurement collaboration]</p>			
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)*

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.	(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.	

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%)

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. Retire eDan	1 - 12. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments	(b)(6)
2. Deploy PE2E Beta of OC		
3. Deploy PE2E Beta EST		
4. Trademark legacy systems (TEAS, TTABVUE, TTABIS, ESTTTA) enhanced to support four regulatory changes including a Jan 2017 fee adjustment.		
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 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

(b)(6)

(b)(6)

Core
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
is dependent upon Application
readiness and availability.*

12. Deploy 4,000 new laptops in
2017. Stretch – deploy 5,700
by end of year.

(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. **Stretch:** No POA&M items delayed for 60 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)

<p>Note: partially subject to auditor perception/opinion.</p>	<p>Investments</p>	
<p>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%.</p>	<p>2. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments</p>	<p>(b)(6)</p>
<p>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</p>	<p>3. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments</p>	

		(b)(6)
<p>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.</p>	<p>4. Management Goal: Achieve Organizational Excellence</p> <ol style="list-style-type: none"> 1. Leverage Benefits of IT Investments 	(b)(6)
<p>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).</p>	<p>5. Management Goal: Achieve Organizational Excellence</p> <ol style="list-style-type: none"> 1. Leverage Benefits of IT Investments 	(b)(6)

Performance Requirement 3: Service	Strategic Alignment:	Status:
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Delivery (Office Level) (20%)		
<p>1. Provide executive leadership in ensuring timely execution of contract renewals by completing all procurement actions without any interruption in service.</p>	<p>1-4. Management Goal: Achieve</p> <p>Organizational Excellence</p> <p>1. Leverage Benefits of IT Investments</p>	(b)(6)
<p>2. Implement CFO directed Procurement Improvements to help protect the agency from adverse actions, audits and investigations.</p>		
<p>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.</p>		

Rating Official Narrative: *(Optional)*

(b)(6)

Critical Element Rating – Results Driven

(b)(6)

Part 6: Summary Rating Narrative *(Mandatory)*

(b)(6)



Part 7: Executive's Accomplishment Narrative *(Optional)*

Part 8: Agency Use



SES Performance Management System Executive Performance Agreement



Part 1. Consultation. <i>I have reviewed this plan and have been consulted on its development.</i>						
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				Organization: OCIO		
Rating Official's Name: Russell Slifer				CA <input type="checkbox"/> NC <input type="checkbox"/> LT/LE <input type="checkbox"/>		
Rating Official's Signature: (b)(6)				Date: 4/25/16		
Part 2. Progress Review						
Executive's Signature: (b)(6)				Date: 6/17/16		
Rating Official's Signature: (b)(6)				Date: 6/17/16		
Reviewing Official's Signature (Optional):				Date:		
Part 3. Summary Rating						
Initial Summary Rating (b)(6)						
Rating Official's Name (Last, First, MI): Slifer, Russell						
Rating Official's Signature: (b)(6)				Date: 10/19/16		
Executive's Signature: (b)(6)				Date: 10/19/16		
Reviewing Official's Signature (Optional):				Date:		
Higher Level Review (if applicable)						
<input type="checkbox"/> I request a higher level review. Executive's Initials: _____ Date: _____						
Higher Level Review Completed <input type="checkbox"/> Date: _____						
Higher Level Reviewer Signature: _____						
Performance Review Board Recommendation				(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						
Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change	(b)(6)		10%	(b)(6)		475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
2. Leading People			10%			
3. Business Acumen			10%			
4. Building Coalitions			10%			
5. Results Driven			60%			
Total			100%			

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
<p>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.</p>	(b)(6)
<p>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.</p>	
<p>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.</p>	
<p>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.</p>	

Rating Official Narrative: *(Optional)*

(b)(6)

Critical 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
<p>1. <i>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]</i></p>	(b)(6)
<p>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.</p>	
<p>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.).</p>	
<p>c. Stretch goal of organizational authorized Full Time Equivalents (FTE) positions filled - Target 100% of approved vacancies for FY 2015.</p>	
<p>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</p>	
<p>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</p>	

Capital Plan.

(b)(6)



Rating Official Narrative: *(Optional)*

Critical Element Rating – *Leading People*

(b)(6)



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.			
<p>[Note: This goal is highly dependant on Office of Procurement collaboration]</p>			
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).

(b)(6)

***** Program Management Division FY16 – Mid Year**

Deployment Assessment:

(b)(6)

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

Deployments by Business Area:

Business Area	CR Only Deployments Assessed			Project Related Deployments Assessed			Totals			Products Deployed/Affected		
	<i>Fiscal Year</i>	<i>FY16*</i>	<i>FY15</i>	<i>FY14</i>	<i>FY16*</i>	<i>FY15</i>	<i>FY14</i>	<i>FY16*</i>	<i>FY15</i>	<i>FY14</i>	<i>FY16*</i>	<i>FY15</i>
Corporate Dissemination Patents PTAB Trademark TTAB Infrastructure	(b)(6)											
Total												
Infrastructure Maint Activities	(b)(6)											
GRAND TOTAL												

Deployments by Office:

Office / Division	CR Only Deployments Assessed		Project Related Deployments Assessed		Infrastructure Maintenance Activities	
	<i>FY16*</i>	<i>FY15</i>	<i>FY16*</i>	<i>FY15</i>	<i>FY16*</i>	<i>FY15</i>
OPG OPAO OAED.CSD OAED.PSD OAED.TSD	(b)(6)					

OIEO
OIMS
OFMS
GRAND
TOTAL

(b)(6)

Program Management

(b)(6)

*

Withheld pursuant to exemption

(b)(6)

of the Freedom of Information and Privacy Act

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 accurate a defensible FY17 and FY18 financial plan.

[Note: This goal is highly dependant on Office of Procurement and Business Unit collaboration]

(b)(6)

Rating Official Narrative: *(Optional)*

Critical Element Rating – Business Acumen

(b)(6)

Critical Element 4. Building Coalitions	(Minimum weight 5%)	Weight 10%
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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
<ol style="list-style-type: none"> 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)
<ol style="list-style-type: none"> 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. 	
<ol style="list-style-type: none"> 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. 	

Rating Official Narrative: *(Optional)*

<i>Critical Element Rating – Building Coalitions</i>	(b)(6)
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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)
2. Boyers Alternate Processing site Tier readiness Tier 3 and Tier 2 established.		
3. 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		
6. TMNG eFile: 1) Deploy all Attorney actions in eFile for closed beta; 2) Conduct Open beta		

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

(b)(6)

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. **Stretch:** No
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.	1. Management Goal: Achieve Organizational Excellence 1. 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)

(b)(6)

<p>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</p>	<p>3. Management Goal: Achieve Organizational Excellence</p> <ol style="list-style-type: none">1. Leverage Benefits of IT Investments	<p>(b)(6)</p>
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*** PIV Card:

(b)(6)

(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)

<p>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).</p>	<p>1. Leverage Benefits of IT Investments</p>	<p>(b)(6)</p>
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Performance Requirement 3: Service Delivery (Office Level) (20%)	Strategic Alignment:	Status:
<p>1. Provide executive leadership in ensuring timely execution of contract renewals by completing all procurement actions without any interruption in service.</p>	<p>1-4. Management Goal: Achieve</p>	<p>(b)(6)</p>
<p>2. Implement CFO directed Procurement Improvements to help protect the agency from adverse actions, audits and investigations.</p>	<p>Organizational Excellence</p> <p>1. Leverage Benefits of IT Investments</p>	<p>(b)(6)</p>
<p>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.</p>		<p>(b)(6)</p>

(b)(6)

(b)(6)

Rating Official Narrative: *(Optional)*

Critical Element Rating – Results Driven

(b)(6)

Part 6: Summary Rating Narrative *(Mandatory)*

Blank area for Part 6: Summary Rating Narrative

Part 7: Executive's Accomplishment Narrative *(Optional)*

Blank area for Part 7: Executive's Accomplishment Narrative

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 Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 2					
Performance Requirement 3					
Performance Requirement 4					
		= 100%			
Performance Requirement Total Score				___ = 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
Performance Requirement 1		x 25		Points 475 – 500 = Level 5 Rating Score Points 400 – 474 = Level 4 Rating Score Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 2		x 30			
Performance Requirement 3		x 15			
Performance Requirement 4		x 30			
		= 100%			
Performance Requirement Total Score					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, John

(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 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 Slifer	CA <input type="checkbox"/> NC <input type="checkbox"/> LT/LE <input type="checkbox"/>
Rating Official's Signature: (b)(6)	Date: 10/19/16

Part 2. Progress Review

Executive's Signature: (b)(6)	Date: 5/2/17
Rating Official's Signature: (b)(6)	Date: 5/2/17
Reviewing Official's Signature (Optional):	Date:

Part 3. Summary Rating

Initial Summary Rating	(b)(6)	
Rating Official's Name (Last, First, MI): Slifer, Russell Scardino, Anthony P		
Rating Official's Signature: (b)(6)	Date: 11/3/17	
Executive's Signature:	Date:	
Reviewing Official's Signature (Optional): (b)(6)	Date:	

Higher Level Review (if applicable)

<input type="checkbox"/> I request a higher level review.	Executive's Initials:	Date:
Higher Level Review Completed	(b)(6)	Date: 11/6/17
Higher Level Reviewer Signature:	(b)(6)	

Performance Review Board Recommendation

PRB Chair Signature: (b)(6)	Date:
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Annual Summary Rating

Appointing Authority Signature: (b)(6)	Date:
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Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change	(b)(6)		10%	(b)(6)		475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
2. Leading People			10%			
3. Business Acumen			10%			
4. Building Coalitions			10%			
5. Results Driven			60%			
Total			100%			

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)

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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%

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Agency-Specific Performance Requirements	Status
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<p>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.</p>	
<p>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.</p>	
<p>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</p>	

Employee Viewpoint Survey, focus groups and other initiatives.

(b)(6)

Rating Official Narrative: *(Optional)*

Critical Element Rating – Leading Change

(b)(6)

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
<p>1. <i>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]</i></p>	(b)(6)
<p>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.</p>	
<p>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.).</p>	
<p>c. Stretch goal of organizational authorized Full Time Equivalents (FTE) positions filled - Target 100% of approved vacancies for FY 2017.</p>	
<p>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</p>	

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)*

Critical Element Rating – Leading People

(b)(6)

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.		
<p style="text-align: center;">[Note: This goal is highly dependant on Office of Procurement collaboration]</p>		
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)*

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.	(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.	

Rating Official Narrative: *(Optional)*

Critical Element Rating – Building Coalitions

<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input checked="" type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
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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. Retire eDan	1 - 12. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments	(b)(6)
2. Deploy PE2E Beta of OC		
3. Deploy PE2E Beta EST		
4. Trademark legacy systems (TEAS, TTABVUE, TTABIS, ESTTTA) enhanced to support four regulatory changes including a Jan 2017 fee adjustment.		
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 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

(b)(6)

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

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

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

<p>Note: partially subject to auditor perception/opinion.</p>	<p>Investments</p>	<p>(b)(6)</p>
<p>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%.</p>	<p>2. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments</p>	<p>(b)(6)</p>
<p>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</p>	<p>3. Management Goal: Achieve Organizational Excellence 1. Leverage Benefits of IT Investments</p>	<p>(b)(6)</p>

(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

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

Performance Requirement 3: Service

Strategic Alignment:

Status:

Delivery (Office Level) (20%)		
<p>1. Provide executive leadership in ensuring timely execution of contract renewals by completing all procurement actions without any interruption in service.</p>	<p>1-4. Management Goal: Achieve</p> <p>Organizational Excellence</p> <p>1. Leverage Benefits of IT Investments</p>	(b)(6)
<p>2. Implement CFO directed Procurement Improvements to help protect the agency from adverse actions, audits and investigations.</p>		
<p>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.</p>		

Rating Official Narrative: *(Optional)*

(b)(6)

Critical Element Rating – Results Driven

(b)(6)

Part 6: Summary Rating Narrative *(Mandatory)*

(b)(6)



Part 7: Executive's Accomplishment Narrative *(Optional)*

Part 8: Agency Use

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 (<i>Last, First, MI</i>): Holcombe, Henry J.	Appraisal Pd. 2/12/2019 - 09/30/2019
Executive's Signature: (b)(6)	Date: 16 APR 2019
Title: Chief Information Officer	Organization: OCIO
Rating Official's Name (<i>Last, First, MI</i>): Peter, Laura	CA <input type="checkbox"/> NC <input type="checkbox"/> LT/LE <input type="checkbox"/>
Rating Official's Signature: (b)(6)	Date: 2 July 2019

Part 2. Progress Review

Executive's Signature:	Date:
Rating Official's Signature:	Date:
Reviewing Official's Signature (<i>Optional</i>):	Date:

Part 3. Summary Rating

Initial Summary Rating	<input type="checkbox"/> Level 5 Outstanding	<input type="checkbox"/> Level 4 Commendable	<input type="checkbox"/> Level 3 Fully Successful	<input type="checkbox"/> Level 2 Minimally Satisfactory	<input type="checkbox"/> Level 1 Unsatisfactory
Rating Official's Name (<i>Last, First, MI</i>): Peter, Laura					
Rating Official's Signature:				Date:	
Executive's Signature:				Date:	
Reviewing Official's Signature (<i>Optional</i>):				Date:	

Higher Level Review (if applicable)

<input type="checkbox"/> I request a higher level review. Executive's Initials:	Date:
Higher Level Review Completed <input type="checkbox"/>	Date:
Higher Level Reviewer Signature:	

Performance Review Board Recommendation

Performance Review Board Recommendation	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
PRB Chair Signature:	Date:				

Annual Summary Rating

Annual Summary Rating	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
Appointing Authority Signature:	Date:				

Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change			10%			475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
2. Leading People			10%			
3. Business Acumen			10%			
4. Building Coalitions			10%			
5. Results Driven			60%			
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

Critical Element 1. Leading Change**(Minimum weight 5 points) Weight 10%**

Mandatory Performance Requirement: 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

1. The executive will actively lead updating of the OCIO Business Plan, derived from synthesizing the USPTO and OCIO Strategic plans. This OCIO Business Plan is to be review and updated yearly as needed. Success in this standard will be measured by completing a yearly update to the OCIO Business Plan that encompasses and executes on the mission, vision and values of the office.
2. The executive will actively guide the OCIO leadership team through active participation in the bi-weekly Strategic Action Planning and DevOps Council meetings. These meetings are charged with effectively continuing a transformational change of the OCIO culture to embrace the most advanced, continuous build and deployment process (known as DevOps) to all IT development and systems. Success in this standard and the continued adoption of DevOps will be measured by the continued adoption of DevOps practices in automated delivery and testing, development practices and operational efficiencies and through the implementation of a culture of DevOps thinking across the organization.
3. Through leading change management, the executive will support a continuous process improvement program in the OCIO. The executive will ensure 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 yet effective; and an investment in the streamlining of at least two new and improved operational processes should take place in FY19. The executive will provide at least one organizational member to participate in a Process Excellence Program governing body once established.
4. Develops strategies and takes appropriate actions to implement IT stabilization, modernization, and governance efforts and initiatives as directed.

Rating Official Narrative: *(Optional)*

Critical Element Rating – Leading Change

 Level 5 Level 4 Level 3 Level 2 Level 1

Critical Element 2. Leading People points)	(Minimum weight 5	Weight 10%
<p>Mandatory Performance Requirement: 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.</p>		
Agency-Specific Performance Requirements		
<p><i>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.</i></p>		
<p><i>Promotes the protection of whistleblowers by: responding constructively when an employee makes disclosures described in subparagraph (A) or (B) of section 2302(b)(8); taking responsible actions to resolve disclosures; and fostering an environment in which employees of the agency feel comfortable making disclosures to supervisory employees or other appropriate authorities.</i></p>		
<ol style="list-style-type: none"> 1. The executive will lead their organization through continual communication of vision, direction and progress to all levels of staff and to customers. This communication is both horizontal among Executives and vertically within the OCIO organization. The executive will actively participate in regular All Hands (2 per year), and All Supervisors Meetings (4 per year) to encourage employee engagement at all levels to achieving the mission and vision defined in the OCIO Strategic plan. Messaging throughout the organization will be positive, inclusive and collaborative to foster the high ethical standards. The organization will support through its leadership constructive conflict resolution while supporting an environment that fosters development of its employees to their full potential. Success in this goal will be measured by the completion of at least 2 all hands meetings, 4 all supervisors meetings; a yearly updated Business Plan and associated budget on time; and All Employee weekly messages from the CIO on the progress of our team. 2. 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 3. Human Resource Management - Effectively analyze and 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 <ol style="list-style-type: none"> 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.). 		
Rating Official Narrative: (Optional)		
Critical Element Rating – Leading People	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4
	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2
		<input type="checkbox"/> Level 1

Critical Element 3. Business Acumen**(Minimum weight 5 points)**

Weight 10%

Mandatory Performance Requirement: 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

1. Human Information Resource - Effectively analyze and utilize technology and other resources to provide transparency and trust regarding human resources. **[Note: This goal is highly dependant on OHR collaboration]**
 - a. Stretch goal of organizational authorized Full Time Equivalent (FTE) positions filled - Target 100% of approved vacancies for FY 2019.
 - b. Ensure hiring needs are most effective for the most prioritized plan and the best resources are available to ensure business owner satisfaction of implementation of IT project.
2. 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:
 - 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]
3. 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) Success in this goal is measured by 98% of projects kicked off as per plan (minus any change due to budget variances)

[Note: This goal is highly dependant on Office of Procurement and Business Unit collaboration]
 - ii. Percent of Project Inventory executed as planned based on kick off date by Quarter. (Reflects project execution timeliness). Success in this goal is measured by 90% execution by quarter

[Note: This goal is highly dependant on Office of Procurement and Business Unit collaboration]
4. 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 accurate defensible FY20 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**(Minimum weight 5 points)****Weight 10%**

Mandatory Performance Requirement: 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

1. The executive will work directly on meeting and exceeding the needs of the customers by robustly 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.
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 to provide the most cooperative and open relationship. The key success factors of relationship is facilitating an open exchange of opinion from diverse groups with strengthen internal and external support that will result in the effective partnership(s) among parties and all the business units to achieve the goals and mission of the OCIO Business Plan. With this approach, OCIO can develop demand driven products and services to enhance customer satisfaction among the business units to improve professional network and alliances within the agency.
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. With this approach, OCIO can develop demand driven products and services to enhance internal and external customer satisfaction to improve professional network and alliances within the agency and beyond.

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%)

1. 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).
2. 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 2019 Patent 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.
4. 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.
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 Quiet 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, QUALITY, 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
8. 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.
10. 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.
11. 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.
12. 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 COST-
EFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
ACHIEVE BUSINESS VALUE
Initiative D. Maintain effective legacy
systems during transition to their
retirement

GOAL 1 - 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 COST-
EFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
ACHIEVE BUSINESS VALUE

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

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

1. No repeat findings for the Annual Financial Audit. **Stretch:** Removal of significant deficiency (control weaknesses only). **Note:** partially subject to auditor perception/opinion.
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%.
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.
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 COST-
EFFECTIVENESS OF INFORMATION
TECHNOLOGY DELIVERY TO
ACHIEVE BUSINESS VALUE

<p>Performance Requirement 3: Service Delivery (Office Level) (20%)</p> <ol style="list-style-type: none"> 1. Provide executive leadership in ensuring timely execution of contract renewals by completing all procurement actions without any interruption in service. 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 (IATIT). Success in this standard will be measured by obtaining an ATO or IATIT for 100% of all Government and Contractors systems. 	<p>Strategic Alignment:</p> <p>USPTO 2018 – 2022 Strategic Plan, OBJECTIVE 2: OPTIMIZE SPEED, QUALITY, AND COST- EFFECTIVENESS OF INFORMATION TECHNOLOGY DELIVERY TO ACHIEVE BUSINESS VALUE</p>				
<p>Performance Requirement 4:</p>	<p>Strategic Alignment:</p>				
<p>Rating Official Narrative: (Optional)</p>					
<p><i>Critical Element Rating – Results Driven</i></p>	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1

Part 6: Summary Rating Narrative *(Mandatory)*

Part 7: Executive's Accomplishment Narrative *(Optional)*

Part 8: Agency Use

Deriving the Results Driven Rating Worksheet

Executive Name Holcombe, Henry

Rating Period FY 2019

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 Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 2					
Performance Requirement 3					
Performance Requirement 4					
		= 100%			
Performance Requirement Total Score				___ = 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
Performance Requirement 1	4	x 25	100	Points 475 – 500 = Level 5 Rating Score Points 400 – 474 = Level 4 Rating Score Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 2	5	x 30	150		
Performance Requirement 3	5	x 15	75		
Performance Requirement 4	3	x 30	90		
		= 100%			
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 have reviewed this plan and have been consulted on its development.*

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 Officer	Organization: OCIO
Rating Official's Name (Last, First, MI): Peter, Laura	CA <input checked="" type="checkbox"/> NC <input type="checkbox"/> LT/LE <input type="checkbox"/>
Rating Official's Signature: (b)(6)	Date: 9/30/2019

Part 2. Progress Review

Executive's Signature:	Date:
Rating Official's Signature:	Date:
Reviewing Official's Signature (Optional):	Date:

Part 3. Summary Rating

Initial Summary Rating	<input type="checkbox"/> Level 5 Outstanding	<input type="checkbox"/> Level 4 Commendable	<input type="checkbox"/> Level 3 Fully Successful	<input type="checkbox"/> Level 2 Minimally Satisfactory	<input type="checkbox"/> Level 1 Unsatisfactory
Rating Official's Name (Last, First, MI): Peter, Laura					
Rating Official's Signature:	Date:				
Executive's Signature:	Date:				
Reviewing Official's Signature (Optional):	Date:				

Higher Level Review (if applicable)

<input type="checkbox"/> I request a higher level review. Executive's Initials:	Date:
Higher Level Review Completed <input type="checkbox"/>	Date:
Higher Level Reviewer Signature:	

Performance Review Board Recommendation	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
PRB Chair Signature:	Date:				
Annual Summary Rating	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
Appointing Authority Signature:	Date:				

Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change			10%			475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
2. Leading People			10%			
3. Business Acumen			10%			
4. Building Coalitions			10%			
5. Results Driven			60%			
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

Critical Element 1. Leading Change**(Minimum weight 5 points)**

Weight 10%

Mandatory Performance Requirement: 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

1. The executive will actively lead updating of the OCIO Business Plan, derived from synthesizing the USPTO and OCIO Strategic plans. This OCIO Business Plan is to be reviewed and updated yearly as needed. Success in this standard will be measured by completing a yearly update to the OCIO Business Plan that encompasses and executes on the mission, vision and values of the office.
2. The executive will actively guide the OCIO leadership team through active participation in the bi-weekly Strategic Action Planning. These meetings are charged with effectively continuing a transformational change of the OCIO culture to embrace the most advanced, continuous build and deployment process (known as DevSecOps) to all IT development and systems. Success in this standard will be measured by the continued adoption of DevSecOps practices in automated delivery and testing, development practices and operational efficiencies and through the implementation of a culture of DevSecOps thinking across the organization.
3. Through leading change management, the executive will support a continuous process improvement program in the OCIO. The executive will ensure 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 yet effective; and an investment in the streamlining of at least two new and improved operational processes should take place in FY20. The executive will provide at least one organizational member to participate in a Process Excellence Program governing body.
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)*

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 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

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.

Promotes the protection of whistleblowers by: responding constructively when an employee makes disclosures described in subparagraph (A) or (B) of section 2302(b)(8); taking responsible actions to resolve disclosures; and fostering an environment in which employees of the agency feel comfortable making disclosures to supervisory employees or other appropriate authorities.

1. The executive will lead their organization through continual communication of vision, direction and progress to all levels of staff and to customers. This communication is both horizontal among Executives and vertically within the OCIO organization. The executive will actively participate in regular All Hands (2 per year), and All Supervisors Meetings (4 per year) to encourage employee engagement at all levels to achieving the mission and vision defined in the OCIO Strategic plan. Messaging throughout the organization will be positive, inclusive and collaborative to foster the high ethical standards. The organization will support through its leadership constructive conflict resolution while supporting an environment that fosters development of its employees to their full potential. Success in this goal will be measured by the completion of at least 2 all hands meetings, 4 all supervisors meetings; a yearly updated Business Plan and associated budget on time; and weekly messages from the executives on the progress of their team.
2. 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 encouraging participation in employee surveys 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
3. Human Resource Management - Effectively analyze and 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.
 - a. Continue collaboration with HR/LR/ER with union support, to maintain employee PAP alignment with the OCIO assigned tasking and structure to support 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.).

Rating Official Narrative: *(Optional)*

Critical Element Rating – Leading People

 Level 5 Level 4 Level 3 Level 2 Level 1

Critical Element 3. Business Acumen**(Minimum weight 5 points)****Weight 10%**

Mandatory Performance Requirement: 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

1. Human Information Resource - Effectively analyze and utilize technology and other resources to provide transparency and trust regarding human resources.
 - a. Stretch goal of organizational authorized Full Time Equivalent (FTE) positions filled - Target 100% of approved vacancies for FY 2020.
 - b. Ensure hiring needs are most effective for the most prioritized plan and the best resources are available to ensure business owner satisfaction of implementation of IT project.
2. 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:
 - 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.
3. 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) Success in this goal is measured by 98% of projects kicked off as per plan (minus any change due to budget variances)
 - ii. Percent of Project Inventory executed as planned based on kick off date by Quarter. (Reflects project execution timeliness). Success in 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%**

Mandatory Performance Requirement: 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

1. The executive will work directly on meeting and exceeding the needs of the customers by robustly 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.
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 to provide the most cooperative and open relationship. The key success factors of relationship is facilitating an open exchange of opinion from diverse groups with strengthen internal and external support that will result in the effective partnership(s) among parties and all the business units to achieve the goals and mission of the OCIO Business Plan. With this approach, OCIO can develop demand driven products and services to enhance customer satisfaction among the business units to improve professional network and alliances within the agency.
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, business unit reviews, and independent meetings in order to demonstrate IT improvements. With this approach, OCIO can develop demand driven products and services to enhance internal and external customer satisfaction to improve professional network and alliances within the agency and beyond.

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%
<p>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).</p>	
<p>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.</p>	
<p>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.</p>	
<p>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.</p>	
<p>Performance Requirement 1: Maximize Technical Stability and Supportability for Product (40%) (Performance Metrics TBD)</p> <ul style="list-style-type: none"> a) Maintain Technical Debt Heat map b) Maintain Versioning of Desktop Applications c) Stabilize Non-production Environments d) Stabilize Audio Visual and Conferencing Capabilities <ul style="list-style-type: none"> - Implement Enterprise Services - Asset Management - Virtual Collaboration Phones, A/V, Skype - Call Centers e) Maintain EA Lifecycle Management of Product/Technology f) Reclaim and optimize system utilization g) Promote code reuse h) Maintain Assets and optimize CMDB i) Explore Hybrid Cloud Usage j) Adopt Chaos Engineering techniques to maximize stability & reliability k) Adopt Observability techniques to maximize application supportability l) Adopt Resilience Engineering techniques to maximize stability & supportability 	<p>Strategic Alignment:</p> <p>USPTO 2018–2022 Strategic Plan</p> <p>Mission Support Goals: Deliver Organizational Excellence; Objective 2: Optimize Speed, Quality and Cost-Effectiveness of IT Delivery to Achieve Business Value</p>
<p>Performance Requirement 2: Maximized Automation and Standardization of Products and Services (20%) (Performance Metrics TBD)</p> <ul style="list-style-type: none"> 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 <ul style="list-style-type: none"> - Rationalize and reuse standardize enterprise applications - Adopt Hybrid Multi-Cloud first policy where appropriate 	<p>Strategic Alignment:</p> <p>USPTO 2018–2022 Strategic Plan</p> <p>Mission Support Goals: Deliver Organizational Excellence; Objective 2: Optimize Speed, Quality and Cost-Effectiveness of IT Delivery to Achieve Business Value</p>

<p>Performance Requirement 3: Maximize Usage of Identity Management & Standardization of Access Controls for Products (15%) (Performance Metrics TBD)</p> <ul style="list-style-type: none"> a) Maintain and enhance Role Based Access Control and Integration b) Enhance Resiliency and Governance 	<p>Strategic Alignment: USPTO 2018–2022 Strategic Plan</p> <p>Mission Support Goals: Deliver Organizational Excellence; Objective 2: Optimize Speed, Quality and Cost-Effectiveness of IT Delivery to Achieve Business Value</p>				
<p>Performance Requirement 4: Maximize new Technology solutions through Data to Solve Business Problems (25%) (Performance Metrics TBD)</p> <ul style="list-style-type: none"> a) Explore use of new Technology solutions and establish guideline on usage b) Establish and maintain Data Governance, Data Strategy, Data Quality and Data standards c) Improve IT transparency Practice/focus on IT demand-side spending for grater business cost optimization 	<p>Strategic Alignment: USPTO 2018–2022 Strategic Plan</p> <p>Mission Support Goals: Deliver Organizational Excellence; Objective 2: Optimize Speed, Quality and Cost-Effectiveness of IT Delivery to Achieve Business Value</p>				
<p>Rating Official Narrative: <i>(Optional)</i></p>					
<p>Critical Element Rating – Results Driven</p>	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1

Part 6: Summary Rating Narrative *(Mandatory)*

Part 7: Executive's Accomplishment Narrative *(Optional)*

Part 8: Agency Use

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 Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 2		X 20			
Performance Requirement 3		X 15			
Performance Requirement 4		X 25			
		= 100%			
Performance Requirement Total Score				___ = 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
Performance Requirement 1	4	x 25	100	Points 475 – 500 = Level 5 Rating Score Points 400 – 474 = Level 4 Rating Score Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 2	5	x 30	150		
Performance Requirement 3	5	x 15	75		
Performance Requirement 4	3	x 30	90		
		= 100%			
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.