

## General Counsel ES-0905 Alexandria, Virginia

### I. Introduction

The USPTO's Office of General Counsel plays a vital role in the USPTO's mission to issue patents and trademarks. It does so by providing timely and innovative legal advice which promotes innovation and creativity. The General Counsel serves as the Under Secretary for Commerce and Director of the USPTO's principal legal advisor. The General Counsel supervises the provision of legal advice and court representation on intellectual property and administrative matters for the agency. In addition the General Counsel is responsible for providing legal advice on patent, trademark and copyright matters as well as administrative issues such as government contracts, personnel, and budgetary matters.

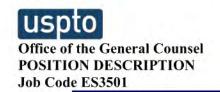
Legal advisory opinions rendered by the General Counsel are relied on by the U/S in establishing policy and procedures of the USPTO. The General Counsel's supervision of court work ensures that the USPTO's views are skillfully presented to court and administrative forums.

### **II. Duties**

The General Counsel for the USPTO is responsible for the following:

- Chief legal advisor to the Under Secretary of Commerce for Intellectual Property and Director of the United States Patent and Trademark Office.
- Supervising the Offices of the Solicitor, Office of General Law and the Office of Enrollment and Discipline.
- Developing legal positions for patent, trademark and copyright litigation before the Federal Courts, including the U.S. Supreme Court, U.S. Court of Appeals for the Federal Circuit, U.S district courts, and regional U.S. courts of appeals,
- Participating in the development of legislative proposals for revisions to patent and trademark statutes.
- Legal review and drafting of patent and trademark regulations.
- Rendering legal advice in all areas of general law, including procurement, employment, fiscal, Freedom of Information Act, Privacy Act and regulatory matters.
- Supervising all enrollment and discipline matters for registered patent practitioners and attorneys handling trademark matters.
- Public outreach to and speaking engagements at various organizations involved in intellectual property law matters.

A highly qualified candidate would have substantial experience in litigating patent and trademark cases in the Federal Courts and applying knowledge of intellectual property law in cases involving complex legal and technological issues. An in-depth understanding of the USPTO's organic statute and the agency's rule making process is highly desirable along with an understanding of the American's Invent Act. In addition, a highly qualified candidate would have



a minimum of fifteen years of senior legal practice experience. Commitment to the highest ethical and professional standards; personal and professional integrity beyond reproach; unquestioned discretion in maintaining confidentiality.

Excellent written and oral communications skills in public and private settings with diverse audiences; ability to translate complex legal issues for a lay audience.

Strong leadership and interpersonal skills, able to collaborate with a diverse population, and ability to relate well with Senior Administration, political staff, government officials, and external audiences.

## III. Educational Requirement

The incumbent must have a law degree and membership in good standing of the Bar of any state, District of Columbia, Puerto Rico, or any territorial court under the Constitution.

## IV. Professional Technical Qualifications

The incumbent must possess the following Professional Technical Qualifications:

- 1. General knowledge of patent, trademark and copyright statutes, regulations and court decisions, including the America Invents Act.
- Demonstrated ability to advise senior executives on complex legal issues.
- 3. Ability to manage a law office and budget with approximately 100 staff members.
- 4. Ability to work closely with the USPTO user community, trade associations and bar associations.

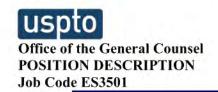
## V. Executive Core Qualifications

The incumbent must possess the following Executive Core Qualifications:

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

### VI. Supervision and Guidance

The incumbent provides oversight and directions within the Office of the General Counsel, including the coordination of the day-to-day activities of assigned staff. The incumbent develops procedures for program operations and oversees assignment and completion of functions. He



also assures that an active effort is made to promote diversity within the organization and outside the organization through personnel outreach efforts.

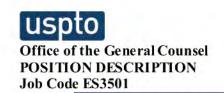
The incumbent reports to the Deputy Under Secretary. Performance is judged in terms of accomplishment of objectives and overall effectiveness. The incumbent functions with extremely wide latitude and is expected to exercise independent judgment in deciding course of action, keeping the Deputy Under Secretary informed of significant events.

## VII. SES Designation

The General Counsel 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 for this position is listed as 6N, there is not a drug testing requirement for this position.



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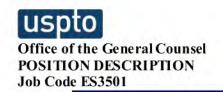
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# SES Performance Management System Executive Performance Plan



Part 1. Consultation.	I have review	red this plan a	nd have been	consulted on it	ts develop	ment.				
Executive's Name (Last		farris, Sarah Ţ	, /			Appraisal Pd.	10/1/19 - 9/30/20			
Executive's Signature:	(b)(6)					Date: 9/30	Date: 9 30/19			
Title: General Counsel							Organization:			
Rating Official's Name (Last, First, MI): Peter, Laura							LT/LE			
Rating Official's Signatu	ure: (b)(6)					Date: 9/	30/2019			
Part 2. Progress Revie	w									
Executive's Signature:	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	LEACH .				Date:				
Rating Official's Signatu	ıre:		16 minus			Date:				
Reviewing Official's Sig		onal):	- ini			Date:				
Part 3. Summary Ratir										
	(b)(6)									
Initial Summary Rating	Outstand	_	ceeds Fully ccessful	Fully Succe	ssful	Minimally Satisfactory	Unsatisfactory			
Rating Official's Name	(Last, First, N	11): Peter, Lau	ra							
Rating Official's Signatu	ıre:			11.1		Date:				
Executive's Signature:					Date:					
Reviewing Official's Sign	nature (Optio	onal):		/		Date:				
Higher Level Review (if	applicable)									
I request a higher le	vel review.	Executive's !	nitials:			Date:				
Higher Level Review Co	mpleted				els less ar	Date:				
Higher Level Reviewer	Signature:			* *************************************						
Performance Review B	oard Recomi	nendation	(b)(6)	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	-					
PRB Chair Signature:		,				Date:				
Annual Summary Ratin	a		(b)(6)							
Appointing Authority Si			10000			Date:				
Part 4. Derivation Form	T	culation of Ar	nual Summar	v Pating		- Dute.				
rait 4. Delivation for		ent Rating	illuar Surrimar	Scor						
Critical Element	Initial	Final  (if changed)	Weight	e. 4.2. Sc	Final changed	Summai	ry Level Ranges			
1. Leading Change	(b)(6)		(b)(6)			A7C C	500 = Level 5			
Leading People     Business Acumen						0.0.25	174 = Level 4			
4. Building Coalitions	-						199 = Level 3			
5. Results Driven							.99 = Level 2			
Total			100 points			Any CE rate	d Level 1 = Level 1			

### Part 5. Performance Standards and Critical Elements

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

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

Elemen	t Ratins	: Level	l Points
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Level 5 = 5 points Level 4 = 4 points

Level 3 = 3 points

Level 2 = 2 paints

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

Rating Official Narrative: (Optional)

Critical Element Rating - Leading Change

(b)(6)

### 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.

Rating Official Narrative: (Optional)

Critical Element Rating - Leading People

(b)(6)

(b)(6)

Critical Element Rating - Building Coalitions

### 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: 35%

Fosters effective working relationships with the Front Office and the clients by providing sound legal advice that is consistent with applicable laws, regulations, and policies, and effectively address client's legal issues and objectives.

Strategic Alignment:

USPTO 2018-2022 Strategic Plan

Goal #: 3

Objective(s) #: 1

Performance Requirement 2: 35%

Provides timely and accurate legal strategies that responds to the needs of the agency in order to minimize potential risks and advance the agency's mission. Strategies on legal issues and deadlines affecting clients are consistent with Service Legal Agreements.

Mission Support Goal Objective(s) #: 4

Strategic Alignment:

USPTO 2018-2022 Strategic Plan

Goal #: 3

Objective(s) #: 1

Performance Requirement 3: 30%

In accordance with legal and policy guidance, advocate and educate government and private sector external stakeholders on USPTO's positions and/or policy standpoints in order to reach compatible outcome that promote USPTO's objectives.

Mission Support Goal Objective(s) #: 4

Strategic Alignment:

USPTO 2018-2022 Strategic Plan

Goal #: 3

Objective(s) #: 1

Mission Support Goal

Objective(s) #: 4

Rating Official Narrative: (Optional)

Critical Element Rating - Results Driven

(b)(6)

Executive Name: Sarah T. Harris Rating Period: 10/01/19 - 9/30/20

Results Driven	Performance	Weight	Performance	Point Ranges to Rating Level Score	Results Driven
Performance	Requirement	(multiply	Requirement		Initial Element
Requirements	Rating Level	by)	Points Score		Score
(PR)	Score				
				Points 475 – 500 = Level 5 Rating	
Performance	[			Score	
Requirement 1				Points 400 – 474 = Level 4 Rating	
				Score	
Performance				Points 300 – 399 = Level 3 Rating	
Requirement 2				Score	
				Points 200 - 299 = Level 2 Rating	
Performance				Score	
Requirement 3				Any PR rated Level 1 overall score	
				must be = Level 1 Rating Score	
Performance			, i		
Requirement 4					
		= 100%			
Performance					
Requirement				= Level	
Total Score					

**Example of Results Driven Element Being Rated Level 4** 

Results Driven	Performance	Weight	Performance	Point Ranges to Rating Level Score	Results Driven
Performance	Requirement	(multiply	Requirement		Initial Element
Requirements	Rating Level	by)	Points Score		Score
(PR)	Score				
				Points 475 – 500 = Level 5 Rating	
Performance	4	x 25	100	Score	
Requirement 1				Points 400 – 474 = Level 4 Rating	
Performance	5	x 30	150	Score	
Requirement 2				Points 300 399 = Level 3 Rating	
Performance	5	x 15	75	Score	
Requirement 3				Points 200 – 299 = Level 2 Rating	
Performance	3	x 30	90	Score	
Requirement 4				Any PR rated Level 1 overall score	
		= 100%		must be = Level 1 Rating Score	
Performance				111111111111111111111111111111111111111	
Requirement			415	415≍ Level 4	4*
Total Score					

<sup>\*</sup>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 Plan



Part 1. Consultation. /	have revie	wed this plan a	nd have been	consulted or	its developm	ent.		
Executive's Name (Last,			. /			Apprais	sal Pd. 10	0/1/18 - 9/30/19
Executive's Signature:	(b)(6)					Date:	9/25/	18
Title: General Counsel	,					Organi	, ,	
Rating Official's Name (I	Last, First,	MI): Scardino, I	Anthony P.			CA 🛛	NC 🗌 I	T/LE 🗌
Rating Official's Signatur	re: (b)(	6)				Date:	9.2	8.18
Part 2. Progress Review		1	0					
Executive's Signature:	(b)(6)					Date:	5.6.	19
Rating Official's Signatur	re: (b)(6)					Date:		
Reviewing Official's Sign	ature (Opt	rional):				Date:		
Part 3. Summary Rating								
Initial Summary Rating	(b)(6) Outstan	-	eeds Fully ccessful	Fully Suc		linimall atisfacto		Unsatisfactory
Rating Official's Name (L	ast, First,	MI): PETER	Lower	A	and the second s			
Rating Official's Signatur	e: (b)(6)			ora, surreanti land		Date:	14/28	8/2019
Executive's Signature:	b)(6)					Date:	10/2	8/2019
Reviewing Official's Sign	ature (Opt	ional):				Date:		
Higher Level Review (if	applicable)							
☐ I request a higher lev	el review.	Executive's I	nitials:			Date:		
Higher Level Review Con	npleted		And the second s	CHARLES F. 3		Date:		
Higher Level Reviewer Si	ignature:	- Commission of the commission	and the state of t					
Performance Review Bo	ard Recon	nmendation	(b)(6)					
PRB Chair Signature:							Date:	
Annual Summary Rating	7		(b)(6)					
Appointing Authority Sig	nature:						Date:	
Part 4. Derivation Form	ula and Ca	lculation of An	nual Summai	ry Rating				
		ent Rating Final			core Final			I. I. D
Critical Element  1. Leading Change	(b)(6)	(if changed) (b)(6)	Weight (b)(6)	Initial	(if changed)	5	ummary	Level Ranges
2. Leading People 3. Business Acumen 4. Building Coalitions 5. Results Driven	(-)(-)	(8)(0)		lla vo		Anv	400-47 300-39 200-29	0 = Level 5 4 = Level 4 9 = Level 3 9 = Level 2 Level 1 = Level 1
Total		A PARTY	100 points	(b)(6)		Ally	or raced	2070.2 2070.1

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	) 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
ı		i

Executive Name and ID: Sarah T. Harris

Appraisal Period: 10/01/18 - 9/30/19

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

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Agency-Specific Performance Requirements

Rating Official Narrative: (Optional)

Critical Element Rating – Leading Change

(b)(6)

### Critical Element 2. Leading People

(Minimum weight 5 points) | Weight 10%

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3

Rating Official Narrative: (Optional)

Critical Element Rating – Leading People

(b)(6)

### Critical Element 5. Results Driven

Critical Element Rating - Results Driven

(Minimum Weight 20 points)

Weight 60%

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Performance Requirement 1: 35% Fosters effective working relationships with the Director and the clients by providing sound legal advice that is consistent with applicable laws, regulations, and policies, and effectively address client's legal issues and objectives.	Strategic Alignment: (b)(6)
Performance Requirement 2: 35%	Strategic Alignment:
Provides timely and accurate legal strategies that responds to the needs of the agency in order to minimize potential risks and advance the agency's mission. Strategies on legal issues and deadlines affecting clients are consistent with Service Legal Agreements.	(b)(6)
Performance Requirement 3: 30% In accordance with legal and policy guidance, advocate and educate government and private sector external stakeholders on USPTO's positions and/or policy standpoints in order to reach compatible outcome that promote USPTO's objectives.	Strategic Alignment: (b)(6)
Rating Official Narrative: (Optional)	

(b)(6)

Executive Name and ID: Sarah T. Harris	Appraisal Period: 10/01/18 - 9/30/19		
Part 6: Summary Rating Narrative (Mandatory)			
Part 7: Executive's Accomplishment Narrative (Optional)			
	4444		
Part 8: Agency Use			
$\cdot$			

Results Driven	Performance	Weight	Performance	Point Ranges to Rating Level Score	Results Driven
Performance	Requirement	(multiply	Requirement		Initial Element
Requirements	Rating Level	by)	Points Score		Score
(PR)	Score				
				Points 475 – 500 = Level 5 Rating	, , , , , , , , , , , , , , , , , , ,
Performance				Score	
Requirement 1	ĺ			Points 400 – 474 = Level 4 Rating	
•				Score	
Performance				Points 300 – 399 = Level 3 Rating	The state of the s
Requirement 2			!	Score	
•				Points 200 – 299 = Level 2 Rating	
Performance				Score	
Requirement 3				Any PR rated Level 1 overall score	
				must be = Level 1 Rating Score	
Performance				<del>-</del>	
Requirement 4					
reguli enterio					
	u Name saude en	= 100%	Mark and a Tribble		
Performance					
Requirement				≃ Level	}
Total Score					

**Example of Results Driven Element Being Rated Level 4** 

Results Driven	Performance	Weight	Performance	Point Ranges to Rating Level Score	Results Driven
Performance	Requirement	(multiply	Requirement		Initial Element
Requirements	Rating Level	by)	Points Score		Score
(PR)	Score				
				Points 475 – 500 = Level 5 Rating	4.55.
Performance	4	x 25	100	Score	
Requirement 1				Points 400 – 474 = Level 4 Rating	
Performance	5	x 30	150	Score	
Requirement 2				Points 300 – 399 = Level 3 Rating	
Performance	5	x <b>1</b> 5	75	Score	
Requirement 3	<u> </u>			Points 200 – 299 = Level 2 Rating	_,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,
Performance	3	x 30	90	Score	
Requirement 4				Any PR rated Level 1 overall score	
		- 100%		must be = Level 1 Rating Score	
Performance					
Requirement			<b>41</b> 5	415= Level 4	4*
Total Score					

<sup>\*</sup>Results Driven Rating is 4 – to be transferred to Initial Element Score beside Results Driven Critical Element on the bottom of page 1.

# FY 2019 Year End Review - Sarah Harris

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# **Business Acumen**

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	- Building Coalitions (10%)
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## Sarah Harris FY 2019 Mid-Year Review

Leadin	g Change
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ECQ 4	– Building Coalitions (10%)
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## **Results Driven**

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# SES Performance Management System Executive Performance Plan



Part 1. Consultation. I have reviewed this plan and have been consulted on its development.									
Executive's Name (Last,	Executive's Name (Last, First, MI): Harris, Sarah T. Appraisal Pd. 10/1/18 – 9/30/19							.8 - 9/30/19	
Executive's Signature: (b)(6)							Date: 4 25 / 18		
Title: General Counsel	,							ization:	
Rating Official's Name (	Last, First, I	VII): Scardino, A	nthony P.				CA 🛛	NC LT/LE	
Rating Official's Signatu	re: (b)(6	5)					Date:	9.28	18
Part 2. Progress Review	v	,	1						
Executive's Signature:	(b)(6)						Date:	5.6.10	3
Rating Official's Signatu	re: (b)(6)				(-)		Date:	4	
Reviewing Official's Sign	ature (Opt	ional):		•			Date:	MARK THE	
Part 3. Summary Rating	2								
	(b)(6)								
Initial Summary Rating									
Rating Official's Name (L	ast, First, I	11): PETER.	Lywan	A					
Rating Official's Signatur	The second secon						Date:	10/28/2	019
Executive's Signature:	b)(6)			a			Date:	10/28/2	019
Reviewing Official's Sign	ature (Opti	onal):					Date:	7	
Higher Level Review (if	applicable)					,			
I request a higher lev	el review.	Executive's In	itials:				Date:		
Higher Level Review Cor	npleted						Date:	The state of the s	- A today
Higher Level Reviewer S	ignature:	- Commence of Street, Prince	***************************************	10 - 1 00					THE RESERVE THE PARTY OF THE PA
Performance Review Bo	ard Recom	mendation	Level	5 Le	evel 4	Le	vel 3	Level 2	Level 1
PRB Chair Signature:								Date:	
Annual Summary Rating	7		Level	5 Le	evel 4	Le	vel 3	Level 2	Level 1
Appointing Authority Sig								Date:	
Part 4. Derivation Form	ula and Ca	Iculation of An	nual Summa	ry Rating					
	7	ent Rating			core				
1000000		Final			Fir				l n
Critical Element	Initial (b)(6)	(if changed)	Weight (b)(6)	Initial	(if cha	nged)	1 - 5	Summary Leve	Ranges
Leading Change     Leading People	(5)(6)		(b)(6)					475-500 = L	evel 5
3. Business Acumen 400-474 = Level 4					evel 4				
4. Building Coalitions	4. Building Coalitions 300-399 = Level 3								
5. Results Driven  200-299 = Level 2  Any CE rated Level 1 = Level 1									
Total		A DESCRIPTION OF THE PERSON OF	100 points	(b)(6)			Any	CE rated Leve	11 = Level 1

### Part 5. Performance Standards and Critical Elements

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

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

	) 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
ı		i

Executive Name and ID: Sarah T. Harris			Appraisa	l Period: 10/0	01/18 - 9/30/19
Critical Element 3. Business Acumen		(1)	Viinimum wei	ght 5 points)	Weight 10%
Mandatory Performance Requirement: Assesse information resources in a manner that instills put to enhance processes and decision making. Execute and manages resources.	ublic trust and acc	complishes the	organization'	s mission. Use	es technology
Agency-Specific Performance Requirements					
•					
Rating Official Narrative: (Optional)			-		
Third of the an indirective. (Optionally					
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	r <del></del>	······································	p		
	<u> </u>	[ FTTT ]		I 🗀	1:1:1
Critical Element Rating – Business Acumen	Level 5	Level 4	Level 3	Level 2	Level 1
Critical Element 4. Building Coalitions		(IV	linimum weig	ht 5 points)	Weight 10%
Critical Element 4. Building Coalitions  Mandatory Performance Requirement: Solicits a customers. Coordinates with appropriate parties facilitate an open exchange of opinion from diver advocates, and expresses facts and ideas in a con externally, as appropriate. Develops a profession	and considers fee to maximize inpu se groups and str vincing manner a al network with o	(N) dback from int it from the wid rengthen interi ind negotiates	finimum weig ernal and extendest range of a nal and extern with individua	ht 5 points) ernal stakehole appropriate stal al support. Ex als and groups	Weight 10% ders or akeholders to splains, internally and
Critical Element 4. Building Coalitions  Mandatory Performance Requirement: Solicits a customers. Coordinates with appropriate parties facilitate an open exchange of opinion from diver advocates, and expresses facts and ideas in a con	and considers fee to maximize inpu se groups and str vincing manner a al network with o	(N) dback from int it from the wid rengthen interi ind negotiates	finimum weig ernal and extendest range of a nal and extern with individua	ht 5 points) ernal stakehole appropriate stal al support. Ex als and groups	Weight 10% ders or akeholders to splains, internally and
Critical Element 4. Building Coalitions  Mandatory Performance Requirement: Solicits a customers. Coordinates with appropriate parties facilitate an open exchange of opinion from diver advocates, and expresses facts and ideas in a con externally, as appropriate. Develops a profession external politics that affect the work of the organ	and considers fee to maximize inpu se groups and str vincing manner a al network with o	(N) dback from int it from the wid rengthen interi ind negotiates	finimum weig ernal and extendest range of a nal and extern with individua	ht 5 points) ernal stakehole appropriate stal al support. Ex als and groups	Weight 10% ders or akeholders to splains, internally and
Critical Element 4. Building Coalitions  Mandatory Performance Requirement: Solicits a customers. Coordinates with appropriate parties facilitate an open exchange of opinion from diver advocates, and expresses facts and ideas in a con externally, as appropriate. Develops a profession external politics that affect the work of the organ	and considers fee to maximize inpu se groups and str vincing manner a al network with o	(N) dback from int it from the wid rengthen interi ind negotiates	finimum weig ernal and extendest range of a nal and extern with individua	ht 5 points) ernal stakehole appropriate stal al support. Ex als and groups	Weight 10% ders or akeholders to splains, internally and
Critical Element 4. Building Coalitions  Mandatory Performance Requirement: Solicits a customers. Coordinates with appropriate parties facilitate an open exchange of opinion from diver advocates, and expresses facts and ideas in a con externally, as appropriate. Develops a profession external politics that affect the work of the organ	and considers fee to maximize inpu se groups and str vincing manner a al network with o	(N) dback from int it from the wid rengthen interi ind negotiates	finimum weig ernal and extendest range of a nal and extern with individua	ht 5 points) ernal stakehole appropriate stal al support. Ex als and groups	Weight 10% ders or akeholders to splains, internally and
Critical Element 4. Building Coalitions  Mandatory Performance Requirement: Solicits a customers. Coordinates with appropriate parties facilitate an open exchange of opinion from diver advocates, and expresses facts and ideas in a con externally, as appropriate. Develops a profession external politics that affect the work of the organ	and considers fee to maximize inpu se groups and str vincing manner a al network with o	(N) dback from int it from the wid rengthen interi ind negotiates	finimum weig ernal and extendest range of a nal and extern with individua	ht 5 points) ernal stakehole appropriate stal al support. Ex als and groups	Weight 10% ders or akeholders to splains, internally and
Critical Element 4. Building Coalitions  Mandatory Performance Requirement: Solicits a customers. Coordinates with appropriate parties facilitate an open exchange of opinion from diver advocates, and expresses facts and ideas in a con externally, as appropriate. Develops a profession external politics that affect the work of the organ	and considers fee to maximize inpu se groups and str vincing manner a al network with o	(N) dback from int it from the wid rengthen interi ind negotiates	finimum weig ernal and extendest range of a nal and extern with individua	ht 5 points) ernal stakehole appropriate stal al support. Ex als and groups	Weight 10% ders or akeholders to splains, internally and
Critical Element 4. Building Coalitions  Mandatory Performance Requirement: Solicits a customers. Coordinates with appropriate parties facilitate an open exchange of opinion from diver advocates, and expresses facts and ideas in a con externally, as appropriate. Develops a profession external politics that affect the work of the organ Agency-Specific Performance Requirements	and considers fee to maximize inpu se groups and str vincing manner a al network with o	(N) dback from int it from the wid rengthen interi ind negotiates	finimum weig ernal and extendest range of a nal and extern with individua	ht 5 points) ernal stakehole appropriate stal al support. Ex als and groups	Weight 10% ders or akeholders to splains, internally and
Critical Element 4. Building Coalitions  Mandatory Performance Requirement: Solicits a customers. Coordinates with appropriate parties facilitate an open exchange of opinion from diver advocates, and expresses facts and ideas in a con externally, as appropriate. Develops a profession external politics that affect the work of the organ	and considers fee to maximize inpu se groups and str vincing manner a al network with o	(N) dback from int it from the wid rengthen interi ind negotiates	finimum weig ernal and extendest range of a nal and extern with individua	ht 5 points) ernal stakehole appropriate stal al support. Ex als and groups	Weight 10% ders or akeholders to splains, internally and
Critical Element 4. Building Coalitions  Mandatory Performance Requirement: Solicits a customers. Coordinates with appropriate parties facilitate an open exchange of opinion from diver advocates, and expresses facts and ideas in a con externally, as appropriate. Develops a profession external politics that affect the work of the organ Agency-Specific Performance Requirements	and considers fee to maximize inpu se groups and str vincing manner a al network with o	(N) dback from int it from the wid rengthen interi ind negotiates	finimum weig ernal and extendest range of a nal and extern with individua	ht 5 points) ernal stakehole appropriate stal al support. Ex als and groups	Weight 10% ders or akeholders to splains, internally and
Critical Element 4. Building Coalitions  Mandatory Performance Requirement: Solicits a customers. Coordinates with appropriate parties facilitate an open exchange of opinion from diver advocates, and expresses facts and ideas in a con externally, as appropriate. Develops a profession external politics that affect the work of the organ Agency-Specific Performance Requirements	and considers fee to maximize inpu se groups and str vincing manner a al network with o	(N) dback from int it from the wid rengthen interi ind negotiates	finimum weig ernal and extendest range of a nal and extern with individua	ht 5 points) ernal stakehole appropriate stal al support. Ex als and groups	Weight 10% ders or akeholders to splains, internally and
Critical Element 4. Building Coalitions  Mandatory Performance Requirement: Solicits a customers. Coordinates with appropriate parties facilitate an open exchange of opinion from diver advocates, and expresses facts and ideas in a con externally, as appropriate. Develops a profession external politics that affect the work of the organ Agency-Specific Performance Requirements	and considers fee to maximize inpu se groups and str vincing manner a al network with o	(N) dback from int it from the wid rengthen interi ind negotiates	finimum weig ernal and extendest range of a nal and extern with individua	ht 5 points) ernal stakehole appropriate stal al support. Ex als and groups	Weight 10% ders or akeholders to splains, internally and
Critical Element 4. Building Coalitions  Mandatory Performance Requirement: Solicits a customers. Coordinates with appropriate parties facilitate an open exchange of opinion from diver advocates, and expresses facts and ideas in a con externally, as appropriate. Develops a profession external politics that affect the work of the organ Agency-Specific Performance Requirements	and considers fee to maximize inpu se groups and str vincing manner a al network with o	(N) dback from int it from the wid rengthen interi ind negotiates	finimum weig ernal and extendest range of a nal and extern with individua	ht 5 points) ernal stakehole appropriate stal al support. Ex als and groups	Weight 10% ders or akeholders to splains, internally and

Critical Element 5. Results Driven	(Minimum Weight 20 points)   Weight 60%
This critical element must have at least 1 performance requirement (there is should specify if it sets a maximum number).	no maximum number of requirements, agency
This critical element includes specific performance requirements expected of focusing on measurable results from the strategic plan or other measurable organizational goals and objectives. At a minimum, the performance require their quality indicators describing the range of performance at Level 3 for ear indicators, applicable measures of quantity, timelines, and/or cost-effectives recommended to also establish the threshold quality indicators and measures the same level of performance as the respective performance standard contributions.	outputs and outcomes clearly aligned to ements must contain measurable results and check result specified. In addition to the quality ness may be included as appropriate. It is es for Levels 5 and 2. Indicators must reflect
Strategic Alignment–identify clear, transparent alignment to agency strategic organizational goals/objectives with cited page numbers from the Strategic F Performance Plan, or other organizational planning document) in the designarequirement.	Plan, Congressional Budget Justification/Annual
<b>Note:</b> Performance requirements must contain results and quality indicators (e.g., highlighted, bold, underlined) so that it is readily evident on what the sexpected for success.	
Performance Requirement 1: 35%  Fosters effective working relationships with the Director and the clients by providing sound legal advice that is consistent with applicable laws, regulations, and policies, and effectively address client's legal issues and objectives.	Strategic Alignment:   Strategic Goal #4/Objective #3
Performance Requirement 2: 35% Provides timely and accurate legal strategies that responds to the needs of the agency in order to minimize potential risks and advance the agency's mission Strategies on legal issues and deadlines affecting clients are consistent with Service Legal Agreements.	
Performance Requirement 3: 30% In accordance with legal and policy guidance, advocate and educate government and private sector external stakeholders on USPTO's positions and/or policy standpoints in order to reach compatible outcome that promot USPTO's objectives.	Strategic Alignment: Strategic Goal #4/Objective #3 te
Rating Official Narrative: (Optional)	
Critical Element Rating – Results Driven	4 Level 3 Level 2 Level 1

Executive Name and ID: Sarah T. Harris	Appraisal Period: 10/01/18 - 9/30/19
Part 6: Summary Rating Narrative (Mandatory)	
Part 7: Executive's Accomplishment Narrative (Optional)	
	4444
Part 8: Agency Use	
$\cdot$	

Results Driven	Performance	Weight	Performance	Point Ranges to Rating Level Score	Results Driven
Performance	Requirement	(multiply	Requirement		Initial Element
Requirements	Rating Level	by)	Points Score		Score
(PR)	Score				
				Points 475 – 500 = Level 5 Rating	, , , , , , , , , , , , , , , , , , ,
Performance				Score	
Requirement 1	ĺ			Points 400 – 474 = Level 4 Rating	
•				Score	
Performance				Points 300 – 399 = Level 3 Rating	The state of the s
Requirement 2			!	Score	
•				Points 200 – 299 = Level 2 Rating	
Performance				Score	
Requirement 3				Any PR rated Level 1 overall score	
				must be = Level 1 Rating Score	
Performance				-	
Requirement 4					
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	i Tali sameta di Piran i Piran.	= 100%	Kara sara sara sara		
Performance					
Requirement				≃ Level	}
Total Score					

**Example of Results Driven Element Being Rated Level 4** 

Results Driven	Performance	Weight	Performance	Point Ranges to Rating Level Score	Results Driven
Performance	Requirement	(multiply	Requirement	_	Initial Element
Requirements	Rating Level	by)	Points Score		Score
(PR)	Score				
				Points 475 – 500 = Level 5 Rating	
Performance	4	x 25	100	Score	
Requirement 1				Points 400 – 474 = Level 4 Rating	
Performance	5	x 30	150	Score	
Requirement 2				Points 300 – 399 = Level 3 Rating	
Performance	5	x <b>1</b> 5	75	Score	
Requirement 3	<u> </u>			Points 200 – 299 = Level 2 Rating	
Performance	3	x 30	90	Score	
Requirement 4				Any PR rated Level 1 overall score	
		- 100%		must be = Level 1 Rating Score	
Performance					
Requirement			<b>41</b> 5	415= Levei 4	4*
Total Score					

<sup>\*</sup>Results Driven Rating is 4 – to be transferred to Initial Element Score beside Results Driven Critical Element on the bottom of page 1.

# FY 2019 Year End Review - Sarah Harris

Leading Change		
(b)(6)		
Leading People		
(b)(6)		

(b)(6)	
Business Acumen	949
(b)(6)	

(b)(6)				
	ding Coalitions (	10%)		
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Results Driven			
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## Sarah Harris FY 2019 Mid-Year Review

Leading Change	
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Q 4 – Building Coalitions	(10%)		
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o OED. (b)(6)			

Solicitor's Office. (b)(6)		
(b)(6)		
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(b)(6)		

# SES Performance Management System Executive Performance Plan



Part 1. Consultation. I have reviewed this plan and have been consulted on its develop	oment.		
Executive's Name (Last, First, MI): Harris, Sarah T.	Appraisal Pd. 10/1/17 – 9/30/18		
Executive's Signature: (b)(6)	Date: 1/2/17		
Title: General Counsel	Organization:		
Rating Official's Name (Last, First, MI): Scardino, Anthony P.	CA NC LT/LE		
Rating Official's Signature: (b)(6)	Date: 11/2/17		
Part 2. Progress Review			
Executive's Signature: (b)(6)	Date: 4/26/18		
Rating Official's Signature: (b)(6)	Date: 4/26/18		
Reviewing Official's Signature (Optional):	Date:		
Part 3. Summary Rating			
(b)(6)  Initial Summary Rating			
Rating Official's Name (Last, First, MI): Scardino, Anthony P.			
Rating Official's Signature: (b)(6)	Date: 11/6/18		
Executive's Signature: (b)(6)	Date: 11/6/18		
Reviewing Official's Signature (Optional):  Date:			
Higher Level Review (if applicable)			
☐ I request a higher level review. Executive's Initials:	Date:		
Higher Level Review Completed	Date:		
Higher Level Reviewer Signature:			
Performance Review Board Recommendation	Level 3 Level 2 Level 1		
PRB Chair Signature:	Date:		
Annual Summary Rating (b)(6)	· ·		
Appointing Authority Signature:	Date:		
Part 4. Derivation Formula and Calculation of Annual Summary Rating			
Element Rating Score			
Final Final Critical Element Inițial (if changed) Weight Initial (if change	ed) Summary Level Ranges		
1. Leading Change (b)(6) (b)(6)			
2. Leading People	475-500 = Level 5		
3. Business Acumen	400-474 = Level 4 300-399 = Level 3		
4. Building Coalitions	200-299 = Level 2		
5. Results Driven	Any CE rated Level 1 = Level 1		
Total 100 points (b)(6)			

#### 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.

Level 5 = 5 points	
Level 4 = 4 points	
Level 3 = 3 points	
Level 2 = 2 points	
Level 1 = 0 points	
	Level 4 = 4 points Level 3 = 3 points

Critical Element Rating – Leading People

Executive Name and 10. Salan 1. Harris	Appraisar reflect. 10/01/17 - 9/30/18
Critical Element 1. Leading Change	(Minimum weight 5 points) Weight 10%
organizational and program goals, priorities, valuinplementing innovative solutions to make orga major shifts in direction or approach, as appropr	ps and implements an organizational vision that integrates key ues, and other factors. Assesses and adjusts to changing situations, nizational improvements, ranging from incremental improvements to iate. Balances change and continuity; continually strives to improve rk environment that encourages creative thinking, collaboration, and n under adversity.
Agency-specific Performance Requirements	
Rating Official Narrative: (Optional)	No. (1) - 10 - 10 - 10 - 10 - 10 - 10 - 10 -
	(b)(6)
Critical Element Rating – Leading Change	(b)(6)
the organization horizontally and vertically, and and goals. Provides an inclusive workplace that participation by all employees; facilitates collaboration of conflicts. Ensures employee performance pla receive constructive feedback, and that employee performance standards. Holds employees account considers employee input. Recruits, retains, and	(Minimum weight 5 points) Weight 10% and implements strategies that maximize employee potential, connects fosters high ethical standards in meeting the organization's vision, mission, fosters the development of others to their full potential; allows for full pration, cooperation, and teamwork, and supports constructive resolution are aligned with the organization's mission and goals, that employees sees are realistically appraised against clearly defined and communicated untable for appropriate levels of performance and conduct. Seeks and develops the talent needed to achieve a high quality, diverse workforce accomplish organizational performance objectives while supporting ual employment policies and programs.
Agency-Specific Performance Requirements	
	re employee engagement in your area based on employee feedback ple Survey, Federal Employee Viewpoint Survey, focus groups and other
Rating Official Narrative: (Optional)	

(b)(6)

Critical Element Rating – Building Coalitions

(b)(6)

### 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: 35% Fosters effective working relationships with the Director and the clients by providing sound legal advice that is consistent with applicable laws, regulations, and policies, and effectively address client's legal issues and objectives.

Strategic Alignment: Strategic Goal #4/Objective #3

Performance Requirement 2: 35%

Provides timely and accurate legal strategies that responds to the needs of the agency in order to minimize potential risks and advance the agency's mission. Strategies on legal issues and deadlines affecting clients are consistent with Service Legal Agreements.

Strategic Alignment: Strategic Goal #4/Objective #3

Performance Requirement 3: 30%

In accordance with legal and policy guidance, advocate and educate government and private sector external stakeholders on USPTO's positions and/or policy standpoints in order to reach compatible outcome that promote USPTO's objectives.

Strategic Alignment: Strategic Goal #4/Objective #3

Rating Official Narrative: (Optional)

Critical Element Rating – Results Driven

(b)(6)

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### Deriving the Results Driven Rating Worksheet

Executive Name	Rating Period
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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	\$ 5/6, 100		Man Length	Points 475 – 500 = Level 5 Rating Score Points 400 – 474 = Level 4 Rating Score	
Performance Requirement 2				Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating	
Performance Requirement 3				Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 4					
DAWY MAN		= 100%			452,000,000
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
		TO THE YEAR	1.5 TYPE 1.7	Points 475 – 500 = Level 5 Rating	W 200
Performance Requirement 1	4	x 25	100	Score Points 400 – 474 = Level 4 Rating	
Performance Requirement 2	5	x 30	150	Score Points 300 – 399 = Level 3 Rating	
Performance Requirement 3	5	x 15	75	Score Points 200 – 299 = Level 2 Rating	
Performance Requirement 4	3	x 30	90	Score Any PR rated Level 1 overall score	
1 1 - 150		= 100%	a / 45   10	must be = Level 1 Rating Score	
Performance Requirement Total Score			415	415= Level 4	4*

<sup>\*</sup>Results Driven Rating is 4 – to be transferred to Initial Element Score beside Results Driven Critical Element on the bottom of page 1.

# FY 2018 Mid-Year Review - Sarah Harris

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# FY 2018 Year End Review - Sarah Harris

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# SES Performance Management System Executive Performance Plan



Part 1. Consultation. / /	nave review	ved this plan an	d have been d	consulted o	on its developme	ent.		
Executive's Name (Last,	First, MI): <b>H</b>	larris, Sarah T.				Apprais	sal Pd. 10/1/17 – 9/30/18	
Executive's Signature:							11/2/17	
Title: General Counsel	•					Organi	zation:	
Rating Official's Name (L	The second second second second	///): Scardino, A	nthony P.			СА 🖂	NC LT/LE	
Rating Official's Signatur	(b)(6) e:					Date:	11/2/17	
Part 2. Progress Review	(,	,						
Executive's Signature:	(b)(6)					Date:	4126118	
Rating Official's Signatur	€					Date:	4/26/18	
Reviewing Official's Signa		onai):				Date:	1120119	
Part 3. Summary Rating								
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Initial Summary Rating								
Rating Official's Name (L	ast, First, N	///)։ Scardino, A	nthony P.					
Rating Official's Signatur	e: (b)(6)					Date:	11/6/18	
Executive's Signature:						Date: 11/6/18		
Reviewing Official's Sign	ature (Opti	onal):				Date:		
Higher Level Review (if a	applicable)							
☐ I request a higher lev	el review.	Executive's Ir	nitials:			Date:		
Higher Level Review Con	npleted				Date:			
Higher Level Reviewer Si	ignature:							
Performance Review Bo	ard Recom	mendation	(b)(6)					
PRB Chair Signature:	111						Date:	
Annual Summary Rating	7	11411414	(b)(6)					
Appointing Authority Sig	nature:						Date:	
Part 4. Derivation Form	ula and Ca	Iculation of An	nual Summai	y Rating				
	Elem	ent Rating			Score			
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Critical Element  1. Leading Change	Initial (b)(6)	(if changed)	Weight (b)(6)	Initial	(if changed)	3	Summary Level Ranges	
2. Leading People							475-500 = Level 5	
3. Business Acumen							400-474 = Level 4	
4. Building Coalitions							300-399 = Level 3 200-299 = Level 2	
5. Results Driven						Anv	CE rated Level 1 = Level 1	
Total	M. C. W. W.		100 points			,y		

#### 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.

Level 5 = 5 points	
Level 4 = 4 points	
Level 3 = 3 points	
Level 2 = 2 points	
Level 1 = 0 points	
	Level 4 = 4 points Level 3 = 3 points

Critical Element Rating - Leading People

Executive Name and ID: Sarah T. Harris	Appraisal Period: 10/01/17 - 9/30/18
Critical Element 1. Leading Change	(Minimum weight 5 points) Weight 10%
Mandatory Performance Requirement: Develops and impleme organizational and program goals, priorities, values, and other faimplementing innovative solutions to make organizational impromajor shifts in direction or approach, as appropriate. Balances of service and program performance; creates a work environment transparency; and maintains program focus, even under adversing the service and program maintains program focus, even under adversing the service and even focus and even	actors. Assesses and adjusts to changing situations, overments, ranging from incremental improvements to change and continuity; continually strives to improve that encourages creative thinking, collaboration, and
Agency-Specific Performance Requirements	
Rating Official Narrative: (Optional)	
(b)(6)	
Critical Element Rating – Leading Change	
Critical Element 2. Leading People	(Minimum weight 5 points) Weight 10%
Mandatory Performance Requirement: Designs and implement the organization horizontally and vertically, and fosters high ethic and goals. Provides an inclusive workplace that fosters the devergarticipation by all employees; facilitates collaboration, cooperator of conflicts. Ensures employee performance plans are aligned we receive constructive feedback, and that employees are realistical performance standards. Holds employees accountable for approximately employee input. Recruits, retains, and develops the tathet reflects the nation, with the skills needed to accomplish organization.	ical standards in meeting the organization's vision, mission, elopment of others to their full potential; allows for full ation, and teamwork, and supports constructive resolution with the organization's mission and goals, that employees ally appraised against clearly defined and communicated opriate levels of performance and conduct. Seeks and alent needed to achieve a high quality, diverse workforce ganizational performance objectives while supporting
Agency-Specific Performance Requirements	
Lead, develop, and implement actions to improve employee eng gathered from sources including the USPTO People Survey, Fede initiatives.	
Rating Official Narrative: (Optional)	

Critical Element Rating – Building Coalitions

### 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: 35% Strategic Alignment: Fosters effective working relationships with the Director and the clients by Strategic Goal #4/Objective #3 providing sound legal advice that is consistent with applicable laws, regulations, and policies, and effectively address client's legal issues and objectives. Performance Requirement 2: 35% Strategic Alignment: Strategic Goal #4/Objective #3 Provides timely and accurate legal strategies that responds to the needs of the agency in order to minimize potential risks and advance the agency's mission. Strategies on legal issues and deadlines affecting clients are consistent with Service Legal Agreements. Strategic Alignment: Performance Requirement 3: 30% In accordance with legal and policy guidance, advocate and educate Strategic Goal #4/Objective #3 government and private sector external stakeholders on USPTO's positions and/or policy standpoints in order to reach compatible outcome that promote USPTO's objectives.

Critical Element Rating – Results Driven

Rating Official Narrative: (Optional)

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### Deriving the Results Driven Rating Worksheet

Executive Name	Rating Period
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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	\$ 5/6, 100		Man Length	Points 475 – 500 = Level 5 Rating Score Points 400 – 474 = Level 4 Rating Score	
Performance Requirement 2				Points 300 – 399 = Level 3 Rating Score Points 200 – 299 = Level 2 Rating	
Performance Requirement 3				Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
Performance Requirement 4					
DAWY MAN		= 100%			452,000,000
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
		TO THE YEAR	1.5 TYPE 1.7	Points 475 – 500 = Level 5 Rating	W 200
Performance Requirement 1	4	x 25	100	Score Points 400 – 474 = Level 4 Rating	
Performance Requirement 2	5	x 30	150	Score Points 300 – 399 = Level 3 Rating	
Performance Requirement 3	5	x 15	75	Score Points 200 – 299 = Level 2 Rating	
Performance Requirement 4	3	x 30	90	Score Any PR rated Level 1 overall score	
1 1 - 150		= 100%	a / 45   10	must be = Level 1 Rating Score	
Performance Requirement Total Score			415	415= Level 4	4*

<sup>\*</sup>Results Driven Rating is 4 – to be transferred to Initial Element Score beside Results Driven Critical Element on the bottom of page 1.

# FY 2018 Mid-Year Review - Sarah Harris

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Leading People	3	
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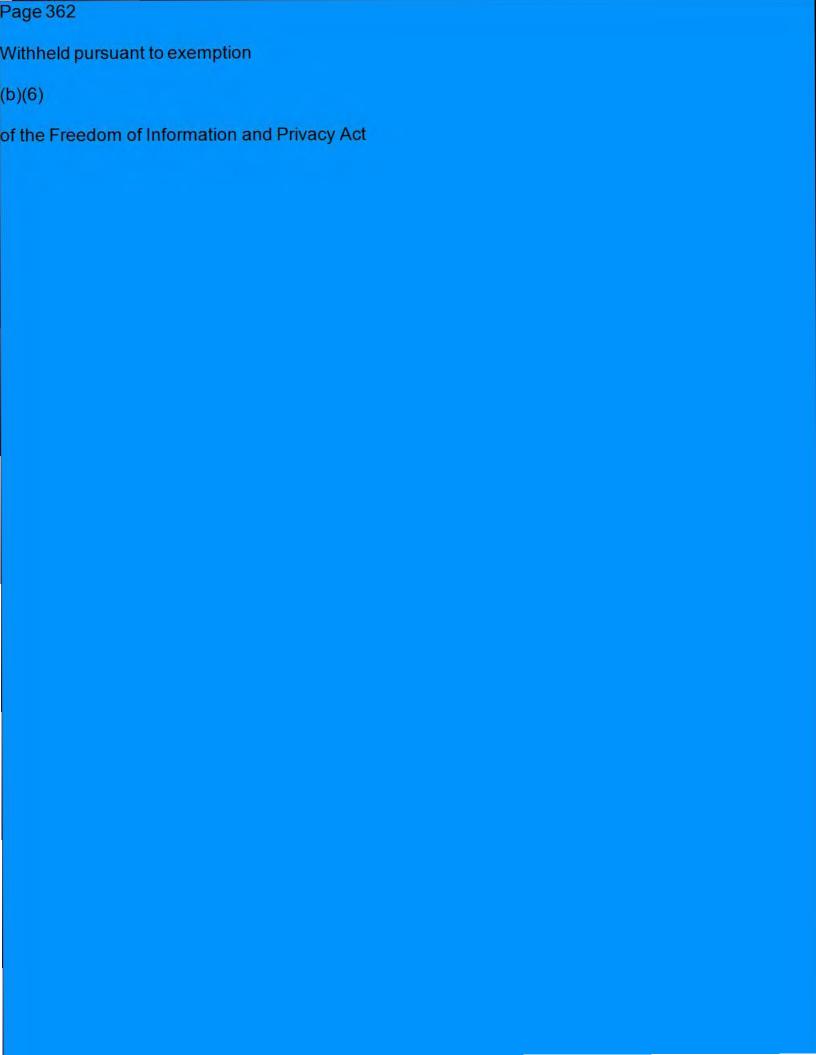
### FY 2018 Year End Review – Sarah Harris

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# SES Performance Management System Executive Performance Plan



Appraisal Pd. 10/1/17 – 9/30/18	
Date: 1/12/17	
Organization:	
CA NC LT/LE	
Date: 11/2/17	
Date: 4/26/18	
Date: 4/26/18	
Date:	
Minimally Unsatisfactory Satisfactory	
Date: 11/6/18	
Date: 11/4/18	
Date:	
Date:	
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Date:	
Date:	
Summary Level Ranges  475-500 = Level 5  400-474 = Level 4  300-399 = Level 3  200-299 = Level 2  Any CE rated Level 1 = Level 1	

#### Part 5. Performance Standards and Critical Elements

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

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

Level 5 = 5 points	
Level 4 = 4 points	
Level 3 = 3 points	
Level 2 = 2 points	
Level 1 = 0 points	
	Level 4 = 4 points Level 3 = 3 points

Critical Element Rating – Leading People

# 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 Rating Official Narrative: (Optional) (b)(6)Critical Element Rating - Leading Change 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. Rating Official Narrative: (Optional)

(b)(6)

#### 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: 35% Fosters effective working relationships with the Director and the clients by providing sound legal advice that is consistent with applicable laws, regulations, and policies, and effectively address client's legal issues and objectives.

Strategic Alignment: Strategic Goal #4/Objective #3

Performance Requirement 2: 35%

Provides timely and accurate legal strategies that responds to the needs of the agency in order to minimize potential risks and advance the agency's mission. Strategies on legal issues and deadlines affecting clients are consistent with Service Legal Agreements.

Strategic Alignment: Strategic Goal #4/Objective #3

Performance Requirement 3: 30%

In accordance with legal and policy guidance, advocate and educate government and private sector external stakeholders on USPTO's positions and/or policy standpoints in order to reach compatible outcome that promote USPTO's objectives.

Strategic Alignment: Strategic Goal #4/Objective #3

Rating Official Narrative: (Optional)

Critical Element Rating – Results Driven

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#### Deriving the Results Driven Rating Worksheet

Executive Name	Rating Period
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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  Performance Requirement 2			GIFT SEC	Points 475 – 500 = Level 5 Rating Score Points 400 – 474 = Level 4 Rating Score Points 300 – 399 = Level 3 Rating Score	
Performance Requirement 3				Points 200 – 299 = Level 2 Rating Score Any PR rated Level 1 overall score must be = Level 1 Rating Score	
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
MIN " STATE OF	100	TO LYPS	150 西外南美国	Points 475 – 500 = Level 5 Rating	W. San Jan
Performance Requirement 1	4	x 25	100	Score Points 400 – 474 = Level 4 Rating	
Performance Requirement 2	5	x 30	150	Score Points 300 – 399 = Level 3 Rating	
Performance Requirement 3	5	x 15	75	Score Points 200 – 299 = Level 2 Rating	
Performance Requirement 4	3	x 30	90	Score Any PR rated Level 1 overall score	
	A POST OF THE	= 100%	AN ASSIST	must be = Level 1 Rating Score	
Performance Requirement Total Score			415	415= Level 4	4*

<sup>\*</sup>Results Driven Rating is 4 – to be transferred to Initial Element Score beside Results Driven Critical Element on the bottom of page 1.

### FY 2018 Mid-Year Review - Sarah Harris

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#### **Leading People**

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#### **Business Acumen**



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### FY 2018 Year End Review – Sarah Harris

Leading Ch	nange
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#### **Leading People**

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#### **Business Acumen**



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# SES Performance Management System Executive Performance Plan



Executive's Name (Last, First, MI): Harris, Sarah  Executive's Signature (b)(6)  Title: General Counsel  Rating Official's Name (Last, First, MI): Slifer, Russell D.  Rating Official's Signature: (b)(6)  Part 2. Progress Review  Executive's Signature (b)(6)  Rating Official's Signature: (b)(6)  Rating Official's Signature (Optional):  Part 3. Summary Rating  Rating Official's Signature: (b)(6)  Reviewing Official's Signature: (b)(6)  Date: (c) (b)(6)  Date: (d) (c) (c) (c) (c) (c) (c) (c) (c) (c) (c
Title: General Counsel  Rating Official's Name (Last, First, MI): Slifer, Bussell D.  Rating Official's Signature: (b)(6)  Part 2. Progress Review  Executive's Signature (b)(6)  Rating Official's Signature: (b)(6)  Rating Official's Signature: (b)(6)  Rating Official's Signature: (b)(6)  Rating Official's Signature (Optional):  Part 3. Summary Rating  Rating Official's Name (Last, First, MI): Slifer, Bussell D.  Rating Official's Signature: (b)(6)  Rating Official's Signature: (b)(6)  Reviewing Official's Signature: (b)(6)  Rating Official's Signature:
Rating Official's Name (Last, First, MI): Slifer, Bussell D.  Rating Official's Signature: (b)(6)  Part 2. Progress Review  Executive's Signature  Rating Official's Signature: (b)(6)  Rating Official's Signature: (b)(6)  Rating Official's Signature: (b)(6)  Rating Official's Signature (Optional): Date: (b)(6)  Initial Summary Rating  Rating Official's Signature: (b)(6)  Rating Official's Signature: (b)(6)  Reviewing Official's Signature: (b)(6)  Rating Official's Signatu
Rating Official's Signature:  (b)(6)  Date: 10/86/16  Part 2. Progress Review  Executive's Signature  (b)(6)  Rating Official's Signature:  Reviewing Official's Signature (Optional):  Part 3. Summary Rating  (b)(6)  Rating Official's Name (Last, First, MI): Slifer, Russell D.  Rating Official's Signature:  (b)(6)  Rating Official's Signature:  (b)(6)  Reviewing Official's Signature:  (b)(6)  Date: 1/ 2/17  Executive's Signature:  (b)(6)  Reviewing Official's Signature: (Optional):  Higher Level Review (if applicable)    I reque st a higher level review. Executive's Initials:  Higher Level Review Completed   Date:  Higher Level Reviewer Signature:  Performance Review Board Recommendation (b)(6)  Performance Review Board Recommendation (b)(6)
Rating Official's Signature:    Date:  0
Part 2. Progress Review  Executive's Signature: (b)(6)  Rating Official's Signature: (b)(6)  Reviewing Official's Signature (Optional): Date: Part 3. Summary Rating  Rating Official's Name (Last, First, MI): Slifer, Russell D.  Rating Official's Signature: (b)(6)  Rating Official's Signature: (b)(6)  Executive's Signature: (b)(6)  Reviewing Official's Signature (Optional): Date: Higher Level Review (if applicable)  I reque st a higher level review. Executive's Initials: Date: Higher Level Review Completed Date: Higher Level Review Board Recommendation (b)(6)  Performance Review Board Recommendation (b)(6)
Rating Official's Signature:  Reviewing Official's Signature (Optional):  Part 3. Summary Rating  Rating Official's Name (Last, First, MI): Slifer, Russell D.  Rating Official's Signature:  (b)(6)  Rating Official's Signature:  (b)(6)  Reviewing Official's Signature:  (b)(6)  Reviewing Official's Signature:  (b)(6)  Reviewing Official's Signature:  (b)(6)  Reviewing Official's Signature (Optional):  Date:  Higher Level Review (if applicable)  I reque st a higher level review. Executive's Initials:  Higher Level Review Completed  Date:  Higher Level Review Board Recommendation  (b)(6)  Performance Review Board Recommendation
Rating Official's Signature:  Reviewing Official's Signature (Optional):  Date:  Part 3. Summary Rating  (b)(6)  Initial Summary Rating  Rating Official's Name (Last, First, MI): Slifer, Russell D.  Rating Official's Signature: (b)(6)  Reviewing Official's Signature: (b)(6)  Reviewing Official's Signature: (b)(6)  Reviewing Official's Signature (Optional):  Date:  Higher Level Review (if applicable)  I reque st a higher level review. Executive's Initials:  Higher Level Review Completed  Higher Level Review Completed  Higher Level Review Review Signature:  Performance Review Board Recommendation (b)(6)  Performance Review Board Recommendation (b)(6)
Reviewing Official's Signature (Optional):  Part 3. Summary Rating  (b)(6)  Initial Summary Rating  Rating Official's Name (Last, First, MI): Slifer, Russell D.  Rating Official's Signature: (b)(6)  Executive's Signature: (b)(6)  Reviewing Official's Signature (Optional):  Date:  Higher Level Review (if applicable)  I reque st a higher level review. Executive's Initials:  Higher Lev el Review Completed  Date:  Higher Level Review Completed  Date:  Higher Level Review Review Completed  Date:  Higher Level Review Review Board Recommendation  (b)(6)
Initial Summary Rating   (b)(6)
Initial Summary Rating   (b)(6)
Executive's Signature: (b)(6)  Reviewing Official's Signature (Optional):  Higher Level Review (if applicable)  I reque st a higher level review. Executive's Initials:  Higher Level Review Completed  Date:  Higher Level Review Fignature:  Performance Review Board Recommendation (b)(6)
Executive's Signature: (b)(6)  Reviewing Official's Signature (Optional):  Higher Level Review (if applicable)  I reque st a higher level review. Executive's Initials:  Higher Level Review Completed  Date:  Higher Level Review Fignature:  Performance Review Board Recommendation (b)(6)
Executive's Signature: (b)(6)  Reviewing Official's Signature (Optional):  Higher Level Review (if applicable)  I reque st a higher level review. Executive's Initials:  Higher Level Review Completed  Date:  Higher Level Review Completed  Date:  Performance Review Board Recommendation (b)(6)
Higher Level Review (if applicable)  I request a higher level review. Executive's Initials:  Higher Level Review Completed  Date:  Higher Level Reviewer Signature:  Performance Review Board Recommendation (b)(6)
☐ I reque st a higher level review. Executive's Initials:  Higher Level Review Completed ☐ Date:  Higher Level Reviewer Signature:  Performance Review Board Recommendation (b)(6)
Higher Level Review Completed Date:  Higher Level Reviewer Signature:  Performance Review Board Recommendation (b)(6)
Higher Level Reviewer Signature:  Performance Review Board Recommendation (b)(6)
Performance Review Board Recommendation (b)(6)
Performance Review Bourd Recommendation //
PRB Chair Signature: (b)(6) Date:
Annual Surmary Rating (" (b)(6)
Appointing Authority Signature: (b)(6) Date:
Part 4. De rivation Formula and Calculation of Annual Summary Rating
Element Rating Score
Final Final Final Final Summary Level Banger
Critical Element Initial (if changed) Weight Initial (if changed) Summary Level Ranges  1. Leading Change (b)(6) (b)(6)
2. Leading People 475-500 = Level 5
3. Business Acumen 400-474 = Level 4
4. Building Coalitions 300-399 = Level 3
5. Results Driven
Total 100% (b)(6) Any CE rated Level 1 = Level 1

Appraisal Period: 10/01/16 - 9/30/17

#### 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

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Critical Element 3. Leading Change  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 and indication or approach, as appropriate. Balances change and continuity, continuity 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    Critical Element 2. Leading People	Executive Name and ID:	Saran Harris	Appraisar Period: 10/01,	10-9/20/17
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  Critical Element 8 atting — Leading Change  Critical Element 2. Leading People  (Minimum weight 5%)   Weight  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 siston and goals. Successed that the organization is mission and goals with the organization of siston and goals with the organization 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 ration, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.  Rating Official Narrative: (Optional)	Critical Element 1. Leading Chang	ge	(Minimum weight 5%)	Weight
Rating Official Narrative: (Optional)  Critical Element 2. Leading People  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 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 accompilish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.  Agency-Specific Performance Requirements  Rating Official Narrative: (Optional)	organizational and program goals, implementing innovative solution major shifts in direction or approaservice and program performance transparency; and maintains prog	priorities, values, and s to make organization ch, as appropriate. Bo ; creates a work envir ram focus, even unde	d other factors. Assesses and adjusts to changing simal improvements, ranging from incremental improplances change and continuity; continually strives to comment that encourages creative thinking, collaborations.	tuations, vements to o improve
Critical Element 2. Leading People  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  Rating Official Narrative: (Optional)	Agency-specific Performance Req	urements		
Critical Element 2. Leading People  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  Rating Official Narrative: (Optional)	Rating Official Narrative: (Ontions	11)		
Critical Element 2. Leading People  (Minimum weight 5%)  Weight  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  Rating Official Narrative: (Optional)		7		
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  Rating Official Narrative: (Optional)	Critical Element Rating – Leading	Change (b)(6)		
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  Rating Official Narrative: (Optional)	Critical Element 2. Leading Peopl	e	(Minimum weight 5%)	Weight
(b)(6)	and goals. Provides an inclusive we participation by all employees; factorized for conflicts. Ensures employee per receive constructive feedback, and performance standards. Holds enconsiders employee input. Recruit that reflects the nation, with the sworkforce diversity, workplace inconsideration.	orkplace that fosters ilitates collaboration, rformance plans are all that employees are ployees accountable ts, retains, and develokills needed to accomusion, and equal employers.	the development of others to their full potential; all cooperation, and teamwork, and supports constructions with the organization's mission and goals, the realistically appraised against clearly defined and cofor appropriate levels of performance and conductions the talent needed to achieve a high quality, diventish organizational performance objectives while secondary.	lows for full ctive resolution lat employees ommunicated Seeks and rse workforce
Critical Element Rating – Leading People (b)(6)	Rating Official Narrative: (Optiona	)		
	Critical Element Rating – Leading I	People (b)(6)		



Executive Name and ID:	Sarah Harris	Appraisal Period: 10/01,	/16 - 9/30/17
Critical Element 3. Business	Acumen	(Minimum weight 5%)	Weight
information resources in a ma	nner that instills pu cision making. Execu	, analyzes, acquires, and administers human, financial, mobile trust and accomplishes the organization's mission. Usutes the operating budget; prepares budget requests with	ses technology
, , , , , , , , , , , , , , , , , , , ,			
Rating Official Narrative: (Opt	ional)		
Critical Element Rating – Busin	ness Acumen	(b)(6)	
Critical Element 4. Building C	oalitions	(Minimum weight 5%)	Weight
customers. Coordinates with facilitate an open exchange of advocates, and expresses fact	appropriate parties opinion from divers and ideas in a convections	nd considers feedback from internal and external stakehor to maximize input from the widest range of appropriate size groups and strengthen internal and external support. It wincing manner and negotiates with individuals and group all network with other organizations and identifies the interzation.	takeholders to Explains, is internally and
Agency-Specific Performance			
Rating Official Narrative: (Opti	ional)		
Critical Element Rating – Build	ing Coalitions	b)(6)	

#### Critical Element 5. Results Driven

(Minimum Weight 20%)

Weight

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: 100% Weight

#### Results - Legal Advice

The executive leads the Office of the General Counsel by overseeing the operations of the three legal offices: Solicitor's Office, Office of General Law, and Office of Enrollment and Discipline. She effectively identifies and analyzes potential legal issues when provided with relevant information. Moreover, she ensures that OGC provides sound and accurate advice consistent with Service Legal Agreements. Suggests legal alternatives that will promote the agency's objectives. Exercises sound professional judgment in making decisions and recommendations. Provides accurate written analysis in a timely fashion. Communicates effectively with the Senior Leadership to ensure their understanding of the legal or policy positions. The executive effectively represents the USPTO to outside stakeholders and advocates the agency's views.

Strategic Alignment:

Strategic Goal #4 / Objective #3

Rating Official Narrative: (Optional)

Critical Element Rating - Results Driven

(b)(6)

Executive Name and ID: Sarah Harris	Appraisal Period: 10/01/16 - 9/30/17
Part 6: Summary Rating Narrative (Mandatory)	
Part 7: Executive's Accomplishment Narrative (Optional)	
Part 8: Agency Use	

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### 2017 List of Accomplishments – Sarah Harris

# Leading Change

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# SES Performance Management System Executive Performance Plan



Part 1. Consultation. I have reviewed this plan and have been consulted on its development.						
Executive's Name (Last, First, MI): Harris, Sarah  Appraisal Pd. 10/01/16 - 9/30/1						
Executive's Signature: (b)(6)	Date: 10/1/16					
Title: General Counsel	Organization:					
Rating Official's Name (Last, First, MI): Slifer, Russell D.	CA NC LT/LE					
Rating Official's Signature: (b)(6)	Date: 10/26/16					
Part 2. Progress Review						
Executive's Signature: (b)(6)	Date: 4/25/17					
Rating Official's Signature: (b)(6)	Date: 10/26/16 4/25/17					
Reviewing Official's Signature (Optional):	Date:					
Part 3. Summary Rating						
(b)(6)						
Initial Summary Rating Outstanding Exceeds Fully Fully Success Successful	Satisfactory Unsatisfactory					
Rating Official's Name (Last, First, MI): Slifer, Russell D. Scarding And						
Rating Official's Signature: (b)(6)	Date: (1/2/12					
Executive's Signature: (b)(6)	Date: (1/2/17					
Reviewing Official's Signature (Optional):	Date:					
Higher Level Review (if applicable)						
☐ I reque st a higher level review. Executive's Initials:	Date:					
Higher Level Review Completed	Date:					
Higher Level Reviewer Signature:						
Performance Review Board Recommendation (b)(6)						
PRB Chair Signature: (b)(6)	Date:					
Annual Surmmary Rating (" (b)(6)						
Appointing Authority Signature:	Date:					
Part 4. De rivation Formula and Calculation of Annual Summary Rating						
Element Rating Score						
Final  Critical Element Initial (if changed) Weight Initial (if changed)	Final Summary Level Ranges					
1. Leading Change (b)(6) (b)(6)	Summary Level Nanges					
2. Leading People	475-500 = Level 5					
3. Business Acumen	400-474 = Level 4					
4. Building Coalitions	300-399 = Level 3					
5. Results Driven	200-299 = Level 2					
Total 100% (b)(6)	Any CE rated Level 1 = Level 1					

Appraisal Period: 10/01/16 - 9/30/17

#### 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.
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- 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.
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- 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

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Executive Name and ID:	Saran Harris	Appraisal Period: 10/01	./16 - 9/30/17
Critical Element 1. Leading Chan	ge	(Minimum weight 5%)	Weight
organizational and program goals implementing innovative solution major shifts in direction or approa	priorities, values, and other s to make organizational imp sch, as appropriate. Balances ; creates a work environmen ram focus, even under adver	nents an organizational vision that integrates factors. Assesses and adjusts to changing si rovements, ranging from incremental improschange and continuity; continually strives to that encourages creative thinking, collaborsity.	ituations, evements to o improve
Rating Official Narrative: (Options	ul)		
Critical Element Rating – Leading	Change (b)(6)		
Critical Element 2. Leading Peopl	ę	(Minimum weight 5%)	Weight
the organization horizontally and and goals. Provides an inclusive w participation by all employees; fac of conflicts. Ensures employee pereceive constructive feedback, and performance standards. Holds enconsiders employee input. Recrui	vertically, and fosters high ethorkplace that fosters the devillates collaboration, cooper formance plans are aligned of that employees are realistic ployees accountable for applics, retains, and develops the fixills needed to accomplish or lusion, and equal employmentirements	nts strategies that maximize employee poter hical standards in meeting the organization's relopment of others to their full potential; all ration, and teamwork, and supports construction, and teamwork, and supports construction and goals, the rally appraised against clearly defined and coropriate levels of performance and conduct talent needed to achieve a high quality, diverganizational performance objectives while sent policies and programs.	s vision, mission, llows for full ctive resolution nat employees ommunicated . Seeks and erse workforce
Critical Element Rating – Leading F	eople (b)(6)		



Executive Name and ID:	Sarah Harris	Appraisal Period: 10/01	/16 - 9/30/17
Critical Element 3. Business A	cumen	(Minimum weight 5%)	Weight
information resources in a mai	nner that instills public trust and ision making. Executes the oper	equires, and administers human, financial, m accomplishes the organization's mission. U ating budget; prepares budget requests with	ses technology
Rating Official Narrative: (Option	onal)		
Critical Element Rating – Busin			
Critical Element 4. Building Co		(Minimum weight 5%)	Weight
customers. Coordinates with a facilitate an open exchange of advocates, and expresses facts	appropriate parties to maximize opinion from diverse groups and and ideas in a convincing mann velops a professional network w	feedback from internal and external stakehor input from the widest range of appropriate so strengthen internal and external support. It is and negotiates with individuals and group ith other organizations and identifies the internal support.	stakeholders to Explains, os internally and
Agency-Specific Performance R			
Rating Official Narrative: (Option	onal)	TO CONTROL OF THE PARTY OF THE	
Critical Element Rating – Buildi	na Coalitions (b)(6)		

#### Critical Element 5. Results Driven

(Minimum Weight 20%)

Weight

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: 100% Weight

### Results - Legal Advice

The executive leads the Office of the General Counsel by overseeing the operations of the three legal offices: Solicitor's Office, Office of General Law, and Office of Enrollment and Discipline. She effectively identifies and analyzes potential legal issues when provided with relevant information. Moreover, she ensures that OGC provides sound and accurate advice consistent with Service Legal Agreements. Suggests legal alternatives that will promote the agency's objectives. Exercises sound professional judgment in making decisions and recommendations. Provides accurate written analysis in a timely fashion. Communicates effectively with the Senior Leadership to ensure their understanding of the legal or policy positions. The executive effectively represents the USPTO to outside stakeholders and advocates the agency's views.

Strategic Alignment:

Strategic Goal #4 / Objective #3

Rating Official Narrative: (Optional)

Critical Element Rating - Results Driven

(b)(6)

Executive Name and ID: Sarah Harris	Appraisal Period: 10/01/16 - 9/30/17
Part 6: Summary Rating Narrative (Mandatory)	
Part 7: Executive's Accomplishment Narrative (Optional)	
Part 8: Agency Use	

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# 2017 List of Accomplishments – Sarah Harris

# Leading Change

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Enhanced the I	aw School Clinic Certi	ification program by:	
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# SES Performance Management System Executive Performance Agreement



Part 1. Consultation. I h	ave review	ved this plan an	d have been	consulted	on its de	velopme	ent.		
Executive's Name (Last, First, MI): Harris, Sarah T.  Appraisal Pd. October 1, 2015 - September 30, 2016									
Executive's Signature:	(h)(6)								
Title: General Counsel	÷							ization: OGC	
Rating Official's Name (Lo	Rating Official's Name (Last, First, MM): Slifer, Russell D.								
Rating Official's Signature: (b)(6)  Date: 1/14/16									
Part 2. Progress Review	,								
Executive's Signature:	b)(6)						Date:	6/11/10	
Rating Official's Signature	(b)(6)						Date:	6/17/16	
Reviewing Official's Signa	v.	onal):	di di				Date:	-111/14	
Part 3. Summary Rating	(1.)(0)					-			
(b)(6) Initial Summary Rating									
Rating Official's Name (Lo	ast, First, N	/II): Slifer, Russ	ell D.						
Rating Official's Signature	(b)(6	5)					Date:	10/26/16	
Executive's Signature:	(b)(6	)					Date:	10/26/16	
Reviewing Official's Signature (Optional):  Date:									
Higher Level Review (if a	pplicable)								
☐ I request a higher leve	el review.	Executive's Ir	nitials:				Date:		
Higher Level Review Com	pleted						Date:		
Higher Level Reviewer Sig	gnature:								
Performance Review Boo	ard Recom	mendation	Level	5 🔲	Level 4	Le	vel 3	Level 2 Level 1	
PRB Chair Signature:								Date:	
Annual Summary Rating			Level	5	Level 4	Le	vel 3	Level 2 Level 1	
Appointing Authority Sign	nature:							Date:	
Part 4. Derivation Formu	ula and Ca	Iculation of An	nual Summa	ry Rating					
	Elem	ent Rating			Score				
Critical Element	Initial	Final	Maight	Initial		nal	,	Summer I avel Deve	
731013711311131111	Initial (b)(6)	(if changed)	Weight 10%	Initial (b)(6)	(IT Cha	anged)	1	Summary Level Ranges	
2. Leading People	(5)(0)		10%	(=)(=)				475-500 = Level 5	
3. Business Acumen			10%					400-474 = Level 4	
4. Building Coalitions			10%					300-399 = Level 3	
5. Results Driven			60%					200-299 = Level 2	
Total			100%				Any	CE rated Level 1 = Level 1	

#### Part 5. Critical Elements

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

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

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

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

Ensure early identification of USPTO policy goals in connection with en banc/Supreme Court cases, and early engagement with DOJ and industry stakeholders

Integrate the Pro Bono program into OGC

Maintain regular office/all hands meetings to pro-actively promote two-way communication with the staff

Rating Official Narrative: (Optional)

Critical Element Rating - Leading Change

(b)(6)

## Critical Element 2. Leading People

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

Maintain OGC focus group comprised of employees at all levels to identify and address issues (including those raise office survey results, e.g., EVS) to further enhance the performance of the office

Provide growth opportunities for OGC employees to further the 2016 theme "Everyone is a Leader"

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 Employees Viewpoint Survey, focus groups and other initiatives.

Rating Official Narrative: (Optional)		
	(b)(6)	
Critical Element Rating – Leading People		
Executive Name and ID: Harris, Sarah T.	Appraisal Period: October 1, 2015 - September	
Critical Element 3. Business Acumen		Weight 10%
public trust and accomplishes the organization	numan, financial, material, and information resources in a ma 's mission. Uses technology to enhance processes and decision et requests with justifications; and manages resources.	and the Principle of the Party of the control of the Party of the Part
Agency-Specific Performance Requirements		
Assess workload to determine appropriate staf	fing levels and secures necessary funding and FTEs	
the state of the s		
Implement training options for both OGC perso	onnel and clients	
Rating Official Narrative: (Optional)	1 0-10 MH) 300	*** : *****
	- (1.3.70)	
Critical Element Rating – Business Acumen	(b)(6)	
Critical Element 4. Building Coalitions	(Minimum weight 5%)	Weight 10%
	nd external stakeholders or customers. Coordinates with appear of appropriate stakeholders to facilitate an open exchange	
diverse groups and strengthen internal and ext	ernal support. Explains, advocates, and expresses facts and i	deas in a
	uals and groups internally and externally, as appropriate. De and identifies the internal and external politics that affect the	
organization.	and identifies the interital and external politics that affect the	e work of the
Agency-Specific Performance Requirements		
Manage the OOC/OGC & PTO/OGC relationship	1	

Manage the DOC/OGC & PTO/O FORM PTO 516E -05/2013 Manage the PTO/OIG investigations relationship

Influence the development of IT tools with OGC, OCCO and OCFO to efficiently and accurately communicate the status of OIG investigation matters.

Rating Official Narrative: (Optional)

Executive Name and ID: Harris, Sarah T.

Critical Element Rating – Building Coalitions

Appraisal Period: October 1, 2015 - September 30, 2016

Critical Element 5. Results Driven

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: 100% Weight

Results - Legal Advice

The executive leads the Office of the General Counsel by overseeing the operations of the three legal offices: Solicitor's Office, Office of General Law, and Office of Enrollment and Discipline. She effectively identifies and analyzes potential legal issues when provided with relevant information. Moreover, she ensures that OGC provides sound and accurate advice consistent with Service Legal Agreements. Suggests legal alternatives that will promote the agency's objectives. Exercises sound professional judgment in making decisions and recommendations. Provides accurate written analysis in a timely fashion. Communicates effectively with the Senior Leadership to ensure their understanding of the legal or policy positions. The executive effectively represents the USPTO to outside stakeholders and advocates the agency's views.

Strategic Alignment:

Strategic Goal #4 / Objective #3

Rating Official Narrative: (Optional)	, , , , , , , , , , , , , , , , , , , ,	
That is a state of the state of		
77.72		
Critical Element Rating – Results Driven (D)(6)		

Executive Name and ID: Harris, Sarah T.	Rating Period: October 1, 2015 – September 30, 2016
Part 6: Summary Rating Narrative (Mandatory)	
Part 7: Executive's Accomplishment Narrative (Opti	onal)
Part 8: Agency Use	

## Deriving the Results Driven Rating Worksheet

Executive Name: Sarah T. Harris Rating Period: October 1, 2015 - September 30, 2016

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

<sup>\*</sup>Results Driven Rating is 4 – to be transferred to Initial Element Score beside Results Driven Critical Element on the bottom of page 1.

## 2016 1H List of Accomplishments – Sarah Harris

Leading Change.	46		
(b)(6)			

b)(6)			
Leading People.			
(b)(6)			
Business Acumen.		*	
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Building Coolisians	4.		
Building Coalitions. (b)(6)			
(0)(0)			

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	viariaged the follow	wing enorts.		
(b)(6)				

can there is the at Miles Andrews of Games

(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 (Last, First, MI): Harris, Sarah T.  Appraisal Pd. October 1, 2015 - September 30, 2016								
Executive's Signature: (b)(6)			Date:	/14/16				
Title: General Counsel				ration: <b>OGC</b>				
Rating Official's Name (Last, First, M): Slifer, Russ	sell D.		CA 🖂	NC LT/LE				
Rating Official's Signature: (b)(6)			Date:	1/14/16				
Part 2. Progress Review				1				
Executive's Signature: (b)(6)  Date: (e//1/10)								
Rating Official's Signature: (b)(6)			Date:	6/17/16				
Reviewing Official's Signature (Optional):			Date:					
Part 3. Summary Rating (b)(6)								
	mmendable I	Fully Successful	Minimall					
Rating Official's Name (Last, First, MI): Slifer, Russell D.								
Rating Official's Signature: (b)(6)			Date: /	0/26/16				
Executive's Signature: (b)(6)  Date: 10/16/16								
Reviewing Official's Signature (Optional):  Date:								
Higher Level Review (if applicable)								
☐ I request a higher level review. Executive's I	nitials:		Date:					
Higher Level Review Completed			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 Ar	nual Summary Ra	ating						
Element Rating		Score						
Critical Element Initial (if changed)	Weight	Final nitial (if change	d) s	ummary Level Ranges				
1. Leading Change (b)(6)	(b)(6)	(						
Leading People     Business Acumen				475-500 = Level 5 400-474 = Level 4				
4. Building Coalitions				300-399 = Level 3				
5. Results Driven			Anu	200-299 = Level 2 CE rated Level 1 = Level 1				
Total	100% (b)(	6)	Ally	or rated revert = revert				

#### 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.
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- 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.

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

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

Ensure early identification of USPTO policy goals in connection with en banc/Supreme Court cases, and early engagement with DOJ and industry stakeholders

Integrate the Pro Bono program into OGC

Maintain regular office/all hands meetings to pro-actively promote two-way communication with the staff

Rating Official Narrative: (Optional)

Critical Element Rating - Leading Change

(b)(6)

## Critical Element 2. Leading People

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

Maintain OGC focus group comprised of employees at all levels to identify and address issues (including those raise office survey results, e.g., EVS) to further enhance the performance of the office

Provide growth opportunities for OGC employees to further the 2016 theme "Everyone is a Leader"

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 Employees Viewpoint Survey, focus groups and other initiatives.

		1
Rating Official Narrative: (Optional)		
10 0		
	(L)(C)	
Critical Element Rating – Leading People	(b)(6)	
Executive Name and ID: Harris, Sarah T.	Appraisal Period: October 1, 2015 – September	er 30, 2016
Critical Element 3. Business Acumen		Weight 10%
	nan, financial, material, and information resources in a ma	
	nission. Uses technology to enhance processes and decision in the processes and decision in the process and manages resources.	on making.
Agency-Specific Performance Requirements	equests with justifications, and manages resources.	
A STATE OF THE STA		- 1
Assess workload to determine appropriate staffin	a lough and conver necessary funding and ETEs	
Assess workload to determine appropriate stamm	g levels and secures necessary runding and F1 cs	- 3
Implement training options for both OGC personn	el and clients	
	har.	
Rating Official Narrative: (Optional)		
	4.720	
Critical Element Rating – Business Acumen	(b)(6)	
Critical Element 4. Building Coalitions	(Minimum weight 5%)	Weight 10%
	external stakeholders or customers. Coordinates with app	
	of appropriate stakeholders to facilitate an open exchange hal support. Explains, advocates, and expresses facts and i	
	is and groups internally and externally, as appropriate. De	
professional network with other organizations and	d identifies the internal and external politics that affect th	
organization. Agency-Specific Performance Requirements	The state of the s	
Agency Specific Lettermance nequirements		
Manage the DOC/OGC & PTO/OGC relationship		
FORM PTO 516E -05/2013	4	

Manage the PTO/OIG investigations relationship Influence the development of IT tools with OGC, OCCO and OCFO to efficiently and accurately communicate the status of OIG investigation matters. Rating Official Narrative: (Optional) (b)(6)Critical Element Rating – Building Coalitions Executive Name and ID: Harris, Sarah T. Appraisal Period: October 1, 2015 – September 30, 2016 Critical Element 5. Results Driven 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 1: 100% Weight

performance requirement specified.

Results - Legal Advice

The executive leads the Office of the General Counsel by overseeing the operations of the three legal offices: Solicitor's Office, Office of General Law, and Office of Enrollment and Discipline. She effectively identifies and analyzes potential legal issues when provided with relevant information. Moreover, she ensures that OGC provides sound and accurate advice consistent with Service Legal Agreements. Suggests legal alternatives that will promote the agency's objectives. Exercises sound professional judgment in making decisions and recommendations. Provides accurate written analysis in a timely fashion. Communicates effectively with the Senior Leadership to ensure their understanding of the legal or policy positions. The executive effectively represents the USPTO to outside stakeholders and advocates the agency's views.

Strategic Alignment:

(b)(6)

Rating Official Narrative: (Optional)	
Critical Element Rating – Results Driven (b)(6)	
Chiletti Element Kating - Kesuits Driven	

Executive Name and ID: Harris, Sarah T.	Rating Period: October 1, 2015 – September 30, 2016
Part 6: Summary Rating Narrative (Mandatory)	
Part 7: Executive's Accomplishment Narrative (Opti	onal)
Part 8: Agency Use	

## Deriving the Results Driven Rating Worksheet

Executive Name: Sarah T. Harris Rating Period: October 1, 2015 - September 30, 2016

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

<sup>\*</sup>Results Driven Rating is 4 – to be transferred to Initial Element Score beside Results Driven Critical Element on the bottom of page 1.

## 2016 1H List of Accomplishments - Sarah Harris

# Leading Change.

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a.	(b)(6) (b)(6)
b.	(b)(6) (b)(6)
c.	(b)(6) (b)(6)
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3. <b>(</b> b	p)(6)

4.	p)(6)
5.	
6.	
<u>Leadin</u>	People.
<ol> <li>2.</li> <li>3.</li> </ol>	b)(6)
Busine	Acumen.
2.	b)(6)
Buildin	Coalitions.
1.	0)(6)

2.	(b)(6)	
3.		
	(b)(6)	
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