

**FY 2023 Organization-wide Goal Performance Awards Agreement Between
The United States Patent and Trademark Office (USPTO), and
The Patent Office Professional Association**

Pursuant to section 2. C. of the "Supplemental Agreement on Awards between the Patent Office Professional Association (POPA) and the Office of the Chief Financial Officer", this agreement establishes annual organization-wide goals for the award period covering fiscal year (FY) 2023, beginning October 1, 2022, and ending September 30, 2023. Organization-wide goal incentive awards covered in this agreement are subject to any fiscal year budget limitations and are granted to employees with fully successful performance level and an overall point score of 350 or higher.

FY 2023 Organization-wide Goal Incentive Award Levels

To the extent that the OCFO demonstrates a foundational level of organizational effectiveness, as evidenced through the receipt of an unmodified audit opinion on the annual USPTO financial statements, OCFO employees may earn additional awards based on achievement of the attached organization-wide goals. If during the fiscal year the USPTO receives anything other than an unmodified or modified audit opinion on the USPTO's financial statements, the organization-wide goal performance award amount will be \$0.

POPA employees who have spent at least 700 hours but less than 1,400 hours during the award period in fiscal year 2023 performing functions of their assigned job shall receive a proportionate amount within the appropriate award category. The proportionate amount shall be the full amount of the appropriate award times the number of hours spent performing the job functions divided by the 1,400-hour base for the award period.

This agreement covers FY 2023 only.



12/13/22

Signature and Date
Jay Hoffman
Chief Financial Officer
USPTO



1/10/2023

Signature and Date
Kathleen Duda
President
POPA

Attachment: OCFO FY 2023 Organization Goals

	FY 2023 Proposed Performance Metric ¹	Report- ing Office	FY 2023 Proposed Base Target	Proposed Base Award % Potential	FY 2023 Proposed Stretch Target	Proposed Stretch Award % Potential
Cultivate the OCFO Talent Pipeline	Percentage of OCFO employees in duty status answering the question: "What does wellness success mean to you, personally?" during a meeting with their immediate supervisor.	FO	100% by March 31, 2023	0.075	100% by February 28, 2023	0.150
Resource the Mission	Percentage of total procurement actions awarded under competitive procurements.	OP	>/= 68%	0.050	>/= 77%	0.100
	Performance against procurement socio-economic goals for actions (prime only).	OP	5 targets achieved	0.050	6 targets achieved	0.100
	Leverage FY22 Automated Procurement Plan (APP) data, expiring contracts report, and other data to hold monthly (beginning in December 2022) high-level procurement planning events with each of the Patents, Trademarks, CFO, OAS, and each IT product line customers to enable timely execution of planned procurements.	OP	75% (5 of 8 meetings) held monthly	0.075	87.5% (6 of 8 meetings) held monthly	0.150
	Patent EOY operating reserve balances compared to plan (as defined by FY23 plan in FY24 Budget).	OPB	Within +/- 10% of plan	0.025	Within +/- 5% of plan	0.050
	Trademark EOY operating reserve balances compared to plan (as defined by FY23 plan in FY24 Budget).	OPB	Within +/- 10% of plan	0.025	Within +/- 5% of plan	0.050
	Date by which materials for Patent public fee setting hearings are developed and delivered to the OUS.	OPB	March 2023	0.0375	February 2023	0.075
	Date by which materials for Trademark public fee setting hearings are developed and delivered to the OUS .	OPB	April 2023	0.0375	March 2023	0.075
	Determine cost estimates and funding strategies for unfunded initiatives and priorities identified by March 31, 2023 and not in the FY 23 Operating Plan or FY 2024 OMB Budget submission.	OPB	75% of unfunded agency initiatives by June 30, 2023	0.050	100% of unfunded agency initiatives by March 31, 2023	0.100
Deliver highly effective USPTO mission enabling services	Move Momentum, eAcquisitions, and Vendor Portal to the Amazon Web Services cloud environment with the applications available to be used in production by target date.	OFMS	By 5/29/23	0.075	By 5/1/23	0.150
	The number of Data & Analytics Product elements moved to the Amazon Web Services cloud environment with applications used in production by 9/30/2023.	OFMS	9	0.075	11	0.150
	Percentage uptime of the fee processing system to enable timely processing of fees.	OFMS	99%	0.050	99.50%	0.100
	Percentage of vendor payments paid timely.	OF	> 98.5% within 30 days	0.025	> 99% within 30 days	0.050
	Percentage of discounts taken (i.e., number of early payment discounts claimed divided by the number of opportunities for early payment discounts available from vendors).	OF	>85%	0.025	>90%	0.050
	Total number of valid fee customer service complaints annually.	OF	</= 4	0.025	</= 1	0.050
	Date by which a process is established to send maintenance fee notices via email to reduce printing/mailing of notices.	OF	9/30/2023	0.050	6/30/2023	0.100
	Percentage of travel reimbursement requests processed within 10 days.	OF	>90%	0.025	>95%	0.050
	Percentage of travel authorization reviews for executive travelers completed within 1 day of receipt.	OF	>80%	0.025	>90%	0.050
	Percentage of simplified/commercial acquisitions (simplified); new awards (new); and orders on existing vehicles (orders) processed within PALT timeframes.	OP	Simplified: 75% New: 75% Orders: 70%	0.025	Simplified: 77% New: 85% Orders: 80%	0.050
	The number of acquisition related training sessions conducted to better educate, engage and enable customers .	OP	6 sessions delivered by 08/31/2023	0.050	9 sessions delivered by 08/31/2023	0.100

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	FY 2023 Proposed Performance Metric ¹	Report- ing Office	FY 2023 Proposed Base Target	Proposed Base Award % Potential	FY 2023 Proposed Stretch Target	Proposed Stretch Award % Potential
Identify and mitigate financial and programmatic risk	Number of non-financial internal control reviews completed during FY 2023; selected based on risk evaluated thru Enterprise Risk Management program.	OF	3 reviews	0.025	5 reviews	0.050
	Percentage of OCFO-tracked/managed corrective action plans completed by initial (i.e., un-extended) due date.	OF	> 85%	0.075	> 90%	0.150
	Percentage of OCFO financial controls tested for A-123 that have no deficiencies.	OF	> 92%	0.075	> 98%	0.150
	Number of the FY 2023 Q1, Q2, and Q3 procurement IV&V audits with an accuracy score of 96% or greater.	OP	1 of 3 audits	0.075	2 of 3 audits	0.150
	Percent of the Undelivered Order (UDO) Backlog as of 10/01/2022 reduced during fiscal year 2023.	OP	45% reduction in UDO backlog	0.050	55% reduction in UDO backlog	0.100
	Monthly reserve balances as a percent of annual projected spending (based on monthly spending projections in the monthly Notional Funding Outlook (aka the OPB "Checkbook") ² .	OPB	All months exceed 4%	0.075	All months exceed 6%	0.150
Enable sound enterprise decisions	Number of fiscal months closed in 3 days with no unplanned topsides.	OF	11 months	0.050	12 months	0.100
	Total number of cost and operational Business Unit-specific ABI analyses completed annually.	OF	3 to 4	0.025	>5	0.050
	Number of additional data sources ingested into the Enterprise Data Warehouse.	OFMS	2	0.050	3	0.100
	Number of dynamic visualizations made available to the public.	OFMS	2	0.050	3	0.100
	Percentage of Monthly Executive Business Activity Reports (EBAR) distributed by the 12th business day of the month (or the 15th business day of each quarter).	OPB	75% of monthly and quarterly	0.050	100% of monthly and quarterly	0.100
	Percentage of quarterly Balanced Scorecards (BSC) presented in Management Council within 40 business days of quarter close.	OPB	75%	0.025	100%	0.050

1/ Unless otherwise noted, if at any point prior to July 1, 2023 OCFO management determines that USPTO management decisions have rendered a specific metric obsolete, that metric will be eliminated from the FY 2023 OCFO organization-wide goals and the potential award share associated with that metric will be distributed among the remaining metrics on a pro-rata basis.

2/ Months during which USPTO experiences a lapse in appropriation are exempted in the calculation of this metric.