

FY 2023 Performance Awards Agreement Between
The United States Patent and Trademark Office (USPTO), and
The Patent Office Professional Association (POPA)

This agreement covers bargaining unit members working in the Office of the Chief Information Officer.

Pursuant to section 2. C. of the “Supplemental Agreement on Awards for the Office of the Chief Information Officer” (OCIO), this agreement establishes annual organizational goals for the award period covering fiscal year 2023, beginning October 1, 2022, and ending September 30, 2023. Organizational 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 Organizational Goal Incentive Award Levels

Employees may earn additional awards based on achievement of the following organizational goals:

Topic	FY23 Big Rocks Goal	FY23 Target Goal	Target Award	FY23 Stretch Goal	Stretch Award
Security: Improve timely closure of High and Very High POAMS	Close High and Very High POAMS by scheduled date Internal Notes: Product team action dependent; cyber supporting activities include, hold POA&M meetings to review, draft risk acceptance letters for POA&Ms that cannot be closed for 12+ months, where appropriate (i.e, system retirements) Improve communication, training, facilitation of POA&M process, and realistic timeline development.	Close High and Very High POAMS by scheduled date Annual goal of 70%	0.100	Close High and Very High POAMS by scheduled date Annual Goal of 80%	0.200
Security: Improve ATO Timeliness	Develop and deploy proof of concept for automation of Continuous ATO to 1 product boundary Internal notes for Security will develop an implementation plan with milestones and report on	Develop and deploy proof of concept for automation of Continuous ATO to 1 product boundary Annual Goal - 1 Product	0.050	Develop and deploy proof of concept for automation of Continuous ATO to 1 product boundary Annual Goal - 2 Products	0.100

	progress each Quarter with goal of 1 product boundary				
Security: Improve ATO Timeliness	<p>Improve the quality of the SSP submission by the Product Team by reducing the number of times that the SSP is returned</p> <p>Internal Notes for this goal will be measured by a reduction in the number of times that SSP documentation has to be returned to product team for addition/edit/clarification (Cyber influence is, training, communication, ISSO assignment, etc.) //Rejection baseline is 5 per SSPP in pre-assessment phase//</p>	<p>Improve the quality of the SSP submission by the Product Team by reducing the number of times that the SSP is returned NOTE: average is 5</p> <p>Annual Goal SSPs Returned Average of 2 times</p>	0.050	<p>Improve the quality of the SSP submission by the Product Team by reducing the number of times that the SSP is returned NOTE: average is 5</p> <p>Annual Goal SSPs Returned Average of 1 time</p>	0.100
Security: Collaborate with each Product to remediate newly discovered High Value Asset critical vulnerabilities within 30 days of discovery during the quarter	<p>Coordinate with and inform each Product Line/Product team to remediate newly discovered High Value Asset critical vulnerabilities within 30 days of discovery during the quarter</p>	<p>Coordinate with and inform each Product Line/Product team to remediate newly discovered High Value Asset critical vulnerabilities within 30 days of discovery during the quarter</p> <p>Annual Goal: 80% remediated</p>	0.100	<p>Coordinate with and inform each Product Line/Product team to remediate newly discovered High Value Asset critical vulnerabilities within 30 days of discovery during the quarter</p> <p>Annual Goal: 100% remediated</p>	0.200
Cloud: Increase Cloud Presence - Migrate Eligible Products to the cloud	<p>Facilitate business case/intake applications for prioritized components and products through Dojo and established intake application and processes</p>	<p>Facilitate business case/intake applications for prioritized components and products through Dojo and established intake application and processes</p> <p>Annual Goal: 12 component/products</p>	0.100	<p>Facilitate business case/intake applications for prioritized components and products through Dojo and established intake application and processes</p> <p>Annual Goal: 16 component/products</p>	0.200

Cloud: Improve Cloud Intake Processes and Outcomes	Product Teams develop comprehensive and supportable design, cost, functional and non-functional business cases and are ready for cloud account creation post intake process.	Product Teams develop comprehensive and supportable design, cost, functional and non-functional business cases and are ready for cloud account creation post intake process. Annual Goal: 80% Product Teams	0.025	Product Teams develop comprehensive and supportable design, cost, functional and non-functional business cases and are ready for cloud account creation post intake process. Annual Goal: 85% Product Teams	0.050
Cloud: Improve Cloud Intake Processes and Outcomes	Hold cloud retrospectives each quarter to facilitate lessons learned and increase organizational knowledge of cloud opportunities specifically related to architecture and costs/finance and develop published guidance for use across product teams.	Hold cloud retrospectives each quarter to facilitate lessons learned and increase organizational knowledge of cloud opportunities specifically related to architecture and costs/finance and develop published guidance for use across product teams. Annual Goal: 12 Retrospectives	0.025	Hold cloud retrospectives each quarter to facilitate lessons learned and increase organizational knowledge of cloud opportunities specifically related to architecture and costs/finance and develop published guidance for use across product teams. Annual Goal: 16 Retrospectives	0.050
Cloud: Enhance FinOps Program to provide reduced Cost over current on-prem model	Quarterly Strategic report for OCIO cloud spending and benefits delivered to DCIO and Cloud LPO, with stretch goal to be QRB delivery.	Quarterly Strategic report for OCIO cloud spending and benefits delivered to DCIO and Cloud LPO, with stretch goal to be QRB delivery. Annual Goal: 4 Reports to DCIO and Cloud LPO	0.100	Quarterly Strategic report for OCIO cloud spending and benefits delivered to DCIO and Cloud LPO, with stretch goal to be QRB delivery. Annual Goal: 4 Reports Delivered to QRB	0.200
Resilience: Product team support for Chaos Engineering, Resilience Engineering and Observability so that USPTO can continually improve systems.	Observability - Tool installed and used across 3 products. NOTE: Usage of Observability Tools depends on product teams, so responsibility for achieving and reporting on this goal should move to the Business Product Delivery Office (BPDO).	Observability - Tool installed and used across 3 products. Annual Goal: 3 New Products	0.016	Observability - Tool installed and used across 3 products. Annual Goal: 5 New Products	0.033

Resilience: Product team support for Chaos Engineering, Resilience Engineering and Observability so that USPTO can continually improve systems.	Chaos Engineering - Improve organizational awareness and understanding of Chaos Engineering (who, what, when, how, why) by implementing improved communications with 1 contact (presentation, training, wiki, per quarter).	Chaos Engineering - Improve organizational awareness and understanding of Chaos Engineering (who, what, when, how, why) by implementing improved communications with 1 contact (presentation, training, wiki, per quarter). Annual Goal: 4 new contacts	0.017	Chaos Engineering - Improve organizational awareness and understanding of Chaos Engineering (who, what, when, how, why) by implementing improved communications with 1 contact (presentation, training, wiki, per quarter) Annual goal: 8 new contacts	0.033
Resilience: Product team support for Chaos Engineering, Resilience Engineering and Observability so that USPTO can continually improve systems.	Resilience Engineering - Conduct one incident analysis cycle each month.	Resilience Engineering - Conduct one incident analysis cycle each month. Annual Goal: 12 Incident Analysis	0.017	Resilience Engineering - Conduct one incident analysis cycle each month. Annual Goal: 16 Incident Analysis	0.034
Resilience: Improve Contingency Capabilities to enable recovery of IT systems and mission operations after unexpected events.	Conduct Contingency Plan Table Top (facilitated) Exercises for 12 mission critical systems and prioritizing new systems.	Conduct Contingency Plan Table Top (facilitated) Exercises for 12 mission critical systems and prioritizing new systems. Annual Goal: 12 systems	0.050	Conduct Contingency Plan Table Top (facilitated) Exercises for 12 mission critical systems and prioritizing new systems. Annual Goal: 16 systems (or 15 systems with table top & 1 system with Functional exercise) *NOTE: Instead of conducting an additional Table Top exercise as a stretch goal, an alternative stretch goal involves conducting a Functional Test as well.	0.100
Resilience: Improve Contingency	Document lessons learned for the 12 mission	Document lessons learned for the 12 mission critical systems	0.050	Document lessons learned for the 12 mission critical systems	0.100

Capabilities to enable recovery of IT systems and mission operations after unexpected events.	critical systems to identify deficiencies and gaps in contingency documentation to communicate to impacted stakeholders to further refine and improve contingency planning policies, procedures, and documentation.	to identify deficiencies and gaps in contingency documentation to communicate to impacted stakeholders to further refine and improve contingency planning policies, procedures, and documentation. Annual Goal: 12 systems		to identify deficiencies and gaps in contingency documentation to communicate to impacted stakeholders to further refine and improve contingency planning policies, procedures, and documentation. Annual Goal: 16 systems	
Zero Trust Architecture: Define/continue Micro Segmentation Roadmap	Execute ZTA related acquisition for target award by end of Q2	Execute ZTA acquisition for target award by end of Q2	0.020	Execute ZTA related acquisition for target award by end of Q1	0.050
Zero Trust Architecture: Define/continue Micro Segmentation Roadmap	Define ZTA cloud strategy	Define ZTA cloud Strategy Q4	0.030	Define ZTA cloud Strategy Q3	0.050
Zero Trust Architecture: Define/continue Micro Segmentation Roadmap	Deploy stage agents for remaining 15 of 22 on-premise HVAs for Micro Segmentation analysis	Complete Stage agents for remaining 15* of the on-premise HVA's for Micro Segmentation for analysis (Additional Products/Quarter) by Q4 Note: Planned roadmap for internal tracking/reporting only to complete 15 stage agents of the remaining 18 on-premise HVAs: Q3 - 6 HVAs Q4 - 9 HVAs *Does not include Trademarks on-premise HVA systems due to TRAM retirement	0.050	Complete Stage agents for remaining 15* of the on-premise HVA's for Micro Segmentation for analysis (Additional Products/Quarter) by Q3 Note: Planned roadmap for internal tracking/reporting only to complete 15 stage agents of the remaining 18 on-premise HVAs: Q3 - 15 HVAs *Does not include Trademarks on-premise HVA systems due to TRAM retirement	0.100
Zero Trust Architecture: Define Maturity Roadmap for	Define and initiate a maturity roadmap for the five pillars	Define and initiate a maturity roadmap for the five pillars by Q2	0.013	Define and initiate a maturity roadmap for the five pillars by Q1	0.025

Five Pillars: 1) Identity; 2) Devices; 3) Network; 4) Application; and 5) Data					
Zero Trust Architecture: Define Maturity Roadmap for Five Pillars: 1) Identity; 2) Devices; 3) Network; 4) Application; and 5) Data	Complete password policy changes	Complete password policy changes by Q2	0.013	Complete password policy changes by Q1	0.025
Zero Trust Architecture: Define Maturity Roadmap for Five Pillars: 1) Identity; 2) Devices; 3) Network; 4) Application; and 5) Data	Define phishing resistant multifactor authentication (FIDO2) for external users	Define phishing resistant multifactor authentication (FIDO2) for external users by Q3	0.013	Define phishing resistant multifactor authentication (FIDO2) for external users by Q2	0.025
Zero Trust Architecture: Define Maturity Roadmap for Five Pillars: 1) Identity; 2) Devices; 3) Network; 4) Application; and 5) Data	Initiate and deploy phishing resistant multifactor authentication (FIDO2) solution for external users to test environment	Initiate and deploy the phishing resistant multifactor authentication (FIDO2) solution for external users to test environment by Q4	0.013	Initiate and deploy the phishing resistant multifactor authentication (FIDO2) solution for external users to test environment by Q3	0.025
Zero Trust Architecture: Deliver Security at the Access Service Edge (SASE) pilot for internal users and enterprise approach	Define full enterprise SASE solution approach for internal users	Define full enterprise SASE solution approach for internal users by end of Q4 Note: Roadmap to complete definition of enterprise SASE solution approach for internal users: Complete SASE Pilot;	0.100	Define full enterprise SASE solution approach for internal users by end of Q3 Note: Roadmap to complete definition of enterprise SASE solution approach for internal users: Complete SASE Pilot;	0.200

		SASE Design Selected; and SASE Enterprise Solution Approach defined by Q4		SASE Design Selected; and SASE Enterprise Solution Approach defined by Q3	
Data Center Migration: Business product component migrations to new facility (phased) or Cloud as appropriate	Complete remaining Business Product Component migrations:	Complete remaining 142* Business Product Component migrations by end of Q4 Note: Planned roadmap for internal tracking/reporting only to complete 142 Product Component migrations: Q1 Complete 15 of remaining 142 components Q2 Complete 38 of remaining 127 components Q3 Complete 50 of remaining 89 components Q4 Complete 39 of remaining 39 components * Note goal reduced from to 142 to take into account completed migrations to date	0.200	Complete remaining 142 Business Product Component migrations by end of Q3 Note: Planned roadmap for internal tracking/reporting only to complete 142 Product Component migrations: Q1 Complete 20 of remaining 142 components Q2 Complete 52 of remaining 122 components Q3 Complete 70 of remaining 70 components	0.400
Increase Hybrid Cloud Usage: Infrastructure Build Out - Expand public cloud usage Improve hybrid cloud infrastructure	Integrate on-premise core infrastructure resource groups (e.g. Infoblox, Cohesity, Splunk) to UMACS – Azure	Integrate 15 on-premise core infrastructure resource groups (e.g. Infoblox, Cohesity, Splunk) to UMACS – Azure by Q2 Note: Planned Roadmap for internal tracking/reporting only to complete 15 on- premise core infrastructure groups Q1 - 10 Groups Q2 - 5 Groups	0.050	Integrate 15 on-premise core infrastructure resource groups (e.g. Infoblox, Cohesity, Splunk) to UMACS – Azure by Q1 Note: Planned Roadmap for internal tracking/reporting only to complete 15 on- premise core infrastructure groups Q1 - 15 Groups	0.100

Increase Hybrid Cloud Usage: Infrastructure Build Out - Expand public cloud usage Improve hybrid cloud infrastructure	Continue to introduce new services through FedRAMP approval, Risk Acceptance, Marketplace AMIs based on business need	Continue to introduce new services through FedRAMP approval, Risk Acceptance, Marketplace AMIs based on business need by end of Q4	0.050	Continue to introduce new services through FedRAMP approval, Risk Acceptance, Marketplace AMIs based on business need by end of Q3	0.100
Increase Hybrid Cloud Usage: Enable and Support Product Component Migration	Fully automate account creation capability (after approved through intake process) and setup stack to reduce the time it takes for Product Teams to start development/migration on UACS	Fully automate account creation capability (after approved through intake process) and setup stack to reduce the time it takes for Product Teams to start development/migration on UACS by end of Q3	0.025	Fully automate account creation capability (after approved through intake process) and setup stack to reduce the time it takes for Product Teams to start development/migration on UACS by end of Q2	0.050
Increase Hybrid Cloud Usage: Enable and Support Product Component Migration	Define UACS cloud intake process to reduce manual overhead	Define UACS cloud intake process to reduce manual overhead by end of Q4	0.025	Define UACS cloud intake process to reduce manual overhead by end of Q3	0.050
Increase Hybrid Cloud Usage: Security - Leverage cloud capabilities to increase security	Maintain ATOs and full production teams to support the 3 cloud platforms UMACS, UACS, and UGCS	Maintain 90% ATOs and full production teams to support the 3 cloud platforms UMACS, UACS, and UGCS	0.025	Maintain 100% ATOs and full production teams to support the 3 cloud platforms UMACS, UACS, and UGCS	0.050
Increase Hybrid Cloud Usage: Security - Leverage cloud capabilities to increase security	Fully integrated Single Sign On capability for all migrated business components on all three platforms: Complete UACS (AWS) in (Q2) Note: UMACS (Azure) and UGCS (Google Cloud console) are Complete	Fully integrated Single Sign On capability for 20 migrated business components on all three platforms: Complete UACS (AWS) by end of Q4 Note: UMACS (Azure) and UGCS (Google Cloud console) are Complete Note: Planned roadmap for internal tracking/reporting only to achieve SSO capability	0.025	Fully integrated Single Sign On capability for 20 migrated business components on all three platforms: Complete UACS (AWS) by end of Q3 Note: UMACS (Azure) and UGCS (Google Cloud console) are Complete Note: Planned roadmap for internal tracking/reporting only to achieve SSO	0.050

		for 20 migrated business components on UACS platforms 5 components per quarter		capability for 20 migrated business components on UACS platforms 10 components per quarter for Q 2 and Q3	
Increase Hybrid Cloud Usage: Cost Management - Reduced Cost over current on-prem model	Achieve full reach back cloud usage payment model to track Product Components migration and metered costs for cost savings on Cloud Service Provider solutions	Achieve full reach back cloud usage payment model to track Product Components migration and metered costs for cost savings on Cloud Service Provider solutions by end of Q2	0.050	Achieve full reach back cloud usage payment model to track Product Components migration and metered costs for cost savings on Cloud Service Provider solutions by end of Q1	0.100
Increase Hybrid Cloud Usage: Enhance Cloud resiliency so that USPTO Hybrid Cloud has automatic failover within each public cloud offering (region to region) and cloud resident business products as appropriate	Define and pilot Hot-Hot business component network connectivity between Manassas Product Data Center and Cloud Solutions (AWS) (Q4)	Define and pilot Hot-Hot business component network connectivity between Manassas Product Data Center and Cloud Solutions (AWS) (Q4)	0.030	Define and pilot Hot-Hot business component network connectivity between Manassas Product Data Center and Cloud Solutions (AWS) (Q3)	0.067
Increase Hybrid Cloud Usage: Enhance Cloud resiliency so that USPTO Hybrid Cloud has automatic failover within each public cloud offering (region to region) and cloud resident business products as appropriate	Pilot cloud failover region to region automatically, e.g., AWS East1 to US East2 Q3 Complete [Note: Once Region to Region failover capability is in place, Product teams will drive adoption]	Pilot cloud failover region to region automatically, e.g., AWS East1 to US East2 Q3 Complete [Note: Once Region to Region failover capability is in place, Product teams will drive adoption]	0.030	Pilot cloud failover region to region automatically, e.g., AWS East1 to US East2 Q2 Complete [Note: Once Region to Region failover capability is in place, Product teams will drive adoption]	0.067

<p>Increase Hybrid Cloud Usage: Enhance Cloud resiliency so that USPTO Hybrid Cloud has automatic failover within each public cloud offering (region to region) and cloud resident business products as appropriate</p>	<p>Establish Hot-Hot capabilities between AWS Cloud and Manassas Production Data Center: (Q4) Complete [Note: Once Hot-Hot capability is in place, Product teams will drive adoption]</p>	<p>Establish Hot-Hot capabilities between AWS Cloud and Manassas Production Data Center by end of Q4 Note: Once Hot-Hot capability is in place, Product teams will drive adoption</p>	<p>0.040</p>	<p>Establish Hot-Hot capabilities between AWS Cloud and Manassas Production Data Center by end of Q3 Note: Once Hot-Hot capability is in place, Product teams will drive adoption</p>	<p>0.066</p>
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This agreement covers Fiscal Year (FY) 2023 only.

 Scott Williams
 Chief of Staff, Office of Chief Information Officer
 USPTO

 Date

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 Kathleen Duda
 President
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2/1/2023

 Date