Associate First Name	Associate Last Name	Job Title	Date began current job
Hao	Gu	Senior Software Engineer	2/9/2000

Current Year	**Reviewing Manager**
March 2004	Bob Schimek

○ Management   ● All Others

○ Interim   ● Annual

PAY for PERFORMANCE

FIRSTLOGIC, INC.
PERFORMANCE REVIEW PLAN

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ANNUAL and INTERIM PLANNING AND PERFORMANCE REVIEW DOCUMENT

SECTION I
Key Job Responsibilities and Performance Expectations

Hao Gu

Insert a key responsibility and expected results in each section. Assign a weighting percentage (Wt %) to each responsibility to assist in determining an overall rating. The weighting percent should be determined by how much time is spent on the responsibility. Total should equal 100%. Rate the overall performance by checking the appropriate rating column.

RATING DEFINITIONS:
*OT = Outstanding Performance **far exceeds** what was expected throughout the entire review period. **(4)**
*EE = Exceeds Expectations Performance **meets** job requirements and **regularly exceeds expectations**. **(3)**
*ME = Meets Expectations Performance **regularly meets expectations**. **(2)**
*DM = Does Not Meet Expectations Performance is **below** expectations. **(1)**

Associate Name: Hao Gu   Job Title: Senior Software Engineer

RESPONSIBILITY		
Self-Development(**required for all associates**): Learns from experience; actively pursues and completes learning and skill development; seeks feedback and welcomes unsolicited feedback; modifies behavior in the light of the feedback. (Provide specific actions/activities)	**10%**	○ OT ◉ EE ○ ME ○ DM 3

Explanation/Examples:
Hao as attended a number of training opportunities over the last year to continue to expand his horizons. The main one being a week long training on Java Programming in Indianapolis, which Hao followed with taking and passing the Sun Certified Programmer for the Java 2 Platform 1.4 exam. Other training events include the Software Project Survival training offered by Construx and a seminar on Handwritten Address Recognition Presentation- which he was interested in because handwritten recognition was his master degree's program.

REQUIREMENTS REVIEW		
Capable of independently reading and interpreting requirements from Marketing. Can be expected to identify poorly defined requirements and work with Marketing to make necessary changes. Can be expected to view requirements from the eyes of the user and question requirements that don't appear to be in line with customer needs.	**9%**	○ OT ◉ EE ○ ME ○ DM

Explanation/Examples:
When Hao is looking at adding any new functionality to Business Edition, he always does a good job of making sure he understands how the customer will want to use it and what business problem is going to be solved by adding it.   In the most recent release, Hao spent a significant amount of time researching the implementation of the advanced Name and Field parsing that was added. There were many discussions with Product Management and the BE CFT to determine the most usable way to implement this functionality. While the release has only been in the field for a short time, it has already generated a lot of positive feedback. For example at the dealers conference that was recently held.

PROJECT PLANNING

An integral part of the design process. Can be expected to be the primary author of the design document when needed. Can be expected to supply components or complete design documents. If not the primary author of design documents, capable of viewing implementation items through the eyes of the customer and takes exception to questionable areas.	**18%**	○ OT	○ EE	◉ ME	○ DM

Explanation/Examples:

Hao has been the primary author for the BE and DTM design documents for several years. Over the past year he has been sharing that responsibility with Glenn. They have made a good team and have been able to add a significant amount of new functionality over the past year. In the coming year Hao will be working with Braden to plan and schedule BE releases since Braden will be stepping in and assuming Project Management related responsibilities.

PRODUCTIVITY

Capable of prioritizing multiple tasks and projects, switching efficiently between them to handle the most important issues first. Maintains enthusiasm and a positive attitude for their job and are seen as a role model for other developers.	**9%**	○ OT	◉ EE	○ ME	○ DM

Explanation/Examples:

Hao was promoted to Senior Software Engineer last year, and his productivity is exceeding expectations. Hao's design and implementation of the new name and field parsing functionality required working through a number of ambiguous issues. He worked through many of these issues on his own with little to no involvement of his manager and the feedback on the results has been extremely positive. In addition to development activities, Hao has had to continue to support the installer for PPC, DTM, and BE. The 7.40 release had an already tight schedule and Hao found out fairly late in the release that he would have to upgrade to a new version of install shield. This was a significant amount of new work, and Hao did what was needed to get everything completed. His dedication to the product is greatly appreciated by his manager.

QUALITY

Follows the Firstlogic coding standards regarding naming, documentation and testing. Consistently demonstrates a clear understanding of the importance of quality to the organization and its clients and displays the attitude that quality is the responsibility of each individual, regardless of their role. Actively evaluates their own work and that of peers to insure that the quality of 1L code and documentation are continuously improved.	**9%**	○ OT	○ EE	◉ ME	○ DM

Explanation/Examples:

Business Edition and DeskTop Mailer have a good reputation for quality. Over the last year rarely has a revision of the product been required. The most current release (7.40) had a significant amount of new functionality that had been added, and as a result, there were a couple of items that were found in the field, but they were quickly addressed with a single revision and since then, the product has settled nicely in the field.

Hao has been doing a good job of working with Glenn to do peer reviews of each other's work.

PROBLEM SOLVING

Capable of taking information from the requirements, design documents and other FOCUS documents and implementing assigned tasks. Can be expected to independently resolve unexpected complications and communicate needed changes without supervision.	**13%**	○ OT	◉ EE	○ ME	○ DM

Explanation/Examples:

As noted above, the new name and field parsing functionality that was added in the last release is an excellent example of Hao's ability to take a relatively undefined marketing requirement and successfully lead a series of discussions that evolve it into a nice product solution with little involvement of his manager.

MEETS DEADLINES

Willing to commit to deadlines, especially critical ones, and meets them. When task estimates are provided, actual effort is consistently close to estimated effort. Consistently completes assigned tasks on-time without supervision and assistance.	**13%**	○ OT	◉ EE	○ ME	○ DM

Explanation/Examples:

DTM and BE release dates are always driven by the regular bi-monthly directory shipments. Due to the large customer base it is extremely expensive to ship a release outside of a directory update. Hao has consistently managed the DTM and BE releases to make sure the product is ready to ship with the directories. The most recent release of 7.40 is a good example where Hao had to work extra hours to keep the project on track when he found out fairly late in the release that he would need to change the install over to a new version of install shield.

COMPLIANCE

Follows, and an expert of Development Policies, Processes, and Procedures. Endorses the creation of new Processes and Procedures when a need is identified. Is an advocate for bringing new technology, coding techniques, or development methodology into Firstlogic.	**9%**	○ OT	○ EE	◉ ME	○ DM

Explanation/Examples:

Hao does a good job of working with the Business Edition CFT members to comply with the FOCUS process. In the coming year Hao will need to work closely with Braden as he assumes Project Management responsibilities for PPC, DTM, and BE.

DESIGN

Demonstrates the understanding that design is the most significant contributor to software maintainability. Actively seeks and acquires design skills through some combination of formal education, literature review, discussion with peers, experimentation and apprenticeship. Assists others in the acquisition of design skills.	**10%**	○ OT	◉ EE	○ ME	○ DM

Explanation/Examples:

While the example has been used repetitively in this review, the way that Hao went about the design and implementation of the new name and field parsing functionality in the 7.40 release is an excellent example of his solid design skills. He did a nice job of including everyone in the process to provide feedback and suggestions. Hao also attended formal Java training and actively pursues Peer Reviews of code with Glenn.

RATING DEFINITIONS:
*OT = <u>Outstanding</u> Performance **far exceeds** what was expected throughout the entire review period. **(4)**
*EE = <u>Exceeds Expectations</u> Performance **meets** job requirements and **regularly exceeds expectations**. **(3)**
*ME = <u>Meets Expectations</u> Performance **regularly meets expectations**. **(2)**
*DM = <u>Does Not Meet Expectations</u> Performance is **below** expectations. **(1)**

Associate Name: Hao Gu   **Job Title: Senior Software Engineer**

CUSTOMER FOCUS					
	OT	EE	ME	DM	N/A
Responds to internal & external customer needs and meets commitments in a timely manner; considers customer requests & ensures alignment between their needs & the products & services provided; creates opportunities to receive & use customer feedback to improve service.	○	○	◉	○	○

Explanation/Examples:
Hao does a good job of working with Product Test and Customer Support to resolve customer issues. The most recent revision for 7.40 is a good example of quickly responding to customers issues. As noted in Section I, when Hao implements new functionality he does a nice job of figuring out how the customer is going to use a particular feature and then he will propose a design that has the users ease of use in mind. The 7.40 release is getting a lot of positive feed from the field, which indicates that the team did a good job of "considers customer requests & ensures alignment between their needs & the products & services provided".

TEAMWORK					
	OT	EE	ME	DM	N/A
Displays an overall positive attitude towards the team environment & cooperates to achieve team objectives; treats others with honesty & respect; values others' perspectives; provides constructive feedback to others; supports others' learning; recognizes others' accomplishments.	○	○	◉	○	○

Explanation/Examples:
Hao and Glenn have been working nicely together on the Business Edition product. Hao is doing a nice job of balancing the development activities between the two of them. Product Management, Customer Support, Product Test, and CFT members all enjoy working with Hao.

INTERPERSONAL SKILLS					
	OT	EE	ME	DM	N/A
Behaves professionally and ethically; communicates verbal ideas or solutions in a clear, concise manner; communicates written ideas or solutions in a clear, concise manner; actively solicits & provides input to others in the organization, both formally and informally; fosters collaboration across the organization to enhance the productivity & efficiency of the organization.	○	○	◉	○	○

Explanation/Examples:
Hao has good verbal and written communication skills and they are reflected in the Business Edition design documents that he authors and the discussions that he leads at the CFT meetings. Hao has good attention to detail and has been working closely with Product Test to clarify complex implementation items. These discussions help flush out overlooked design items before the implementation phase of development begins. Hao has a good ability to explain concepts in a way that can be understood by the wide variety of people that have different levels of familiarity with Business Edition concepts.

ACCOUNTABILITY					
	OT	EE	ME	DM	N/A
Pays close attention to detail & checks work for accuracy; works efficiently, establishes priorities & measures projects against milestones to ensure work is done on schedule; plans ahead to identify potential obstacles & works towards addressing them; takes ownership of decisions, responsibilities & failures; adjusts to changes, adversity, multiple demands, and shifting priorities.	○	◉	○	○	○

Explanation/Examples:
As noted several times in Section I, Hao does what is necessary to keep the project on track and to ensure that it releases with one of the regular bi-monthly directory updates. This will sometimes involve working extra hours (such as the install shield example), or working with Product Management and the CFT to identify some lower priority items that can be pulled out of the release, as is now being evidenced with the 7.50c release.

JUDGEMENT					
	OT	EE	ME	DM	N/A
Demonstrates independence in problem solving; breaks down complex problems into smaller, more manageable parts; analyzes & evaluates a problem, gathers ideas & uses sound logic, reasoning & experience to develop solutions; considers & develops new & creative solutions & develops ways to improve the present process.	○	◉	○	○	○

Explanation/Example:
Hao has good problem solving skills and consistently comes up with well designed solutions when new features are added to the product (such as the name and field parsing). When new functionality is being implemented and an issues occurs, Hao does a nice job of working closely with Product Management and the CFT members to identify the issue and work with them to determine an appropriate solution.

DEPTH & BREADTH OF KNOWLEDGE					
	OT	EE	ME	DM	N/A
Understands company products and services; possesses & applies cross-functional knowledge; regarded by peers to be a subject matter expert & acts as a resource to others when appropriate; makes consistent efforts to improve broad skills & knowledge base, as well as technical/functional expertise.	○	◉	○	○	○

Explanation/Example:
Hao continues to be the main source of domain knowledge for DTM and BE. He is clearly the subject matter expert for any questions and issues regarding code. Due to the applications integrated into BE (ACE, MCD, Presort, Label Studio, and eDQ), Hao has probably the broadest exposure to other applications than just about any other engineer.   This cross-functional knowledge has continued to expand with the name parsing that was added in 7.40 which now is leveraging DTR-IQ.

FINANCIAL STEWARDSHIP					
	OT	EE	ME	DM	N/A
Uses financial information & analysis to evaluate options & make decisions; manages resources in a cost efficient manner; balances short & long-term goals when making job and/or business decisions.	○	○	◉	○	○

Explanation/Example:
Hao does a good job of working with Product Management when there are issues and business decisions that need to be made that affect Business Edition, DTM, and PPC and their respective customer bases, such as use of 3rd party tools, the creation of a revisions, and the timing of new product releases to coordinate with directory shipments. Since it costs between $15 and $20K to ship a release of DTM, Hao works diligently to ensure the releases hit bi-monthly Directory shipment dates and to ensure that few revisions are ever needed

Directory shipment dates and to ensure that few revisions are ever needed

SECTION III
Evaluating Previous Goals
Hao Gu

Associate Name: Hao Gu   **Job Title: Senior Software Engineer**

GOALS: Rate the goals that were previously listed in Section VI during the last review cycle. Use the same weighted percent as originally chosen for these goals.
RATINGS DEFINITIONS: **OR** = Outstanding results (4); **RE** = Results exceeded expectations (3); **SC** = Satisfactory completion (2); **PC** = Partially completed/ongoing (1); **LN** = Little or no progress (0).

○ Individual ◉ Team ○ Department	Wt %	OR	RE	SC	PC	LN	N/A
Goal:	**25%**	○	○	◉	○	○	○

Release Business Edition 7.31 with the April directories. The April release has a number of new features and pieces of functionality that are important for the success of Business Edition. These include adding a fifth presort scheme, adding support for Access 2002 & 2002, upgrading to the newest version of CodeBase, upgrading to the newest version of Label Toolbox, needed changes for FSM 1000 and AFSM 100 support, and upgrading to the newest eDQ server.

Interim Comments:
This goal was successfully met.

Results:

No additional comments needed, the product released on schedule.

○ Individual ◉ Team ○ Department	Wt %	OR	RE	SC	PC	LN	N/A
Goal:	**25%**	○	○	◉	○	○	○

Release Business Edition 7.32(?) with the June directories. The June release is currently slated to contain two key add-on options for Business Edition. Support for Move Update which involves adding ACE's Mover ID functionality to the ACE Library and integrating it into Business Edition to communicate with the USPS FastForward box. The second item is adding support for Geocoding using the Tiger file which is built with US census data.

Interim Comments:
This goal was successfully met and the new features were promoted heavily at the Fall National Postal Forum.

Results:
No additional comments needed, the product released on schedule.

○ Individual ○ Team ◉ Department	Wt %	OR	RE	SC	PC	LN	N/A
Goal:	**0%**	○	○	○	○	○	◉

Add support for XML keys to Business Edition, DeskTop Mailer, DeskTop Mailer NFR, and Postal Encoder by Fall 2003. This is a key corporate initiative to modernize our fulfillment system.

Interim Comments:
Problems with XML key functionality has slowed the adoption of this technology. Implementation of XML keys continues to be an important corporate initiative that is still targeted to be implemented with the Spring CSR. This will mean that the necessary changes to support XML keys will need to be implemented before 04 annual reviews, so this will continue to be a goal for Hao and the BE Team.

Results:

This goal in being rolled forward as a Corporate goal for 2004 and the percentage is being redistributed to the other 2003 goals. Implementation of XML keys has been anything but a smooth process. A number of issues continue to surface as products continue to adopt this technology, which has resulted in revisions, red lights, and a significant amount of retesting for early adopters. The delays that these issues have caused are outside of the control of the individual teams, which is why Hao is not being penalized for not meeting this goal. XML keys is still an important corporate initiative, any product releasing with (or after) the 2004 Spring CSR will require support for XML keys.

● Individual O Team O Department	Wt %	OR	RE	SC	PC	LN	N/A
Goal:	**25%**	O	●	O	O	O	O

Continue to mentor Glenn on the Business Edition. The next two releases of Business Edition is going to contain significant new functionality. It will be important for Glenn to continue to become more familiar with the code base and MFC based development. Be sure to discuss ideas, review changes, and be available for questions.

Interim Comments:
Hao and Glenn have made a good team for working on Business Edition. Hao has been working closely with Glenn to get him more familiar with the Business Edition code base and coding in MFC. Glenn has been learning a lot between the strong technical knowledge of Hao and the strong "business need" knowledge of Stacey. With Hao's guidance much has been accomplished this year for Business Edition.

Results:
Hao and Glenn have been working well together over the last year and they have added a significant amount of new content to B The most recent release 7.40 was packed with new functionality and received a lot of good feedback at the dealers conference. Results have exceeded expectations.

O Individual ● Team O Department	Wt %	OR	RE	SC	PC	LN	N/A
Goal:	**25%**	O	●	O	O	O	O

Completion of Business Edition 7.40 with February Directories.

Interim Comments:
This is a new goal being added for the second half of the year. Business Edition 7.40 will contain a number of new features and v be an important release for Firstlogic to get the 2004 year started.

Results:
As noted in the previous goal, the 7.40 release was released on schedule and is being well received in the field. Results have exceeded expectations.

SECTION IV
Overall Performance Rating
Hao Gu

RATING DEFINITIONS:
*OT = <u>Outstanding</u> Performance **far exceeds** what was expected throughout the entire review period. **(4)**
*EE = <u>Exceeds Expectations</u> Performance **meets** job requirements and **regularly exceeds expectations**. (3)
*ME = <u>Meets Expectations</u> Performance **regularly meets expectations**. **(2)**
*DM = <u>Does Not Meet Expectations</u> Performance is **below** expectations. **(1)**

Associate Name: Hao Gu   **Job Title: Senior Software Engineer**

Annual Review

SECTION I	Key Job Responsibilities & Performance Expecations	2.64
SECTION II	Core Competencies	2.43
SECTION III	Evaluation Of Previous Goals	2.50
	Overall Performance Rating (0 - 4)	2.50

Additional Comments / Brief Summary:

As a new Senior Software Engineer, Hao is performing extremely well in his position, in many areas already exceeding expectations. Keep up the great work.

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SECTION V
Personal and Professional Development (update as needed)

Hao Gu

Associate Name: Hao Gu   **Job Title: Senior Software Engineer**   **Annual Review:**

	Action Item/ Expected Results **In order to use returns within the below cells, press Alt+Enter**	Responsibility(Associate, Manager, Shared)	Time frame
Knowledge of the Business/Industry	Participate in the monthly Commercial Mail Market Reviews and Business Edition CFT meetings. Note attendance in your weekly status reports. Hao is encouraged to read article and magazines that are relevant to the software development industry to stay on top of new and emerging trends. Note readings/reviews that you found interesting along with any insight you would like to add in your weekly status reports. Keep an eye on IQ8, take advantage of any opportunity to learn more about it and how it is being used and accepted in the field. Some key decisions will need to be made on what Commercial Mail will do, so the more we know about it, the more informed decision we can make.	Associate	All Year
Professional Development and/or Training (Technical and/or financial skills)	Last year Hao did a nice job of using his training dollars for professional development. Continue to keep an eye out for any training events (both internal or external) that appeal to you. Once you find something, work with your managers to get the training approved.	Associate	Identify the training by mid-year reviews. Attend the training by year end.

Job/Project Assignments	Two critical projects for Business Edition in the coming year will include:
	    2004 CASS certification of Business Edition, DeskTop Mailer, and Postal Coder
	    NCOALink certification for Business Edition
		Shared	June CSR for CASS, NCOALink as soon as possible after that.

Other	In the coming year, some of Glenn's time will need to shift back to Presort to help with some significant redesign planning that is needed. Jenn will be joining the team to help augment the resources. Work with Jenn to mentor her and train her on the product.	Associate	Starting after CSR
Career Path Summary/Discussion			

SECTION VI
New Goals Evaluation
Hao Gu

Associate Name: Hao Gu   **Job Title: Senior Software Engineer**

GOALS: These goals can be shared or individual, but must be measurable and process/method/result based. Goals must complement the annual corporate goals. Assign a weighted percentage to each to assist in determining overall rating. Total should be equal to 100%.		
○ Individual ○ Team ● Department	**Wt %**	**15%**

Goal:

Implement and support the testing of XML keys for Business Edition. This needs to be completed with the 2004 Spring CSR release (BE 7.50c). This has been an on-going key corporate initiative to modernize our fulfillment system that will enable important new fulfillment technology such as electronic downloading of software updates by our customers.

Interim Progress:

● Individual ○ Team ○ Department	**Wt %**	**15%**

Goal:

Regular submission of weekly status reports. As Braden steps in to take Project Management responsibilities for Business Edition, regular updates on your status will be important for them to track the progress of Business Edition activities. Be sure to provide a good level of detail to track accomplishments as well as to demonstrate goal setting and time-management skills when planning ahead, this will help him ramp up quickly on the project.

Interim Progress:

○ Individual ● Team ○ Department	**Wt %**	**30%**

Goal:

Work with the Business Edition team to have BE, DTM, and PPC 7.50c releases ready for general release by the 2004 Spring CSR deadline. Help to ensure communication occurs with Product Test and the CSR coordinators.

Interim Progress:

○ Individual ● Team ○ Department	**Wt %**	**40%**

Goal:

Get Business Edition NCOALink certified. BCC surprised us and is already certified, putting us at a competitive disadvantage. Certification with the CSR release will result in an OR rating.

Interim Progress:

○ Individual ○ Team ○ Department	**Wt %**	
Goal:		
Interim Progress:		

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Associate Name: Hao Gu   **Job Title: Senior Software Engineer**

Signatures Annual Review

Reviewing Manager	Date

Approving Manager	Date

Human Resources	Date

Associate Comments and Signature

You may add your comments in this space. Suggested areas to address include how this review:
    -reflects the accuracy of your responsibilities
    -reflects the accuracy of your performance
    -reflects the accuracy of mutual setting and agreement of developmental goals

Associate Signature   Date

Signatures Interim Review

☐ Interim Review Completed. No Changes.

Reviewing Manager	Date

Approving Manager	Date

Associate Signature	Date