Performance Evaluation System

Ratings Recourse:
Reviewing a Ratings Recourse Request

Quick-Start Guide for Evaluators

NOTE: This Quick-Start Guide provides you basic information on navigating through PES. Screens may be slightly different or different functionality may have been added that is not included in this guide. If you have any questions on how to navigate in PES, please contact your PFP Coordinator.

Version 3, January 2010
Overview of the Ratings Recourse Process

What recourse is available for core requirements ratings?

An employee who believes that one or more of his/her core requirements ratings does not substantively reflect a fair assessment of his/her contribution to the work unit must document the concerns and rationale in the Performance Evaluation System (PES) within 45 days of the date ratings are published to employees. This option is located on the main PES screen listed as End-of-Year Ratings Recourse.

Upon successful submission, the employee may request a follow-up discussion with the evaluator. Evaluators are requested to approve/modify or disapprove each individual core requirement challenged within 10 days of receipt of the recourse request. If the initial evaluator is not in agreement with the employee’s request and disapproves the ratings recourse request in PES, the employee may request a review by the next higher-level evaluator within 10 days of the disapproval. This is accomplished by submitting a timely request directly to the next higher level evaluator in PES. The next higher level evaluator reviews the employee’s documented concerns and rationale and makes a determination. Normally, these reviews do not extend beyond the unit PCES manager.

All notifications of approval/modifications or disapproval are made by PES and final decisions typically occur within 90 days from the beginning of the recourse process.

Employees in non-computer offices will continue to document their concerns and rationale on paper and submit their ratings recourse requests to their evaluators within the same 45-day period. Evaluators who receive a recourse request from a non-computer office should record the date of mailing and receipt, and immediately contact their PFP Coordinator.

The overall timeframe of the ratings recourse process typically occurs within ninety (90) days, and the PES system has been enhanced to process such requests. All ratings recourse requests must be filed and processed within PES. Only employees at non-computer offices will continue to use the paper process to initiate a ratings recourse request.
Before You Begin

Before you attempt to access PES, have your login information on hand.

- Your Employee Identification Number (EIN) and USPS PIN or ACE Logon and Password. Your EIN is the unique, 8-digit number printed on your earnings statement, and your USPS PIN is the same PIN you use for PostalEase.

Access the System

You can access PES in either of two ways:

- type http://performance.usps.gov into your web browser’s URL line — or —
- click on Pay for Performance on the main page of Blue, then click on the link for Performance Evaluation System.

At the logon screen, do the following:

- Log in with your EIN and USPS PIN or ACE Logon and Password.
Access the Ratings Recourse Screen

1. Click the appropriate Fiscal Year. The main menu for that fiscal year will display.

2. Place your cursor over End-of-Year Ratings Recourse.
3. Select the appropriate End-of-Year Ratings Recourse Review category: HQ/HQ-Related Executives, HQ/HQ-Related EAS, Field Executives or Field EAS.
Reviewing a Ratings Recourse Request - Overview

**Note:** The screens shown on the following pages illustrate the ratings recourse review process for Field EAS employees. If the group being accessed is HQ/HQ-Related Executives, HQ/HQ-Related EAS, or Field Executives, you will notice slight differences in how information is displayed on these screens.

To review a Ratings Recourse Request, evaluators must click the appropriate End-of-Year Ratings Recourse link.

The below example is for review of a Field EAS employee ratings recourse request.

- The Print feature is available to print the employee’s Ratings Recourse Request.
- To view and take action on the ratings recourse request screen, click the green Approve/Disapprove Recourse button located on the right side of the screen for that particular employee.

**Note:** Evaluators are requested to take action on the ratings recourse request no later than 10 days after the ratings recourse request submission. Evaluators should initiate a meeting with the employee to discuss his/her concerns. Do NOT discuss with the employee any ratings recourse decisions at this time. Evaluators will be notified when any submitted decision is final and may be discussed with the employee.
Reviewing a Ratings Recourse Request, cont’d.

The following screens will display each step in making a decision to **approve/modify** or **disapprove** the ratings recourse request.

Evaluators in the Recourse chain must take action to approve/modify, or disapprove each individual core requirement challenged in the employee’s Recourse request (rather than the “all or nothing” approval process previously available).

**Note:** The screens shown on the following pages illustrate the ratings recourse evaluation process for **Field EAS** employees. If the group being accessed is **HQ/HQ-Related Executives**, **HQ/HQ-Related EAS**, or **Field Executives**, you will notice slight differences in how information is displayed on these screens.

- At the top of the review screen are instructions to guide evaluators on the action options available: **Approve/Modify** or **Disapprove** for each individual core requirement challenged by the employee.
- This view shows the review screen which displays challenged core requirements rating with justifications, documentations, and employee’s requested numeric rating changes. Click on the “Show/Hide Core Requirement Detail” box to view of the actual core requirement and targets that were chosen during the objective setting process.

Click a check mark in the box to display the particular core requirement.
Reviewing a Ratings Recourse Request, cont’d.

1. Review the employee’s justification, documentations, and requested numeric rating change(s).
2. To Approve or Modify Recourse Request for each challenged core requirement, click on the respective **Approve or Modify Recourse Request** button. The system will display the current Requested Rating for the challenged core requirement. **NOTE:** An evaluator may change the value of the requested rating, but cannot lower the original end of year rating. **Example:** An employee received a 6 for an individual core requirement rating and is requesting a 14 through the recourse process. The evaluator may approve the 14 or approve an alternative lesser rating (for example a 9).
3. To Disapprove the Ratings Recourse Request, click on the respective **Disapprove** button.
4. Evaluator comments are required for all actions to approve/modify or disapprove any ratings recourse request.

This view shows an evaluator taking action to approve this challenged core requirement rating “with a modification” to what the employee has requested.
Reviewing a Ratings Recourse Request, cont’d.

An evaluator sees several calculations on the Recourse template.

- The first is the original Final EOY rating calculation.
- The second is the requested rating entered by the employee (changes shown in red).
- The third box is the Current Recourse Rating (this can reflect any Recourse decisions submitted by the prior level Recourse evaluator. Note: If you are the first level evaluator this screen reflects the requested rating entered by the employee (same as above).

This first view is the first original EOY rating calculation.

<table>
<thead>
<tr>
<th>Final EOY Rating</th>
<th>Interim Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>End-of-Year Rating</strong></td>
<td><strong>Interim Rating</strong></td>
</tr>
<tr>
<td>End-of-year rating for the following position:</td>
<td>Employee not eligible for interim rating.</td>
</tr>
<tr>
<td>District Complement Coordinator - Northern Virginia C's District - Field EAS District and Facility EAS - District HR - EAS Supervision/Staff</td>
<td></td>
</tr>
<tr>
<td>This rating accounts for 100.00000% of the Overall Performance Rating.</td>
<td></td>
</tr>
<tr>
<td>Rating</td>
<td>Weight</td>
</tr>
<tr>
<td>Core requirement #1</td>
<td>7</td>
</tr>
<tr>
<td>Core requirement #2</td>
<td>7</td>
</tr>
<tr>
<td>Core requirement #3</td>
<td>7</td>
</tr>
<tr>
<td>Core requirement #4</td>
<td>11</td>
</tr>
<tr>
<td>NPA Composite Summary</td>
<td>7.09</td>
</tr>
<tr>
<td>Core Requirement Rating Summary</td>
<td>7.00000</td>
</tr>
<tr>
<td>Overall Numeric Rating</td>
<td></td>
</tr>
</tbody>
</table>

Overall Performance rating will be rounded to 8

The second view is the employee’s request for recourse rating change (changes shown in red).

<table>
<thead>
<tr>
<th>Requested Rating Entered by Employee</th>
<th>Interim Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>End-of-Year Rating</strong></td>
<td><strong>Interim Rating</strong></td>
</tr>
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<tr>
<td>Rating</td>
<td>Weight</td>
</tr>
<tr>
<td>Core requirement #1</td>
<td>15</td>
</tr>
<tr>
<td>Core requirement #2</td>
<td>15</td>
</tr>
<tr>
<td>Core requirement #3</td>
<td>15</td>
</tr>
<tr>
<td>Core requirement #4</td>
<td>15</td>
</tr>
<tr>
<td>NPA Composite Summary</td>
<td>7.69</td>
</tr>
<tr>
<td>Core Requirement Rating Summary</td>
<td>15.00000</td>
</tr>
<tr>
<td>Overall Numeric Rating</td>
<td></td>
</tr>
</tbody>
</table>

Overall Performance rating would be rounded to 10
The third view is the Current Recourse Rating (changes shown in red).

The evaluator should click on the **View New Calculation** button at the bottom of the third screen to see the impact of his/her decisions prior to finalizing the request.

- You may save your work by clicking the **Save and Finish Later** button any time prior to submitting your decision.

When the evaluator clicks the **Submit** button, a pop-up warning will appear notifying the evaluator that by proceeding with approval/modification or disapproval, he/she will not be able to change the decision or edit the comments.

- If an evaluator (at any level) selects **OK** to confirm the submission, he/she has no further action available and the system refreshes to show the action.
- To return to the screen, select **Cancel**.
- An overall disapproval of a Recourse request is immediately communicated to the employee by PES via email.

Evaluators* are requested to take action within 10 days after the Ratings Recourse Request submission.

HQ evaluators should proceed to review and process any submitted ratings recourse requests upon receipt. Disapproval decisions will be finalized as soon as the evaluator selects Disapproved. However, because of the functional average process used for HQHQ-Related employees, HQ evaluators will not have access to their additional Approve/Modify Ratings Recourse button to advance approval decisions to the next higher level review until after the employee submission period ends. HQ evaluators’ 10-day approval submission window begins on day 46 of the ratings recourse process.
For Additional Information

- General information regarding the Pay-for-Performance program is also available on the PFP website.

- Direct specific questions regarding PES and the PFP program to your PFP coordinator. These coordinators are listed on the PFP website.