

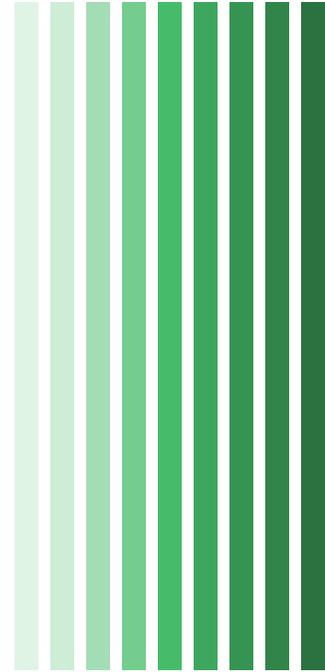
*Performance Evaluation System*

# **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*

---

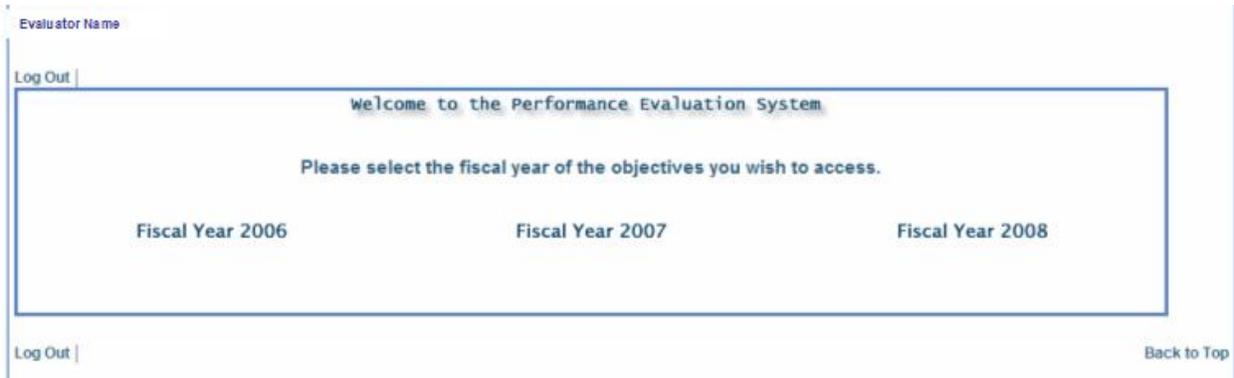
You can access PES in either of two ways:

- 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**.

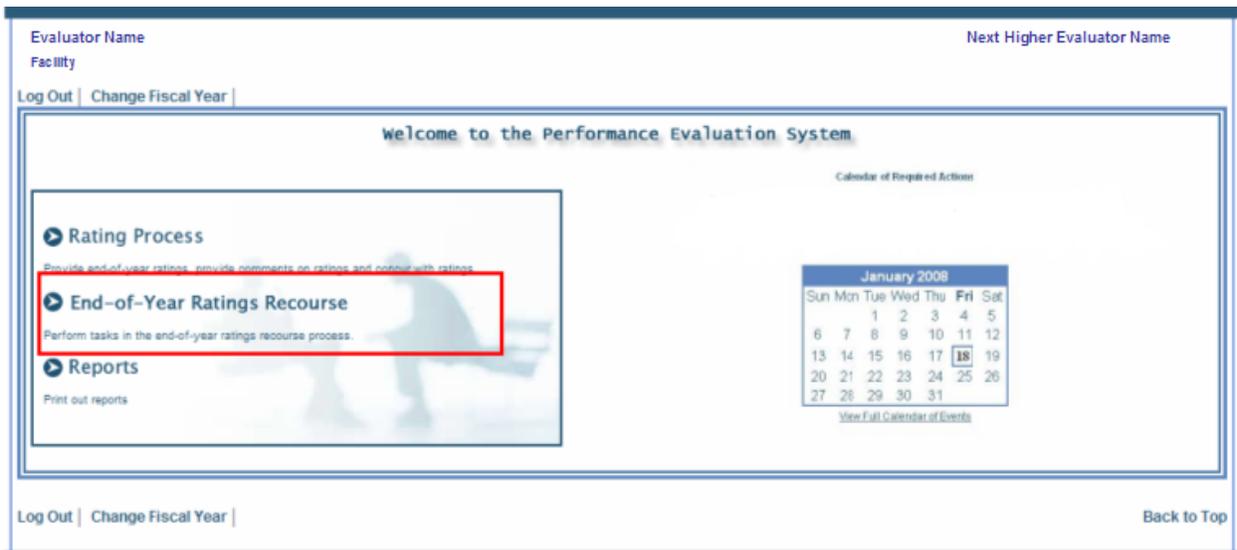
At the logon screen, do the following:

- 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.

The screenshot shows the 'Performance Evaluation System' interface. At the top, there are fields for 'Evaluator Name' and 'Next Higher Evaluator Name'. Below these are links for 'Log Out' and 'Change Fiscal Year'. The main content area is titled 'welcome to the Performance Evaluation System' and includes a 'Calendar of Required Actions' for January 2008. A 'Rating Process' section is highlighted, containing a list of links for reviewing end-of-year ratings recourse requests. The links are: 'Enter and Submit End-of-Year Ratings Recourse', 'End-of-Year Ratings Recourse Review for HQ/HQ Related Executives', 'End-of-Year Ratings Recourse Review for HQ/HQ Related EAS', 'End-of-Year Ratings Recourse Review for Field Executives', and 'End-of-Year Ratings Recourse Review for Field EAS'. The 'Field EAS' link is highlighted in blue.

- 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.

### End of Year Ratings Recourse for Field EAS

To approve or disapprove a recourse, click the "Approve / Disapprove Recourse" button next to the employee's name.

To view a completed recourse, click the "Print" button beside the employee's name.

Select All | UnSelect All | Print Group

The screenshot shows a table titled 'Ratings Recourse Requests'. The table has the following columns: 'Completed', 'Print Group', 'Name', 'View More Info', 'Orig. Rating', 'Current Recourse Rating', and 'Actions'. A single row is displayed with the following data: 'Completed' is a checkbox; 'Print Group' has a 'Print' button; 'Name' is 'EMPLOYEE NAME'; 'View More Info' has a 'View' button; 'Orig. Rating' is '9'; 'Current Recourse Rating' is '10'; and 'Actions' contains the text 'Rating recourse review requested by employee. Pending action by: Evaluator Name' and a green 'Approve / Disapprove Recourse' button.

- 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.

**Review Ratings Recourse Request for:**  
**EMPLOYEE NAME, TITLE**      **Γ (DIST)**

Please review the finalized ratings, the employee's requested rating change(s); the rationale/justification and documentation/data source provided by the employee. The immediate evaluator should discuss the employee's concerns with him/her upon receipt.

**Each core requirement the employee has challenged must be approved or disapproved as well as comments entered accordingly.**

To approve or change the requested rating, select the "Approve or Modify Recourse Request" radio button and enter in approval comments for each challenged core requirement.

To disapprove the request, select the "Disapprove Recourse Request" radio button and enter in disapproval comments for each challenged core requirement.

You may save your work by clicking the "Save and Finish Later" button.

**Evaluator action on this request is due within 10 days of the submission.**

For display purposes, all values that will be changed if this ratings recourse is approved have been highlighted in **RED** below.

Assignment Type	Begin Date	End Date	Finance Number	Performance Pay Program	Unit or Postmaster Level	MPOO Code	Position Type	Evaluator
Permanent	10/14/2006	09/30/2007	XXXXXXXXXX	Field EAS (District and Facility EAS)	District Finance	None	EAS Supervisor/Staff	JOSEF

- 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.

For display purposes, all values that will be changed if this ratings recourse is approved have been highlighted in **RED** below.

Assignment Type	Begin Date	End Date	Finance Number	Performance Pay Program	Unit or Postmaster Level	MPOO Code	Position Type	Evaluator
Permanent	10/14/2006	09/30/2007		Field EAS (District and Facility EAS)	District Finance	None	EAS Supervisor/Staff	Evaluator Name

**Core Requirement #1**      Show / Hide Core Requirement Detail

Core Requirement #1	Contributor	High Contributor	Exceptional Contributor
Non-Personnel Expenses to Plan	0.0% to Plan	-1.0% to Plan	-3.0% to Plan

Challenge this core requirement rating

Rationale for Ratings Recourse Change to this Core Requirement

**Justification**  
Address your rationale and justification for challenging the rating for this core requirement.  
I want to receive a higher rating on core #1 because.....

**Documentation**  
Provide documentation and data source that supports your requested rating change for this core requirement.  
The documentation that supports my challenge is as follows.....

**Rating Recourse Requested Change**

Non-contributor	Contributor	High Contributor	Exceptional Contributor
<input type="radio"/> 1 <input type="radio"/> 2 <input type="radio"/> 3	<input type="radio"/> 4 <input type="radio"/> 5 <input type="radio"/> 6 <input type="radio"/> 7 <input type="radio"/> 8 <input type="radio"/> 9	<input type="radio"/> 10 <input type="radio"/> 11 <input type="radio"/> 12	<input type="radio"/> 13 <input checked="" type="radio"/> 14 <input type="radio"/> 15

**Click a check mark in the box to display the particular core requirement.**

## Reviewing a Ratings Recourse Request, cont'd.

Core Requirement #1
Show / Hide Core Requirement Detail

Challenge this core requirement rating

Rationale for Ratings Recourse Change to this Core Requirement

**Justification**  
Address your rationale and justification for challenging the rating for this core requirement.

**Documentation**  
Provide documentation and data source that supports your requested rating change for this core requirement.

**\*Rating Recourse Requested Change**

Non-contributor 1 2 3	Contributor 4 5 6 7 8 9	High Contributor 10 11 12	Exceptional Contributor 13 14 15
--------------------------	----------------------------	------------------------------	-------------------------------------

Core Requirement #1 Approve/Disapprove Recourse Request - Current Status: Approved

Original EOY Core Requirement Rating: 11

Employee Requested a Core Requirement Rating of: 15

Approve or Modify Recourse Request (Current Requested Rating is 15).  
 Disapprove Recourse Request

Comments (Required)

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.

Core Requirement #1
Show / Hide Core Requirement Detail

Challenge this core requirement rating

Rationale for Ratings Recourse Change to this Core Requirement

**Justification**  
Address your rationale and justification for challenging the rating for this core requirement.

**Documentation**  
Provide documentation and data source that supports your requested rating change for this core requirement.

**\*Rating Recourse Requested Change**

Non-contributor 1 2 3	Contributor 4 5 6 7 8 9	High Contributor 10 11 12	Exceptional Contributor 13 14 15
--------------------------	----------------------------	------------------------------	-------------------------------------

Core Requirement #1 Approve/Disapprove Recourse Request - Current Status: Approved

Original EOY Core Requirement Rating: 11

Employee Requested a Core Requirement Rating of: 15

Approve or Modify Recourse Request (Current Requested Rating is 13).  
 Disapprove Recourse Request

Comments (Required)

You requested a 15, but the documentation you submitted only suggests raising this core requirement to 13. I will support a core requirement of 13, rather than the original

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.

Final EOY Rating			
End-of-Year Rating		Interim Rating	
End-of-year rating for the following position: District Complement Coordinator - Northern Virginia Cs District - Field EAS (District and Facility EAS) - District HR - EAS Supervisor/Staff			
Employee not eligible for interim rating.			
This rating accounts for 100.00000% of the Overall Performance Rating.			
	Rating	Weight	Equals
Core requirement #1	7	X 0.26667	1.86667
Core requirement #2	7	X 0.26667	1.86667
Core requirement #3	7	X 0.26667	1.86667
Core requirement #4	11	X 0.20000	2.20000
<b>NPA Composite Summary</b>	7.69	X 0.70000	5.38300
<b>Core Requirement Rating Summary</b>	7.80000	X 0.30000	2.34000
<b>Overall Numeric Rating</b>			<b>7.72300</b>
<b>Overall Performance rating will be rounded to 8</b>			

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

Requested Rating Entered by Employee			
End-of-Year Rating		Interim Rating	
End-of-year rating for the following position: District Complement Coordinator - Northern Virginia Cs District - Field EAS (District and Facility EAS) - District HR - EAS Supervisor/Staff			
Employee not eligible for interim rating.			
This rating accounts for 100.00000% of the Overall Performance Rating.			
	Rating	Weight	Equals
Core requirement #1	15	X 0.26667	4.00000
Core requirement #2	15	X 0.26667	4.00000
Core requirement #3	15	X 0.26667	4.00000
Core requirement #4	15	X 0.20000	3.00000
<b>NPA Composite Summary</b>	7.69	X 0.70000	5.38300
<b>Core Requirement Rating Summary</b>	15.00000	X 0.30000	4.50000
<b>Overall Numeric Rating</b>			<b>9.88300</b>
<b>Overall Performance rating would be rounded to 10</b>			

## Reviewing a Ratings Recourse Request, cont'd.

The third view is the Current Recourse Rating (changes shown in red).

### Current Recourse Rating

End-of-Year Rating		Interim Rating	
End-of-year rating for the following position: District Complement Coordinator - Northern Virginia Cs District - Field EAS (District and Facility EAS) - District HR - EAS Supervisor/Staff			
This rating accounts for 100.00000% of the Overall Performance Rating.			
Core requirement #	Rating	Weight	Equals
Core requirement #1	14	X 0.26667	3.73333
Core requirement #2	7	X 0.26667	1.86667
Core requirement #3	12	X 0.26667	3.20000
Core requirement #4	14	X 0.20000	2.80000
<b>NPA Composite Summary</b>	7.69	X 0.70000	5.38300
<b>Core Requirement Rating Summary</b>	<b>11.60000</b>	X 0.30000	<b>3.48000</b>
<b>Overall Numeric Rating</b>			<b>8.86300</b>

**Overall Performance rating will be rounded to 9**

Click "View New Calculation" to see your changes to employee's core requirements and the Overall Performance Rating prior to submitting.

[View New Calculation](#)

Click the "Save and Finish Later" button to save the recourse changes without finalizing.  
Click the "Submit" button at the bottom of the page when ready to finalize the recourse.

[<< Back](#) [Save and Finish Later](#) [Submit](#)

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 HQ/HQ-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.