

Checklist for Review of Performance Evaluation System (PES) Rating

Employee Name	First	Last	Employee #
Agency Name:			
Date request was received at agency:			
Overall Rating Category of Employee's PES rating:			

Checklist for Review at Agency

I. Employee Information		
Is this a classified employee? If yes, continue. If no, employee has no right to a review.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes, is the employee serving with permanent status? If yes, continue. If no, employee has no right to a review.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
What is the employee's anniversary date?		
II. PES and Date information		
Annual rating? (Unofficial ratings at agency discretion do not have right of review)	Annual <input type="checkbox"/>	
Date of the official rating:		
Was the form signed & dated by supervisor no later than June 30th?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Give the date that the 2 nd level evaluator's signature was affixed _____		
2 nd signature was not on form	<input type="checkbox"/>	
Does the form contain either of the following: <ul style="list-style-type: none"> an employee signature, OR a date at the bottom of page 1 indicating when a copy of the form was given/mailed to the employee? 	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Did the employee receive an "Un-rated" and is the employee now requesting a PES rating through the Review process?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Were all dates – Rating Supervisor signature, 2 nd level evaluator signature, Employee signature (OR date the form was given to or mailed to the employee) no later than June 30 th ?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
III. REQUEST FOR AGENCY REVIEW		

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<p>Date the review request was received in the HR office _____. Is this date <i>no later than</i> Sept 15? If no, then employee's review request is not compliant with Rule 10.11, and the agency has the right to dismiss the request without further review.</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>
<p>Did the employee indicate, what he was in disagreement with, and why? If no, then the employee's request is not compliant with Rule 10.11, and the agency has the right to dismiss the request without further review.</p> <p>Not applicable for reviews of "Un-Rated."</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>
<p>Was documentation/justification provided, with sufficient information for the Designated Reviewer to render a Review Decision? If no, then the employee's request is not compliant with Rule 10.11, and the agency has the right to dismiss the request without further review.</p> <p>Not applicable for reviews of "Un-Rated."</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>
<p>Date the Designated Reviewer received the Review Request:</p>		
<p>Did the Reviewer (or H.R. office) obtain documentation from the Rating Supervisor's supervisory file intended to support the rating?</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>
<p>If not, why? Explain.</p>		
<p>Does the PES form contain the original planning expectations and planning session signatures? If not, is there evidence a planning session occurred?</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>
<p>If no planning session occurred, did the supervisor make clear what the employee was rated on in the absence of a planning document? Absence of a planning document is not grounds for automatically over-turning a rating; however, it can make it more difficult to defend a rating to an employee making an appeal.</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>
<p>Did the Reviewer discuss the rating with the rating supervisor? Date of discussion:</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>
<p>Did the Reviewer discuss the rating with the employee? Date of discussion:</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>
<p>Did the Reviewer find evidence of any (fatal error) rule violation that served to overturn the rating? If yes, explain. <i>Fatal errors include:</i></p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>

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<ul style="list-style-type: none"> • <i>No Supervisor signature</i> • <i>No employee signature, unless supervisor documented employee refusal or unavailable to sign</i> • <i>Required signatures are not within window of opportunity</i> • <i>Employee not given or mailed a copy of the completed PES within window of opportunity</i> 		
<p>Did the Reviewer find evidence of rule violations that did not serve to overturn the rating but which need to be addressed separately? If yes, explain.</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>
<p>Date the employee was notified, in writing, of the Reviewer's decision: _____</p>		
<p>Did Reviewer read and comply with all instructions, including giving a copy of entire updated PES to all parties?</p>	<p>Yes <input type="checkbox"/></p>	<p>No <input type="checkbox"/></p>

NOTE: At the conclusion of the agency review, a copy of this form and all other PES Review documents (letters/memos to employee, original employee request, notes, supervisor's documentation, etc.) should be provided to the H.R. Office by the Designated Reviewer, for inclusion in the official PES file in the H.R. Office. This will be the last step in the process, unless the employee requests a review of his PES from the Director of Civil Service as provided in C.S. Rule 10.12. Should the employee do so, the H. R. office may be requested by SCS to provide a copy of the file. If so, please make sure a copy of this form, if used or altered for use by your agency, is submitted to SCS.