
State Employees PERFORMANCE PLANNING AND REVIEW (PPR) Form INSTRUCTIONS SHEET

These instructions are provided for use as a checklist by Rating Supervisors. This page can be separated from the rest of the document after use.

PLANNING SESSION: *All classified employees (restricted, job appointment, provisional, probational, or permanent) **MUST** have a planning session annually.*

SUPERVISOR'S CHECKLIST – PLANNING SESSION

- Planning Session completed (deadline: 30 days after a new hire or position change, such as promotion, transfer, detail, etc., or 30 days after anniversary date of current employee). Use the lightly shaded areas entitled "Performance Expectations" under each factor to list this year's expectations for the employee's performance. Tell employee which factors he/she will be rated on; each of those factors **MUST** have an "X" in the "If factor applies to this job, mark an 'X' here" box.
- Sign the "Performance Planning Session" box and have the employee sign it. The employee **MUST** be given a copy of the completed and signed planning form. If the employee refuses to sign, make a note of that on the form and proceed as usual.
- Planning Document update – if the planning document is updated during the current rating period, both the Supervisor and the employee **MUST** initial and date the changes. The employee **MUST** be given a copy of the changes to the document.

RATING SESSION: *All classified employees **MUST** have an annual Rating and Review Session during which they will be informed of the rating they have earned for each factor.*

SUPERVISOR'S CHECKLIST – RATING SESSION

- Rating Session completed (no earlier than 60 days prior to the employee's anniversary date and no later than the anniversary date). There are **NO EXCEPTIONS** or extensions allowed.
- Use the areas entitled "Performance Comments" to make your performance comments about the employee.
- For each factor marked with an "X", select a rating using the scale below.
- At the bottom of each page, total the ratings on that page. Add all of the totals together and enter the Grand Total in the calculations section on page 9.
- Transfer the final, overall score to page 1 and complete the section entitled "Final Session – Overall Rating and Review."
- Sign and date the "Final Session – Overall Rating and Review" box and have the employee sign and date it. Be sure to give the employee a copy of the completed form. The employee must receive the copy as soon after the rating and review session as possible, within the 60-day time frame. If the employee refuses to sign, make a note of that on the form and proceed as usual.
- If the employee received an official rating of "Un-rated", he/she **MUST** receive a PPR Form with "un-rated" indicated on the form. The "un-rated" reason **MUST** be checked. If the employee's original rating is changed to "un-rated" because it is found to be non-compliant, the original rating **MUST** be crossed out, "un-rated" shall be checked, and the reason indicated. The date that it was changed to "un-rated" **MUST** be provided. The Rating Supervisor and the employee **MUST** initial the form. The employee **MUST** be given or mailed a copy of this form within the 60-day window for rating.
- Send the original document to your agency's Human Resources office. Keep a copy for your files.

RE-RATING SESSION: *All classified employees receiving an overall "Needs Improvement" or "Poor" rating **MUST** be re-rated. The re-rating is due on the day that is 6 months after the anniversary date; the date 60 days prior to that date is the earliest date the employee can be re-rated. Follow the instructions / check list provided for Rating Session to conduct the re-rating.*

REVIEW BY AGENCY REVIEWER: *If an employee is in disagreement with the official (overall) PPR rating or re-rating, he/she can request a review. If the request complies with Civil Service Rule 10.13, the agency's Designated Reviewer must conduct a review according to Civil Service Rules and the agency policy. The Designated Reviewer should then read and follow the instructions on page 10. A copy of the amended form should be given to the employee, Rating Supervisor, and Designated Reviewer. The original is sent to the Human Resources office.*

DEFINITIONS OF RATINGS TO BE USED IN EVALUATING INDIVIDUAL PERFORMANCE FACTORS

5 – OUTSTANDING	Exceeds requirements consistently and/or by a wide margin; nearly ideal.
4 – EXCEEDS REQUIREMENTS	Consistently meets and sometimes exceeds requirements; very well done.
3 – MEETS REQUIREMENTS	Normally meets requirements; generally well done, has performed as expected.
2 – NEEDS IMPROVEMENT	Fails to meet requirements; has not performed as expected, improvement is needed.
1 – POOR	Fails to meet requirements consistently and/or by a wide margin.

State Employees PERFORMANCE PLANNING AND REVIEW (PPR) Form

Employee Name: _____
 Employee ID #: _____ Anniversary Date: _____
 Agency Name: _____ Section: _____
 Job Title: _____ Does this employee supervise others? Yes No

PLANNING SESSION First (at hire) or _____ Update on: _____
 Annual planning on: _____ Date _____ Date _____
 (All lightly shaded portions of the form are to be used for documentation of planning session)

RATING SESSION
 Please check one of the following reasons for the rating session:

FIRST RATING (at 6 months)
 ANNUAL RATING (within 60 days before or on employee's anniversary date)
 RE-RATING (no sooner than 4 mos. and no later than 6 mos. after anniversary date)
 OTHER (unofficial close-out or informal review)

Performance Rating Period: From Date	Performance Rating Period: To Date

REVIEW BY AGENCY REVIEWER
 In response to employee request for review – please read and complete Page 10 of this form

FINAL SESSION – OVERALL RATING AND REVIEW

1. Enter the final numeric score from Page 9 of this form. **FINAL SCORE:** _____

2. Place a check mark in the box next to the rating that corresponds to the employee's final score.

POOR **NEEDS IMPROVEMENT** **MEETS REQUIREMENTS** **EXCEEDS REQUIREMENTS** **OUTSTANDING**

UN-RATED (If the rating is not compliant, change the rating and have both the supervisor and employee initial the form below)

REASON FOR UNRATED: **Untimeliness** **Never rendered** **No signature(s)** **Copies not given**
 (Check one) **Employee on extended leave** **Transfer in from another agency within previous 90 days**
 Other: _____

Date Changed: _____ Rating Supervisor's Initials: _____ Employee's Initials: _____

REQUIRED SIGNATURES

EMPLOYEE'S STATEMENT: I have had this evaluation discussed with me and have a copy of it. I understand that my signature does not imply agreement with the rating. I may note my disagreements below and/or seek a review of this rating from the officially designated reviewer in accordance with Chapter 10 of the Civil Service rules. I have until 15 days after my anniversary date to do this or if this is a re-rating, I have until 15 calendar days after the date that falls 6 months after my anniversary date, in accordance with the provisions of Chapter 10. I can refer to Chapter 10 for more information.

SIGNATURE: _____ **DATE:** _____
COMMENTS: _____

RATING SUPERVISOR'S STATEMENT: I have personally prepared this PPR rating and discussed the rating with the employee. I have provided documentation to support any factor rated "Needs Improvement" or "Poor".

SIGNATURE: _____ **DATE:** _____
PRINT NAME: _____
RATING SUPERVISOR ID #: _____
COMMENTS: _____

If employee did not sign above, please indicate the date the employee was GIVEN or MAILED (circle one) a copy of rating: _____ Date

If applicable, I recommend this employee for:
MERIT INCREASE: Yes No **PERMANENT STATUS:** Yes No

Employee Name: _____

REQUIRED PERFORMANCE FACTORS
Factors 1 through 6 must be completed for ALL employees.
 (Refer to DEFINITIONS OF RATINGS on instructions cover sheet)

1. WORK PRODUCT – The quality and quantity of work produced by the employee.

PERFORMANCE EXPECTATIONS:	If factor applies to this job, mark an "X" here → <input checked="" type="checkbox"/>												
<p>Examples of performance comments for different rating levels:</p> <p>Higher: Uses experience and training to achieve exceptional results; produces work that is thorough; pays attention to detail; work is accurate and neat; demonstrates understanding of how his/her work contributes to overall success; completes full amount of work on time.</p> <p>Lower: Fails to achieve desired results; has to redo work; works too slowly; wastes time while at work.</p>													
PERFORMANCE COMMENTS:	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 2px;">Mark an "X" below the Rating →</td> <td style="text-align: center; padding: 2px;">1</td> <td style="text-align: center; padding: 2px;">2</td> <td style="text-align: center; padding: 2px;">3</td> <td style="text-align: center; padding: 2px;">4</td> <td style="text-align: center; padding: 2px;">5</td> </tr> <tr> <td style="text-align: center; padding: 2px;"><input type="checkbox"/></td> <td style="text-align: center; padding: 2px;"><input type="checkbox"/></td> <td style="text-align: center; padding: 2px;"><input type="checkbox"/></td> <td style="text-align: center; padding: 2px;"><input type="checkbox"/></td> <td style="text-align: center; padding: 2px;"><input type="checkbox"/></td> <td style="text-align: center; padding: 2px;"><input type="checkbox"/></td> </tr> </table>	Mark an "X" below the Rating →	1	2	3	4	5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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2. DEPENDABILITY – Being where he/she should be and doing what s/he is supposed to do.

PERFORMANCE EXPECTATIONS:	If factor applies to this job, mark an "X" here → <input checked="" type="checkbox"/>												
<p>Examples of performance comments for different rating levels:</p> <p>Higher: Can be counted on to take care of work-related commitments; gives extra effort when needed; can be counted on to do what is expected even when not being watched; reports on time, as scheduled; makes sure duties are covered when absent.</p> <p>Lower: Misses deadlines; spends too much time on personal phone calls; forgets meetings or other responsibilities; creates a problem with tardiness; asks to leave when he/she will be needed at work or with little or no advanced notice.</p>													
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ADD ALL RATINGS ON THIS PAGE AND ENTER TOTAL IN THE BOX AT RIGHT →

Employee Name: _____

3. COOPERATIVENESS – Working with people.

PERFORMANCE EXPECTATIONS:	If factor applies to this job, mark an "X" here →	<input checked="" type="checkbox"/>										
<p>Examples of performance comments for different rating levels:</p> <p>Higher: Offers help to co-workers when needed or when his/her own work is done; works well as part of a team; follows instructions without unreasonable complaining or arguing; participates openly in investigations when required.</p> <p>Lower: Gets involved in workplace gossip or unproductive conflict with others; fights with others; is abrupt or rude with co-workers or supervisors; ignores or puts down other people's ideas and/or contributions.</p>												
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4. ADAPTABILITY – Adjusting to change.

PERFORMANCE EXPECTATIONS:	If factor applies to this job, mark an "X" here →	<input checked="" type="checkbox"/>										
<p>Examples of performance comments for different rating levels:</p> <p>Higher: Accepts and applies constructive criticism; changes routines to meet new needs, changing conditions, or unexpected problems; looks for ways to learn new job skills.</p> <p>Lower: Complains excessively about or resists changes; does not demonstrate effort or ability to learn about changes in technology, job responsibilities, work priorities, or work methods.</p>												
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ADD ALL RATINGS ON THIS PAGE AND ENTER TOTAL IN THE BOX AT RIGHT →

Employee Name: _____

5. COMMUNICATION – Giving and receiving information.

PERFORMANCE EXPECTATIONS:	If factor applies to this job, mark an "X" here → <input checked="" type="checkbox"/>												
Examples of performance comments for different rating levels:													
<p>Higher: Listens carefully and asks questions when needed; shows that he/she understands important concepts and documents; communicates clearly when speaking or writing; delivers accurate messages in a timely fashion; makes excellent oral presentations; uses appropriate communication tools for the situation; calls meetings as needed.</p> <p>Lower: Withholds information; gives incomplete information; uses incorrect grammar, punctuation, or spelling when accuracy is important; does not listen; uses meeting time poorly.</p>													
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□	□	□	□	□	□								

6. DAILY DECISION-MAKING / PROBLEM-SOLVING – Thinking on the job.

PERFORMANCE EXPECTATIONS:	If factor applies to this job, mark an "X" here → <input checked="" type="checkbox"/>												
Examples of performance comments for different rating levels:													
<p>Higher: Uses good judgment about what should be done and when it should be done; solves problems independently but seeks help from the right source when that is appropriate; acts promptly to resolve or report rule violations or threats to workplace safety and security; looks for better ways of doing things if appropriate; considers ideas from various sources and chooses the one best solution.</p> <p>Lower: Needs help or direction from his/her supervisor for routine, basic tasks; fails to make decisions within the appropriate time frame; makes decisions without needed analysis.</p>													
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ADD ALL RATINGS ON THIS PAGE AND ENTER TOTAL IN THE BOX AT RIGHT →

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Employee Name: _____

ADDITIONAL PERFORMANCE FACTORS: MAY OR MAY NOT APPLY TO ALL JOBS
 Put an "X" in the box on the far right if the performance factor applies to this employee's job.
 (Refer to DEFINITIONS OF RATINGS on instructions cover sheet)

7. SERVICE TO CLIENTS / PUBLIC – Providing effective and courteous service.

PERFORMANCE EXPECTATIONS:	If factor applies to this job, mark an "X" here →	<input type="checkbox"/>												
<p>Examples of performance comments for different rating levels:</p> <p>Higher: Shows courtesy to all; listens carefully to clients to understand their individual needs; identifies needs of clients correctly; gets appropriate help for a client both within and outside of his or her own work area; follows up to be sure client's needs are met.</p> <p>Lower: Must be prodded or contacted more than once by the client before he/she delivers services or products; provides inaccurate information; does not give clients enough information.</p>														
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8. USE OF EQUIPMENT AND MATERIALS – Caring for and using the State's property and supplies.

PERFORMANCE EXPECTATIONS:	If factor applies to this job, mark an "X" here →	<input type="checkbox"/>												
<p>Examples of performance comments for different rating levels:</p> <p>Higher: Uses equipment and materials safely and for their intended purposes; makes sure that equipment is kept in good repair and gets regular maintenance.</p> <p>Lower: Wastes or misuses materials; handles hazardous materials without observing safety regulations; damages equipment; fails to return materials to appropriate place in good condition.</p>														
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9. PROJECT PLANNING AND IMPLEMENTATION – Creating and successfully following through with projects (such as special goals, activities, or large assignments)

PERFORMANCE EXPECTATIONS:	If factor applies to this job, mark an "X" here →	<input type="checkbox"/>												
<p>Examples of performance comments for different rating levels:</p> <p>Higher: Anticipates long-range challenges and opportunities; sets specific goals and priorities; designs realistic work methods and timetables for achieving project goals; keeps track of progress toward goals and adapts as needed.</p> <p>Lower: Completes long-range projects late or over budget; fails to complete projects; creates crisis due to poor planning; procrastinates.</p>														
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ADD ALL RATINGS ON THIS PAGE AND ENTER TOTAL IN THE BOX AT RIGHT →

Employee Name: _____

FACTORS MANDATORY FOR SUPERVISORS
Factors 10 and 11 may be used for non-supervisory employees.
Put an "X" in the box on the far right if the performance factor applies to this employee's job.
 (Refer to DEFINITIONS OF RATINGS on instructions cover sheet)

10. WORK GROUP MANAGEMENT AND LEADERSHIP – Directing the activity of subordinates.

PERFORMANCE EXPECTATIONS:	If factor applies to this job, mark an "X" here →	<input type="checkbox"/>												
<p>Examples of performance comments for different rating levels:</p> <p>Higher: Plans and assigns work effectively and fairly; sets realistic but challenging work goals; gives subordinates the resources, guidance, and training opportunities needed to perform at their best; achieves results through the high quality and quantity of work group's efforts; leads a work group that contributes to the achievement of organizational goals; recommends corrective action and/or discipline when appropriate.</p> <p>Lower: Shows favoritism; gives rewards and punishment inconsistently; delays or neglects corrective action especially in cases of discipline problems; leads a work group that gets a lot of complaints.</p>														
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<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>									

11. PERFORMANCE PLANNING AND REVIEW – Counseling and rating.

PERFORMANCE EXPECTATIONS:	If factor applies to this job, mark an "X" here →	<input type="checkbox"/>												
<p>Examples of performance comments for different rating levels:</p> <p>Higher: Communicates performance expectations clearly; conducts thorough and timely performance planning sessions with subordinates; documents subordinates' job performance and provides helpful feedback throughout the performance period; avoids rating errors and biases.</p> <p>Lower: Misses deadlines for performance planning session or submitting performance rating forms to the Human Resources office; sets easier expectations for people he/she likes; allows personal feelings toward employee to affect level of rating selected; neglects performance log throughout the year.</p>														
PERFORMANCE COMMENTS:	<table border="1" style="border-collapse: collapse; width: 100%;"> <tr> <td style="padding: 2px;">Mark an "X" below the Rating →</td> <td style="text-align: center; padding: 2px;">1</td> <td style="text-align: center; padding: 2px;">2</td> <td style="text-align: center; padding: 2px;">3</td> <td style="text-align: center; padding: 2px;">4</td> <td style="text-align: center; padding: 2px;">5</td> </tr> <tr> <td style="text-align: center; padding: 2px;"><input type="checkbox"/></td> <td style="text-align: center; padding: 2px;"><input type="checkbox"/></td> <td style="text-align: center; padding: 2px;"><input type="checkbox"/></td> <td style="text-align: center; padding: 2px;"><input type="checkbox"/></td> <td style="text-align: center; padding: 2px;"><input type="checkbox"/></td> <td style="text-align: center; padding: 2px;"><input type="checkbox"/></td> </tr> </table>	Mark an "X" below the Rating →	1	2	3	4	5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Mark an "X" below the Rating →	1	2	3	4	5									
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>									

ADD ALL RATINGS ON THIS PAGE AND ENTER TOTAL IN THE BOX AT RIGHT →

Employee Name: _____

POSITION-SPECIFIC PERFORMANCE FACTORS
 Put an "X" in the box on the far right if the performance factor applies to this employee's job.
 (Refer to DEFINITIONS OF RATINGS on instructions cover sheet)

12. FACTOR:

PERFORMANCE EXPECTATIONS:	If factor applies to this job, mark an "X" here →	<input type="checkbox"/>										
PERFORMANCE COMMENTS:	Mark an "X" below the Rating →	<table style="display: inline-table; border: none;"> <tr> <td style="padding: 0 10px;">1</td> <td style="padding: 0 10px;">2</td> <td style="padding: 0 10px;">3</td> <td style="padding: 0 10px;">4</td> <td style="padding: 0 10px;">5</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	1	2	3	4	5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1	2	3	4	5								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>								

13. FACTOR:

PERFORMANCE EXPECTATIONS:	If factor applies to this job, mark an "X" here →	<input type="checkbox"/>										
PERFORMANCE COMMENTS:	Mark an "X" below the Rating →	<table style="display: inline-table; border: none;"> <tr> <td style="padding: 0 10px;">1</td> <td style="padding: 0 10px;">2</td> <td style="padding: 0 10px;">3</td> <td style="padding: 0 10px;">4</td> <td style="padding: 0 10px;">5</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	1	2	3	4	5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1	2	3	4	5								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>								

PERFORMANCE PLANNING SESSION – SIGNATURES

TO COMPLETE THE PLANNING SESSION, BOTH THE RATING SUPERVISOR AND EMPLOYEE MUST SIGN HERE AFTER DISCUSSING ALL FACTORS UPON WHICH THE EMPLOYEE WILL BE RATED. All factors to be used in the employee's rating must be marked with an "X."

My rating supervisor has discussed with me the factors upon which I will be rated and the performance expectations for the upcoming rating period.

Employee's Signature

Date

I have discussed with this employee the factors upon which he/she will be rated and the performance expectations for him/her during the upcoming rating period.

Rating Supervisor's Signature

Date

ADD ALL RATINGS ON THIS PAGE AND ENTER TOTAL IN THE BOX AT RIGHT →

Employee Name: _____

SUPPLEMENTAL PAGE

This page should be used to provide any necessary additional information and/or to extend the "Performance Comments" for any of the factors rated in this evaluation.

Large empty rectangular box for supplemental information.

Employee Name: _____

TO CALCULATE THE FINAL, OVERALL RATING:

1. Count the total number of boxes marked with an "X." These are the Total Factors. TOTAL FACTORS = (A) _____

2. Add the rating totals from the bottom of each page. This is the Total Rating. TOTAL RATING = (B) _____

3. Divide Total Rating (B) by Total Factors (A). $\frac{\text{TOTAL RATING (B)}}{\text{TOTAL FACTORS (A)}} =$ _____
(B) ÷ (A)

4. Final Score = Round line # 3 to two decimal places. FINAL SCORE _____

5. Place an "X" next to the overall rating that corresponds to the employee's Final Score.
 - 4.50 – 5.00 → Outstanding
 - 3.50 – 4.49 → Exceeds Requirements
 - 2.50 – 3.49 → Meets Requirements
 - 1.50 – 2.49 → Needs Improvement
 - 1.00 – 1.49 → Poor

**RETURN TO PAGE 1 TO COMPLETE THE
"FINAL SESSION - OVERALL RATING AND REVIEW" SECTION.**

