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 / checklist 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

<table>
<thead>
<tr>
<th>Rating</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 – OUTSTANDING</td>
<td>Exceeds expectations consistently and/or by a wide margin; nearly ideal.</td>
</tr>
<tr>
<td>4 – EXCEEDS EXPECTATIONS</td>
<td>Consistently achieves and sometimes exceeds expectations; very well done.</td>
</tr>
<tr>
<td>3 – ACHIEVES EXPECTATIONS</td>
<td>Normally achieves expectations; generally well done, has performed as expected.</td>
</tr>
<tr>
<td>2 – NEEDS IMPROVEMENT</td>
<td>Fails to achieve expectations; has not performed as expected, improvement is needed.</td>
</tr>
<tr>
<td>1 – POOR</td>
<td>Fails to achieve expectations consistently and/or by a wide margin.</td>
</tr>
</tbody>
</table>
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 Annual planning on: ________ Date ☐ Update on: ________ 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)

☐ 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 ☐ ACHIEVES EXPECTATIONS ☐ EXCEEDS EXPECTATIONS ☐ 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: (Check one)
☐ Untimeliness ☐ Never rendered ☐ No signature(s) ☐ Copies not given
☐ 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: __________________________________ DATE:
RATING SUPERVISOR ID #: ______________________________ DATE:
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
REQUiëD 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 ➔

   Examples of performance comments for different rating levels:
   **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.
   **Lower:** Fails to achieve desired results; has to redo work; works too slowly; wastes time while at work.

   **PERFORMANCE COMMENTS:**
   Mark an “X” below the Rating ➔
   1 2 3 4 5

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 ➔

   Examples of performance comments for different rating levels:
   **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.
   **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.

   **PERFORMANCE COMMENTS:**
   Mark an “X” below the Rating ➔
   1 2 3 4 5

ADD ALL RATINGS ON THIS PAGE AND ENTER TOTAL IN THE BOX AT RIGHT ➔
3. **COOPERATIVENESS** – Working with people.

**PERFORMANCE EXPECTATIONS:**

If factor applies to this job, mark an “X” here →

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**Examples of performance comments for different rating levels:**

**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.

**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.

**PERFORMANCE COMMENTS:**

Mark an “X” below the Rating →

1 2 3 4 5

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4. **ADAPTABILITY** – Adjusting to change.

**PERFORMANCE EXPECTATIONS:**

If factor applies to this job, mark an “X” here →

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**Examples of performance comments for different rating levels:**

**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.

**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.

**PERFORMANCE COMMENTS:**

Mark an “X” below the Rating →

1 2 3 4 5

---

ADD ALL RATINGS ON THIS PAGE AND ENTER TOTAL IN THE BOX AT RIGHT →
5. **COMMUNICATION** – Giving and receiving information.

**PERFORMANCE EXPECTATIONS:**

If factor applies to this job, mark an “X” here □

**Examples of performance comments for different rating levels:**

**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.

**Lower:** Withholds information; gives incomplete information; uses incorrect grammar, punctuation, or spelling when accuracy is important; does not listen; uses meeting time poorly.

**PERFORMANCE COMMENTS:**

Mark an “X” below the Rating □ □ □ □ □


**PERFORMANCE EXPECTATIONS:**

If factor applies to this job, mark an “X” here □

**Examples of performance comments for different rating levels:**

**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.

**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.

**PERFORMANCE COMMENTS:**

Mark an “X” below the Rating □ □ □ □ □

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

Examples of performance comments for different rating levels:

- **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.
- **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.

**PERFORMANCE COMMENTS:**

Mark an “X” below the Rating ➔ 1 2 3 4 5

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 ➔

Examples of performance comments for different rating levels:

- **Higher:** Uses equipment and materials safely and for their intended purposes; makes sure that equipment is kept in good repair and gets regular maintenance.
- **Lower:** Wastes or misuses materials; handles hazardous materials without observing safety regulations; damages equipment; fails to return materials to appropriate place in good condition.

**PERFORMANCE COMMENTS:**

Mark an “X” below the Rating ➔ 1 2 3 4 5

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 ➔

Examples of performance comments for different rating levels:

- **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.
- **Lower:** Completes long-range projects late or over budget; fails to complete projects; creates crisis due to poor planning; procrastinates.

**PERFORMANCE COMMENTS:**

Mark an “X” below the Rating ➔ 1 2 3 4 5

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

Examples of performance comments for different rating levels:
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.
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.

PERFORMANCE COMMENTS: Mark an “X” below the Rating

1 2 3 4 5

11. PERFORMANCE PLANNING AND REVIEW – Counseling and rating.
PERFORMANCE EXPECTATIONS: If factor applies to this job, mark an “X” here

Examples of performance comments for different rating levels:
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.
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.

PERFORMANCE COMMENTS: Mark an “X” below the Rating

1 2 3 4 5

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

PERFORMANCE COMMENTS: Mark an “X” below the Rating
1 2 3 4 5

13. FACTOR:
PERFORMANCE EXPECTATIONS: If factor applies to this job, mark an “X” here

PERFORMANCE COMMENTS: Mark an “X” below the Rating
1 2 3 4 5

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
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.
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).  TOTAL RATING (B) ______
   TOTAL FACTORS (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 Expectations
   □ 2.50 – 3.49 → Achieves Expectations
   □ 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.
OFFICIAL REVIEW BY REVIEWER AT EMPLOYEE REQUEST
PLEASE READ CAREFULLY BEFORE COMPLETING.

This form should be used to document a review conducted by the Designated Reviewer, at the employee’s request. This should be done as outlined in Civil Service Rule 10.13 and in accordance with the agency's policy. After conducting the review, we recommend the Designated Reviewer prepare a memo or letter to the employee stating the review decision and explaining the reasons for the decisions made, if the agency has no standard form for such purpose. We recommend this document include statements that verify all requirements of Civil Service Rule 10.13 were met – such as giving the dates the rating was discussed with the employee and with the rating supervisor, etc. After doing so, the Designated Reviewer should complete the form as follows:

REVIEWER’S CHECKLIST:

☐ On any individual contested factor rating(s) being changed, cross out (X) the original factor rating, circle the new rating, and initial and date next to the newly circled rating.

☐ On any individual contested factor rating(s) not being changed, initial and date next to the original factor rating(s).

☐ Document the decisions by: (1) writing in the “Performance Comments” section of all contested factor ratings (or on a separate sheet of paper) statements that support the change or that affirm the original rating, AND/OR, (2) attaching a copy of the decision memo/letter. Any documentation the Designated Reviewer wishes to include may also be attached.

☐ Calculate any changes to the rating(s) in the Calculation section on page 9. Cross out original ratings(s), enter new rating above, initial and date.

☐ Line out (--) the original Final Score on page 9. Write in the new score above, initial and date. If the overall rating has changed, cross out (X) the original Overall Rating and circle, initial and date the new rating.

☐ Return to page 1 of this form. Check “Review by Agency Reviewer.” Provide dates, which should be the same as for the rating being reviewed. In ‘Final Session – Overall Rating and Review” block, make any changes to Final Score and Overall Rating by crossing out (X) and writing in new score and circling new rating, initialing and dating by each. If no change, initial and date by each.

☐ Return to page 10 of this form. In the block ‘Review by Designated Reviewer at Employee Request” below, have the employee and rating supervisor sign and date form, along with your (the Reviewer’s) signature after notification has been made in accordance with Civil Service Rules.

REVIEW BY DESIGNATED REVIEWER AT EMPLOYEE REQUEST – SIGNATURES

THIS SECTION SHOULD BE COMPLETED AFTER THE REVIEWER HAS CONDUCTED A REVIEW IN RESPONSE TO AN EMPLOYEE’S TIMELY REQUEST IN ACCORDANCE WITH CIVIL SERVICE RULE 10.13.

My Reviewer has discussed the contested rating(s) with me and I have been notified, in writing, of the results of the Review. I understand that I have the right to have my PPR file reviewed by the Director of Civil Service, or the Director’s designee, in accordance with Civil Service Rule 10.14.

____________________________________________________                _______________________
Employee’s Signature                                                                            Date

My designated Reviewer has discussed the employee’s contested rating(s) with me and I have been notified, in writing, of the results of the Review.

____________________________________________________                _______________________
Rating Supervisor’s Signature                                                                      Date

I have discussed with the employee and the rating supervisor the contested rating(s) and have notified each of them, in writing, of the results of my Review. Any change to the employee’s final score and overall rating as a result of this Review has been indicated on page 1 of the PPR Form. The supporting documentation for my Review, and any changes to individual factor ratings, have been noted on the PPR Form or attached to the form.

____________________________________________________                _______________________
Designated Reviewer’s Signature                                                                    Date