



Overall Rating:

- ☐ 5 / Outstanding
- ☐ 4 / Very Good
- ☐ 3 / Good
- ☐ 2 / Below Good
- ☐ 1 / Unsatisfactory

SPA WORK PLAN and PERFORMANCE APPRAISAL FORM

Employee: _____ Supervisor: _____ Manager: _____

Position: _____ Position: _____ Position: _____

Department: _____

Initial Work Planning	Interim Review	Final Evaluation
Employee Signature: _____	Employee Signature: _____	Employee Signature*: _____
Date: _____	Date: _____	Date: _____
Supervisor Signature: _____	Supervisor Signature: _____	Supervisor Signature: _____
Date: _____	Date: _____	Date: _____
Manager Signature: _____		Manager Signature: _____
Date: _____		Date: _____

*Note: An employee receiving an overall rating of “Good” or lower may, within 15 days of receipt, appeal this rating. Please refer to UNC Asheville’s *Performance Pay Dispute Resolution Policy* for information on how to file an appeal.

- ☐ Probationary Work Plan and Appraisal
- ☐ Annual Work Plan and Appraisal

Performance Cycle Dates: _____

Note: Instructions included at end of document.

Performance
(assigned tasks and expected levels of performance)

Key Responsibilities/Results	Assigned Tasks and Objectives (includes expected levels of performance and measurement methods)	Actual Results
1. <input type="checkbox"/> Key Responsibility <input type="checkbox"/> Behavior <input type="checkbox"/> Goal/Strategy <input type="checkbox"/> Development Item		Interim Performance Rated Good or Better? Y N Annual Comments: <div style="text-align: right;">Annual Rating:</div>
2. <input type="checkbox"/> Key Responsibility <input type="checkbox"/> Behavior <input type="checkbox"/> Goal/Strategy <input type="checkbox"/> Development Item		Interim Performance Rated Good or Better? Y N Annual Comments: <div style="text-align: right;">Annual Rating:</div>
3. <input type="checkbox"/> Key Responsibility <input type="checkbox"/> Behavior <input type="checkbox"/> Goal/Strategy <input type="checkbox"/> Development Item		Interim Performance Rated Good or Better? Y N Annual Comments: <div style="text-align: right;">Annual Rating:</div>

Key Responsibilities/Results	Assigned Tasks and Objectives (includes expected levels of performance and measurement methods)	Actual Results
4. <input type="checkbox"/> Key Responsibility <input type="checkbox"/> Behavior <input type="checkbox"/> Goal/Strategy <input type="checkbox"/> Development Item		Interim Performance Rated Good or Better? Y N Annual Comments: Annual Rating:
5. <input type="checkbox"/> Key Responsibility <input type="checkbox"/> Behavior <input type="checkbox"/> Goal/Strategy <input type="checkbox"/> Development Item		Interim Performance Rated Good or Better? Y N Annual Comments: Annual Rating:
6. <input type="checkbox"/> Key Responsibility <input type="checkbox"/> Behavior <input type="checkbox"/> Goal/Strategy <input type="checkbox"/> Development Item		Interim Performance Rated Good or Better? Y N Annual Comments: Annual Rating:
7. <input type="checkbox"/> Key Responsibility <input type="checkbox"/> Behavior <input type="checkbox"/> Goal/Strategy <input type="checkbox"/> Development Item		Interim Performance Rated Good or Better? Y N Annual Comments: Annual Rating:

Key Responsibilities/Results	Assigned Tasks and Objectives (includes expected levels of performance and measurement methods)	Actual Results
8. <input type="checkbox"/> Key Responsibility <input type="checkbox"/> Behavior <input type="checkbox"/> Goal/Strategy <input type="checkbox"/> Development Item		Interim Performance Rated Good or Better? Y N Annual Comments: <div style="text-align: right;">Annual Rating:</div>
9. <input type="checkbox"/> Key Responsibility <input type="checkbox"/> Behavior <input type="checkbox"/> Goal/Strategy <input type="checkbox"/> Development Item		Interim Performance Rated Good or Better? Y N Annual Comments: <div style="text-align: right;">Annual Rating:</div>
10. <input type="checkbox"/> Key Responsibility <input type="checkbox"/> Behavior <input type="checkbox"/> Goal/Strategy <input type="checkbox"/> Development Item		Interim Performance Rated Good or Better? Y N Annual Comments: <div style="text-align: right;">Annual Rating:</div>
11. <input type="checkbox"/> Key Responsibility <input type="checkbox"/> Behavior <input type="checkbox"/> Goal/Strategy <input type="checkbox"/> Development Item		Interim Performance Rated Good or Better? Y N Annual Comments: <div style="text-align: right;">Annual Rating:</div>

Summary Key Responsibility Rating: (O, VG, G, BG, U)	<div style="border-bottom: 1px solid black; width: 50px; margin: 0 auto;"></div>
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Supervisor's Summary Comments

Interim Comments:	Annual Comments:
Supervisor's Initials: _____	Supervisor's Initials: _____

Employee's Summary Comments

Interim Comments:	Annual Comments:
Employee's Initials: _____	Employee's Initials: _____

Improvement plans are activities or training designed to improve specific performance that fails to meet performance expectations as documented in the work plan for the current performance cycle, as indicated in the interim review, and/or from the previous performance appraisal. Improvement plans are to be made during the work planning stage and/or as needed throughout the current work cycle. They are required to address performance that falls below the "Good" level. They should be amended as appropriate.

Date	Improvement Needed / Action Plan	Resources Needed (time, financial, etc.)	Target Completion Date

INSTRUCTIONS

For Supervisors:

Cover Page

- Both you and the employee should sign and date the document (on the cover page) after joint review and discussion. Signatures of the next-level supervisor are also required following the initial work plan discussion and final appraisal. Provide the employee with a current signed copy. Retain the original document in the departmental personnel files. **Copies of work plan documents are forwarded to Human Resources following the annual appraisal.**

For Work Planning (to be completed at the beginning of the performance cycle)

- In the **Key Responsibilities section**, list each of the employee's key responsibilities and/or other performance areas (behavioral expectations, meeting of goals/strategies, and knowledge/skill development) in priority order in the Key Responsibilities column, using 1-4 words to describe each. In the Assigned Tasks and Objectives column, list the assigned tasks and/or objectives relating to each key responsibility/performance area. Assigned Tasks and Objectives should be specific and should outline expected results in terms of quality, quantity, delivery, timeliness, etc. Tasks and Objectives are most effective when they are specific, measurable, attainable and time-bound. While tasks should be written at the "Good" level, supervisors should explain what Very Good or Outstanding performance would look like (See rating codes and definitions). Measurement methods should also be included. Add additional rows as necessary.
- In the **Key Responsibilities section**, supervisors and employees may choose to include:
 - Expected performance in specific behaviors. These behaviors may be specific to an individual project or task.
 - Tasks and objectives that help to meet specific departmental/institutional goals that may be in addition to everyday job responsibilities and expectations.
 - Plans for skill/competency development to benefit specific organizational objectives or employee career progression. Creating a development plan is key to assisting employees in obtaining and/or advancing their assigned competency levels as recommended in the employee's competency assessment.
- In the **Improvement section**, document any necessary performance improvements the employee will be required to make during the performance cycle. Improvement plans should also be developed for Key Responsibilities and other performance areas that fall below "good" following the Interim Review. Both improvement plans and development plans should be amended as appropriate at any point during the performance management cycle.
- If new key responsibilities/tasks and/or performance areas are assigned during the performance year, insert new assignments and effective dates in the appropriate columns.

For the Interim Review

- In the **Key Responsibilities section**, in the Results column, determine whether performance is at the "good" level or better. For performance that falls below "good," supervisors should create an improvement plan (see appropriate improvement plan section).
- In the **Improvement**, document any necessary performance improvements the employee is required to make for the remainder of the performance cycle. Improvement plans should be amended as appropriate at any point during the performance cycle.
- In the **Overall Comments section**, enter your overall comments for the Interim Review. Document any concerns regarding the employee's performance, and note anything the employee has done especially well.
- Review the document with the employee. Allow the employee to enter comments in the Overall Comments and Results section. Both you and the employee should sign and date the document on the cover page. Provide the employee with a current signed copy, and retain the original in the departmental personnel files.

For the Annual Appraisal

- In the **Key Responsibilities section**, indicate in the Results column your comments for the Annual Appraisal. Document the employee's performance on each key responsibility and **assign an Annual Rating** for each key responsibility and performance area (**see below**). At the bottom of the page, indicate a **Summary Annual Rating** representing the employee's overall performance on all key responsibilities and performance areas over the entire performance cycle.
- In the **Overall Comments and Results section**, indicate your overall comments for the performance cycle. At the bottom of the page, indicate the Key Responsibilities/Results Rating.
- Review the document with the employee. The employee may make comments in the Overall Comments and Results section. Both you and the employee should initial the Overall Annual Level and Ratings, and sign and date the document on the cover page. Obtain next-level manager's signature on the cover page. Provide the employee with a current signed copy, retain another copy for yourself, and then send the original to Human Resources (Phillips Hall, CPO 1450).
- **Rating Codes and Definitions:**
 - 5 / Outstanding (O):** Performance is far above the defined job expectations. Employee consistently does outstanding work, regularly going far beyond what is expected of employees in this job. Performance that exceeds expectations is due to the effort and skills of the employee. Any performance that is not consistently exceeding expectations is minor or due to events not under the control of the employee.
 - 4 / Very Good (VG):** Performance meets the defined job expectations and in many instances exceeds job expectations. Employee generally is doing a very good job. Performance that exceeds expectations is due to the effort and skills of the employee.
 - 3 / Good (G):** Performance meets the defined job expectations. Employee generally performs according to the expectations of doing a good job, and is doing the job at the level expected for employees in this position. Good performance is due to the employee's own effort and skill.
 - 2 / Below Good (BG):** Performance may meet some of the job expectations, but does not fully meet the remainder. Employee is generally doing the job at a minimal level, and improvement is needed to fully meet the expectations. Performance is less than a good job. Lapses in performance are due to employee's lack of effort or skill.
 - 1 / Unsatisfactory (U):** Performance generally fails to meet the defined expectations or requires frequent, close supervision and/or the redoing of work. Employee is not doing the job at the level expected for employees in this position. Unsuccessful job performance is due to employee's own lack of effort or skills.

For Employees:

Signatures

Your signature does not imply agreement with the content or ratings of your work plan, interim and/or annual appraisal; it simply confirms that you viewed the document and were given the opportunity to discuss it with your supervisor. Your work plan, interim review and annual rating are effective once issued to you with your supervisor's signature.