

**SPA CAREER-BANDED WORK PLAN and APPRAISAL FORM**



**Employee:** \_\_\_\_\_ **Supervisor:** \_\_\_\_\_ **Manager:** \_\_\_\_\_  
**Position:** \_\_\_\_\_ **Position:** \_\_\_\_\_ **Position:** \_\_\_\_\_

<i>Initial Work Planning</i>	<i>Interim Review</i>	<i>Final Appraisal</i>
Employee Signature: _____	Employee Signature: _____	Employee Signature: _____
Date: _____	Date: _____	Date: _____
Supervisor Signature: _____	Supervisor Signature: _____	Supervisor Signature: _____
Date: _____	Date: _____	Date: _____
Manager Signature: _____		Manager Signature: _____
Date: _____		Date: _____

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

**Performance Cycle Dates:** \_\_\_\_\_

**Note: Instructions included at end of document.**

**Key Responsibilities**  
(assigned tasks and expected levels of performance)

Key Responsibilities (in priority order)	Assigned Tasks / Expected Level of Performance	Results
<p>1.</p> <p><i>Insert key responsibility here; add additional rows as needed</i></p>	<p><i>Insert assigned tasks and/or expected levels of performance here. If/as new tasks are assigned, add information here, indicating effective date.</i></p>	<p>Interim Comments:</p> <p>Annual Comments:</p> <p align="right">Annual Rating:</p>
<p>2.</p>		<p>Interim Comments:</p> <p>Annual Comments:</p> <p align="right">Annual Rating:</p>
<p>3.</p>		<p>Interim Comments:</p> <p>Annual Comments:</p> <p align="right">Annual Rating:</p>
<p>4.</p>		<p>Interim Comments:</p> <p>Annual Comments:</p> <p align="right">Annual Rating:</p>

**Summary Annual Key Responsibility Rating: (1, 2, 3, 4, or 5) \_\_\_\_\_**

**Competencies**  
(expected demonstrated skill level)

**Overall Assigned Level: (C, J, or A) \_\_\_\_\_**

Competencies (in priority order)	Assigned Level and Description	Results
<p>1.</p> <p><i>Insert competency here</i></p>	<p><b>Assigned Level:</b> <i>Insert assigned level here</i></p> <p><b>Description:</b></p> <p><i>Insert appropriate competency level description here. If/as new levels are assigned, add new competency level and description as well, indicating effective date.</i></p>	<p><b>Interim Level:</b> <b>Interim Comments:</b></p> <p><b>Annual Level:</b> <b>Annual Comments:</b></p> <p align="right"><b>Annual Rating:</b></p>
<p>2.</p>	<p><b>Assigned Level:</b></p> <p><b>Description:</b></p>	<p><b>Interim Level:</b> <b>Interim Comments:</b></p> <p><b>Annual Level:</b> <b>Annual Comments:</b></p> <p align="right"><b>Annual Rating:</b></p>
<p>3.</p>	<p><b>Assigned Level:</b></p> <p><b>Description:</b></p>	<p><b>Interim Level:</b> <b>Interim Comments:</b></p> <p><b>Annual Level:</b> <b>Annual Comments:</b></p> <p align="right"><b>Annual Rating:</b></p>
<p>4.</p>	<p><b>Assigned Level:</b></p> <p><b>Description:</b></p>	<p><b>Interim Level:</b> <b>Interim Comments:</b></p> <p><b>Annual Level:</b> <b>Annual Comments:</b></p> <p align="right"><b>Annual Rating:</b></p>

**Summary Annual Competency Level: (C, J, or A) \_\_\_\_\_**

**Summary Annual Competency Rating: (1, 2, 3, 4, or 5) \_\_\_\_\_**

# Methods of Evaluation

Please select from the following Methods of Evaluation that will be used in evaluating the employee's performance. Additional methods of evaluation and / or additional explanations of those methods may be added if necessary.

**Supervisory Observation**

- Supervisor evaluates the employee's performance by direct observation of work

**Third Party Feedback**

- Supervisor evaluates the employee's performance in part based on relevant feedback from outside customers, vendors, or others

**Peer Feedback**

- Supervisor evaluates the employee's performance in part based on relevant feedback from the employee's peers

**Spot Checks**

- Supervisor evaluates the employee's performance in part based on random spot checks of work

**Sampling / Statistics**

- Supervisor evaluates the employee's performance in part based on samples of the employee's work or statistical data that indicates the employee's level of work or demonstrated competence

**Project Results**

- Supervisor evaluates the employee's performance in part based on actual results of projects or assignments the employee has managed or participated in

**Self-Report**

- Supervisor evaluates the employee's performance in part based on the employee's own evaluation of his/her work

**Other:**

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**Other:**

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## Overall Comments and Results

### Supervisor's Summary Comments

Interim Comments:

Annual Comments:

### Employee's Summary Comments

Interim Comments:

Annual Comments:

### Overall Annual Level and Ratings

Summary Key Responsibility Rating: \_\_\_\_\_

Summary Competency Rating: \_\_\_\_\_

Summary Annual Competency Level: \_\_\_\_\_

} = Check Overall  
Annual Rating:

**5 / Outstanding**

**4 / Very Good**

**3 / Good**

**2 / Below Good**

**1 / Unsatisfactory**

Employee's  
Initials:

Supervisor's  
Initials:

Initials indicate  
rating was  
provided to  
employee

## Improvement and Development

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.

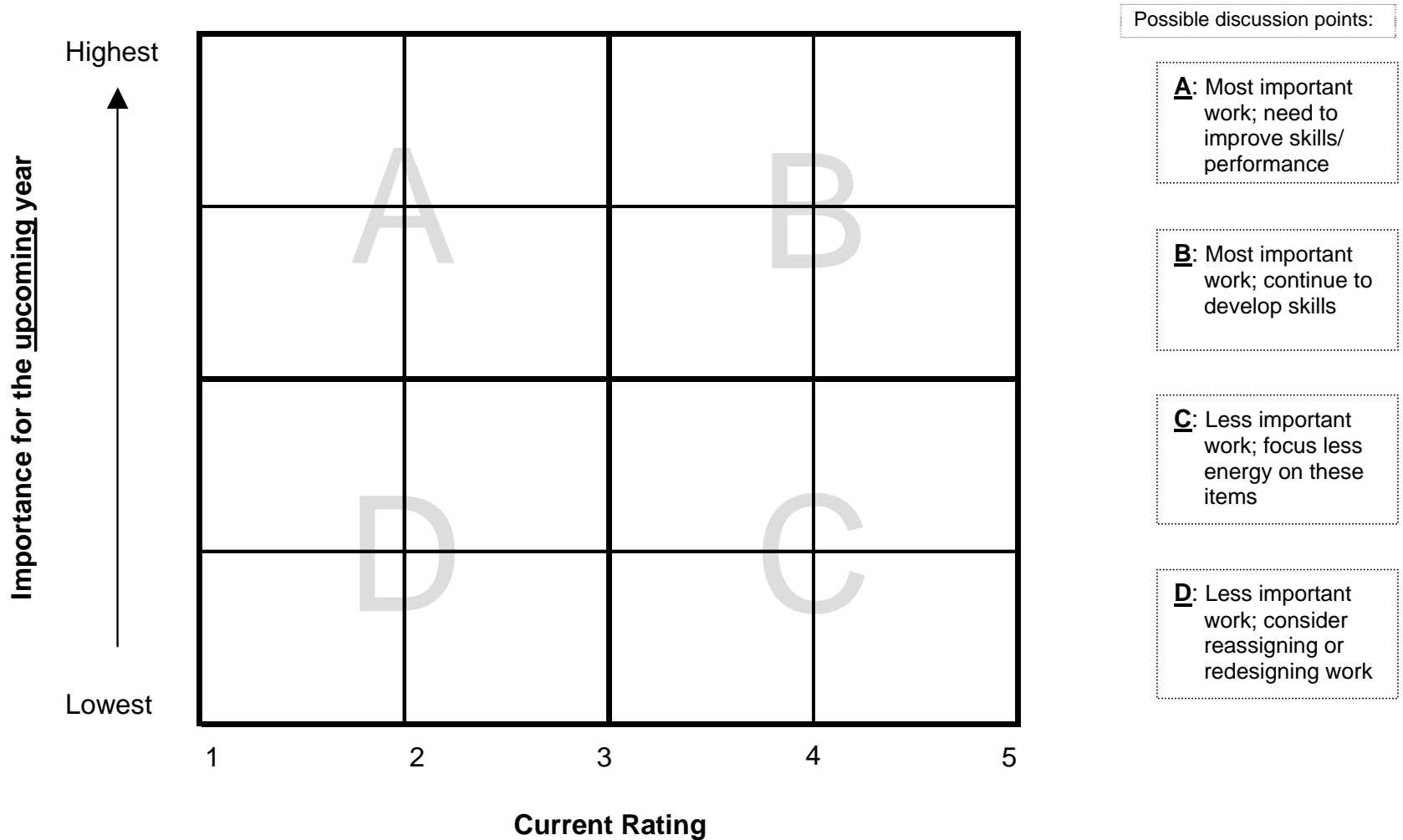
Date	Improvement Needed / Action Plan	Resources Needed (time, financial, etc.)	Target Completion Date

Development plans are activities or training that will add to the employee’s ability to do his or her job more effectively, while broadening his or her skill or knowledge base (computer courses, leadership classes, professional organizations, etc.). Development plans are also for preparing an employee for increased responsibility or expertise (cross training, job rotation, mentoring program, etc.), and they can be useful for documenting an employee’s increase in credentials (licensing or certification exams, for example). Development plans are to be made during the work planning stage and/or as needed throughout the current work cycle. They should be amended when appropriate.

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

## Focus Forward

The Focus Forward section is an optional planning tool. You may use this chart to plot areas (key responsibilities and/or competencies) that may need a stronger focus or additional skill building in the coming performance cycle (e.g., high importance but low performance rating) versus areas that may require less time and effort (e.g., low importance with high performance rating). This tool is intended to provide an opportunity for targeted discussion about where employee time and resources, including employee development, should be focused in the upcoming performance cycle.



**Importance:** How important the responsibility and/or competency is for the upcoming performance cycle, from lowest or least important, to highest or most important.

**Rating:** How performance was assessed for the current performance cycle, from Unsatisfactory (1) to Outstanding (5).

# INSTRUCTIONS

## For Supervisors:

### Cover Page

- Prior to presenting or discussing the work plan and performance appraisal document with the employee, obtain approvals (signature and date) from appropriate management. Both you and the employee should sign and date the document (on the cover page) after joint review and discussion. Provide the employee with a current signed copy. Retain the original document in the departmental personnel files.

### 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 in priority order in the Key Responsibilities column, using 3-6 words to describe each. In the Assigned Tasks / Expected Levels of Performance column, list the assigned tasks and/or expected levels of performance relating to each key responsibility. Assigned tasks / Expected Levels of Performance should outline expected results in terms of quality, quantity, delivery, timeliness, etc. Tasks should be written at the "Good" level. (See rating codes and definitions.) Add additional rows as necessary.
- In the **Competencies section**, identify the employee's assigned level (Contributing, Journey or Advanced). List the position competencies in priority order, using the Competency Profile as a reference. In the Assigned Level and Description column, indicate the assigned level (Contributing, Journey, or Advanced) for each competency, and insert the appropriate competency level description from the Competency Profile. Note: If assigned competency levels change during the performance period, enter the new competency level and description below the original you listed at the beginning of the cycle, and note the effective date. Add additional rows as necessary.
- In the **Methods of Evaluation section**, indicate methods that will be used throughout the year to evaluate the employee's performance, including key responsibilities and competencies. If there is a method of evaluation that is necessary but not listed, enter it under "Other."
- In the **Improvement and Development section**, document any necessary performance improvements the employee will be required to make during the performance cycle. This is also the place to document any career development goals for the employee. Both improvement plans and development plans should be amended as appropriate at any point during the performance management cycle.
- Obtain appropriate management approvals and signatures, and then review the document with the employee. Both of you 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.
- If new key responsibilities or tasks 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, document the employee's progress toward meeting the Assigned Tasks / Expected Levels of Performance listed for each key responsibility. **Do not assign a rating at this time.** (Ratings should not be included in the Interim Review.)
- In the **Competencies section**, in the Results column, indicate the level at which the employee has performed for the performance period to date for each competency. **Do not assign a rating at this time.** (Ratings should not be included in the Interim Review.) Document the employee's performance on each competency.
- In the **Improvement and Development section**, document any necessary performance improvements the employee is required to make for the remainder of the performance cycle. If any career development goals have been identified, indicate them in the Development section. Both improvement plans and development 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.
- Obtain appropriate management approvals and signatures, and then 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 (**see below**). At the bottom of the page, indicate a **Summary Annual Rating** representing the employee's overall performance on all key responsibilities over the entire performance cycle.
- In the **Competencies section**, indicate in the Results column the level at which the employee has performed over the entire performance cycle. Document the employee's performance on each assigned competency and **assign an Annual Rating** for each competency (**see below**). At the bottom of the page, **assign a Summary Annual Competency Level** representing the overall level the employee demonstrated during the performance cycle, and **assign a Summary Annual Competency Rating** representing the employee's overall performance on assigned competencies 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 Summary Annual Competency Level, Summary Competencies Rating and Summary Key Responsibilities Rating. Weight the Summary Key Responsibilities rating and the Summary Competencies Rating equally to **assign the Overall Annual Rating (see below)**.
- You may use the optional **Focus Forward** tool to assist you in setting goals and expectations for the upcoming performance year. Plot the results of each key responsibility/competency on the chart using the rating received on each key responsibility/competency in the **current** appraisal, and your assessment of the importance of that responsibility/competency **for the upcoming performance cycle**. Use the tool to focus attention and resources on priority areas, to highlight areas needing additional development, and/or to highlight areas needing less attention or resources.
- Obtain appropriate management approvals and signatures, and then 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. Provide the employee with a current signed copy, and retain the original in the departmental personnel files.
- **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.

### Disagreement with Ratings

You may have the right to formally dispute your ratings within 15 workdays of your receipt of your performance appraisal. Information about disputing ratings can be found in the NC State University Regulation 05.25.1 – Performance Pay Dispute Resolution and the appropriate Career Banding Plan, and through Employee Relations-Human Resources.