

SAMPLE



SHRA EMPLOYEE PERFORMANCE APPRAISAL TOOL



Designed by the University of North Carolina System.
Adapted by UNCW Human Resources.



Instructions

Full Cycle Performance - UNCW SHRA Performance Appraisal Tool

Part I: Performance Plan

Beginning of Cycle

1. Institutional Goals

- Review the institutional goals with the employee. Discuss how the employee can meet and exceed the institutional goals within their position and job duties.
- Indicate the weight of each goal toward the final overall weighting based on the position. Each goal must be at least 5%. The total weight of the institutional goals must equal 50%.

→ **Resource:** [Expanded Institutional Goals](#); [Institutional Goals Fillable Worksheet](#)

2. Individual Goals

- Discuss and define 3-5 individual goals for the upcoming cycle. These goals should focus on key results, outcomes, and deliverables for the upcoming cycle; they are not intended to cover all aspects of the employee's job.
- Indicate the weight of each individual goal toward the final overall weighting. Each goal must be at least 5%. The total weight of the individual goals must equal 50%.

→ **Resource:** [Individual Goal-Setting Worksheet](#)

3. Talent Development Plan

- Discuss and identify opportunities for the employee to learn and develop in his or her role.

→ **Resource:** [Talent Development Planning Worksheet](#)

4. Signatures

- Once you have filled out and gone over Part I with the employee, you, the employee, and the second-level supervisor should sign and date.

Part II: Off-Cycle Reviews

Halfway Through Cycle

5. Interim Review*

- Meet with the employee halfway through the performance cycle to discuss current progress on the three areas in Part I. Document and initial the conversation in the space provided.
- If changes or additions need to be made to the Individual Goals or Talent Development Plan, make them during the interim review.

→ **Resource:** [Talent Conversation Questionnaire](#)

***All UNCW employees are required to have at least one interim review. Additional off-cycle reviews are optional.*

****Probationary employees must have quarterly reviews during their first year. For more information, click here.*

Part III: Annual Performance Appraisal

End of Cycle

6. Goal Rating

- Rate the employee's Institutional and Individual Goals based on the entire performance cycle.

<ul style="list-style-type: none">▪ 1 = Not Meeting Expectations▪ 2 = Meeting Expectations▪ 3 = Exceeding Expectations <p>He form will multiply the Weight by the Rating to get the Score for each goal.</p>	<p>The form will add all of the Scores together to assign a Final Overall Rating.</p> <ul style="list-style-type: none">▪ 1.00 to 1.69 = Not Meeting Expectations▪ 1.70 to 2.69 = Meeting Expectations▪ 2.70 to 3.00 = Exceeding Expectations
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- Provide comments in narrative form to elaborate on the employee's performance this cycle.
- Submit the completed form (with signatures) to HR by the cycle deadline.

→ **Resource:** [Employee Self-Appraisal](#); [Employee Comments](#)

[Click here](#) for supplemental tools and resources.

[Click here](#) for detailed instructions on submitting the formal performance appraisal.

ANNUAL PERFORMANCE APPRAISAL CYCLE (Dates From/To):			to	
Dept. Name:		Employee Name:		
Dept. #:		Employee ID:	Position #:	
Supervisor Name:		Employee Classification:		
Supervisor Title:		Competency Level:		

PART 1: PERFORMANCE PLAN

(See Section III & IV in Performance Guide)

- Review the **Institutional Goals** with the employee.
- Define the **Individual Goals** for the employee (no less than 3, no more than 5).
- Provide **Talent Development Goals**, as needed.
- Indicate below the **Weight** of each goal toward the **Final Overall Rating**. Each goal must be at least 5%.
- The total weight of the **Institutional Goals** must equal 50%.
- The total weight of the **Individual Goals** must equal 50%.

Type of Plan:

Initial Performance Plan:

Revised Plan during Performance Cycle:

INSTITUTIONAL GOALS

(See Section III in Performance Guide)

Review the institutional goals with each employee. Discuss these goals in relationship to the duties on the employee's position description. Provide additional clarification of specific expectations as needed. Weight each goal. [Click here](#) for expanded descriptions.

EXPERTISE

WEIGHT:

- Precision:** Produces work that is accurate, thorough, and demonstrates sufficient analysis and decision-making to meet the requirements of the employee's position and profession.
- Resourcing:** Makes efficient and appropriate use of materials.
- Innovation:** Regularly looks for ways to improve efficiency or quality.
- Development:** Maintains technical skills and relevant professional credentials.

ACCOUNTABILITY

WEIGHT:

- Productivity:** Completes required volume of work by established deadlines and stays productive throughout the workday.
- Autonomy:** Generally completes work with few reminders or infrequent oversight.
- Prioritizing:** Takes sufficient and appropriate measures to plan work, prioritize tasks, organize work flows, and set realistic goals.
- Coordination:** Proactively seeks out needed information in order to complete work.

CUSTOMER-ORIENTED

WEIGHT:

- Clarity:** Actively listens to determine the most effective way to address customer needs and concerns.
- Awareness:** Shows a solid understanding of customer needs, seeks out customer input to better understand needs, and develops ideas to meet those needs.
- Attentiveness:** Follows through on commitments, despite time pressures or obstacles, and listens for and timely responds to customer requests.
- Diplomacy:** Maintains a professional and respectful tone and exhibits diplomacy when dealing with frustrated individuals or during sensitive or confrontational situations.

ANNUAL PERFORMANCE APPRAISAL CYCLE <i>(Dates From/To):</i>			to	
Dept. Name:		Employee Name:		
Dept. #:		Employee ID:	Position #:	
Supervisor Name:		Employee Classification:		
Supervisor Title:		Competency Level:		

TEAM-ORIENTED

WEIGHT:

- a. **Collegiality:** Communicates and engages directly, clearly, and tactfully with colleagues.
- b. **Collaboration:** Provides feedback and healthy dialogue on performance and operational issues, as requested. Willingly adapts to change and adheres to decided actions.
- c. **Contribution:** Makes decisions with others in mind, and willingly performs additional duties when team members are absent, during times of increased workload, or as otherwise required by management to meet business needs.
- d. **Attendance:** Absences are infrequent and do not place an undue burden on supervisor or colleagues.

COMPLIANCE & INTEGRITY

WEIGHT:

- a. **Compliance:** Complies with University personnel policies, including prohibitions on harassment, discrimination, and workplace violence, and protects of confidentiality of records.
- b. **Safety:** Complies with all safety requirements for the position, including successful completion of training and proper use of personal protective equipment.
- c. **Ethics:** Chooses ethical actions even under pressure, avoids situations considered inappropriate or that present a conflict of interest, holds self and others accountable for ethical decisions, and addresses unethical actions directly.
- d. **Respect:** Appreciates individual and cultural differences, treats all people with dignity and respect.

LEADERSHIP *(for supervisors)*

WEIGHT:

- a. **Oversight:** Provides adequate stewardship of assigned resources, including budget, space, equipment, and staffing.
- b. **Goal-Setting:** Provides clear objectives that foster work unit development and align with University values and goals.
- c. **Talent Management:** Provides candid, timely, and constructive feedback on performance and behavior and appropriately balances positive and negative messages.
- d. **Leading:** Serves as role model. Engenders trust, commitment, and civility.

Institutional Goals Total Weight:
(should equal 50)



UNCW SHRA Performance Appraisal Tool

ANNUAL PERFORMANCE APPRAISAL CYCLE <i>(Dates From/To):</i>			to	
Dept. Name:		Employee Name:		
Dept. #:		Employee ID:	Position #:	
Supervisor Name:		Employee Classification:		
Supervisor Title:		Competency Level:		

INDIVIDUAL GOALS

(See Section III in Performance Guide)

Set 3 to 5 individual goals for each employee based on key business needs and strategic goals. Weight each goal.

[Click here](#) to download an individual goal-setting worksheet (*optional*).

GOAL #1 -- Title:		WEIGHT:	
Description:			
GOAL #2 -- Title:		WEIGHT:	
Description:			





UNCW SHRA Performance Appraisal Tool

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Dept. Name:		Employee Name:		
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Supervisor Name:		Employee Classification:		
Supervisor Title:		Competency Level:		

GOAL #3 -- Title:		WEIGHT:	
Description:			

GOAL #4 -- Title:		WEIGHT:	
Description:			

GOAL #5 -- Title:		WEIGHT:	
Description:			

Individual Goals Total Weight:
(should equal 50)



ANNUAL PERFORMANCE APPRAISAL CYCLE <i>(Dates From/To):</i>			to	
Dept. Name:		Employee Name:		
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Supervisor Title:		Competency Level:		

TALENT DEVELOPMENT PLAN

(See Section IV in Performance Guide)

At the beginning of the performance cycle, the supervisor should discuss development opportunities with the employee and list below any development activities established for the current cycle. Include resources that will be provided to the employee and indicate deadlines as needed. Progress under the talent development plan should be discussed periodically during the cycle with the employee. [Click here](#) to download a talent development planning worksheet (*optional*).

SIGNATURES FOR PERFORMANCE PLAN

(See Section I in Performance Guide)

2nd – Level Supervisor:		Date:	
Supervisor:		Date:	
Date of Review Session with Employee:			
Employee Acknowledgement: I acknowledge that I have received this performance plan and that if I choose, I may write additional comments to include with this document.		(Check this box if you are attaching comments .)	
Employee:		Date:	

ANNUAL PERFORMANCE APPRAISAL CYCLE <i>(Dates From/To):</i>			to	
Dept. Name:		Employee Name:		
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Supervisor Name:		Employee Classification:		
Supervisor Title:		Competency Level:		

PART 2: OFF-CYCLE REVIEWS (See Section VI in Performance Guide)

Document all off-cycle reviews completed during the performance cycle. **Interim reviews** are quarterly talent conversations regarding employee progress; a minimum of one interim review is required for each employee. **Probationary reviews** are required quarterly reviews for probationary employees. **Other reviews** may be employee-requested reviews, or additional performance related reviews.

Date of Review	Interim	Probationary	Other	Supervisor Initials	Employee Initials
Comments:					

Date of Review	Interim	Probationary	Other	Supervisor Initials	Employee Initials
Comments:					

Date of Review	Interim	Probationary	Other	Supervisor Initials	Employee Initials
Comments:					

ANNUAL PERFORMANCE APPRAISAL CYCLE <i>(Dates From/To):</i>			to	
Dept. Name:		Employee Name:		
Dept. #:		Employee ID:	Position #:	
Supervisor Name:		Employee Classification:		
Supervisor Title:		Competency Level:		

PART 3: ANNUAL PERFORMANCE APPRAISAL

(See Section V in Performance Guide)

- Rate each **Individual** and **Institutional Goal**.
 - 1 = Not Meeting Expectations
 - 2 = Meeting Expectations
 - 3 = Exceeding Expectations
- The form will multiply the **Weight** by the **Rating** to get the **Score** for each goal using two decimal places.
- The form will add all of the **Scores** together to assign a **Final Overall Rating**.
 - 1.00 to 1.69 = Not Meeting Expectations
 - 1.70 to 2.69 = Meeting Expectations
 - 2.70 to 3.00 = Exceeding Expectations
- Provide **comments** and **signatures** on the next page.

#	INSTITUTIONAL GOALS	(see descriptions in performance plan)	Rating	x	Weight	=	Score
1	Expertise			x		=	
2	Accountability			x		=	
3	Customer-Oriented			x		=	
4	Team-Oriented			x		=	
5	Compliance & Integrity			x		=	
6	Leadership <i>(if applicable)</i>			x		=	

#	INDIVIDUAL GOALS	(title only from performance plan)	Rating	x	Weight	=	Score
1				x		=	
2				x		=	
3				x		=	
4				x		=	
5				x		=	

FINAL OVERALL RATING	(mark the appropriate rating based on total score)	TOTAL SCORE	=	
Has the employee received a disciplinary action during this performance cycle or received any rating of 1 (Not Meeting Expectations) on this appraisal? If YES , then the final overall rating cannot equal Exceeding Expectations, regardless of the total score.			YES	
			NO	
NOT MEETING EXPECTATIONS		MEETING EXPECTATIONS		EXCEEDING EXPECTATIONS

OR: Employee was NOT evaluated due to ...	Insufficient Time		On Extended Leave	
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Supervisor Name:		Employee Classification:		
Supervisor Title:		Competency Level:		

SUPERVISOR COMMENTS ON EMPLOYEE'S PERFORMANCE

SIGNATURES FOR ANNUAL PERFORMANCE APPRAISAL

2nd – Level Supervisor:		Date:	
Supervisor:		Date:	
Date of Annual Performance Appraisal Review Session with Employee:			
Employee Acknowledgement: I understand my signature below indicates: that I have received this annual performance appraisal, that my signature does not necessarily imply my agreement with the ratings given or the comments included, and that if I choose, I may write a response to include with this appraisal document.			(Check here if you are attaching comments.)
Employee:		Date:	

APPEAL RIGHTS

For information on applicable appeal rights, please refer to the [University System SHRA Employee Grievance Policy.](#)

