Introduction
The annual performance review in the University’s staff review and development process is a stepping stone toward professional development rather than an end in itself. The process represents an opportunity to enhance the strengths and address the needs that are identified in the review. It is a tool that can be used to work toward one’s individual career goals while simultaneously helping to meet the organizational goals of the work unit.

While supervisors should offer guidance and support, staff members are personally responsible for their continuous professional development. For this reason, both the supervisors and the staff members are active participants in Penn State’s staff review and development process. Each role in the process is specifically outlined below. Because staff review and development are important, we offer this document to help ensure that the process serves everyone well. It includes guidelines and examples that can be used for each step of the process.

Section I: Staff Input (Staff Guidelines)

Staff Responsibilities Summary
- Provide input in the review process.
- Develop goals for the upcoming year
- Reach consensus on the staff review.
- Reach consensus with your supervisor on the Action Plan.
- Implement the Action Plan.

A. Accomplishments
This section of the SRDP form allows you to offer input for consideration in your performance review. It allows you to highlight significant accomplishments, specific ways that you’ve exceeded performance expectations, and professional development activities completed during the review period.

Instructions
1. Review your job duties and responsibilities and update your Job Responsibilities Worksheet
2. List all of your accomplishments related to goals, performance expectations, and professional development activities.

B. Self-Assessment
The Self-Assessment section is designed to help you summarize your strengths, needs, interests, and goals. It establishes an individualized foundation for the Development Action Plan. While completing this section in preparation for the annual performance review, you should consider the following:
- Personal career goals
- Individual and team goals/expectations, related to your work
- Current and future job challenges
- The unit’s/area’s strategic plan and the University’s strategic plan and goals

Completing the Self-Assessment section enables you to provide input into goals for the upcoming year, clarify opportunities for development related to your current and future job responsibilities, and identify strengths, interests, and other ways you would like to contribute to the organization.

Instructions
1. Gather and review all pertinent information to be used for the performance review (e.g., staff input, performance logs, letters of recommendation).
2. Complete the Staff Input section and submit to your supervisor.
3. Meet with your supervisor to discuss the Staff Review.
C. Professional Development Completed:
Indicate the number of professional development activities you completed during the past year, as well as the approximate number of hours completed.

Section 2: Staff Review (Supervisor Guidelines)

Supervisor Responsibilities Summary
- Arrange logistics and review the materials sent by your Human Resources Representative
- Gather and review all documentation and correspondence relative to the staff member’s performance, including the staff member’s accomplishments and self-assessment.
- Complete the Staff Review, including reviewing and rating all core competency and unit-specific factors.
- Meet with each of your direct reports to review feedback in order to reach consensus on the staff review.
- Send a signed copy of the SRDP to your Human Resources Representative by the date specified

A. Review and Rate Core Competency and Unit-Specific Factors

Instructions
The General Performance Factors reflect University values and priorities. These factors should be considered in conjunction with any college or unit specific factors and all relevant performance standards when reviewing performance throughout the review period:

Job Knowledge: Demonstrates the appropriate specialized knowledge required to perform the job; effectively performs duties and responsibilities; keeps current with new developments in areas of responsibility

Judgment and Problem Solving: Anticipates and identifies problems; gathers facts and analyzes causes; evaluates alternative solutions; takes or recommends actions; follows up, to ensure problem resolution

Self-Management: Produces services/output efficiently; effectively uses time and meets deadlines; is punctual and reliable; works effectively with directions given; takes initiative; provides acceptable volume of work

Teamwork: Shares information and resources with others; gives timely responses to requests made by others; interacts well with all individuals; establishes and maintains effective working relationships; promotes teamwork and values the group’s success

Quality: Effectively produces a caliber of work consistent with departmental standards; completes work thoroughly and accurately; pays attention to detail; contributes to the improvement of the quality of services provided by the University

Customer Service: Effectively represents the University to students, parents, faculty, staff, patients, alumni, and other customers of the University; understands and constructively responds to customer needs

Communication: Effectively conveys ideas, information, and/or instructions to others; listens attentively and clarifies information when necessary; participates in meetings effectively; contributes to establishing a favorable communication environment; understands instructions

Support of Diversity: Demonstrates a respect for the value of individuals regardless of their background or culture; contributes to processes that create and support a diverse environment; participates in diversity programming and activities

Support of Sustainability: Demonstrates an awareness of the value of sustainability in the workplace; engages in behaviors that enhance sustainable practices in the workplace (including increasing energy efficiency, reducing waste, and conserving resources); participates in sustainability programs and activities (please see “You, Penn State and Sustainability” at http://ohr.psu.edu/recruitment-and-compensation/documents/YouPennStateSustainability.pdf)
Supervision: (This factor must be completed for employees responsible for supervising others.) Effectively delegates and coordinates the work of others; contributes to the selection, training, development, and evaluation of assigned staff.

The College or Unit Specific Factors reflect your unit’s values and priorities.

Instructions
Use college or unit specific factors for performance criteria that are vital to your employee’s position above and beyond the previously listed performance factors. These factors may include general skill areas, such as the examples listed below, or more specific factors that are part of your unit’s strategic plan or your employee’s Development Action Plan. Discuss these factors with your employee at the beginning of the review period.

Examples:

Project Leadership: Effectively operates independently in delegating work to peers and coordinates the work of others on projects

Creativity: Discovers and implements new and improved ways of doing things; breaks out of the “status quo” to find better ways to accomplish goals

Financial Stewardship: Enhances services and improves efficiencies within the University while meeting budget expectations; establishes priorities to optimize resources; delivers programs and services with quality and efficiency; conducts all University business with a demonstrated effort to maintain the highest level of financial stewardship; learns, follows, and upholds policies, guidelines, and control procedures established by the University and external agencies

B. Complete the Performance Feedback and Suggestions for Development by identifying the staff member’s strengths and opportunities for growth and development.

Instructions
Objective, constructive feedback is essential to the continuing development of employee as well as team productivity and performance. In this area of the form, please discuss the strengths that can be refined and extended, as well as the opportunities for growth and development demonstrated by the employee in terms of performance factors, unit-specific factors, and relevant performance standards. Be sure to emphasize suggestions for further development in terms of both strengths and opportunities. When describing the employee’s level of performance, the following words may be helpful: significantly exceeds expectations; exceeds expectations; meets expectations; partially meets expectations; and does not meet expectations.

You may find the following page helpful as you consider the performance factors that support diversity and sustainability. Feel free to use the descriptive narrative statements provided in order to describe areas of strength and/or development.
Penn State Diversity Core Factor Ratings

Descriptive Narrative Statements

- Never or rarely participates in diversity related activities in the workplace
- Often uses inappropriate language in the workplace
- Often engages in inappropriate behavior in the workplace
- Fails to demonstrate respect for the value of individuals regardless of their background or culture
- Limited awareness of the value of diversity in the workplace
- Improvement is required in order to perform at an acceptable level

- Participates in mandated diversity programs or activities this year
- Rarely uses inappropriate language in the workplace
- Rarely engages in inappropriate behavior in the workplace
- Demonstrates respect for the value of individuals regardless of their background or culture
- Understands the value of diversity in the workplace

- Readily participates in diversity programs or activities this year
- Abstains from inappropriate language in the workplace
- Demonstrates an awareness of the value of diversity in the workplace
- Promotes respect for the value of individuals regardless of their background or culture
- Contributes to activities that enhance a diverse student body and/or workforce
- Leads and positively impacts diversity in the workplace and community

- Initiates diversity program or activities this year
- Discourages inappropriate language in the workplace
- Contributes to a welcoming environment for individuals regardless of their background or culture
- Proactively manages diversity through hiring, retention and promotion activities
- Leads and positively impacts diversity in the workplace and community

Penn State Sustainability Core Factor Ratings

Descriptive Narrative Statements

- Never or rarely participates in sustainability-related activities in the workplace
- Often engages in behaviors that waste resources
- Fails to demonstrate respect for environmental stewardship
- Limited awareness of the value of sustainability in the workplace
- Improvement is required in order to perform at an acceptable level

- Participates in mandated sustainability programs or activities this year
- Occasionally engages in resource-wasting behaviors in the workplace
- Demonstrates respect for the value of environmental stewardship
- Understands the value of sustainability in the workplace

- Readily participates in sustainability programs or activities this year
- Demonstrates an awareness of the value of sustainability in the workplace
- Promotes respect for the value of environmental stewardship
- Contributes to activities that enhance sustainable practices in the workplace

- Initiates sustainability programs or activities this year
- Appropriately discourages non-sustainability behaviors in the workplace
- Proactively manages sustainability through its inclusion in the hiring process, professional development, performance evaluation, and operational planning
- Leads and positively impacts sustainability in the workplace and community
Professional Development Activities

Instructions
In this section, you will record the number of professional development activities during the review period, and estimate the time spent completing those activities. Consider all formal and informal activities intended to increase effectiveness for current and/or future job responsibilities.

C. Determine the staff member’s overall contribution

Instructions
Considering all dimensions and factors, indicate the definition that best describes the employee’s overall contribution during the review period. If an employee does not meet expectations for a particular performance factor, this should be addressed under “Opportunities for Growth and Development.” Penn State’s Performance Level Guidelines are as follows:

Significantly Exceeds Expectations: Employee performs assigned responsibilities in a consistently superior manner, as demonstrated throughout the review period, or as demonstrated by exceptional leadership in a one-time project in addition to excellent performance of ongoing responsibilities. Is recognized as an expert in his or her job area. Shows unusual initiative and is a self-starter. Stands apart in his/her ability to positively influence others, think beyond the details of the job, and work toward the overall goals of the department and the college. Is remarkably flexible in accepting new assignments or changing conditions that may require adjustment. Contributes to the college’s success well beyond job requirements through, for example, unique suggestions that result in process improvements, cost reductions, or enhanced work climate. Suggestions for development focus on the individual’s own professional objectives.

Exceeds Expectations: Employee performs assigned responsibilities in a manner that often exceeds communicated standards, as demonstrated throughout the review period, or as demonstrated by excellent contribution to a one-time project in addition to good performance of ongoing responsibilities. Takes initiative to seek information or clarification of policies, procedures, or objectives. Is flexible in responding to changing conditions that may require adjustment. Accomplishes more than expected; takes on extra tasks without defaulting in other assigned activity areas. Anticipates problems and suggests or independently takes appropriate action. Keeps supervisor and team informed of progress, problems, and/or proposed solutions. Sets challenging goals and achieves them. Suggestions for development focus on the individual’s professional growth.

Meets Expectations: Employee performs assigned responsibilities consistently well throughout the review period. Has good work habits, follows established work schedule, completes projects and tasks thoroughly, meets deadlines, and produces consistently acceptable output of work. Provides reliable input and recommendations. Is solid member of the unit or team, learns from mistakes, and contributes in a positive way to the overall work climate. Shows interest in developing knowledge and skills. Achieves or has made progress toward goals identified in previous performance review. Suggestions for development generally focus on refinements to the individual’s professional skills and abilities.

Partially Meets Expectations: Employee performs satisfactorily in some aspects of his/her assigned responsibilities but not in others. Performance may be marginal or inconsistent. For example, an employee may have good skills and produce an acceptable quality of work but may have poor work habits that limit productivity. The employee may have an unsatisfactory record of attendance, or may not appropriately share his/her knowledge with co-workers, or may show disrespect or intolerance toward others. An employee in this category may not keep up with changes in technology. Perhaps he/she is consistently present and punctual and demonstrates good interpersonal skills, but his/her technical abilities may not be at a fully productive level. Need for improvement and development has been periodically communicated to the employee throughout the review period, a plan has been put in place to correct deficiencies, and the supervisor is satisfied that the employee is working to correct performance. Provisions of HR-78 (Staff Failure to Meet Acceptable Standards of Performance) may be implemented.

Does Not Meet Expectations: Employee performs assigned responsibilities in an unsatisfactory manner, has not responded to constructive feedback, or has not improved performance. Specific, repeated examples of unsatisfactory performance have been communicated to the employee both verbally and in writing, along with specific expectations and suggestions for improvement. “Performance” not only includes how well the employee carries out the specific tasks or responsibilities of the job, but also includes work habits or behaviors that impact customers, co-workers, or the general work environment. Provisions of HR-78 (Staff Failure to Meet Acceptable Standards of Performance) may be implemented.

D. Prepare suggestions for the Developmental Action Plan, next year’s goals, and the Job Responsibilities Worksheet

E. Meet with the employee to discuss the appraisal and Development Action Plan; sign and date the Staff Review form and encourage your employee to do the same.
Section 3: The Development Action Plan

The Development Action Plan provides a systematic approach to focusing on key developmental opportunities for the upcoming year. As a staff member, you are primarily responsible for your own development. Your supervisor and the University are important partners with you in that effort. The basic steps for creating the developmental action plan are:

Step 1: Establish Performance Expectations

A performance expectation is a one-sentence statement that describes a specific capability you would like to acquire or improve, or some other goal you would like to achieve. A performance expectation statement begins with the phrase “I will be able to...”

To identify performance expectations, ask yourself: **What do I want to be able to do?**

You should indicate how achievement of each expectation will be measured. In general, achievement of an expectation can be measured by the actual completion or demonstration of the capability described in that expectation.

Examples of Performance Expectations

- I will be able to develop budgets for federal research proposals.
- I will be able to use IBIS Financial and Excel to manage the department’s income and expenses.
- I will be able to develop a training plan for a one-day course.
- I will be able to lead project team meetings.
- I will be able to use PageMaker to produce the college’s newsletter.
- I will be able to coordinate two-day departmental retreats with up to forty participants.
- I will be able to provide computer support to other staff members in my unit.

When establishing performance expectations, it may be useful to consider the following:

Extending strengths to achieve “expert” status; addressing areas that have been identified as needing improvement; capitalizing on opportunities for growth; focusing on critical aspects of performance or strategic priorities of the unit.

After drafting performance expectations, review them to ensure that they meet the following criteria:

- Clear and specific
- Measurable or observable
- Consistent with personal capabilities, interests, and career goals
- Consistent with organizational goals
- consistent with available resources and opportunities

Step 2: Identify the Knowledge, Skills, and Behaviors Needed to Achieve Expectations

The second column of the Development Action Plan section asks you to list the knowledge, skills, and behaviors you need to acquire in order to meet each performance expectation listed in the first column.

To identify these requirements, ask yourself: **To achieve this performance expectation, what do I need to know? What skills do I need to acquire or master?**
Step 3: Identify Professional Development Activities

In the third column of the Development Action Plan section, identify the specific developmental activities you will complete to acquire the knowledge and skills listed in the second column.

To identify these activities, ask yourself: *How will I acquire the necessary knowledge, skills, and behaviors?*

Examination of the examples will help you understand the relationship between knowledge/skill requirements and professional development activities. Keep in mind the 70-20-10 philosophy around learning and professional development, which describes how the most successful learning occurs:

- 70% from real life and on-the-job experiences, tasks and problem solving. This is the most important aspect of any learning and development plan.
- 20% from relationships, networking, feedback and from observing and working with role models.
- 10% from formal training opportunities

To identify appropriate developmental activities, you may find useful the following lists of different types of activities:

**On-the-Job Experiences (70%)**
- Increase your expertise in a particular area by requesting a specific task assignment.
- Assume different responsibilities in your position.
- Interview potential new employees.
- Lead a team meeting.
- Adopt innovative approaches to routine tasks and show cost-effectiveness.
- Pursue committee and task force assignments.
- Complete cross-training for other positions.
- Provide on-the-job coaching to other employees.

**Relationships, Networking and Feedback (20%)**
- Interview or shadow a high-performer you admire.
- Seek out a mentor, or be a mentor.
- Assume leadership roles in civic and community organizations.
- Provide constructive informal feedback to your peers.
- Informally solicit feedback from your peers, direct manager, and other managers.

**Formal Development Activities (10%)**
- University undergraduate and graduate courses
- Seminars offered by the Center for Workplace Learning and Performance (CWLP)
- Seminars offered by ITS Training Services
- Workshops, symposia, conferences
- Teleconferences, Webinars, audio-conferences, podcasts
- Online courses
- Self-directed learning or courses
- Tutorials on computer software

After listing professional development activities in the Developmental Action Plan section, review them and ask yourself the following questions:

- Are the activities specific?
- Do the activities directly address the performance expectations or goals?
- Are the activities practical and realistic in terms of both time and resource requirements?
- Is assistance that is needed from others readily available?
- Is there a balance between formal and informal activities?
Step 4: Identify Resources and Support Needed from Work Unit and Supervisor

The fourth column of the Development Action Plan section asks you to identify the resources and support needed from your work unit or supervisor to complete the activities listed in the third column. To identify these requirements, ask yourself: **What resources and support are needed to complete the professional development activities?**

The following list of different types of requirements can help you in specifying the resources and support needed for your Development Action Plan. Please be sure your requirements are realistic and consistent with available opportunities:

- Information
- Equipment
- Guidance
- Release time
- Tools
- Mentoring
- Financial support
- Materials
- Coaching
- Facilities
- Opportunities to observe

Step 5: Identify Target Dates for Expectations

In the last column of the Development Action Plan section, indicate the target date for meeting each performance expectation listed in the first column.

To identify the target date, ask yourself: **When will I be able to complete all of the development activities and achieve or meet the goals or expectations listed in the first column?**

Be sure that the target dates for meeting performance expectations are realistic and consistent with available opportunities.

Step 6: Implement the Plan

After you and your supervisor have agreed on and signed the Development Action Plan, it is your responsibility to implement and meet the designated performance expectations. You and your supervisor should meet periodically to monitor progress toward the designated expectations or goals. Progress toward these expectations will be assessed at the end of the next review period. Of course, unforeseen circumstances, such as changes in workload or available resources, may require future adjustments of the expectations, activities, and dates specified in the plan.