

# Performance and Development Review Framework (PDRF) – The Scheme

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## Background and Purpose

Solihull is facing some of the biggest challenges it has ever experienced. In order for us to achieve our vision we need a shared sense of purpose and ambition.

SMBC's purpose – 'Lives not Services' is weaving itself into our culture and emphasises that, above anything else, improving lives is what we are about.

Our PDRF sits at the heart; ensuring that people in all roles of SMBC and within our schools understand our shared purpose and how we will move from 'good to great'.

The ethos of the scheme is to ensure that we all understand how our behaviours and performance impacts on those around us and to provide the setting for regular and two way dialogue between manager and employee.



By building on your strengths and taking personal responsibility for your on-going development, you will be able to shape your future and make a positive contribution to the long-term success of the organisation. This guide and accompanying Guide 'Your Responsibilities' aims to give you an overview of what the PDRF entails, your responsibility as an employee and manager, and what you can expect – we will provide support and guidance but this is only the beginning, the rest is up to you.

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## Who does the PDRF Scheme apply to?

The Scheme will apply to all support staff including staff on temporary contracts, casual staff and agency workers. PDRF should be applied in the same way as for permanent employees. SMART objectives should be set that are proportionate and reflect what is expected within the timeframe of the contract where this is less than 12 months.

For the majority of support staff, the contracted pay review date is 1<sup>st</sup> April. In some situations this has been changed (after consultation). Any reference to 1<sup>st</sup> April as payment date throughout this document should be read as a different date if this has been agreed within your School.

The **exceptions** to this are:

- Staff who are on Teaching and Soulbury terms and conditions.
- If you employ any Apprentices, they are excluded from the Year End PDR process for the purpose of appraisals and pay review. Apprentices will have separate learning objectives set as part of the apprenticeship scheme that are regularly reviewed with their manager. The behaviour framework will apply and should form part of the managers' review.

## How will the PDRF scheme apply to different types of employee?

### ***New Employees***

If you are a new employee, you will have agreed objectives within the first few weeks of your employment as part of your induction and what is required of you during your probationary period. If you were employed between 1<sup>st</sup> October and 31<sup>st</sup> March, you will have a formal assessment after being in post for six months and any performance increments will be effective from the date of your 6 month anniversary. New employees who start outside of these dates will fit in with the normal timescales of the Performance and Development Review Framework.

### ***Agency workers/different pay and conditions***

PDRF should be applied to agency staff in the same way as for permanent employees with the exception of discussions regarding development which would not be appropriate for agency workers. A copy of the PDR should be forwarded to the agency as the employer and they should also be notified of any pay rate changes as a result of the review.

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## How to use the scheme

You will need to agree your objectives for the forthcoming year; these will be based around your job role to enable you to deliver what's needed and support your own personal development. Your objectives need to link to the School's overall purpose, vision and priorities and outline how you contribute towards these; your manager will discuss this with you. It is up to you to discuss any changes with your line manager throughout the year to ensure that you clearly understand how you and your line manager will know you have achieved what is required.

The focus of this is through planned, regular one to ones during the year to discuss progress, achievements and feedback to keep things on track. For most employees this will be via monthly meetings\*. The year-end review meeting should be a summary of your on-going discussions and feedback so there should be no surprises, and the review meeting will focus on summarising these discussions. As part of the scheme everyone should be prepared to give and receive objective and constructive feedback.

The success of the Performance Framework depends upon regular and meaningful conversations (including one to one meetings) and on-going feedback between you and your line manager.

*\*Where an employee works term time / irregular hours the regularity of the one to one meetings should be agreed in line with the work pattern. Half-termly may be more appropriate.*

## How is performance assessed?

In assessing performance your manager will consider evidence of your actual performance (your achievements) against your objectives set with you and the role alongside how you have delivered these (your behaviours).

For managers this will include assessment against *Key Managerial Responsibilities* that are core to the role and include Managing Performance and Development; Managing Sickness Absence; Managing Risk; Managing Financial Budgets; Managing Health and Safety and Managing Diversity. Please see Appendix 1 for full details.

Any factors outside of your control that may have helped or hindered your progress throughout the year will be considered. A key part of your responsibility in PDR is to gather and provide your supporting evidence and feedback and ensure this is included in your one to one discussions. Following the year-end review meeting your manager will make a recommendation for your PDR rating and this will be taken through a moderation process.

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## ***How does the moderation process work?***

The moderation process is set out below:

- Stage 1: Headteacher reviews PDR ratings from the appraising Managers for all support staff and submits to Governing Body Pay Committee
- Stage 2: The Governing Body Pay Committee review and moderates PDR ratings across the school
- Stage 3: Results of moderation are fed back to the Head teacher and line managers who should then inform the employee of the outcome.

Awards are backdated to 1 April for all employees, unless via consultation, a different pay review date has been agreed for the School.

## ***Why do we have a moderation process?***

The moderation process seeks to ensure that fair, consistent and equitable assessments have been made across all support staff within the school. The Pay Committee will be able to objectively justify its decisions and the process will consider:

- the overall distribution of ratings across the relevant staff groups
- identifying any ‘exceptions’ within the performance group
- that the ratings are reflective of the overall school/team performance
- sampling of assessments to check quality
- any impact of PDR on equality

## **Key PDRF Milestones**

Performance is assessed over a 12 month period from **MONTH to MONTH** (*add the school's PDR cycle dates*). During this cycle the following milestones represent key activities that take place during the review period. (*add dates as relevant to your own school cycle*)

Timing	Activity	
Month X	<ul style="list-style-type: none"> <li>• Employees and managers hold year-end performance discussions and begin thinking about performance and development goals for the following year</li> </ul>	Regular one-to-one
Month X	<ul style="list-style-type: none"> <li>• Head teacher reviews scores to ensure consistency across managers and submits to Governing Body Pay Committee</li> <li>• Moderation review takes place by Governing Body Pay Committee</li> <li>• Recommendations fed back to Head teacher to discuss and refine if required / communicate approval</li> <li>• Managers communicate final ratings and increments to staff</li> <li>• School to advise any changes to employee's pay to Payroll team</li> </ul>	meetings scheduled for employee and

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	to process	manager
Month X	<ul style="list-style-type: none"> <li>Employees and managers hold goal-setting discussions to finalise, agree and record goals</li> </ul>	discussions
Month X	<ul style="list-style-type: none"> <li>Increments and non-consolidated awards paid (back-dated to April)</li> </ul>	throughout the whole year

## Frequently Asked Questions

### *The Scheme*

#### **Why have the Core Qualities and Leadership Qualities been modified?**

The Behavioural Framework within the scheme has changed to ensure that ‘how we do things’ drives the right behaviours, in a changing environment of how we deliver the Solihull brand across the Council and Schools. At the same time the new Behaviours Framework provides greater clarity about what behaviours are expected of you and how that contributes to your PDR assessment.

#### **I am returning from maternity leave part way through the PDRF year will I still be entitled to an annual review and consideration for an increment?**

Yes. If you return from maternity leave you will not receive less favourable treatment as a result of your maternity break. However, your manager will need to set a review period with you on your return that is outside of the normal timescales. This is so that you have sufficient time to gather your evidence base to support your achievements and PDR assessment. A reasonable review period might be between 4 and 6 months following return but this will depend on your role. Any change to pay would be backdated to 1st April in line with other employees.

#### **I have had a long period of sick leave during the year I am still be entitled to an annual review?**

Yes. Sickness absence should not be cited as a reason for not carrying out your year-end review. Your performance and behaviours should be reviewed based on the time you have been at work. It is recognised that sickness absence does not necessarily impact on performance. However, if you have been on long term sickness absence, your manager may need to set a new review period on your return to work that is outside of the usual timescales. This is so that you have sufficient time to gather your evidence base to support your achievements and PDR assessment. A reasonable review period might be between 4 and 6 months following return but this will depend on your role. Any change to pay would be backdated to 1st April in line with other employees. Each case must be reviewed on an individual basis, and further advice is available from your HR Advisor.

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## **How does this fit with other competency frameworks/assessment tools?**

The PDRF is the main document for all employees. Other professional or role specific measures – for example supervision arrangements will complement the main document.

## **Pay**

### **How do I receive an increment?**

If you are assessed to have achieved all of your objectives, consistently displayed 'Good, our required behaviours' as outlined in the behaviours framework and have headroom within your salary band you will be awarded one increment.

### **Do I receive an increment if I am at the top of my salary band?**

If you do not have headroom but you have delivered all of your objectives and consistently demonstrated 'Great, our aspiring behaviours' you will receive a non –consolidated award equivalent to one increment.

### **If an increment or non-consolidated award is paid, when will I receive this?**

The increment / non-consolidated award is normally paid in August for Council employees, but this will depend on the school's appraisal cycle dates. The increment will be backdated to 1 April

### **When will I know our ratings have been moderated?**

All rating recommendations are proposals until the Governing Body Pay Committee give their approval and should therefore not be discussed with staff until confirmed by the Head teacher following the moderation process. Managers should plan in meetings in advance to feedback to staff the outcome of the year-end review.

### **If I am promoted to a new post will I receive an increment for performance?**

If you have been promoted between 1 October and 31 March your manager will review your performance at the end of six months in the new post. If the outcome of this assessment means you qualify for an increment it would be processed at that time and paid with effect from the 6th month review date. The following year you will be back in line with the normal 1st April review date.

Effectively, like new starters, to receive an increment in a new post you should have been in the grade for 6 months.

If you have been promoted between 1 April to 31 July and your performance is assessed in the PDR year that qualifies you for an increment, an award would be processed for the period 1 April to your date of promotion. Your new salary on promotion will thereafter be effective.

E.g. for someone promoted on 1 May with a PDR rating of 1:2 and currently on SCP27, salary on promotion is SCP31; would receive an increment from SCP27 to SCP28 for the period 1 April to 1 May. From 1 May, salary on promotion is effective, so SCP31.

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## **If my post has been re-graded through job evaluation will I receive an increment for performance?**

If your post has been re-graded through job evaluation you will be included in the PDRF process as usual; any awards will be determined through your year-end assessment and paid from 1 April; unless any salary change on re-grade incorporates your PDR award.

## **Assessment Process**

### **Could the Leadership behaviour apply to staff who do not directly manage staff?**

Yes, for example it would be appropriate to assess this behaviour for project manager roles or professional positions where staff or resources are managed indirectly. You should speak with your manager to understand the practice for similar roles in school.

The Leadership behaviour can also be used for development purposes to support those aspiring to be managers or to identify employees with leadership potential.

### **Will I be required to produce evidence to support my achievements and performance and how I have demonstrated ‘our required behaviours’?**

Yes, very much the onus is on you to gather evidence throughout the year for discussion with your manager, including providing supporting examples of what you have delivered and the outcome of this. Your line manager will also gather examples from their own observations and feedback they have received. Together this should form the basis of your discussions on a monthly basis and year-end review.

### **Do I need to demonstrate evidence against all the behavioural indicators to score ‘Good’ and ‘Great’?**

Yes, unless in grades A to C. Please see the Assessment Criteria guidance document for the fully definition.

### **I am not having regular one to one’s with my manger what should I do?**

The onus of ensuring you have regular and meaningful discussions with your manager is with you. It’s your time and it is a reasonable expectation for you to have of your manager.

If this is not happening you should in the first instance raise this with your manager to try and resolve the situation and get things back on track. If after having done this, the matter remains unresolved you should raise this with your manager’s manager.

### **What if I don’t agree? / What can I do if my score is changed during moderation?**

If you think your final performance rating does not fairly or accurately reflect your overall performance, you need to talk to your manager to explain why and discuss how to best resolve the situation. If it can’t be resolved at this stage, you will need to talk to the Head teacher (or the Pay Committee) outlining the reasons why you consider the rating is not a fair reflection. A meeting should be held to discuss your grounds for not agreeing with the pay recommendation. Following

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this meeting the Head teacher (or Pay Committee) will make the final decision based on the information that has been provided and this should be communicated in writing to you.

In exceptional circumstances, you may use the final stage of the grievance procedure.

## **What if I'm not performing?**

You will need to talk to your line manager as soon as possible if you feel that you are unable to meet the behavioural standards required or deliver your objectives. Your line manager will provide feedback on a regular basis and during your 1:1s. Your manager will discuss support and expectations during this period to enable you to improve your performance.

If your performance does not reach an acceptable standard within agreed timeframes, your line manager may use the Capability or Disciplinary process.

## **Documentation**

### **Why have the forms been modified?**

Listening to feedback from a number of departments throughout the Council, including Schools, the PDR forms have been reviewed to reduce the number of forms you need to complete and help simplify the process of recording your discussions. The focus is on gathering evidence to support your performance throughout the whole year and capturing this on the monthly template following your one to one meetings.

The 1-1 meeting records, in conjunction with the year-end review, form the official documentation of your performance for the PDR year. Moving to this approach means there will no longer be a requirement for a formal mid-year review.

### **Why are there two different versions of the PDR forms?**

We have developed two 1-1 meeting review templates and these will be piloted during the 2015/2016 PDR year. It's up to you and your manager to decide which template you want to use. We will be seeking your comments in 2016 about how you have found the new documentation so the forms can be refined further, if necessary. The Annual Review template should be used by everyone to set your goals and review performance at the end of the year.

### **What happens if we can't agree on which meeting template we would like to use?**

Hopefully, things will not come to this, but ultimately you need to jointly discuss and agree which template to use. The key is that there is a regular discussion and the template is merely the means to accurately record those discussions in a way that is beneficial to you both.

As part of the feedback process please do let us know if you found this difficult to agree and the different views.

### **Who should complete the paperwork?**

PDR is a joint responsibility between you and your manager and that extends to the ensuring the discussions are accurately recorded. Our recommendation is that employee completes the first



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draft and agrees this with the manager so there is a shared understanding. We do recognise that for some roles this may not be appropriate, therefore if the manager wants to complete the record of the meeting and share this with the employee, that is fine.

## **Why is there nowhere to sign the form?**

The joint approach to recording the meeting means that the meeting record will be agreed and both you and your manager will input to that. Taking this approach, we feel, removes the need for signatures. However, if it is important to you that you sign the form then you can record this on the form once the note is agreed.

## **There is nowhere to record the PDR rating on the paperwork**

This is no longer required. Your PDR score is communicated to you by your Manager or Head teacher once it has been moderated by the Governing Body Pay Committee. Your rating is then advised to Payroll to implement as appropriate.

## **We already have a template for supervision meetings within our area, can these still be used?**

Yes, where there is a suitable template already in place, for example for professional / regulated roles that is suitable there is no requirement for you to use the corporate monthly template provided. The focus should be on ensuring a meaningful conversation takes place on a regular basis with a full review at year end and for this to be accurately recorded during the year.

## **I am in Band A / B – what form do I need to use?**

The forms have been simplified overall so the old 'short form' is no longer in use. You should use the new documentation that is available from the intranet.

## **Will my information be treated as confidential?**

The information recorded as part of the PDRF will, for the most part, remain confidential between yourself, your manager and, the Reviewing Manager (next level manager). However, situations may arise where it becomes necessary to share the information with others, including HR or managers who subsequently have responsibility for your performance.

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## Appendix 1 – Key Managerial Responsibilities

Responsibility	Issues to consider (where applicable)
<b>Sickness Absence</b>	<ul style="list-style-type: none"> <li>• Return to work interviews undertaken.</li> <li>• Engagement with absent employees.</li> <li>• Employees exceeding trigger points managed in accordance with the Absence Management Policy.</li> <li>• Number of days sickness absence within the school.</li> <li>• Identifies underlying causes of absence and takes appropriate action.</li> </ul>
<b>Managing Risk</b>	<ul style="list-style-type: none"> <li>• Appropriate training completed for self and team.</li> <li>• All significant risks identified.</li> <li>• Mitigation strategies in place.</li> <li>• Risks regularly reviewed in line with agreed timescales.</li> <li>• Acted upon audit recommendations.</li> </ul>
<b>Managing Financial Budgets</b>	<ul style="list-style-type: none"> <li>• Compliance with financial regulations.</li> <li>• Budget on target.</li> <li>• Adverse variance [%overspend].</li> <li>• Favourable variance [%underspend].</li> </ul>
<b>Performance and Development Reviews</b>	<ul style="list-style-type: none"> <li>• Numbers completed.</li> <li>• Reasons for any outstanding.</li> <li>• Effective management of employees requiring support to meet standards.</li> <li>• Demonstrates commitment to developing employees.</li> <li>• Identifying, developing and supporting high achievers.</li> <li>• Manages own professional development.</li> </ul>
<b>Health &amp; Safety</b>	<ul style="list-style-type: none"> <li>• Appropriate risk assessments completed.</li> <li>• Appropriate training completed for self and team, particularly induction process for any new starters. All significant health &amp; safety risks identified.</li> <li>• Mitigating actions taken to reduce the risk of injury/harm.</li> <li>• Number of accidents within their area.</li> <li>• Number of near-misses within their area.</li> <li>• Accident reporting policy complied with and any health and safety recommendations implemented.</li> <li>• Promotes safe working environment.</li> </ul>
<b>Managing Diversity</b>	<ul style="list-style-type: none"> <li>• Make decisions based on 'due regards' to the aims of the public sector equality duty.</li> <li>• Meeting School Equality Objectives.</li> <li>• Actions taken on closing the gap on inequality.</li> <li>• Employment policies, procedures and guidelines.</li> </ul>