

Performance and Development Review and Pay Progression Policy

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- 3. Annual PDR form for Social Workers**
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VERSION CONTROL SHEET

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Performance and Development Review and Pay Progression Policy

1. Policy statement

- 1.1 Thurrock Council is committed to the continuous development and encouragement of its staff to reach their full potential, and to driving its vision, aims and priorities through the performance of its people.
- 1.2 Performance assessment through the PDR process will be based on individual objectives arising from council priorities, service-wide delivery plans, and a framework of behaviours that the Council expects employees to demonstrate. Service plans and the behaviour frameworks will be continuously reviewed to ensure they align with the Council's changing demands and priorities.
- 1.3 Every permanent employee must have:
 - an annual performance and development review meeting (PDR) with their line manager;
 - a progress review meeting six months after the annual PDR;
 - at least ten other one to one meetings per year.

Every member of the council's Leadership Group will also have a 360-degree appraisal assessment once a year which will be incorporated into their PDR process.

- 1.4 All new starters should have an annual PDR meeting within three months of joining the Council in order to ensure that they have a clear set of objectives in place.

2. Scope

- 2.1 All members of staff at Thurrock Council, with the exception of teaching staff within the People Services Directorate who should follow the Department for Education's arrangements for teacher appraisal and capability, which can be found via the following link: <http://www.legislation.gov.uk/ukxi/2012/115/contents/made>. In addition Social Workers should also refer to section 12.
- 2.2 Where staff are within their probationary period this policy should be used in conjunction with the induction and probationary processes.

3. Aims & objectives

- 3.1 Thurrock Council aims to ensure:
 - a framework is in place for employees to consistently achieve high performance;

- the PDR process is a vehicle for embedding understanding of, and contributing to, the Council's vision, aims and priorities;
- the core qualities and behaviours that the Council believes in are filtered through the organisation via its leaders and managers;
- all employees understand corporate, departmental and team objectives and how they individually contribute to those objectives;
- employees are accountable for what they do at work, understand their contribution to service delivery and provide value for money;
- performance is rewarded appropriately and outstanding behaviours are captured.

The scheme will specifically:

- review past performance;
- determine entitlements to pay increments;
- set future performance objectives and targets;
- identify learning and development needs.

4. The Performance and Development Review Cycle

- 4.1 Each member of staff will have an annual PDR meeting with their line manager in January or February. At this meeting the previous year's performance, behaviours and learning and development will be jointly reviewed and new targets agreed for the following year. In the case of Leadership Group members, the PDR meeting will come after the receipt of their 360-degree appraisal feedback.
- 4.2 For pay bands 1-10, the manager will recommend whether the employee is eligible for a pay increment or in the case of Heads of Service and Directors, progression to or continuation on the higher, non-consolidated point of their three-point scale. These recommendations will be based on performance over the past year. Pay progression cannot be awarded to employees in their probationary period.
- 4.3 An annual PDR form will be completed and signed by the employee and manager, and then countersigned by the manager's manager.
- 4.4 All PDR meetings will be completed by the end of February.
- 4.5 A detailed description of how to prepare for and carry out the annual PDR meeting follows in sections 5, 6 and 7 below.
- 4.6 A review of the employee's progress will be made six months after the annual PDR meeting and at least ten one-to-one meetings should also take place to ensure that the employee remains on track until the next PDR meeting.

5. Preparing for the annual PDR – the employee

- 5.1 Before the meeting you should look at your objectives and behaviours from the previous PDR meeting and document how you view your progress against them, for discussion with your manager. You should look at each objective and behaviour and assess your performance against it, noting any achievements, challenges or learning.
- 5.2 Using a clean version of the same form, you should draft 5-7 objectives for the coming year, which your manager will review and amend, where necessary, at the meeting. These should be related to council priorities and the objectives in your service plan. You should speak to your manager if you need assistance to link your personal objectives in this way.
- 5.3 You should then review your learning and development over the past year, from the original PDR form and describe how you have put this to use in the *Personal Development Plan*, 'review comments' section.
- 5.4 Finally, you need to consider what has gone well and not so well with your job, any improvements you can make and anything else you would like to discuss at the PDR meeting (*Additional Comments & Final Rating* section).
- 5.6 **You should send your prepared annual PDR forms to your manager at least one week before the annual PDR meeting.**

6. Preparing for the annual PDR – the manager

- 6.1 Arrange a meeting with your employee giving them at least two weeks notice and issuing them any relevant documentation.
- 6.2 At least a week before the meeting, you should have received a copy of the previous year's PDR form from the employee, the proposed objectives for the coming year, and have any other relevant information, e.g. service plans, to hand.
- 6.3 You should consider the employee's review of their: (i) objectives from last year's PDR; (ii) behaviours from last year's PDR; (iii) learning and development, and be ready to discuss these at the meeting.
- 6.4 In the case of Leadership Group members who are also assessed against their 360-degree feedback, you should have to hand the results of the 360 exercise, and be ready to discuss this.

7. At the annual PDR Meeting

Review of last year's performance

7.1 The manager will provide feedback about the employee's written self-assessment of their objectives and add their comments. A rating between 1 and 4 will be given for the manager's assessment of the individual's performance against their objectives:

- 1 = Exceptional performance
- 2 = Good performance
- 3 = Some improvement needed
- 4 = Unacceptable performance

7.2 The manager will then complete an assessment of the employee's demonstration of the corporate behaviours over the past year and discuss any action required. This will involve a rating of either 'achieved' or 'not achieved' against each of the behaviours. For members of the Leadership Group, any feedback from the 360-degree appraisal process should be factored into this assessment.

7.3 One final, overall rating will then be given based on the manager's combined judgement of objectives and behaviours. This will be on the same scale as listed in 7.1 above, and will be the performance rating that will determine any entitlements to pay progression. It will be recorded, and an explanation given, in the *Additional Comments & Final Rating* section of the PDR Form.

7.4 Discussions should be based on objective evidence wherever possible, giving examples of where the employee has met or failed to meet the required standards.

7.5 Managers should acknowledge areas where an employee has performed well, giving positive feedback and encouraging continuing improvement.

Under performance

7.6 If an employee has under-performed in any area, the manager should consider how to support the employee in order to improve their performance. This could be through more intensive supervision or learning and development.

7.7 The manager may, however, have serious concerns about an employee's performance or the employee might not have reached the required standards, despite being given opportunities to improve. In these instances, the capability procedure should be used to try to improve the employee's performance in a structured way. Please note,

a manager can use the capability procedure at any time of the year, and does not have to wait until a PDR meeting is due.

Pay progression / annual increments

7.8 Employees up to band 10 may receive incremental progression if they achieve the level of performance required in their overall rating. Employees at Head of Service level or above are part of a separate pay scale and may receive progression to the higher point of their three-point band on a non-consolidated basis for the coming year, if their performance is assessed as exceptional. Below is an outline of what each level of performance should mean and how it links to pay progression.

Achievement Level	Conditions	Outcome
1 (Exceptional performance)	The employee can evidence ways in which they have consistently exceeded expectations in achieving their PDR objectives, and in the ways they demonstrate corporate behaviours.	An increment will be paid if there is room for progression and no budgetary restrictions apply. Heads of Service and Directors will receive progression to the top pay point of their scale for the next year, or continuation on that pay point for another year.
2 (Good Performance)	The employee has fully met all of their PDR objectives and sufficiently evidenced all corporate behaviours.	An increment will be paid if there is room for progression and no budgetary restrictions apply. Heads of Service and Directors will either remain on, or revert to, the median pay point of their scale.
3 (Some improvement needed)	The employee has met most of their PDR objectives in full and sufficiently evidenced corporate behaviours.	No increment will be paid. Heads of Service and Directors will either remain on, or revert to, the median pay point of their scale.
4 (Unacceptable performance)	The employee has not met most of their PDR objectives in full, and/or they have not sufficiently evidenced corporate behaviours.	No increment will be paid. Heads of Service and Directors will either remain on, or revert to, the median pay point of their scale. Capability procedure to be used.

7.9 For staff up to band 10, pay progression may be accelerated by the Head of Service and approved by the Head of Human Resources up to a maximum of two increments and reported to the Pay & Reward Board, on the grounds of special merit and ability, subject to the

maximum pay point within the band not being exceeded and the employee not being within their probationary period.

- 7.10 More than two increments will be at the discretion of the Council through authorisation by the Pay & Reward Board, on the grounds of special merit and ability, subject to the maximum pay point within the band not being exceeded.
- 7.11 Paperwork pertaining to any pay increases, or withholding of increments, will need to be submitted to Human Resources in time for the March deadline each year, which will be communicated to managers with plenty of notice, along with guidance on any information that needs to be submitted.

Setting objectives for the coming year

- 7.12 The employee will have drafted 5-7 objectives in advance of the meeting. The manager will review these objectives and reserves the right to amend or change them, if necessary.
- 7.13 Objectives need to be SMART (specific, measurable, achievable, realistic and time-bound) and must link to council priorities and service plan objectives.

Behaviours for the coming year

- 7.14 As important as the tasks which employees deliver, is the way which they deliver them and this is what the leadership and behaviour frameworks are for. These frameworks define the behaviours that people are expected to demonstrate and which they should be measured against. Managers should think carefully about what they mean for the level that the employee is working at, and look at the indicators in each framework as a guide for this.

Learning and development

- 7.15 The employee and manager should review the learning and development which has taken place over the last year and evaluate and comment on its impact (*Personal Development Plan* section).
- 7.16 The employee and the manager should jointly discuss the learning and development which will be needed to help the employee achieve the coming year's objectives and behaviours. Career progression and professional development needs should also be discussed.

Countersigning manager

- 7.17 A countersigning manager, who will normally be the manager's manager, is responsible for:

- ensuring that PDR meetings occur on time for all staff two tiers below them;
- ensuring the performance management process is carried out in a fair and effective manner;
- considering any equalities issues when countersigning the form;
- considering any feedback about appraising managers to identify whether there are any patterns or issues that should be discussed with an appraising manager;
- Reviewing and countersigning annual PDR forms.

8. The six-month PDR review

- 8.1 Six months after the annual PDR meeting (July-August), a review meeting will take place to assess the individual's progress in meeting their objectives and demonstrating the behaviours discussed in the annual PDR meeting.
- 8.2 It may be appropriate to redefine objectives at this stage if priorities have changed, and the PDR forms can be reproduced or revised to reflect this if necessary.
- 8.3 The impact of any learning and development which has taken place over the previous 6 months should be reviewed, and any further developmental needs should be addressed.

9. One to One Meetings

- 9.1 In addition to the annual and six-month PDR meetings described above, one-to-one meetings should be scheduled so that either a PDR or one-to-one meeting takes place at least once a month. This enables the manager and employee to ensure progress is being made and learning and development is occurring.
- 9.2 The manager should make a written record of each meeting.

10. Diversity

- 10.1 Managers and employees have a responsibility to promote the Council's Equality Opportunities Policy, treating others with respect, valuing diversity and avoiding discrimination.
- 10.2 During the appraisal process it is important that the appraiser recognises and considers any particular requirements the appraisee may have in relation to the following when discussing performance and identifying development needs:
- age
 - disability

- gender re-assignment
- marriage/civil partnership
- pregnancy and maternity
- race
- sex
- sexual orientation
- religion or belief

10.3 In particular, reasonable adjustments must be made where an employee has, or develops, a disability and would otherwise find it difficult to perform effectively in their role.

10.4 Further guidance about what constitutes a reasonable adjustment is available from Diversity or Human Resources.

11. Records Management

11.1 Once the forms have been signed by all parties, the original form should be given to the employee, with a copy retained securely and confidentially by the manager. Records of learning and development needs should be forwarded to Human Resources.

12. Social Workers

12.1 All Social Workers employed by Thurrock Council are required to adhere to the **Performance and Development Review and Pay Progression Policy** in addition they must also take into consideration how they will demonstrate their own professional capabilities as set out by The College of Social Work.

12.2 In addition to the council priorities, service-wide delivery plans, and a framework of behaviours that the Council expects employees to demonstrate all social workers are required to align their PDR to the Professional Capabilities Framework (PCF)
<http://www.tcsw.org.uk/ProfessionalCapabilitiesFramework/>

12.3 Objective setting of the required 5-7 objectives must include a minimum of three objectives that are aligned to the PCF and will allow the social worker to demonstrate how the capabilities have been evidenced in practice

12.4 Social Workers should use the PDR form for Social Workers when undertaking the PDR process.