



## Performance and Development Review (PDR)

Guidance notes

For staff and line managers

2017



## What is a PDR?

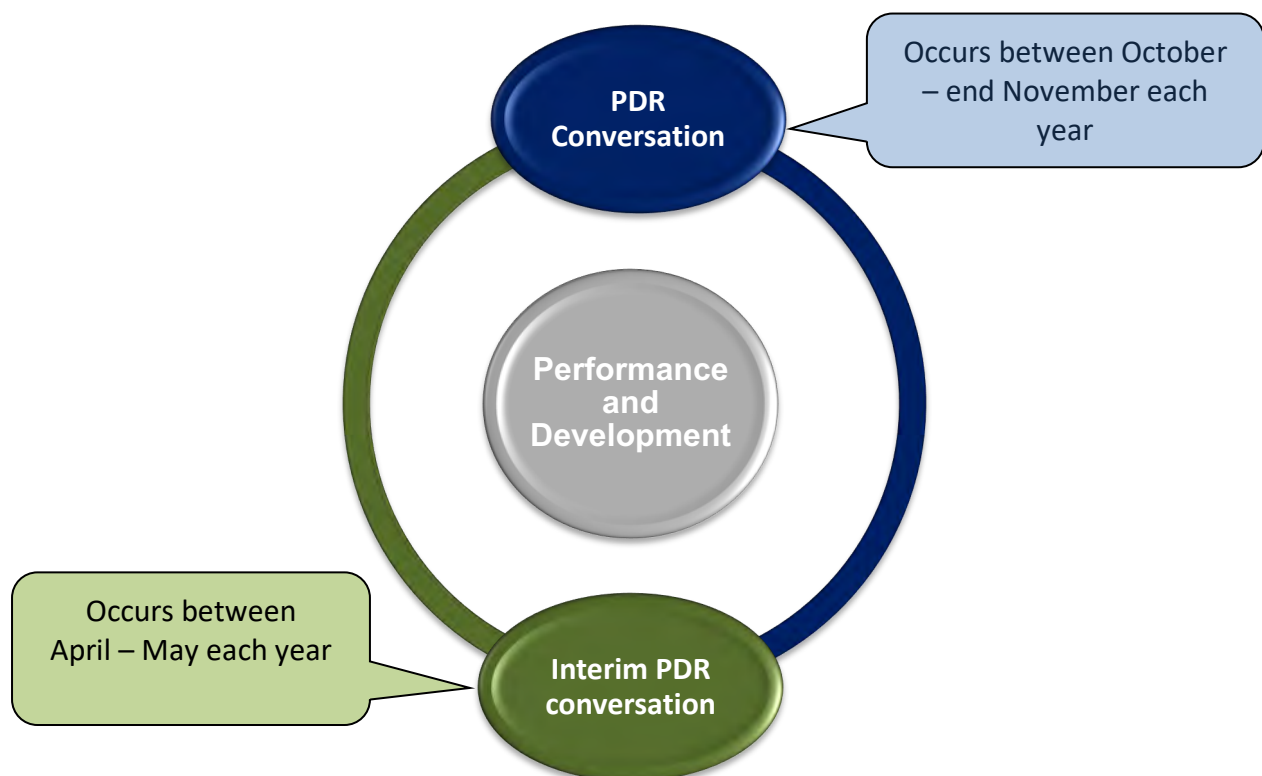
During the year conversations will regularly happen between staff members and line managers about how they are getting on in their role.

Performance and development reviews (PDRs), are structured conversations between individuals and their line manager's.

The purpose is for a staff member and line manager to have a **quality conversation** about the staff member's performance and what development needs they may have in either their current job or jobs they wish to move into.

Throughout the year there are **two conversations**, each having a focus:

1. **Between October and the end of November**, every member of staff (other than those people still in probation at the end of November) will have a PDR meeting and complete the form in conjunction with their manager. Conversations are based on performance and immediate development needs. It includes five key areas, which are detailed on the **PDR form**.



2. **Between April and the end of May**, follow-up conversations based on reviewing objectives and the employee's development needs.

Where possible guidance has been included on the forms and further explanation is provided within this document.

## Performance and Development Review (PDR)

### Preparation before the meeting



#### Step 1

Before you meet with your manager, in your own words, please explain

- What has gone well this year?
- What could have been better?
- What would you do differently?

The performance review (PDR) is a two-way process, staff members and managers need to jointly be ready to talk as well as to listen.

For staff members, this first section is to set out in their own words a summary of the year. This should be completed before the review and shared with the line manager a few days before their meeting.

Managers will need to spend time on reflecting on the same key questions so that they can have a meaningful conversation with staff members.

Some further key tips that may help make sure individuals have prepared for the performance review include:

#### Member of staff (Appraisee)

- ✓ Complete step one of the document and send to line manager.
- ✓ Review the key duties and responsibilities of your role.
- ✓ Review the objectives set at the last review.
- ✓ Think about the job and identify the most important goals you feel should be set for the future.
- ✓ Think about what successful performance looks like.
- ✓ Reflect on successes and areas for development.

#### Line manager (Appraiser)

- ✓ Review the Company strategy and ensure the department goals reflect it.
- ✓ Review the 3aaa 10 framework, assessing the individual and preparing feedback.
- ✓ Prepare a preliminary assessment of the staff member's performance over the year.
- ✓ Reflect on the person's successes.
- ✓ Reflect where you feel the person needs to develop.
- ✓ Consider what you could do differently to help.

**Key tip** - staff members should jot down key points from discussions with their line managers as they go along, using their notes to update their form.



## Step 2

**The Company Expectations and '3aaa 10'** are a set of behaviours and competencies that describe what the Company expects. Discuss with your manager the behaviours that you consider to be a strength and those you could further improve.



This section asks you to consider the way in which staff members have conducted themselves. It asks you to discuss not just what you/they have done but **how** you/they have achieved it.

The Company Expectations and 3aaa 10 are frameworks which describe how everyone is expected to behave. The aim is to help staff understand the behaviours that are expected of them, and which are important to the Company.

What are the behaviours?

## What we expect from you

### As an employee at 3aa you will:

- Be committed to providing excellent learning to our customers.
- Treat others with dignity, respect, honesty, integrity and fairness
- Adopt a 'can do, can help' attitude and make an effective contribution to your team
- Be accountable for achieving success in your role and challenge poor practice
- Communicate effectively both in spoken and written English
- Be responsible for ensuring a safe working environment
- Understand that customer satisfaction and continuous improvement are fundamental to all job roles within the company
- Use regular opportunities to share your ideas, thoughts and feedback to make 3aaa a great place to work
- Ensure that the Prevent & Safeguarding agenda is a regular aspect of your personal development
- Participate in at least 30 hours Continuous Professional Development annually

## What we expect from our Managers and Leaders

### All Managers and Leaders at 3aaa are expected to:

- Have a style of management that sets high standards of honesty, integrity and fairness
- Promote open and honest communication by meeting staff face to face to share information and resolve issues
- Encourage teamwork that improves communication, understanding and performance
- Make good use of and develop the skills of team members
- Lead by example by adopting a positive attitude towards work, service users and colleagues
- Look for continuous improvements in people, process and practices

## “The 3aaa 10” – your key skills

The “3aaa 10” is a set of knowledge, skills and behaviour that defines what we expect of you whatever job you do, wherever you work and they form part of our competency framework. The “3aaa 10” framework outlines how these 10 competency areas relate to your role and what you can do to develop them. We use them when we are recruiting, training, and identifying areas for development.

<b>Team Working</b>	Creating a positive and empowering team culture.
<b>Service User Focus</b>	Understanding how you and your team can improve the quality of learning.
<b>Developing Self and Others</b>	Developing yourself and others in your team.
<b>Innovating and Improving</b>	Encouraging and supporting your team to identify and implement improvements.
<b>Business and Customer Focus</b>	Understanding the 3aaa’s strategy and how your work contributes to it.
<b>Leading</b>	Leading by example with honesty, respect, commitment and consistency.
<b>Communicating and Influencing</b>	Communicating clearly within your team and to customers and service users.
<b>Managing Data and Information</b>	Able to gather and interpret information effectively.
<b>Decision Making and Problem Solving</b>	Making effective decisions and finding solutions to problems.
<b>Planning and Implementing</b>	Planning well to meet objectives and deliver work, projects and change.




### Step 3

For each of the objectives that you agreed last year, please describe:

- Whether they have been achieved and if so, how and when?
- Where they have not been achieved, or have been partly achieved, explain why.

This is an opportunity for both the staff member and line manager to discuss in detail what has gone well and what has not gone so well during the year.



## Setting New Objectives and personal development

### Step 4

Agree some new objectives for next year. When agreeing objectives, consider **S.M.A.R.T** as a tool to help you.

- What **S**pecifics are you hoping to achieve?
- What **M**easures will show that you have achieved it?
- Is it **A**ttainable and **R**elevant?
- How will you **T**rack your progress over time? What is the **T**imescale for completion?

### What future RESULTS are expected from you in the coming year?

After reviewing the previous year's objectives, time should be spent looking at the upcoming year and setting new objectives.

The main purpose of setting objectives is to give guidance to staff members and help them in focusing their work. Objectives should be fair and realistic, in line with the expectations of the role and must also be stretching enough to help to develop the skills and potential of individuals. It should not simply be a list of current duties or tasks.

### Key tips

- ✓ Some of the previous year's objectives might need to be included as they might not have been met in full, or are still relevant for the upcoming year.
- ✓ Line managers – if you have not managed the individual for the whole year, talk to the previous manager for information and combine this in your review, or if you have only recently managed an individual that has worked in another role in the Company, then you and the previous manager could both have an PDR conversation with them.
- ✓ The SMART acronym for setting objectives is useful and highly memorable; the key tips in the grid below may help you in your objective setting.

### SMART OBJECTIVES

#### 1. Make them Specific

Objectives should be a precise description of what the individual is expected to deliver, i.e. simple statements of required results. It includes what exactly the individual is planning to do.

#### 2. Agree Measures of achievement

Results need to be measurable so at the end of the time period set for the objective, the reviewer and role holder can decide whether the desired results have been achieved.

Sometimes measurement can be simple, with focus on quality, quantity, timeliness. Other times it can be more difficult and line managers may need to discuss these with others.

#### 3. Make them Achievable, but challenging

Failure to achieve objectives can be de-motivating, it is therefore important that they remain realistic. However, if objectives are easily achievable individuals can become bored.

People develop by being stretched so an objective should be challenging whilst remaining within the expectations of the role. Also, it's important that the role holder can realistically achieve the objective with the resources that they have.

#### 4. Make sure they are Relevant

The role holder's objectives should be relevant to objectives of the Company, the area they work in and their role. This helps show how individual's goals lead to helping achieve the Company's strategy.

### 5. Agree a Timescale

Always set a target date for the completion of the objective, possibly including timescales for achieving important milestones along the way. A target deadline gives the role holder something to aim for and can help them to plan their work. It can also help the reviewer to ensure that what is agreed becomes an action, rather than just an intention.

#### Other key tips

- ✓ **Agree objectives jointly.** Objectives, which should be proposed by both the role holder and the reviewer, should be discussed and agreed jointly wherever possible as it is important that the role holder feels that they can own the objective and be committed to it.
- ✓ **Review progress regularly.** Objectives should not just be agreed at the beginning of the year and reviewed at the end. They should be part of an ongoing process whereby the individual and line manager regularly review progress and decide future steps jointly.
- ✓ **Objectives need to be flexible.** Regular reviews (one-to-one meetings) have a role to play in building flexibility into the objectives agreed by the individual and line manager. Objectives must be flexible because conditions affecting the business can change. Objectives can then be changed or adjusted where necessary.
- ✓ Make sure the objectives are within the individual's control and they have the resources to be able to achieve them.
- ✓ If a staff member is not sure how they are to go about achieving their objectives, line managers can help individuals through breaking tasks down and action planning.

#### Your Development Needs

Think about how you will need to develop to be able to achieve your objectives and support your needs. Support could include, being mentored, continuous professional development, reading, training courses, e-learning programmes, shadowing someone etc.

Once objectives are set you should discuss and agree what support is needed and what areas individuals may need to learn or develop to help achieve these objectives.

#### Personal Development Plans (PDPs):

- ✓ Help individuals to achieve their objectives.
- ✓ Encourage staff to take ownership and feel responsible for their own development.
- ✓ Enables career development and flexibility.
- ✓ Helps the Company plan for the future by 'growing' talented individuals who can then undertake more senior or specialist roles.
- ✓ Help to attract and retain individuals as their career goals can be worked towards.

#### Key Tips

- ✓ If you are a manager, only promise what can be delivered. Staff members must be aware that not all development needs and career goals can be met at once.
- ✓ Consider the widest possible range of options to help in the development need. Think of the best way to achieve the learning for the individual. For example CPD, reading, participating on projects, shadowing, doing some research etc.

## Careers at 3aaa

The next step is to consider your career progression at 3aaa. It is also useful to think about your career goals and other roles that may be of interest to you. Your manager needs to review your potential and what opportunities may be available to support you develop.

Some people are very happy in their role, and the Company needs reliable contributors and solid performers as much as it needs some individuals to develop into other roles. Individuals also have different degrees of ambition and career motivation at different times for a range of personal reasons, and these can change over time.

If you are **happy in your current role**, think about what you could do to develop within it. Consider your strengths and also those areas for development. Everyone has something they could do a little better. Be honest and think about how you could improve your performance.

If you are happy in your role, and you **would like to develop toward other roles**, please have a conversation about your career goals. There needs to be an honest conversation between you and your line manager to discuss these points and record the discussion.

### Can you travel or relocate?

3aaa is a multi-site Company and it is useful to consider if staff members could travel or relocate if a development opportunity arose. Please consider the following points and discuss the rating before recording the result on the form.

Rating	Description
<b>1 - Not Mobile</b>	This individual is unable or unwilling to move at any time in the future. This lack of mobility is not a short to medium term feature but a permanent situation. It is recognised and discussed that any career move is limited to their current location.
<b>2 - Restricted Mobility</b>	This individual is mobile but there are limitations that restrict their mobility. These could be restrictions to distance away from their current location because of domestic or other personal reasons. Potentially they might move if it is the "right job".
<b>3 - Fairly Mobile</b>	This individual has confirmed a willingness to move but there are some limitations. These limitations may be geographical; or it might be time e.g. awkward in respect of children's education and this might be different at a later date; or similar temporary issues. This individual may be prepared to work away from home on short term basis.
<b>4 - Totally Mobile</b>	This individual is totally mobile throughout the UK and there are no domestic issues or commitments which would prevent or delay a move.





**Step 5**

Your overall performance rating is a judgement which reviews all of the areas within your PDR that you have discussed with your line manager.

**Justification of the performance assessment**

The individual and line manager should ideally agree a performance rating together, and **write a justification for this decision in the relevant section on the PDR form**. The descriptors of performance are detailed below. The final decision on the recommendation will however rest with the line manager.

**Important key tips**

- ✓ It must be remembered that each judgement needs to be ratified, and until reviewed by the relevant Director, all recommendations may be subject to change as fairness and consistency should be applied across teams and the Company as a whole.
- ✓ A brief summary of information outlining the key areas that justify the decision should be recorded in the relevant section of the PDR form.

<p><b>1. Significantly Below Expectations</b></p> <p><b>You would describe this person as:</b> Below standard, development required in a number of key areas, underperforming, struggling, needs close supervision, not yet gained skills that are required.</p>	<p>The following may apply:</p> <ul style="list-style-type: none"> <li>• Not meeting requirement of job role.</li> <li>• Failed to meet objectives.</li> <li>• Sickness/disciplinary issues.</li> <li>• Failure to address identified development needs.</li> <li>• Employee should be put into a PIP/ performance management 'programme'.</li> </ul> <p>This person's performance is below the standards required in the job role. Normal tasks and assignments are not yet being handled effectively and a positive action plan with timescales and expected outcomes should be in place. A person likely to receive this rating could be someone whose performance needs to improve significantly.</p> <p>Staff who have received a formal warning for sickness or conduct which is current at the time of review, or who are being performance managed in accordance with Company procedure, will receive no incremental increase. For all staff whose performance is categorised as poor / unsatisfactory, evidence must be provided that actions have been or are being taken to improve and manage this performance.</p>
<p><b>2. Meets Expectations</b></p> <p><b>You would describe this person as:</b> Competent, effective, good contributor, capable, efficient, steady performer.</p>	<p>The following may apply:</p> <ul style="list-style-type: none"> <li>• Maintains a satisfactory standard of performance generally demonstrated by working within parameters of job description.</li> </ul>

	<ul style="list-style-type: none"> <li>• Met most of the objectives agreed.</li> <li>• Maintained skills and knowledge expected to perform the job.</li> <li>• Good attendance record and maintains satisfactory level of conduct which is current at time of review.</li> </ul> <p>Performance by this individual is in line with the job role requirements and normal tasks and assignments are carried out effectively. This person performs tasks both individually and within teams to an effective level. There are a few areas you have identified as needing improvement or requiring development before you would consider an above average rating. This rating should reflect that the person has handled their responsibilities competently.</p>
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<p><b>3. Significantly Above Expectations</b></p> <p><b>You would describe this person as:</b>  Exceptional, exceeds expectations frequently, produces high quality work, totally reliable, inspires others, highly consistent, a role model.</p>	<p>The following may apply:</p> <ul style="list-style-type: none"> <li>• Has met all objectives and more.</li> <li>• Met all above criteria.</li> <li>• Exceptionally and consistently exceeds performance beyond that required to do the job (evidence based).</li> <li>• Significant and exceptional development of skills/knowledge required to do the job.</li> <li>• Takes on and completes a significant piece of work within the parameters of an individual’s grade.</li> <li>• Is recognised by peers as performing at the highest level.</li> <li>• Has shown significant personal development.</li> </ul> <p>You will recognise this person as one who <u>consistently</u> makes exceptional contributions both individually and to the team. They regularly produce a large volume of high quality work and achieve objectives consistently with a high degree of success. You will experience outstanding delivery in quality and quantity of work, initiative, self-development, new ideas and attitude. This is an outstanding rating reserved for an outstanding performance!</p>
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<p><b>Summary and Comments</b></p> <ul style="list-style-type: none"> <li>✓ This section of the PDR form allows for any comments and an overall summary. During the review itself both staff member and line manager should take notes. The staff member and line manager should agree who will type the notes up on the form. Each should have the opportunity to add their comments.</li> <li>✓ Both will then sign the form, and send it to the next line manager for review. Your next line manager will take into account how you have performed in relation to others in providing their comments.</li> <li>✓ The individual should keep a copy of the completed form for reference throughout the next 12 months during one-to-one meetings.</li> <li>✓ At this stage is it useful to set or confirm dates for regular one-to-one meetings for the year so that you can see how the staff member is progressing and if the objectives set are still relevant and achievable.</li> </ul>
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## Key dates for 2017 - 18

Event	Completed By
PDR form, guidance notes and training available	30 <sup>th</sup> September 2017
Company and Departmental objectives to be shared	30 <sup>th</sup> September 2017
PDRs to be carried out for every member of staff (other than those people still in probation at the end of November)	2 <sup>nd</sup> October to 30 <sup>th</sup> November 2017
Copy of PDR forms to be returned to HR and ratings to be submitted to relevant Director for approval	15 <sup>th</sup> December 2017
PDR process complete	31 <sup>st</sup> December 2017
Senior Management Team / Board meet to review PDR outcomes	January 2018
Development needs followed up with individuals and action taken	Ongoing from January 2018
Interim PDR	1 <sup>st</sup> April - 31 <sup>st</sup> May 2018

# Performance and Development Review (PDR) Form



Your PDR is an opportunity for you and your manager to have a **quality conversation** about your performance, based around the five key areas below. Its purpose is to review **your contribution** to your department, your team and to 3aaa overall.



## Your personal details:

<b>Name:</b>		<b>Line Manager:</b>	
<b>Job Title:</b>		<b>Dept/Location:</b>	
<b>Date of Review:</b>	Click here to enter a date.		

What have you achieved?

**Step 1**

Before you meet with your manager, in your own words, please explain:

- What has gone well this year?
- What could have been better?
- What would you do differently?

**What has gone well this year?**

Click here to enter text.

**What would you do differently?**

Click here to enter text.

How have you achieved it?

**Step 2**

**The Company Expectations and '3aaa 10'** are a set of behaviours and competencies that describe what the Company expects. Discuss with your manager the behaviours that you consider to be a strength and those you could further improve. (You will find descriptions for the behaviours explained in the guidance notes.)

Click here to enter text.



### Step 3

For each of the objectives that you agreed last year, please describe:

- Whether they have been achieved and if so, how.
- Where they have not been achieved, or have been partly achieved, please explain why.

Objective	How was it measured?	Achieved, partly achieved, not achieved
Click here to enter text.	Click here to enter text.	Choose an item.
Click here to enter text.	Click here to enter text.	Choose an item.
Click here to enter text.	Click here to enter text.	Choose an item.
Click here to enter text.	Click here to enter text.	Choose an item.
Click here to enter text.	Click here to enter text.	Choose an item.

**Setting new objectives and personal development**

**Step 4**  
 Agree some new objectives for next year. When agreeing objectives, consider **S.M.A.R.T** as a tool to help you.

- What **S**pecifics are you hoping to achieve?
- What **M**easures will show that you have achieved it?
- Is it **A**ttainable and **R**elevant?

<b>S.M.A.R.T. Objective</b>	<b>How will you know it has been achieved? (Measures and timescales)</b>
Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.

**Your development needs**

Think about how you will need to develop to be able to achieve your objectives and support your needs. Support could include, being mentored, continuous professional development, reading, training courses, e-learning programmes, shadowing someone etc.

**Development area**

**How you will meet this need?**

Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.

<b>Does this person want to progress their career and develop into another role?</b>							
<b>4 – Yes, Ready Now</b>	<input type="checkbox"/>	<b>3 – Yes, Ready in 1-2 Years</b>	<input type="checkbox"/>	<b>2 – Not right now</b>	<input type="checkbox"/>	<b>1 - No</b>	<input type="checkbox"/>

<b>Roles ready to undertake now:</b>	<b>Roles ready to undertake in 1-2 years:</b>

To widen your experience and learning it is useful if you can travel across all 3aaa sites	<b>4</b>	<b>Totally mobile</b>	<input type="checkbox"/>
	<b>3</b>	<b>Fairly mobile</b>	<input type="checkbox"/>
	<b>2</b>	<b>Restricted</b>	<input type="checkbox"/>
	<b>1</b>	<b>Not mobile</b>	<input type="checkbox"/>
Are you able to travel or relocate?			



**Step 5**

Your overall performance rating is based on all of the areas within your PDR that you have discussed with your line manager.

**Performance rating** (tick as appropriate).

Please refer to the guidance notes which details what each rating means.

**3. Significantly Above Expectations**

**2. Meets Expectations**

**1. Significantly Below Expectations**

Manager: Justification of performance decision. Please explain key reasons for your decision.

Click here to enter text.

**Summary Comments**

Your comments

Click here to enter text.

Signed:

Date:

Click here to enter a date.

**Line Manager Comments**

Click here to enter text.

Signed:

Date:

Click here to enter a date.