



Eastern Multi-Academy Trust



Professional Development Review (PDR) Policy

Sept 2023

Policy Author:

Director of People and Culture



Professional Development Review (PDR) Policy

Summary

Statutory Professional Development Review (PDR) Policy, published in conjunction with articles of association and ATH, as required for schools and multi-academy trusts.



If you are unsure of the validity of this policy please refer to the Policy Owner

Please Note: This policy is applicable to **All Employees / Teachers / Support Staff** within the Group.

Policy owner	HR & Wellbeing Committee
Policy author	Director of People and Culture
Policy Inventory ID Number	HR03
Group Policy Area	Statutory - HR

Approved by

Consultation Group	Trust Board
Approval Committee	Trust Board
Implementation date	September 2023 (Transition with previous Appraisal Policy by Feb 2024)
Review date	July 2026

Publishing requirements

Version	Publication Date	Document Title	Status	Publication
4.0	1 January 2024	Professional Development Review (PDR)	Approved	External



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1. Introduction

EMAT recognises the importance of staff engagement and the value that an effective Professional Development Review (PDR) brings to staff to help them to develop and grow in their role. An effective PDR process acknowledges the contribution of all staff, the work that they do and helps them understand how their role contributes to improving outcomes for pupils and students and to the overall Trust vision. Meaningful, purposeful and regular quality conversations with our staff demonstrates an interest in their success, has a positive impact on staff engagement and will improve service outcomes supporting the provision of quality education. EMAT is committed to managing the professional development of all staff, encouraging all managers and employees to work together to promote positive contributions at work.

2. What is a Professional Development Review (PDR) policy?

It is a policy which aims to provide clarity as well as a motivating, fair and consistent framework for managing performance and professional development expectations. It sets out how EMAT will improve the outcomes of Pupils and Students through the focused efforts of all staff, by motivating leaders, teachers and support staff to maintain and update their knowledge, skills and relevant vocational or professional practices to improve their performance at work.

The Professional Development Review (PDR) procedure will be used also to address concerns that are raised about a staff members performance. If concerns are such that they cannot be resolved through the PDR process, there will be consideration of whether to commence the capability procedure.

3. Why is it necessary?

Professional Development Reviews are intended to be supportive, developmental and are designed to ensure that all employees have the skills and support they need to carry out their role effectively. This reflects the importance it places on providing a supportive and developmental process for all of its employees inclusively to focus all staff efforts towards driving quality education. The fundamental principle of the policy is to ensure that all employees are able to fully develop their skills and have access to the support they need to undertake their role to the highest standards. It will also help to ensure employees, both teaching and support staff, improve their practice on a continuous basis.

Employees will be provided with appropriate support and offered any reasonable adjustments required in accordance with individual needs linked to the Equality Act (2010).

The School Staffing (England) Regulations 2009 (as amended 2012) places responsibility on the Trust for establishing appraisal (PDR) procedures and taking appropriate steps to make them known to all trust employees.



4. Who are Professional Development Reviews (PDRs) relevant to?

The provision of the Professional Development Review (PDR) policy applies to:

- All non-teaching employees of the Trust who are employed on contracts of employment lasting more than one term.
- All staff employed on teaching terms and conditions including senior staff and Principals and to all staff who are qualified teachers employed across the Trust family of academies except those on contracts of less than one term and those undergoing induction (e.g. ECTs) or teachers subject to capability procedures.
- All Executive employees employed on permanent contracts of employment for a duration of more than one term.
- All governing body Board of Trustees with appointment terms and designated authority for ensuring clarity of vision, ethos and strategic direction, holding executive leaders to account for the educational performance of the organisation and its pupils, and the performance management of staff and; overseeing and ensuring effective financial performance. Performance Management and Professional Development Reviews for Trustees shall be managed and assessed by separate procedure and policy at the discretion and direction of Members and the Chair of Trustees.

This policy does not apply to those who are serving a probation period with the Trust or ECT's. As soon as the probationer has successfully completed their probation period or ECT induction they will automatically be placed on the PDR cycle at the relevant point.

5. Key Responsibilities / Delegated Authorities

The Chief Executive Officer (CEO) has overall responsibility for ensuring the effective implementation of this policy; providing Trust Board with a written report on the operation of the Trust's PDR and capability procedures on an annual basis.

Responsibility	Responsibility Holder
Holding Professional Development Reviews (PDR), Periodical Assessments and/or Lesson Observations and Developmental support opportunities.	Line Manager. In the case of the CEO this is the Chair of Trustees; and in the case of the Trustees this is the Members.
Attend Professional Development Reviews (PDR) and other development opportunities – taking direction from it.	Principal/Line Manager
Setting objectives that align with the defined vision, values and behaviours of EMAT and role responsibilities (including Teachers Standards)	Principal/Line Manager
Allocation of Performance Reviewer	Principal/Line Manager
Adjudicator of Objection to Performance Reviewer or Disputes arising from performance objectives or review outcomes	School Improvement Director or HR Business Partner
Quality Assurance: for consistency and alignment to strategic plan, incorporated into annual report to the appropriate committee of the Trust Board on appraisal and pay recommendation.	CEO supported by Director of Education
Pay Progression decisions	Principal/Line Manager



	For Executives, Pay Progression is ratified by HRC recommendation to the Board
Pay Appeals	Director of Education or Director of People and Culture For Executives, Pay Appeals are reviewed by Trustees
Teacher experiencing difficulties – Support Plan and Transition Meeting process	Line Manager supported by School Improvement Director and/or HR Business Partner
Support staff or professional experiencing difficulties – Support Plan and Transition meeting process	Line Manager/Principal supported by School Improvement Director / HR Business Partner
Chair meetings of appeal against decision to transition to capability	Line Manager/Principal, School Improvement Director or HRBPs
Monitor the operation and effectiveness of the PDR arrangements	CEO delegated by the Trust Board, supported by Director of Education and Director of People and Culture
Provide Trust Board with a written report on the operation of Professional Development Review and Capability policies annually.	CEO delegated by the Trust Board, supported by Director of People and Culture
Report on whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.	CEO delegated by the Trust Board, supported by Director of People and Culture

6. What is the responsibility of EMAT as a Trust and employer?

EMAT has a duty to maintain service delivery, minimise disruption to education and support all employees to be successful in their roles. By clearly defining responsibilities, expectations and performance requirements ensures that all employees are able to actively contribute to improved, sustainable quality education and care for pupils, students and communities. Creating an environment that supports employees to feel valued, recognised, rewarded and invested will in turn grow skills and knowledge, give access to the support that is needed to undertake their role to the highest standards to improve their practice and reflect on progress on a continuous basis. Enacting this policy will help EMAT to achieve and maintain high levels of engagement with its employees and improve the lived experience at work through:

- Leading learning practice across teaching, vocational and professional services
- Monitoring performance outputs for individuals, teams and the academy as a whole
- Ensuring line managers are appointed, managed and developed to make sure they are effective in managing and leading at a team and individual level
- Implementing procedures to actively support and manage performance at work and continuous professional development.

7. What does EMAT expect from those with management responsibilities?

Line managers have a fundamental role in supporting their team's performance and development at work. They have responsibility for directly managing individual employees or teams. Typically line management responsibilities include:

- Day-to-day people management
- Providing subject matter or technical expertise
- Allocating work and rotas



- Monitoring and quality assuring work
- Evaluating performance and developing people
- Undertaking Professional Development Reviews (PDR) as required under the policy.

In turn, line managers are managed by a higher-level manager on the performance of their employees or teams to ensure that;

- Good working relationships are established, offering balanced and measured support and challenge
- Leadership and management practices are fair, consistent, free from bias and / or subjectivity, prejudice or discrimination; maintaining professionalism whilst implementing organisational policies
- Career opportunities are created and development conversations identify understanding of personal drivers, motivations and opportunities for growth
- An open organisational culture enables discussions on matters of personal concern, advocating participation and involvement in decision-making
- Professional development and continuous improvement conversations value diversity of thought; welcoming alternative views and ways of working that explores collaboration and learning from both an internal and external perspectives
- Care for each other and wellbeing is demonstrated, recognising the impact of line management quality on performance, health and wellbeing
- Supporting wellness, work-life balance and fair distribution of workload
- Conversations, whether formal or informal, are managed with respect for confidentiality and in compliance with data protection legislation;
- Health and safety of their staff is prioritised, ensuring this is reflected in day-to-day working practices
- Ensures that all employees are aware of the Professional Development Review (PDR) policy and using the information management system 'Our People' to maintain PDR records.

Please note when 'manager' is referred to in this policy, it can be taken to mean your line manager or another equivalent nominated manager within your department or workplace.

8. What does EMAT expect from all employees?

- To understand and uphold the professional standards and responsibilities for their role, profession or vocation
- Present at work reliably, well prepared and able to actively contribute to improved, sustainable quality education and care for pupils, students, colleagues and our communities
- To raise concerns with their line manager if they believe that their job is adversely affecting their health or contributing to any illness;
- Engage in Professional Development Reviews with their line manager (or another person agreed with their manager) to reflect on how their contribution at work is aligned with the performance of the academy and/or department, the strategic aims of EMAT and their own ambitions for their continued professional development or ambitions



- Be aware of the Professional Development Review (PDR) policy and use the information management system 'Our People' to maintain PDR records and learning logs for professional development planning throughout the year.

9. What is the role of HR?

- To be closely involved in embedding EMATs people strategy through effective business partnering with Line Managers and Executives on all aspects of management and leadership development
- To provide management information and insight to Leadership, Executives and Governors, to support the effective oversight of performance, talent management, skill and succession planning
- To ensure organisational procedures are followed and that line managers and staff are advised correctly and empowered to enact good professional development conversations in line with the Professional Development Review (PDR) policy.

10. What services are available to Line Managers and staff to support the policy?

- 10.1 'Our People' is the Host system to administrate and record PDR and Employee information. PDR Toolkits and Policy information can be accessed 'on demand' by Line Managers and staff.
- 10.2 HR People Advisory Services and HR Business Partners provide subject specific advice to both managers and staff in line with the associated performance requirement of the role or relevant policy/procedures.
- 10.3 School Improvement Directors and the wider school improvement offer provides coaching and development resources to align individual performance with school improvement outcomes.

11. Cascade and setting of Objectives

- 11.1 The designated committee as laid out in the Trust Board Scheme of Delegation shall set the objectives of the CEO to align to the Strategic Plan and performance objectives of EMAT. The Chair of the Board is responsible for reporting on the performance of the CEO.
- 11.2 The CEO will agree objectives aligned to the Strategic Plan and performance objective for all Executive roles, Academic Leadership and relevant Management roles. This will be done in conjunction with the Director of Education and Chair of the Trust Board if appropriate. This is a delegated responsibility on behalf of the Trust Board. Reporting on performance will be provided in conjunction with the Director of People and Culture to the Board of Trustees.
- 11.3 The relevant Executives, Academic Leadership and Management roles will agree objectives aligned to the Strategic Plan and trust performance goals, tailored into academy or department performance objectives. This applies for all direct reports or nominated Heads of Department with line management responsibilities or reporting structures. Reporting on performance will be provided in conjunction with the Director of People and Culture to the Human Resources and Wellbeing Committee.
- 11.4 There are separate arrangements for the CEO and Executive team laid out in the Trust Board Scheme of Delegation and terms of reference. Please also refer to Section 14 on Procedure and Process – Executives.



12. Procedure and Process – Teachers and Academic Leadership (including Principal, Executive Principal and School Improvement Directors).

The Professional Development Review (PDR) Period

- 12.1 The PDR period will run for twelve months normally from 1 September to 31 August.
- 12.2 Teachers who are employed on a fixed term contract of less than one year will have their performance managed in accordance with the principles underpinning this policy. The length of the period will be determined by the duration of their contract.
- 12.3 Where a teacher starts their employment part-way through a cycle, the Principal or, in the case where the employee is the Principal, the appropriate senior manager shall determine the length of the first cycle for that teacher, with a view to bringing his/her cycle into line with the cycle for other teachers as soon as possible.
- 12.4 Where a teacher transfers to a new post within the Trust part-way through a cycle, the Principal or, in the case where the employee is the Principal, the Director of Education, shall determine whether the cycle shall begin again and whether to change the appraiser.

Appointing PDR Reviewers ('Appraisers')

- 12.5 All appraisers of teachers, other than those appraising Principals/other equivalent senior managers, will be teachers and will be suitably knowledgeable and trained.

Principal/Executive Principal/School Improvement Directors

- 12.6 The task of appraising the Principal, School Improvement Director or equivalent academic leader including the setting of objectives will normally be carried out by the Director of Education on behalf of the CEO and Trust Board.
- 12.7 Where the appraisee is of the opinion that either of these appointed appraisers is unsuitable to act as his/her appraiser, s/he may submit a written request to the Director of People and Culture for that person to be replaced, stating the reasons for the request. The Director of People and Culture will consider the request and determine whether or not it is reasonable, giving written confirmation of their decision.

Teachers

- 12.8 The choice of appraiser is for the Principal or relevant Senior Manager to determine and should be the nominated Line Manager. Where teachers have an objection to their appraiser, s/he may submit a written request to the School Improvement Director for that appraiser to be replaced, stating the reasons for the request. The School Improvement Director will consider the request and determine whether or not it is reasonable, giving written confirmation for accepting or rejecting the request. All appraisers appointed by the Principal will be qualified teachers and will have current or recent teaching experience.
- 12.9 Where it becomes apparent that the appraiser appointed by the Principal will be absent for the majority of the PDR cycle, the Principal may perform those duties herself/himself or delegate those duties to another teacher for the duration of that absence.
- 12.10 If the Principal appoints an appraiser who is not the teacher's line manager, the



appraiser to whom she/he delegates those duties will have an appropriate position in the staffing structure, together with the necessary background knowledge, skills and training to undertake the role.

- 12.11 Where a teacher is experiencing difficulties and the Principal is not the appraiser, the Principal may undertake the role of appraiser or guide the appraiser in ensuring appropriate support is in place to help the teacher make progress towards successfully completing the cycle. Please also refer to Section 14 on Employees Experiencing Difficulties.

Setting of Objectives

- 12.12 Objectives will be set before or as soon as practicable, after the start of each academic year. The objectives set will be Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the appraisee's role and level of experience. In setting the objectives, reviewers will have regard to what can reasonably be expected in the context of roles, responsibilities and experience, consistent with the Trust's strategy for achieving a work/life balance for all staff. Appraisees will be invited to add their comments alongside their objectives.
- 12.13 The appraiser and appraisee will seek to agree the objectives. Objectives may be revised if circumstances change. The Trust will operate a system of moderation to ensure that all appraisers are working to the same standards. Targets will be moderated across an academy to ensure that they are consistent between teachers with similar experience and levels of responsibility. Should the objectives not be agreed, the final decision on allocation of objectives rests with the Principal.
- 12.14 Objectives and performance management discussions will not be wholly or in the majority based on teacher generated data and predictions, or solely on the assessment data for a single group of pupils. Objectives can be set in relation to robust assessment data. However, these will not be used in isolation and other factors will also be considered when making decisions about pay progression. The appraiser and teacher will seek to agree the objectives but, if that is not possible, the appraiser will determine the objectives. Objectives should be revised if circumstances change.
- 12.15 Setting more than three objectives, or, for example, using unrelated sub-targets, can lead to teachers experiencing unreasonable workload and pressure, making the objectives more difficult to achieve. Therefore, other than in exceptional circumstances, no teacher will be given more than three objectives.
- 12.16 The objectives set for each teacher are intended to contribute to the academy and Trust plans for improving the educational provision and performance and improving the education of pupils and will consider the aspirations of the teacher.
- 12.17 The Values and Behaviours will be incorporated, offering reflection and focus on how they have demonstrated each of the Trust values and behaviours in their work with colleagues and wider Trust.
- 12.18 The appraiser will consider the effects of an individual's circumstances, including any protected characteristics as stated within the Equality Act, when agreeing objectives. For example, this might include a reasonable adjustment to allow an individual slightly longer to complete a task than might otherwise be the case. When staff return from a period of extended absence, objectives may be adjusted to allow them to readjust to their working environment.



- 12.19 Before, or as soon as practicable after, the start of each PDR period, each teacher will be informed of the standards against which that teacher's performance in that PDR period will be assessed. Teachers will be assessed against the appropriate set of standards contained in the document "Teachers' Standards" published in June 2013.

Pay Progression

- 12.20 This section needs to be read in conjunction with the Pay Policy.
- 12.21 Where teachers are eligible for pay progression, subject to there not being any informal or formal performance measures in place, recommendation by the appraiser will be based on the assessment of their performance against the agreed objectives and the national Teachers Standards/Headteacher standards in the previous year. The Principal/appropriate senior manager is ultimately responsible for the recommendation made and must verify and check any recommendations made by those authorised to act as appraisers. The decision made will be based on the statutory criteria and guidance set out in the School Teachers Pay and Conditions Document ("STPCD"), the relevant teacher standards and statement of particulars.
- 12.22 The Trust has agreed a pay policy and has considered the implications of the PDR policy with respect to the arrangements relating to teachers' pay in accordance with the School Teachers' Pay and Conditions Document. The Trust will ensure that decisions on pay progression are made by 31 December for Executives/Principals/and academic leadership by 31 October for other teachers.
- 12.23 Reporting on PDR performance and ratification of incremental award will be provided to the Human Resources and Wellbeing committee by the CEO in conjunction with the Director of People and Culture.

Observations

- 12.24 The effective and efficient operation of the PDR process requires lesson observation to be a confidential process of constructive engagement within an atmosphere of support and co-operation.
- 12.25 Accordingly, observations will be carried out in a supportive fashion, with professionalism, integrity and courtesy, will be evaluated objectively and reported accurately and fairly and will take account of particular circumstances which may affect performance on the day.
- 12.26 Within the normal performance review cycle at least 5 working days' notice of the date and time of the observation will be given and verbal feedback provided by at least the end of the next school day and written feedback within 5 working days, unless circumstances make this impossible.
- 12.27 Classroom observation will be carried out by qualified teachers.
- 12.28 For the purposes of PDR, teachers' performance will be observed on an appropriate and reasonable number of occasions and will, as far as possible, be agreed by the appraiser with the appraisee based on the individual circumstances of the teacher and the overall needs of the academy/Trust. The number and duration of observations will be in accordance with the circumstances, which includes provision for exceptional circumstances where concerns have been raised about a teacher's performance, or where the teacher requests additional observation visits.



- 12.29 Principals or other leaders with responsibility for learning and teaching standards may “drop in” or undertake other observations to evaluate the standards of teaching and learning and to ensure that high standards of professional performance are established and maintained. The length and frequency of “drop in” or other observations, and the notice to be given, will vary depending on specific circumstances.
- 12.30 For the purpose of professional development, feedback about lesson observations should be developmental.
- 12.31 The Trust’s academies will use the findings of each observation, including observations, for other management requirements (for example subject area reviews), thereby seeking to minimise the total number of occasions on which teachers are observed.
- 12.32 Senior teaching staff whose posts have responsibilities outside the classroom should also expect to have their performance of those responsibilities observed and assessed.
- 12.33 Professional Development Reviews are a supportive process which will be used to inform continuing professional development. The Trust wishes to encourage a culture in which all teachers take responsibility for improving their teaching through appropriate professional development, peer observation for example. Professional development will be linked to Trust/Academy improvement priorities and to the on-going professional development needs and priorities of individual employees.
- 12.34 The individual Academy’s Continuous Professional Development (“CPD”) programme will be informed by the training and development needs identified as part of the PDR process. The Trust will ensure in the budget planning that, as far as possible, resources are made available in the Academy budget for appropriate training, and support agreed for appraisees, maintaining access on an equitable basis and linked to the School Improvement Plan.
- 12.35 An account of the training and development needs of teachers including the instances where it did not prove possible to provide any agreed CPD, will form a part of the Principals report to Academy Committees and CEO Annual report to Trust Board about the operation of the PDR process.
- 12.36 With regard to the provision of CPD in the case of competing demands on budgets, a decision on relative priority will be taken with regard to the extent to which (a) the training and support will help the Trust to achieve its priorities; and (b) the CPD identified is essential for an appraisee to meet their objectives.
- 12.37 Account will be taken in a review meeting of where it has not been possible for teachers to fully meet their performance criteria because the support recorded in the planning statement has not been provided.

Regular Assessment

- 12.38 Appraisers are encouraged to set objectives for the academic year and embed regular professional development review ‘check points’ each term.
- 12.39 Each teacher's performance will be formally assessed in respect of each PDR period.
- 12.40 The teacher will receive and have the opportunity to comment on their written review,



as soon as practicable, following the end of each review. The review will include:

- 12.40.1 Details of the teacher's objectives for the review period in question;
 - 12.40.2 An assessment of the teacher's performance of their role and responsibilities against their objectives, and against the relevant standards;
 - 12.40.3 An assessment of the teacher's training and development needs and identification of any action that should be taken to address them;
 - 12.40.4 A recommendation on pay where that is relevant. It may be possible for a 'no progression' determination to be made without recourse to the capability procedure. In all such eventualities the teacher will have been made aware as soon as this becomes a possibility i.e. once performance appears to be not in line with performance expectations. (N.B. – pay recommendations need to be made by 31 December for Headteachers and other senior managers and by 31 October for other teachers);
 - 12.40.5 Comments from the teacher on the review which should include acknowledgment of matters such as pay recommendations or areas of performance that are highlighted.
 - 12.40.6 If a teacher is applying for progression to the upper pay range then they must demonstrate they are competent in the relevant standards and that they are making a substantial and sustained contribution to the school, as defined in section 15 of STPCD (and the relevant Pay Policy):
 - Competency may be evidenced through appraisal outcomes
 - 'Substantial and sustained' will be evidenced by two successful performance reviews as documented on the threshold application form referenced within the Pay Policy.
- 12.41 A review meeting will take place to discuss the content of the report and any further action required and to inform objective setting for the next cycle. In some circumstances an interim review meeting may be appropriate.
- 12.42 The assessment of performance and of training and development needs will inform the planning process for the following review period.

13. Procedure and Process – Support Staff

The Professional Development Review (PDR) Period

- 13.1 The appraisal period will run for twelve months normally from 1 September to 31 August.

Appointing PDR Reviewers ('Appraisers')

- 13.2 All appraisers of support staff will have line management responsibility and be both suitably qualified, knowledgeable and trained in the context of the role being reviewed.

Successfully supporting PDR conversations

- 13.3 Support Staff PDR adopts a '5 step' approach detailed in **Appendix A**:



- Step 1 - Preparation for the review process
 - Step 2 – Build a professional connection and conversation, reviewing job role, objectives, achievements and ambitions
 - Step 3 – Review the Values and Behaviours, offering reflection and focus on how they have demonstrated each of the Trust values and behaviours in their work with colleagues and wider Trust.
 - Step 4 - Discuss and agree objectives for the next year and agree the review conversations and feedback mechanisms
 - Step 5 - Discuss and agree learning and development needs for a CPD and agree strategies to meet them.
- 13.4 The PDR process is intended as an open and purposeful two-way discussion/conversation between the employee and Line Manager, focussing on achievements, successes and concerns during the previous review period or at the current time. It will reflect on and discuss how the employee has demonstrated the Trust values in their work and it will review progress towards achieving the set objectives.
- 13.5 There should be ‘no surprises’ during the PDR review and any concerns that an appraiser may have, should have been addressed as and when such concerns/issues arose during the year as part of the line management role. The job description and the previous objectives and/or PDR records should be available for shape the conversation or prompt discussion.
- 13.6 **For existing employees:** All employees should have access to regular professional development reviews within the designated cycle. This will ensure they are clear on how their role aligns with their team/function and Academy/Trust priorities and identifies the learning and development they need in their role.
- 13.7 **For New Starters:** As soon as the probationer has successfully completed their probation period they will automatically be placed on the PDR cycle at the relevant point.
- 13.8 **For employees with more than one role:** There are a small number of support staff who hold more than one role. Sometimes the roles are very different with different job descriptions and duties and sometimes the roles may be very similar. Managers of support staff with more than one role are guided to liaise with HR People Advisory Services to ensure that roles, skillsets, training and development are inclusively reviewed to ensure efficient use of resources.
- 13.9 Using One to One/Review and Team Meetings: These are an important aspect of the PDR process as they provide regular contact with the line manager and ongoing support for employees. They are an opportunity for managers (appraisers) to have a two-way/team conversation about current issues or concerns, celebrate and acknowledge success and provide ongoing feedback for staff. It provides time to have discussions about progression of objectives and any learning or development required.
- 13.10 It is recommended that a minimum of 2 meetings are arranged throughout the year between the appraiser and the appraisee/s at a time and venue to support both parties/teams. Meetings should be recorded, including any actions required by who and when and a copy kept by both appraiser and appraisee.



- 13.11 Comments from the employee on the review which should include acknowledgment of matters such as pay recommendations or areas of performance that are highlighted.

Pay Progression

- 13.12 This section needs to be read in conjunction with the Pay Policy.
- 13.13 The Line Manager / appropriate Senior Manager will take account of the performance management outcomes in making recommendations on salary in accordance with the employee's terms and conditions of employment, noting the statutory criteria and guidance set out in the National Joint Council (NJC), for pay and other terms and conditions.
- 13.14 In exceptional circumstances the line manager/appropriate senior manager may recommend withholding an increment where the employee's performance has been unsatisfactory. This will only occur when the employee was previously made aware of the concerns and has been given the opportunity and support to improve his/her performance.
- 13.15 The Trust has agreed a pay policy and has considered the implications of the PDR policy with respect to the arrangements relating to Support Staff Pay, Terms and Conditions. The Trust will ensure that decisions on pay progression are made by 31 October for all support staff.
- 13.16 Where an employee is experiencing difficulties the role of appraiser/Line Manager is to ensure appropriate support is in place to help the employee make progress towards successfully completing the cycle. Please also refer to Section 14: Employees Experiencing Difficulties.
- 13.17 Reporting on PDR performance and ratification of incremental award will be provided to the Human Resources and Wellbeing committee by the CEO in conjunction with the Director of People and Culture.

14. Procedure and Process – Executives

The Professional Development Review (PDR) Period for CEO

- 14.1 The appraisal period will run for twelve months normally from 1 September to 31 August.
- 14.2 The designated committee as laid out in the Trust Board Scheme of Delegation and terms of reference shall set the objectives of the CEO to align to the Strategic Plan and performance objectives of EMAT. The Chair of the Board is responsible for reporting on the performance of the CEO. Recommendations regarding incremental pay progression are made in accordance with the Pay Policy.

The Professional Development Review (PDR) Period for Executive roles

- 14.3 The appraisal period will run for twelve months normally from 1 September to 31 August.

Appointing PDR Reviewers ('Appraisers')

- 14.4 All appraisers of Executives will have line management responsibility and be both suitably qualified, knowledgeable and trained in the context of the role being reviewed.



- 14.5 In the case of the Chief Executive Officer, the appraiser will include the Chair of Trustees (as line manager) and an independent external advisor to the Trustees.

Successfully supporting PDR conversations

- 14.6 The Board of Trustees recognise the valuable contribution made by Executives to the academies and their working environment as well as the professional and corporate services. Salaries paid to Executive staff will be in accordance with Trust Executive pay scales and conditions of service as detailed in their terms and conditions of employment.
- 14.7 The Board of Trustees shall set and agree objectives for the Chief Executive Officer aligned to the Strategic Plan as laid out in the Trust Board terms of reference and Articles of Association.
- 14.8 The Chief Executive Officer shall set and agree objectives of the Executives aligned to the Strategic Plan and respective professions as laid out in the Trust Board terms of reference and Articles of Association.
- 14.9 The Board of Trustees will oversee the salary provisions and any discretionary supplements for Executives to ensure a fair and equitable manner at all times.
- 14.10 Using One to One/Review meetings periodically regular contact with the line manager and ongoing support for employees. They are an opportunity for managers (appraisers) to have a two-way/team conversation about current issues or concerns, celebrate and acknowledge success and provide ongoing feedback for staff. It provides time to have discussions about progression of objectives and any learning or development required.
- 14.11 It is recommended that a minimum of 3 meetings are arranged throughout the academic year between the appraiser and the appraisee/s at a time and venue to support both parties/teams. Meetings should be documented, including any actions required by who and information relating to the outcomes of the meeting, objectives and feedback.
- 14.12 Meetings shall balance the strategic objectives and performance objectives, balanced with considering the ambitions, engagement, connectivity, ability and leadership of the appraisee against the deliverables of the relevant role.

Pay Progression

- 14.13 This section needs to be read in conjunction with the Pay Policy.
- 14.14 Progression within Executive pay scales occurs on 1 September, subject to satisfactory performance and annually thereafter until the maximum of the grade is reached.
- 14.15 Where eligible for pay progression, subject to there not being any informal or formal performance measures in place, recommendation by the appraiser will be based on the assessment of their performance against the agreed objectives.
- 14.16 There are no specific criteria concerning the award of discretionary increments, however special merit, ability or performance, or the attainment of a relevant



qualification may contribute to such considerations.

- 14.17 The Board of Trustees will oversee the salary provisions and any discretionary supplements for Executives to ensure a fair and equitable manner at all times.
- 14.18 When assigning a grade, grade boundaries and performing benchmarking for Executives, the Board of Trustees will consider the relevant Job Evaluation and Benchmarking completed by HR People Advisory Services, with external ratification from the nominated retained Legal Advisory and HR Consultancy Service, with relevant due regard for the guidance on performance and setting executive pay from ESFA.
- 14.19 Reporting on PDR performance and ratification of incremental award will be provided to the Trust Board by the Chair of Trustees/CEO in conjunction with the Director of People and Culture.

15. General Principles for all


Salary on Appointment

Upon appointment, new hires will normally be placed on the first point of the assigned pay banding for the evaluated job, unless previous experience or qualification would suggest that another point is more appropriate, subject to the maximum of the grade.

Employees Experiencing Difficulties

Application of this part of the Professional Development Review procedure should be made only where normal reviews have been undertaken and the employee has been provided with reasonable feedback and support as part of the PDR process. There will be a reliable account within the PDR review notes leading into this stage.

- 15.1 In most cases there is an expectation that the employee will have in place an informal support plan or agreement which should be in the form of written evidence e.g. emails from the appraiser or line manager, action plans or teaching observation records etc. This ensures the employee is clear about expectations of them and alerted to any early warning signs about concerns to do with their performance.
- 15.2 Where, following review cycle, there are significant concerns about any aspects of the employee's performance these will be addressed via the procedure set out in this section and this is referred to as the 'Employees Experiencing difficulties' stage.
- 15.3 When dealing with any employee experiencing difficulties, the objective is to provide support and guidance through the PDR process in such a way that their performance improves and the problem is, therefore, resolved. It is recognised that this may be a difficult time for the employee therefore the appropriate inclusion of HR People Advisory Services and/or Employee Assistance Programme should be made at any time during the process.
- 15.4 The employee will be subject to a support plan approach under the teacher/employee experiencing difficulties stage where:
 - the employee's objectives are found not to be met, including management responsibilities where applicable, and/or
 - there is concern that the employee is not making sufficient progress towards



achieving their objectives or performing at the appropriate level for their career stage.

Support Plan Meeting

- 15.5 Under these circumstances, the employee will be given a formal support plan under this employee experiencing difficulties stage of the PDR procedure. Please see PDR Toolkit (accessible via 'Our People'), providing guidance on the contents, structure and timing of a Support Plan.
- 15.6 The appropriate senior manager and employee's line manager (who may be the appraiser) will schedule and complete a meeting with the employee to discuss the concerns. The employee may bring a Trade Union representative or work place colleague to this meeting and will be provided with a minimum of 5 working days' notice of the meeting.
- 15.7 The purpose of the meeting is to clarify areas of concern and put in place tailored arrangements for the employee by way of an action/support plan. The appraiser will attend to provide clarification on areas of concern.
- 15.8 In consultation with the employee at the meeting, an action plan with support will be established (for example coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers), that will help address the specific concerns. The employee will be informed how progress will be monitored and when it will be reviewed and the implications and process if no, or insufficient, improvement is made. This, along with the detailed plan, will be issued in writing to the employee providing clear expectations and warning of the possibility that the employee may be subject to the capability procedure if improvements are not made within the set timescale.
- 15.9 In exceptional cases, as a result of the support plan meeting, the senior manager may allow a further period of informal review before the employee is deemed to be an employee experiencing difficulties. Such exceptions may include compassionate grounds. Normally, however, senior manager will put in place a formal support/action plan, which the employee must adhere to.
- 15.10 Typically, the support plan will be for a short period of time, normally between 4 to 10 working weeks after the action plan is put in place, but it may be less if the situation warrants this. The employee's progress will continue to be monitored during the support plan period, with appropriate support as agreed in the plan, in order that the aim of recovering and improving performance can be achieved. During this monitoring period, the employee will be given regular (usually weekly) feedback on progress and arrangements will be made to modify the support programme if appropriate.
- 15.11 Following completion of the support plan period, the support plan will be reviewed at a meeting with the employee by the line manager and appropriate senior manager.
- 15.12 Five days prior to the end of the support plan period the employee should be notified in writing of the review date and that, as before, they may be accompanied by a Trade Union representative or workplace colleague to the meeting. In addition, any documentary evidence which the senior manager will refer to at the meeting will be provided to the employee.
- 15.13 The review meeting is to determine whether the employee experiencing difficulties has met the standards of improvement previously set or whether the employee should be



referred to the capability procedure.

- 15.14 The status of the meeting must clearly be outlined to the employee; explaining that the review will determine whether they have successfully completed the support plan and addressed the performance concerns and if not, that the outcome may lead to a decision to refer the employee to the capability procedure if progress during the support plan has been insufficient.

Outcome of Employee Experiencing Difficulties Review – Transition Meeting

- 15.15 The review meeting held at the end of a support plan period may be referred to as a “Support Review Meeting”.

- 15.16 There are three possible outcomes from the transition meeting:

15.16.1 If the appraiser and appropriate senior manager are satisfied that the employee has made sufficient improvement, the employee will be informed that they have completed the support plan successfully and that the PDR process will continue as normal. The employee is no longer classified as being an employee “experiencing difficulties”.

15.16.2 If good progress has been made but the performance of the employee is not yet at a level where they will successfully complete the support plan cycle as there remains some areas to address, the outcome of the review will be to apply an agreed continuing programme of support with a further review to be held. The employee should be informed that, in such circumstances, it may be the case that they may not be recommended for pay progression (if appropriate) in the current cycle. Good progress must be maintained and the employee will be reviewed again on an agreed date, to determine whether they have successfully addressed the remaining concerns, or whether they should then transition to the capability procedures. The employee remains classed as “experiencing difficulties” whilst they conclude the support plan process.

15.16.3 If no, or insufficient, improvement has been made over the support period, the senior manager will inform the employee that they have not met the standards of improvement set for them and they will therefore be referred to the capability procedure.

- 15.17 The outcome will be confirmed in writing.

- 15.18 Where the employee is referred to the capability procedure, the employee has the right to appeal against the outcome. Any appeal will be held in accordance with the appeal procedure.

Appeals: Pay Progression and/or Capability referral

- 15.19 Employees have a right of appeal against any of the entries in the written review if this would lead to a non-pay progression or capability recommendation. The employee may exercise the right of appeal, assisted by a companion who may be a colleague, a trade union official or a trade union representative.

- 15.20 The order of proceedings for dealing with appeals is as follows:



- 15.20.1 The employee receives written confirmation of the relevant pay and/or capability recommendation and where applicable the basis on which the decision was made.
- 15.20.2 If the employee is not satisfied, the first stage in the process is to seek to resolve this by discussing the matter informally with the appraiser or Principal within ten working days of being informed of the recommendation. In the case of the executives, this may be the appraiser or Chair of Trustees.
- 15.20.3 Where this is not possible, or where the employee continues to be dissatisfied, the second stage is for the teacher to make a formal representation to the Director of People and Culture, before a decision on pay or capability is taken. This will include making written submissions about why the employee does not agree with the recommendation and may include submitting evidence and calling witnesses to support the teacher's submissions. The Director of People and Culture may alter the recommendation in light of the representations made.
- 15.20.4 If the employee does not agree with the pay determination made by the Director of People and Culture, the third stage is that they may submit an appeal in writing and an appeal hearing should be arranged.
- 15.20.5 Any third stage appeal should be heard by a panel of three including the Director of Education and two representatives from the People and Wellbeing Committee. All Parties must not have been involved in the original determination. Appeals shall normally be heard within 20 working days of the receipt of the written appeal notification. The teacher will be given the opportunity to make representations in person. The decision of the appeal panel will be given in writing, and where the appeal is rejected will include a note of the evidence considered and the reasons for the decision. There is no further right of appeal. In the case of executives, a panel shall be convened and include retained counsel for independent specialist advice.

Sickness

- 15.21 If long term sickness absences interrupt the commencement of monitoring or a formal capability procedure, the case will be dealt with in accordance with the Trust's Sickness Management procedures which may include referral and advice from occupational health service to assess the employee's health and fitness. Advice will also be sought about the appropriateness or otherwise of continuing with monitoring or formal procedures. In some cases it may be appropriate for formal procedures to continue during a period of sickness absence. However, the views of the HR People Advisory Services and Occupational Health specialists will always be considered before a decision is reached.

Grievances

- 15.22 Where a member of staff raises a grievance during the PDR process, the PDR or capability process may be temporarily suspended in order to deal with the grievance. Where the grievance and PDR or capability cases are related it may be appropriate to deal with both issues concurrently.

Confidentiality and Professional Relationships



- 15.23 The PDR and capability processes are confidential. Only the appraiser's line manager or, where s/he had more than one, each of her/his line managers will be provided with access to the appraisee's plan recorded in her/his statements. This will be done upon request and only where this is necessary to enable the line manager to discharge her/his line management responsibilities. Appraisees will be consulted on requests for access to statements in the context of this policy.
- 15.24 The process of gathering evidence for performance reviews will not compromise normal professional relationships between colleagues or employees. The Trust recognises that the reviewer will consult with, and seek to secure the agreement of, the reviewee before seeking any information from other colleagues about the work of the employee. Only designated feedback methods, sources or channels will be used to process, review or store information in accordance with data processing and information sharing protocols.
- 15.25 The desire for confidentiality does not override the need for authorised employees including the CEO on behalf of the Trust to quality-assure, monitor or anonymously report on the operation and effectiveness of the Professional Development Review process and systems.

Monitoring and Evaluation

- 15.26 The CEO or their designated representative, will monitor the operation and effectiveness of the Trust's appraisal arrangements and will provide the Trust Board with a written report on the operation of the Trust's appraisal and capability policies on an annual basis. The report will not identify any individual by name. The report will include an assessment of the impact of these policies on the protected characteristics as set out in the Equality Act 2010. The report will include whether there have been any appeals or representations on an individual or collective basis on the grounds of alleged discrimination.

Document Retention

- 15.27 Information retained within the Employment Record includes written and digital appraisal records, managed within the HR Management Information System. Information is retained securely throughout employment and retained for 7 year after leaving. All private and confidential personal information is retained, stored, destroyed and subject to GDPR and data processing protocols.



Appendix A: The Five Steps for PDR Success

Successfully supporting PDR conversations (Support Staff section 12.13)

Step One – Preparation for the PDR meeting

- Appraiser schedules PDR meeting, with no less than two weeks' notice, encouraging the employee to prepare in readiness by familiarising themselves with the Professional Development Review toolkit and previous PDR experiences
- Meetings are scheduled and communicated, planning in sufficient time and confidential space
- Appraisee completes pre-meeting self-review, reflecting on objectives, CPD and their contribution.

Step Two – During the PDR meeting (Review job role, objectives and achievement)

- Discuss what has gone well and the challenges faced during the last year
- Discuss the extent to which the individual has met their objectives set and CDP aims
- Appraiser prompts conversation and focus on academy or department goals, areas of personal development.

Step Three – During the PDR meeting (Values and Behaviours)

- Discuss and reflect where Values and Behaviours have been demonstrated in their work and interactions with colleagues
- Build understanding of what is important to the individual, exploring ambitions, blockers and motivations, aligning these to purpose, recognition and celebrating successes
- Discuss opportunities for growth and development, aligned to role and Academy/Department/Trust goals.

Step Four – During the PDR meeting (Agree Objectives – looking ahead)

- Identify personal objectives for the coming year. Discuss how these will fit with the priorities and objectives of the Academy/Department/Trust
- Discuss how they will demonstrate Trust values and behaviours with areas for development
- Ensure that the objectives are SMART – specific, measurable, achievable, realistic and to a timeline.

Step Five – During the PDR meeting (Agree training development needs)

- Identify personal objectives for the coming year. Discuss how these will fit with the priorities and objectives of the Academy/Department/Trust
- Discuss how they will demonstrate Trust values and behaviours with areas for development.



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