Research insight
November 2014

Developing managers to manage sustainable employee engagement, health and well-being

WORK   WORKFORCE   WORKPLACE

Championing better work and working lives

The CIPD's purpose is to **champion better work and working lives** by improving practices in people and organisation development, for the benefit of individuals, businesses, economies and society. Our research work plays a critical role – providing the content and credibility for us to drive practice, raise standards and offer advice, guidance and practical support to the profession. Our research also informs our advocacy and engagement with policy-makers and other opinion-formers on behalf of the profession we represent.

To increase our impact, in service of our purpose, we're focusing our research agenda on three core themes: the future of **work**, the diverse and changing nature of the **workforce**, and the culture and organisation of the **workplace**.

WORK

Our focus on work includes what work is and where, when and how work takes place, as well as trends and changes in skills and job needs, changing career patterns, global mobility, technological developments and new ways of working.

WORKFORCE

Our focus on the workforce includes demographics, generational shifts, attitudes and expectations, the changing skills base and trends in learning and education.

WORKPLACE

Our focus on the workplace includes how organisations are evolving and adapting, understanding of culture, trust and engagement, and how people are best organised, developed, managed, motivated and rewarded to perform at their best.

About us

The CIPD is the professional body for HR and people development. We have over 130,000 members internationally – working in HR, learning and development, people management and consulting across private businesses and organisations in the public and voluntary sectors. We are an independent and not-for-profit organisation, guided in our work by the evidence and the front-line experience of our members.

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Introduction

'There is substantial evidence showing that employee health, well-being and engagement are important for organisational success.'

Why employee health and well-being and engagement are important

There is substantial evidence showing that employee health, well-being and engagement are important for organisational success. If employees are in poor health and/or disengaged, there are potentially significant risks for their employer, such as: costs associated with sickness absence, presenteeism (employees present at work, but not performing because of health problems) and employee turnover, and the legal or reputational risks associated with employees taking a case to an employment tribunal or other litigation. Conversely, where an employer looks after the health and well-being of the workforce and engages employees, they can expect positive gains, including improved performance and productivity.

Academic and practitioner literature both provide evidence for the importance of employee health and well-being for individual and organisational performance. For example, a meta-analysis by Ford et al (2011) showed links between employee psychological health and well-being and overall performance; while Donald et al (2005) showed that almost a quarter of the variance in employee productivity is explained by psychological well-being, perceived commitment of the organisation to the employee and resources and communication; and Taris and Schreurs (2009) showed links between employee well-being and client satisfaction. Meanwhile, the UK National Institute for Health and Care Excellence published guidance in 2009 (NICE 2009), which includes a section on why employees' mental well-being is important to organisations' productivity and performance; and both trade unions and employers' organisations, such as the UK Confederation of British Industry (CBI), agree on the value of employee health and well-being (the CBI has recently signed up to the Government's Mental Health and Well-being Pledge).

Evidence also suggests that employee engagement is important in order to achieve high levels of organisational performance. For example, research from Kenexa (Wiley 2008) suggests that organisations with high levels of employee engagement outperform their low-engagement counterparts in terms of shareholder returns and annual net income; and a Gallup study (2010) found that business units with the highest engagement scores (the top 25%) averaged 18% higher productivity than those with the lowest engagement scores (the bottom 25%). The Engage for Success report *Nailing the Evidence* (Engage for Success/Rayton et al 2012) provided data to suggest that higher employee engagement is linked to better customer service, higher levels of creativity, lower absence, greater retention and fewer accidents.

Bringing health and well-being and engagement together: creating sustainability

While employee health/well-being and engagement are each important for performance outcomes, we argue (Lewis et al 2012) that it is the combination of employee engagement together with health and well-being that enables these outcomes to be sustainable over time. Research by Towers Watson (Fairhurst and O'Connor 2010) found that highly engaged individuals with high levels of well-being are the most productive and happiest employees; and that highly engaged employees with low levels of well-being, although they tend towards high levels of productivity, are more likely to leave their organisations and to experience high levels of burnout. The same research suggested that employees with low levels of engagement but high levels of well-being are more likely to stay with the organisation, but they are less committed to the organisation's goals; and that employees who are both disengaged and have low levels of well-being contribute the least to the organisation. Recent work from Engage for Success has provided a useful graphic to represent these different categories of employee – see Figure 1.

This suggests that employees who are highly engaged, but whose well-being is not protected, are at risk of burnout and eventual decreases in both engagement and performance; and that for organisations investing in employee engagement activities, there is a risk that these will have only short-term effects if employee health and well-being are not considered in parallel.

Figure 1: Engagement and well-being together create sustainability

Engagement

| High productivity but high burnout and more likely to leave | Most productive and happy employees |
| Least contribution from employees | More likely to stay, less committed to organisational goals |

Well-being

The vital role of line managers

Line managers and employee health and well-being

Over the last decade, the literature exploring the link between management behaviour and employee well-being has grown dramatically and the consistent message is that the way employees are managed is a key determinant of their health and well-being (for example Skakon et al 2010, Kelloway and Barling 2010). The academic literature has explored links between well-being and a range of existing leadership/management models. These leadership/management models can be categorised into four clusters: supportive behaviours; task- and relationship-focused behaviours; transactional and transformational leadership behaviours; and negative leadership behaviours (Donaldson-Feilder et al 2013). The findings about each of these clusters are summarised in Table 1.

Table 1: Existing leadership models that have been linked to employee well-being

Specific leadership style/theory	Comments
Supportive behaviours	
Although most research explores manager support as a single generic concept, studies have found the following supportive behaviours to be important: • communication about positive aspects of the job • communication about topics unrelated to their job (such as people's interests outside of work).	Strong support for cross-sectional relationship between manager support and employee outcomes, but the evidence for long-term impact of support is currently inconclusive.
Task- and relationship-focused behaviour	
Relationship-focused: includes behaviours such as supporting employees, showing respect for employees' ideas, increasing cohesiveness, developing and mentoring, looking out for employees' welfare, managing conflict and team-building. **Task-focused:** includes behaviours such as planning and organising, assigning people to tasks, communicating information, monitoring performance, defining and solving work-related problems, and clarifying roles and objectives.	Relationship-focused behaviours have a positive impact on employee well-being. Impact of task-focused behaviours may be more complex. For instance, too much task focus (for instance micro-managing) may have a detrimental effect on employee well-being.
Transformational and transactional leadership behaviours	
Transformational leadership involves generating enthusiasm for a 'vision', a high level of individualised consideration, creating opportunities for employees' development, setting high expectations for performance, and acting as a role model to gain the respect, admiration and trust of employees. **Transactional leadership** involves a more straightforward exchange between a leader and a direct report, whereby the employee is suitably rewarded for good performance (referred to as contingent reward behaviour). *Laissez-faire* **leadership** is characterised by a passive leadership style, an avoidance of action, a lack of communication, and a general indifference to employees.	This is perhaps the most consistent and well-researched area. A large body of literature demonstrates a positive relationship between transformational leadership and employee well-being, plus a negative relationship between *laissez-faire* leadership and employee well-being.
Negative leadership behaviours	
Much leadership research has focused upon constructive, effective and successful leadership rather than addressing negative leader behaviours and their effects. However, there are some studies looking at these negative behaviours – such as leaders who are bullying, undermining, hostile and abusive. Perhaps the most widely studied of the negative leadership behaviours is abusive supervision.	Negative leadership has effects on well-being that are distinct from 'the absence of positive behaviours'. Managers who demonstrate both positive and negative behaviours (that is, who are inconsistent) are worse for employee well-being than those who show only negative behaviours.

Adapted from Lewis and Donaldson-Feilder (2014)

However, there is an argument that, by adopting an existing leadership model, rather than creating a model that is specific to well-being outcomes, some manager behaviours that are important in this context may not have been included. To overcome this limitation and explore the full range of manager behaviour that is important in the context of employee health and well-being, between 2005 and 2011 we conducted a four-phase research programme looking at the specific behaviours managers need to adopt in order to prevent and reduce stress in those they manage. Phase 1 of this programme used interviews and written exercises conducted with 216 employees and 166 managers from a range of organisations (drawn from finance, education, healthcare, local government and central government) to develop a framework of management behaviours, entitled 'management competencies for preventing and reducing stress at work' (MCPARS) (Yarker et al 2007). Phase 2 revised the framework, designed an indicator tool questionnaire and examined the usability of the framework: over 1,000 managers and employees tested the measure and the data was used to develop a refined and validated version of the MCPARS framework, which consists of four competencies, divided into 12 sub-competencies for ease of understanding (Yarker et al 2008). A summary of the refined and validated MCPARS framework is provided in Table 2.

Phase 3 of the MCPARS programme designed and evaluated a learning and development intervention to support managers to include the relevant behaviours in their management repertoire (Donaldson-Feilder et al 2009). It demonstrated not only that the MCPARS behaviours are important for preventing and reducing stress in employees, but also that they could be developed through a learning and development intervention – particularly one that involved upward feedback from employees. Phase 4 developed a series of case studies showing how different organisations integrated the MCPARS findings into their organisational practices (Donaldson-Feilder and Lewis 2011). It showed that, although the behaviours could be developed, creating an organisational environment that supports and sustains those managers to continue to demonstrate the behaviours is much harder.

Table 2: Management competencies for preventing and reducing stress at work

Management competency	Sub-competency	Description of sub-competency
Respectful and responsible: managing emotions and having integrity	Integrity	Respectful and honest to employees
	Managing emotions	Behaves consistently and calmly
	Considerate approach	Thoughtful in managing others and delegating
Managing and communicating existing and future work	Proactive work management	Monitors and reviews existing work, allowing future prioritisation and planning
	Problem-solving	Deals with problems promptly, rationally and responsibly
	Participative/empowering	Listens and consults with team, provides direction, autonomy and development opportunities to individuals
Reasoning/managing difficult situations	Managing conflict	Deals with conflicts fairly and promptly
	Use of organisational resources	Seeks advice when necessary from managers, HR and occupational health
	Taking responsibility for resolving issues	Supportive and responsible approach to issues
Managing the individual within the team	Personally accessible	Available to talk to personally
	Sociable	Relaxed approach, such as socialising and using humour
	Empathetic engagement	Seeks to understand the individual in terms of their motivation, point of view and life outside work

Line managers and employee engagement

In terms of the link between line managers and employee engagement, both academic and practitioner literature points to line manager behaviour as having a significant effect on the engagement of employees. For example, in the CIPD's Shaping the Future project, line managers were highlighted as one of the most important influences on engagement (CIPD 2011a); and other practitioner literature (such as MacLeod and Clarke 2009) also identifies a relationship between effective management and employee engagement. Academic literature has been slower to provide evidence, but a number of recent academic studies have suggested there is a link between employee engagement and various management behaviours, such as transformational leadership (Tims et al 2011), authentic leadership (Walumbwa et al 2008) and supportive leadership (Thomas and Xu 2011).

As with the well-being area, rather than relying on links between existing management/leadership models and engagement outcomes, it seemed important to identify the specific management behaviours relevant to enhancing and managing employee engagement. Therefore, in 2011, we conducted a qualitative research study (Lewis et al 2011) which identified specific management behaviours important for employee engagement. We interviewed 48 call centre employees from a large global energy provider about their line manager's behaviour that was important to their own engagement. The interviews were transcribed and analysed using content analysis. Both positive and negative behaviours were identified and, in the data analysis, 11 competencies emerged. For ease of comprehension, the 11 competencies were then grouped into the following three themes: supporting employee growth; interpersonal style and integrity;

and monitoring direction. The competency framework emerging from this work is shown in Table 3.

Line managers and *sustainable* employee engagement

Given the importance of bringing together employee engagement with employee health and well-being to achieve sustainability (as outlined on page 3 in *Bringing health and well-being and engagement together: creating sustainability*) and the importance of line managers for these outcomes (as outlined on page 4 in *Line managers and employee health and well-being* and on page 6 in *Line managers and employee engagement*), it is logical to want to establish what manager behaviours are needed in order to achieve both engagement and health and well-being simultaneously. In order to achieve this, our 'managing for sustainable engagement' research (Lewis et al 2012) brought together the two frameworks described in the previous sections – management

Table 3: Management competencies for enhancing employee engagement

Theme	Management competency	Description
Supporting employee growth	Autonomy and empowerment	Has trust in employee capabilities, involving them in problem-solving and decision-making
	Development	Helps employees in their career development and progression
	Feedback, praise and recognition	Gives positive and constructive feedback, offers praise and rewards good work
Interpersonal style and integrity	Individual interest	Shows genuine care and concern for employees
	Availability	Holds regular one-to-one meetings with employees and is available when needed
	Personal manner	Demonstrates a positive approach to work, leading by example
	Ethics	Respects confidentiality and treats employees fairly
Monitoring direction	Reviewing and guiding	Offers help and advice to employees, responding effectively to employee requests for guidance
	Clarifying expectations	Sets clear goals and objectives, giving clear explanations of what is expected
	Managing time and resources	Is aware of the team's workload, arranges for extra resources or redistributes workload when necessary
	Following processes and procedures	Effectively understands, explains and follows work processes and procedures

competencies for preventing and reducing stress on the one hand and management competencies for enhancing employee engagement on the other hand – to develop a management behaviour framework that sets out how managers can manage for sustainable employee engagement, that is, both engagement and health and well-being. By conducting quantitative research with employees and managers, we validated the engagement framework and, at the same time, created a combined 'managing for sustainable employee engagement' framework and questionnaire. This framework is made up of five broad themes of manager behaviour, as shown in Table 4.

Management development

Once the management competencies that are important for engendering employee engagement, health and well-being (or sustainable engagement) are identified, the challenge becomes one of supporting managers to develop the competencies and use them in their people management approach. The question is how to undertake effective management development and ensure that the skills managers develop are applied in the workplace.

The CIPD's most recent annual survey on learning and development (CIPD 2014) showed that 78% of the organisations questioned reported that they would be carrying out leadership development over the following 12 months. Meanwhile, the plethora of commercial and other organisations providing leadership and management development suggests that this is a significant market: organisations are spending large sums on developing managers and leaders. However, ensuring that such development activities are evidence-based and effective over the long term is not always easy.

The academic literature around management/leadership development

'78% of the organisations questioned reported that they would be carrying out leadership development over the following 12 months.'

Table 4: 'Managing for sustainable employee engagement' framework

Competency	Brief description
Open, fair and consistent	Managing with integrity and consistency, managing emotions/personal issues and taking a positive approach in interpersonal interactions
Handling conflict and problems	Dealing with employee conflicts (including bullying and abuse) and using appropriate organisational resources
Knowledge, clarity and guidance	Clear communication, advice and guidance, demonstrates understanding of roles and responsible decision-making
Building and sustaining relationships	Personal interaction with employees involving empathy and consideration
Supporting development	Supporting and arranging employee career progression and development

is surprisingly sparse. While there is an enormous literature about models of leadership and management, the focus has largely been on understanding what leadership and management are, not on how to foster the relevant skills, behaviours and approaches. A special issue of the journal *Leadership Quarterly* in 2011 focused on longitudinal studies of leadership development: it showed that, although there are a number of frameworks for how and why leaders develop over time, the majority have not been empirically tested.

There appears to be an implicit belief that establishing the 'right' leadership/management theory will lead to better leaders/ managers through a learning and development intervention based on that theory, but little recognition that developing these skills is a process that unfolds over time, not in a one-off workshop or training.

Our own research has shown that managers can be equipped with behaviours that are important for employee well-being through provision of upward feedback and learning and development activities (Donaldson-Feilder et al 2009). However, it also showed that carrying out management development of this type in organisations is hard, that maintaining change is even harder and that the organisational context in which the management development takes place has a key impact on outcomes (Donaldson-Feilder et al 2009, Donaldson-Feilder and Lewis 2011). Others in the field have also acknowledged that the context in which management development takes place is important to its success (Day 2000) and explored some of the relevant contextual factors (for example Greco et al 2006). This means that investment in management development may be wasted if organisations do not create an

appropriate context in which to support and develop managers and ensure that interventions are as effective as possible.

Although the academic literature around management development is in its infancy, it does have some useful pointers about intervention formats and contextual issues to support practitioners. However, there is currently no unifying model that practitioners can use to guide their thinking and activities to support managers in their developmental process.

<div style="background:#c8005a;color:#fff;padding:4px 8px;font-weight:bold;">The current project</div>

To summarise the story so far, academic and practitioner literatures now provide consistent evidence for the importance of employee health, well-being and engagement for organisational performance. There is also evidence to suggest that protecting and enhancing employee health and well-being is important if employee engagement and performance are to be sustained over time. Our research over the last nine years, along with research by others in the field, has shown that managers are important for the health, well-being and engagement of employees. There is therefore now a strong body of evidence to suggest that developing management capability in this area can make a major contribution to achieving sustainable employee engagement, health and well-being; and there are specific frameworks that can be used to help managers (and those supporting their development) to understand what they need to do.

In exploring how to develop the relevant management behaviour, we know that managers can be supported to develop these behaviours, through upward feedback and development,

and that this will link to positive outcomes in employees (Donaldson-Feilder et al 2009). But we also know that management development is not simply a matter of choosing the right model and running a 'training' event: developing manager skills and identity is a process that evolves over time and requires a range of elements/activities; applying and sustaining newly learned behaviour in the workplace is not easy, so needs support; and the context in which managers work will have a major impact on how they actually behave. While there is some research evidence about how to achieve successful management development, there is no unifying model to help practitioners and organisations understand what they need to do to design effective management development, support application of management skills in the workplace and to set the context for sustainable behaviour change.

To fill this gap, during 2013–14, Affinity Health at Work conducted research to understand how organisations can best foster positive manager behaviour through: (a) providing effective management development programmes; (b) supporting managers to transfer their learning into their day-to-day management approach; and (c) creating an organisational context that supports this way of managing people, with the aim of achieving high levels of employee engagement, health and well-being. The research is detailed below, and the framework that has emerged from this work is provided in Sections 2 and 3 and the Appendix to this report, and also as a separate practical tool available for download at: www. cipd.co.uk/hr-resources/research/ developing-managers.aspx

1 Methodology

Evidence-based approach

Given the complexity of the territory this research project was aiming to address (as set out in the *Introduction*) and the practical nature of the desired output (something that would help and guide practitioners and organisations), we decided to take an 'evidence-based practice approach' for our research methodology. In particular, we chose to use an evidence-based practice model developed by Rob Briner and colleagues in 2009, which defines evidence-based management or evidence-based practice as a relatively new approach that is *'about making decisions through the*

conscientious, explicit and judicious use of four sources of information: practitioner expertise and judgement, evidence from the local context, a critical evaluation of the best available research evidence, and the perspectives of people who might be affected by the decision' (Briner et al 2009, p19).

The aim of this approach is that by gathering evidence from a wide range of sources, the researcher and/or practitioner will adopt an integrated approach to a problem, and also develop a solution in a more structured and informed way than would be possible if relying on only academic evidence or only contextual evidence and experience.

As shown in Figure 2, the four sources of evidence the model suggests are:

1 **Practitioners' expertise and judgement** – this could include asking managers about their own experience, assumptions and methodologies.

2 **Context, local evidence, circumstances** – this could include existing data held within the organisation or could be research/evidence collected in order to address the question/problem.

3 **Evaluated external evidence** – this could be published academic or practitioner

Figure 2: The elements of evidence-based practice
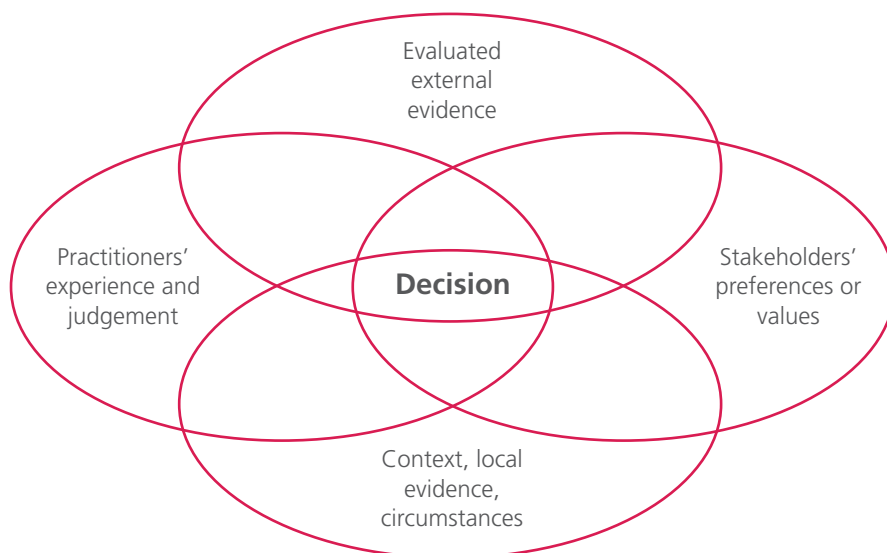
Source: Briner and Walshe (2013, adapted from Briner et al 2009)

research and data or case studies from similar problems in similar organisations.

4 **Stakeholders' preferences or values** – the stakeholders will change depending on the problem/question being faced, but are likely to be experts and employers who have insights and evidence that might not be available through any of the other three sources of evidence.

As well as providing a more integrated approach, and a more structured and informed way to address the issues at hand, this evidence-based model allowed us to overcome some of the limitations inherent in adopting a purely academic or purely practice-led methodology. For example, academic research, by its nature, is designed to address very specific research questions in a way that is controlled, replicable and publishable; while this is desirable to achieve scientific rigour, it may limit the degree to which the research findings can be applied to real-world situations. Practitioner approaches, on the other hand, can be too focused on the particular circumstances of the situation and not build on the body of knowledge that exists in the field. By drawing on the range of types of evidence, the evidence-based practice model chosen allowed us to take a broader perspective and bring together all the different elements that could contribute to a useful outcome.

The types of evidence we collected within each of the source of evidence categories are summarised in Table 5.

In order to collect all these types of evidence, bring them together in a coherent way and produce practical, usable outcomes for practitioners and organisations, we designed a research methodology that moved from establishing clear questions to address, to data collection, to analysis, to development and testing of outputs. An overview of the methodology is provided in Figure 3 and further detail on each step is provided below.

Table 5: Sources of evidence and evidence collected

Source of evidence	Evidence collected
Practitioners' expertise and judgement	• Interviews with key stakeholders within organisations (including managers, occupational health, health and safety and HR professionals) • Practitioner literature reviews (including organisational case studies)
Context, local evidence, circumstances	• Interviews with key stakeholders within organisations • Organisational data and evidence*
Evaluated external evidence	• Academic literature reviews • Practitioner literature reviews
Stakeholders' preferences or values	• Interviews with key stakeholders within organisations • Focus groups and checklist validation exercise with Affinity Health at Work (AHAW) Research Consortium • Validation exercise with six expert practitioners and academics • Validation exercise with organisational stakeholders

* This data was used only for organisation-specific gap analysis reports and was not generalised to be used in this research report.

Figure 3: Overview of the methodology

> ### Establishing research questions
> - What factors affect the success of a development programme aimed at changing manager behaviour?
> - What factors support transfer and sustainability of learning from management development programmes into the workplace?
> - What contextual factors are likely to impact on the relationship between manager behaviour and employee engagement, health and well-being outcomes?

> ### Conducting literature reviews
> Six literature reviews: one academic and one practitioner for each research question

> ### Conducting interviews and focus groups with stakeholders
> One-to-one interviews with a total of 29 key stakeholders from four organisations
> Two focus groups with AHAW Research Consortium

> ### Exclusion criteria applied, analysis and creating models
> All evidence was then collated and the following exclusion criteria from models applied: a) evidence from published academic and practitioner literature had to be empirically tested; b) stakeholder evidence (Research Consortium and organisation) was included only if evidence came from two or more sources from different organisations. Factors grouped into categories (for example, individual factors, intervention factors and contextual factors) and models created: three models created, one for each of the three research questions (including evidence from academic literature, practitioner literature and stakeholders)

> ### Developing checklists
> All three resultant models and data then reviewed by research teams as a whole with regards to organisational and practitioner need and utility. Data was reorganised according to intervention lifecycle (pre-, during and post-) and type of consideration (individual/manager, intervention/method and context/organisation). All models and data then combined and developed into three checklists

> ### Content and face validation of checklists
> Initial validation of checklists conducted qualitatively by AHAW Research Consortium members, and six academic and practitioner experts; and then in practice (to test usability and usefulness) by four organisations

> ### Development of final checklists and outputs
> Checklists revised according to three reviews (Research Consortium members, academic and practitioner experts and stakeholder use in organisations) and final version developed
> Research report created

Research questions

The overall aim of the research was to understand how organisations can best foster positive manager behaviour, through creating a context and providing programmes that support and develop managers, in order to achieve high levels of employee engagement, health and well-being. Based on the researchers' knowledge of the management development, training and development, and management and employee engagement, health and well-being literatures, we felt that we needed to focus the data-gathering on three main areas and aim to understand:

1 What factors will affect the success of a development programme aimed at changing manager behaviour?

2 What factors will support transfer and sustainability of learning from management development programmes into the workplace?

3 What contextual factors are likely to impact upon the relationship between manager behaviour and employee engagement, health and well-being outcomes?

Data-gathering

As described in *Evidence-based approach* on page 9, data was gathered in terms of four sources of evidence. In order to understand both the evaluated external evidence and practitioners' expertise and judgement, literature reviews were conducted using both published academic and practitioner literature (including organisational case studies). A description of the literature review methodology is included below (Table 6). In order to understand

the contextual, local evidence, stakeholders' preferences and also further practitioner expertise and judgement at this data-gathering stage, interviews with key stakeholders in four organisations were conducted along with two focus groups with the Affinity Health at Work (AHAW) research consortium. A description of the stakeholder interviews and focus groups is included below.

Literature reviews

Six literature reviews were conducted focusing on both academic and practitioner reviews addressing each of the three research questions (as described in *Research questions* above). For the academic reviews, searches were conducted within a range of databases including Web of Knowledge, PsycINFO, MEDLINE, Cochrane Library, Business Source Elite and Emerald E-Journals. For the practitioner reviews, searches were conducted within a range of both databases and websites including Google Scholar, Nexis, NICE, OpenGrey, CIPD, CBI, DH, BIS, HSE, EU-OSHA, Work Foundation, Acas, IES, BITC and CMI. Practitioner books and resources were also consulted. Table 6 explains the search process in more detail.

All relevant search results were then entered into six separate databases (one for each search) with the following headings consistent across all:

- Author and date
- Database/publisher
- Population (N, sector, country, function)
- Design (that is, case study/cross-sectional)
- Aims/hypotheses
- Moderators/mediators
- Type of intervention
- Success indicator/evaluation
- Findings

- Key recommendations
- Limitations

Stakeholder interviews and focus groups

The stakeholder interviews and focus groups aimed to enable the researchers to gain an understanding of these practitioners' perspectives on the engagement, health and well-being, and management development activities currently taking place in organisational settings in order to provide support to the literature reviews, and new insights on the research questions that we were exploring.

Stakeholder interviews

Four organisations participated in this project. Across these organisations, evidence was collected from 29 stakeholders who worked within occupational health (OH), health and safety (H&S), human resources (HR), and learning and development (L&D).

Interviews were held either face to face or by telephone with researchers and recorded. Interview pro formas were developed by the research team and included two parts. The first part of the interview focused on the context of the particular organisation. This included questions on the overall strategic aims of the organisation, together with any current initiatives and data collection in relation both to management development and to employee engagement, health and well-being. Data from this first part was used, along with other organisational data, in the development of four organisation-specific gap analysis reports, one for each of the participating organisations: this data was not used in this report as it was organisation-specific information not appropriate for generalised use for the research and practitioner guidance.

Table 6: Literature review search process

Research question	Keywords and relevant questions	Example search terms
1 Factors that will affect the success of a development programme aimed at changing manager behaviour	**Keywords:** Management development. Leadership development. Training effectiveness. Developing management capability. Manager behaviour change, leadership behaviour change. **Relevant questions:** What factors affect the likely success of a management development/organisational training and development programme? What factors affect the success of health and well-being interventions? How can we successfully and sustainably develop and change manager/leader behaviour? How can we develop managerial/leadership capability across organisations? What emerging perspectives can inform our thinking on developing leadership in organisations?	(OR longitudinal OR diary OR quasi-experiment OR intervention OR experiment OR randomised_control_trial OR randomized_control_trial) {methods search terms*note you may find that there is not enough methodology stuff to do a method search} AND (occupational OR organisational OR organizational OR industrial OR work) {sample search terms} AND (effective* OR efficacy OR success) {success search terms) AND (leader* OR manage*) {independent variable search term – for example leadership} AND (leader*_training OR leader*development OR manage*_training OR manage*_development OR manage*_behaviour_change OR Leader*_behaviour_change)
2 Factors that will support transfer and sustainability of learning from management development programmes into the workplace	**Keywords:** Training transfer. Transfer of learning. Training effectiveness. Sustainability of learning. Sustainability of training outcomes. **Relevant questions:** What factors support the transfer of learning from management development programmes/training programmes into the workplace? What factors are important to ensure training transfer and sustainability of learning?	(OR longitudinal OR review OR diary OR quasi-experiment OR intervention OR experiment OR randomised_control_trial OR randomized_control_trial) {methods search terms*} AND (occupational OR organisational OR organizational OR industrial OR work) {sample search terms} AND (effective* OR efficacy OR success OR sustainability) {success search terms) AND (training_transfer OR OR transfer_of_training OR transfer_of_learning OR learning_transfer)
3 Contextual factors that are likely to impact upon the relationship between manager behaviour and employee engagement, health and well-being outcomes	**Keywords:** Manager behaviour. Moderators of manager behaviour. Employee well-being. Employee engagement. **Relevant contextual factors:** Individual factors (meaning, self-efficacy, and so on) Team relationships (with peers, followers, TMX, LMX, peer support) Organisational processes (for example implementation, communication and degree of centralisation, training and support for managers, role of OH and other support services) Organisational structure Organisational culture (high-level management, blame culture, employee voice)	(multilevel OR longitudinal OR diary OR quasi-experiment OR intervention OR experiment OR randomised_control_trial OR randomized_control_trial) {methods search terms} AND (occupational OR organisational OR organizational OR industrial OR work) {sample search terms} AND (stress OR well-being OR health OR illness OR emotions OR affect OR mood) {well-being search terms} AND (leader*) (manage*) {independent variable search term – for example leadership} AND (organisational_culture OR organizational_culture OR process_evaluat* OR organisational_structure OR organizational_structure OR organisational_environment OR organizational_environment OR strate* OR institutional_environment) {moderator variable search terms – for example relating to macro-context} OR occupational_health OR leadership_ OR senior_management OR organizational_policies OR manager_training

The second part of the interview focused on the experience of the stakeholder and asked three questions. These were questions that reflected each of the three overall research questions (see *Research questions* on page 12), as follows:

- In your experience, what management development interventions have been successful in terms of changing manager/leader behaviour? (RQ1)

- In your experience, how can you ensure that learning/behaviour change from management development initiatives (and in fact training and development more generally) is transferred to the workplace and sustained? (RQ2)

- What organisational factors impact on the relationship between manager behaviour and employee engagement, health and well-being outcomes, both in your organisation and from your experience? (RQ3)

All 29 interviews were then transcribed and added verbatim into a database in Excel. The database had four worksheets: organisation-specific context/Part 1, Management development (RQ1), Transfer of learning (RQ2) and Context (RQ3). The worksheet for organisation-specific context/Part 1 was used only for the organisation-specific reports. Each worksheet recorded the stakeholder name, organisation and position and had one row per stakeholder.

Consortium focus groups
Two focus groups were conducted with AHAW Research Consortium members. The first, attended by five expert practitioners, focused on RQ1 and RQ2 (management development and training transfer) and asked two questions:

- What management development interventions have been successful in terms of changing manager and leader behaviour?

- How can you ensure that learning/behaviour change from management development initiatives (and training and development more generally) are transferred to the workplace and sustained?

The second focus group, attended by seven expert practitioners, focused on RQ3 (context) and asked the following question:

- What organisational factors impact on the relationship between manager behaviour and employee engagement, health and well-being outcomes, both in your organisation and from your experience?

Each focus group was 40 minutes long. Researchers recorded evidence from the focus groups using flipcharts and at the end the group agreed the evidence that had been transcribed. This information was then transferred to a Word document, thematically analysed and added to the database containing the stakeholder interview data.

Analysis and creating models

Evidence from the literature reviews (both academic and practitioner) was collated and exclusion criteria applied such that only evidence that had been empirically tested was retained (for instance only statistically significant findings and not hypotheses or 'thought pieces'). All retained evidence was then grouped into categories according to previous models, such as Blume et al (2010) and Donaldson-Feilder and Lewis (2011). The categories that related to the first two research questions

(RQ1 – success of training and development programmes; and RQ2 – transfer of learning) were individual factors (factors to do with the manager themselves), intervention factors (methods, process, content of intervention) and organisational/contextual characteristics (factors to do with the wider organisation/team/environment). The categories relating to the third research question (RQ3 – context) were mediators (for example creating meaning in employees) and moderators/barriers/facilitators. The latter category was further divided into organisational culture and context (such as organisational structure), relationship factors and individual factors (factors to do with the manager or employee).

For the stakeholder data (from both the focus groups and the interviews), a template analysis was applied where all the responses were categorised according to the same factors as the literature reviews: in other words, in the two worksheets relating to RQ1 and RQ2, responses were categorised according to individual factors, intervention factors and organisational/contextual characteristics; and the worksheet relating to RQ3 was categorised according to mediators and moderators/barriers/facilitators. Once the template analysis was completed, exclusion criteria were applied such that only responses that had been made by two or more stakeholders in more than one organisation were retained.

The final step was to combine all three sources of evidence (practitioner literature, academic literature and stakeholder data) into three models – using one model for each research question.

Developing checklists

The three models resulting from the analysis were then reviewed by the research team with regards to both organisational and practitioner need and utility. This review resulted in two key decisions. Firstly, it was decided that the output should be a set of checklists which would aim to support organisations to implement successful development programmes by helping them to consider the range of factors that could enhance or reduce effectiveness. Secondly, it was decided that, in order to maximise the utility of the outputs in practice and ensure that the research would actually impact on practice, the checklists needed to correspond with the chronology

of the intervention process, and the data should therefore be re-categorised into three chronological stages, as follows:

- **stage 1**: before the development programme – a checklist for those considering conducting a development programme

- **stage 2**: during the development programme – a checklist for those designing and implementing a development programme

- **stage 3**: after the development programme – a checklist for those embedding learning into the workplace.

Data within each stage was then categorised, in line with the categorisation described in *Analysis and creating models* (page 14), into factors under three areas of consideration: methodology (relating to the intervention factors category), manager (relating to the individual factors category) and organisation (relating to organisational/contextual characteristics category). This is summarised in Figure 4.

Finally, all data was summarised and converted into a series of questions in order that practitioners could use the output as a diagnostic tool. Each question was given a five-point response scale, where 0 was 'No, not at all', and 5 was 'Yes, completely'. A 'don't know' category was also added to control for response bias/forced responding.

Figure 4: The chronological nature of the checklists
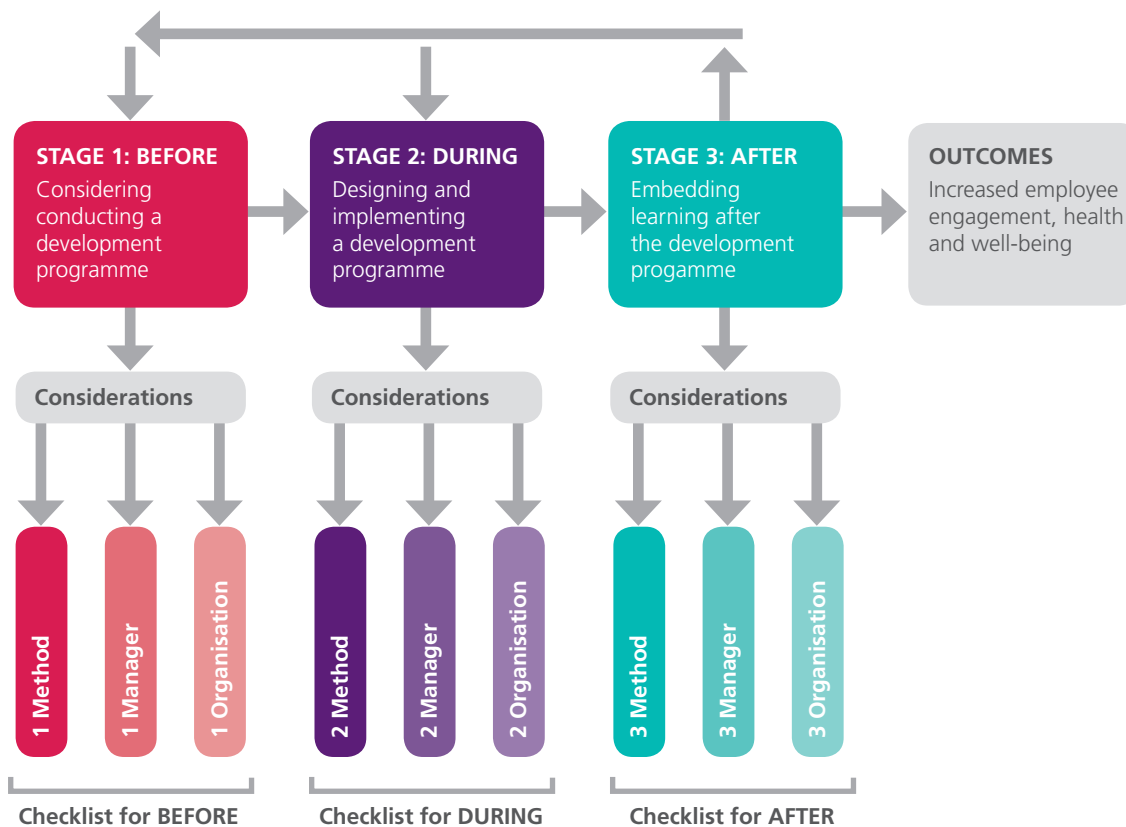
Content and face validation of checklists

Initial validation of the checklists was conducted qualitatively by AHAW Research Consortium members. The checklists were distributed to 15 consortium members, who were asked to answer three questions:

• Are the items relevant?
• Are they worded appropriately?
• Is there anything missing?

Consortium members wrote their comments directly onto checklist copies. All comments were then added as a column on a database against each checklist and each item. This enabled researchers to keep a record of development and identify any problematic items. No items were labelled as irrelevant. Some consortium members highlighted further evidence they would like included, for which the same inclusion/exclusion criteria were used as for all other data (as described in *Analysis and creating models* on page 14): if it was not empirical research and/or if

this request was from fewer than two people, from two or more organisations, no addition was made. It was felt that 26 items were worded inappropriately – often where language was too technical and academic – and these were changed accordingly.

The second versions of the checklists, following amendments from consortium members' input, were then distributed to six subject-matter experts (four academics and two practitioners). They were asked the same three questions as in the first stage of the validation with consortium members, but were asked to focus particularly on any literature or research that had not been included in the checklists. Twenty items were amended or added as a result of this stage in the development. Again, items were added only if they satisfied the inclusion/exclusion criteria as described in *Analysis and creating models* (page 14).

Finally, four stakeholders from each of the participating organisations

were asked to use the checklist within their organisation. This exercise was conducted in an interview format with a member of the research team. The results of this were used in each organisation-specific report to highlight those areas where organisations could develop and strengthen their intervention approach, and were used in the final stage of the validation process for the checklists.

In order to capture all the questions that arose during the validation that could not be included as items, or which pointed to issues with usage of the checklists in practice, a Frequently Asked Questions (FAQ) document was produced and designed to accompany the checklists.

The results of the research are structured into two parts: *2 Model development* focuses on development of the models according to each research question; *3 Checklist development* focuses on the checklists.

2 Model development

Results from academic literature review

As highlighted in *Management development* (page 7), the academic literature on management and leadership development is in its infancy. For many years, the focus within management and leadership literature has been upon identifying what a manager looks and behaves like, rather than upon considering how to develop and create this 'ideal manager'. However, the literature review identified eight academic papers that satisfied the criteria for inclusion in this section. The data from these papers has been divided into those referring to individual factors (factors to do with the individual themselves), intervention factors and contextual/organisational factors that may affect the successful development of the manager.

Individual factors

Academic literature has recently been criticised for the implicit belief that identifying the 'right' management/leadership theory will lead to the 'right' managers/leaders by appropriate training, with little recognition that developing skills and changing behaviour is a process that both unfolds over time, and may require different approaches for different individuals. Please note that in the following text the terms manager and leader will be used interchangeably as some research studies use one, some the other, but all are referring to those in people management/leadership positions.

A small body of research has sought to understand what underlying individual factors in the leader may support, or hinder, success of management development and/or perceptions of leader effectiveness. Anecdotal understanding is that the personality of the leader is key to the development of the 'right' leader; however, within the academic management development literature there is very little supporting evidence for this. That said, a longitudinal study by DeRue et al (2012), which is described in more detail in the following section on intervention factors, found that three personality traits moderated the effect of a management development intervention: when leaders were higher in conscientiousness, emotional stability and openness to experience, the intervention was more likely to be successful in developing the leader.

Day and Sin (2011) looked at goal orientations (which, unlike traits, can be developed and/or changed in an individual). These orientations (learning goal orientation, prove performance goal orientation and avoid performance goal orientation) refer to the types of actions that individuals undertake in achievement situations. Learning goal orientation refers to *'a desire to develop the self by acquiring new skills, mastering situations and improving one's competence'* (Van der Walle 1997). Prove performance orientation refers to *'the desire to demonstrate competence and gain favourable evaluations'* and avoid performance orientation refers to the desire to shun situations or opportunities that may disprove an individual's competence or create negative self-evaluations. It was found that a high learning goal orientation and a high prove performance goal orientation were associated with leadership effectiveness, suggesting that managers having these types of orientations will enhance the management development process. Conversely, individuals with a high avoid performance goal orientation were associated with lower leadership effectiveness over time. A final orientation found by Lester et al (2011) referred to how managers received feedback. Authors found that those managers who had an orientation for receiving tough, negative feedback were more likely to have a successful mentoring outcome.

Perhaps the most fascinating individual factor currently attracting much attention in the management development literature is that of leader identity. Leader identity is described as a multidimensional construct that goes beyond leader behaviours or traits and instead includes an individual's values, experiences and self-perceptions (Day and Harrison 2007). This body of work, therefore, rather than focusing on 'appearance' of leadership, explores the developmental processes that underlie leadership development. The suggestion is that the behaviours that are seen as evidence of effective leadership are actually underpinned by potentially unconscious development processes. Over time, an individual's

identity will develop as a result of experiences and challenges in life, becoming more complex and multifaceted. We may therefore have a range of different identities according to our different roles (such as parent, child, leader, professional). An individual's leader identity is a sub-component of their overall identity and refers to how they see themselves as a leader.

The literature suggests that leader identity is dynamic and is affected by both positive and negative experiences. When leadership is experienced in a positive way (for instance when peers agree with and commit to a choice of action taken by the leader), the leader identity is strengthened as a result of both an increase in self-efficacy and an increase in the likelihood of the leader then putting themselves forward for other development opportunities. If a leader has a negative experience (for instance the team refuses to be influenced by the leader), leader identity will be weakened, meaning they are less likely to then seek further opportunities to develop. This hypothesis is referred to as the identity spiral. Day and Sin (2011) were the first to test this empirically using a longitudinal action-learning-based intervention involving 1,315 students. The students were placed in 205 teams and asked to conceptualise, design, implement and evaluate a project to enhance their development as leaders. Leadership effectiveness was rated by a peer adviser at various time points across the 13-week intervention. At the end of the intervention it was found that the stronger someone identified themselves as a leader (the stronger the leader identity), the higher the perception of leadership effectiveness over time. In other words, thinking of oneself as a leader will enhance the likelihood of acting as a leader

and being seen by others as a leader. Although not yet tested empirically, DeRue and Ashford (2010) suggest that this 'identity spiral' actually also involves the followers, hypothesising that the leadership relationship is reciprocal and comprises mutually reinforcing identities from the leader and the followers. This extends the conclusions of Day and Sin (2011) by the proposal that being recognised and endorsed by others as a leader will create a more effective leader.

Intervention factors
Of the eight academic papers identified in the literature review, all had considered elements of the actual intervention itself (be that the method, process or content) that may affect the development of leadership and management capability. The literature supports the assertion by Day and Sin (2011) that development activities need to be long term (more than 13 weeks). Methodologies that were found to be effective included workshops and feedback counselling sessions (Kelloway et al 2000), lectures (von Vultee and Arnetz 2004), multi-rater feedback (Karsten 2010), coaching and mentoring (von Vultee and Arnetz 2004, Lester et al 2011, Karsten 2010, Day 2000). Alleyne and Jumaa (2007) and von Vultee and Arnetz (2004), both of whose studies involved medical participants (doctors and nurses), found peer collaboration and support to be important to the effectiveness of the intervention, for instance by involving the group in co-coaching, or using their peer network within the programme to think constructively about issues and solutions.

Two of the studies looked at relative efficacy of different methodologies: Avolio et al (2009), in a meta-analysis aimed at examining the

effects of leadership interventions, point to the importance of goal- and objective-setting, finding that those interventions that were linked to specific outcomes (such as behaviour change) were more effective than those focusing on emotional or cognitive change. Kelloway et al (2000) conducted a case study on 40 managers and their team members (n = 180) to investigate the effect of leadership training versus feedback on team members' perceptions of effective leadership. The study found both training and feedback to be significantly more effective than the control group in effecting behaviour change. Interestingly, however, the study found that participants who had received both training and feedback were no more effective than those that had just received one of the interventions. Although this is against common understanding, which is that leadership development should include a range of different methodologies, the authors explain that the reason for the lack of difference might be that, although the focus of delivery was different in the two interventions, the content was similar – and, as in the Avolio et al (2009) study, focused on setting *'specific, challenging, achievable and sustainable goals'*. Further work is needed; however, the suggestion is that different methodologies may only be important if their focus, rather than just their method of delivery, is different.

The work by Kelloway et al (2000) led to the conclusion that investing in relatively more expensive feedback sessions (which involve multi-rater feedback and individual attention) may not represent any more value than just a training intervention alone. A fascinating paper by DeRue et al (2012) provides further understanding of the value of feedback. DeRue et

al (2012) conducted a large quasi-experimental cohort study on 173 MBA students. These students had four leadership experiences over a nine-month period: a week-long team-building exercise; a five-week leadership simulation; a search process for an internship; and a case competition. All students had the same experiences and had a follow-up feedback session with a trained facilitator after each session. In the control group, this feedback involved the facilitator getting the individual to reflect on learning. In the experimental group, the facilitator used a process called an 'after-event review' (AER): this is defined as *'a learning procedure that gives learners an opportunity to systematically analyse their behaviour and to evaluate the contribution of its components to performance outcomes'*. The procedure consists of three components: (1) self-explanation (where the individual analyses their behaviour and considers how their behaviour contributed to their performance); (2) data verification (where the individual imagines other ways they could have behaved – and what the outcome of this would have been on performance); and (3) feedback (where the individual generates their own feedback and concludes what they have learned and what they would do differently next time). Within the AER, the facilitator would not provide any evaluative comments or feedback. Results revealed that the control group (who had all the leadership experiences and feedback/reflection sessions) showed little or no leadership development. The experimental group (who had the same leadership experiences, plus the AER) showed a significant improvement in their leadership effectiveness. What this suggests is that it is not the delivery/method that is important, but the content of that method. Coaching or feedback

may not be enough if it is not structured to facilitate and drive changes in behaviour.

Contextual/organisational factors

Although some academic literature states the importance of context – as illustrated by this quotation from Day (2000): *'Effective leadership development is not so much about the specific practices used, but more about the consistency of the implementation and ensuring it is implemented throughout the organisation'* – the literature review found no empirical papers that had actually measured any contextual variables in relation to success of management development programmes.

Results from practitioner literature review

'Most organisations care relatively little about which particular leadership theory has the most support, but they do care a great deal in how best to develop leadership.' This quote from Day and Antonakis (2013) highlights the difference in perspective between the academic literature and the practitioner literature and one that is very much reflected in our findings from this research. Unfortunately, although a huge amount of practitioner literature was found that referred to management development, the majority of the literature was anecdotal 'thought pieces' or suggestions. When applying the exclusion criteria, all but two papers were rejected. No papers were found that empirically tested either individual factors relating to management development, or contextual factors. The findings on intervention factors are summarised below.

Intervention factors

Carbonne (2009) undertook an experimental leadership

'Coaching or feedback may not be enough if it is not structured to facilitate and drive changes in behaviour.'

development intervention involving 28 participants from an engineering firm. An evaluation examined the key factors that facilitated or impeded the success of the programme and its participants. Four key factors were found. The first was that follow-up was critical to success. Carbonne (2009) recommends, in addition to having regular meetings and structured support following the intervention, that there is also a need to create a programme structure where all participants are held accountable for their development. The second factor was to establish buy-in, particularly from senior leadership. Carbonne (2009) stresses the importance of 'framing' the intervention positively and appropriately within the organisation to enable this. The third factor was the articulation of the programme goals to participants, particularly those goals that relate to a business case. Carbonne (2009) also suggests regular repetition of these goals throughout the programme. The final factor was the provision of ongoing resources to participants, such as a curriculum for follow-up groups and providing appropriate support.

Coates (2013) also carried out a study exploring the factors affecting success of leadership development programmes. This used a mixed method approach and involved 530 public sector managers in the UK over a four-year period. From this study, Coates developed a 'best practice' model of leadership development, which included six stages: (1) multi-rater feedback; (2) experiential learning (for instance using real-time projects and simulations); (3) one-to-one coaching; (4) application of learning on the job; (5) an action learning project (which involves the individuals establishing personal development objectives and the coach supporting them in achievement of these goals); and (6) further multi-rater feedback. After a two-year follow-up, participants stated that it was the use of a variety of different methodologies that made the intervention so effective. Two years on it was found that those who had been through the programme were three times more likely to have been promoted than those who had not; and 86% of participants found that the programme was more effective than any other they had attended. Senior management and staff also, two years on, rated the programme as having made a significant contribution to leadership capability in the organisation.

Results from stakeholder interviews and focus group

Individual factors
The only individual factor that more than two stakeholders in different organisations mentioned was that of leader self-awareness. This links to the academic literature on identity and seeing oneself as a leader. Stakeholders suggested that self-awareness could be raised and fostered by a range of personality assessments and multi-rater feedback. An interesting reflection was that although it was recognised that self-awareness was key, those that were self-aware tended to put themselves forward for development opportunities, and those that weren't avoided or did not volunteer for these opportunities (supporting the idea of the identity spiral postulated in the academic literature).

Intervention factors
The intervention factors highlighted by stakeholders focused on process and very much reflected the work by Carbonne (2009) from the practitioner literature review. Stakeholders suggested that it was important for the language of the programme to be appealing and positive for participants – for example, rather than suggesting people need development, to 'frame' the development more as 'you are already good, let's make you better'. Other thoughts on use of programme language were that it needed to be commonplace within the organisation (or linking to other programme names) and business-, rather than health-, focused (even if it was about employee health and well-being).

Stakeholders also stressed the importance of goals (highlighted in both academic and practitioner literature) but recommending that some of the goals are to make specific, small and simple changes so that participants can quickly be recognised for their success. Similarly to Carbonne (2009), stakeholders felt that the programme must communicate the goals in terms of benefits to both the organisation and the individual.

Contextual/organisational factors
Stakeholders were most focused on the context, particularly the organisational culture in which management development programmes would be most likely to be successful. Participants from all organisations felt that senior management involvement and buy-in was key to the success of the programme, with most suggesting that this is the biggest and most important element needing to be in place, as demonstrated by this interviewee: *'Fundamentally, if senior management team are involved and supportive it will have the greatest impact.'* It was also highlighted that not only did senior management need to be supportive of the programme, but also to lead by example by actively demonstrating the behaviours that are going to be learned and developed in the programme.

Many stated that getting both the support and the role-modelling was hard, with a pervasive 'do as I say, not as I do' culture within some organisations.

The importance of senior management was also reflected in stakeholders feeling there needed to be a culture of respect, where there was a sense of community and where everyone was treated fairly and equally. This type of culture would be one where all employees were valued, and recognised, for the work that they did and would be empowered to be able to challenge behaviour or practices within the organisation without fear of repercussion.

Finally, stakeholders felt that management development programmes could only be successful within an organisation where there were clear standards and expectations (such as competency frameworks and performance appraisals) that managers had to adhere to and were held responsible for; and therefore that there was an existing framework in place to be able to map out development and progression. This would also include a clear strategy and process from which to manage poor performance.

Resulting model

Depicted in Figure 5 is a summary of the results from this particular research question, listing all the relevant factors in each category. In the brackets after each factor, the source of the data is clarified (whether from academic literature review, practitioner literature review or from stakeholder interviews and/or focus groups). It is interesting to note how the three evidence sources focused on different areas when considering success of management development programmes. The academic literature focused mainly on individual differences within the trainees/managers themselves and the intervention. The practitioner literature was more focused on the content and methodology of the development programme, and the stakeholder on the contextual factors within the organisation itself. This difference highlights the importance of the evidence-based approach taken to develop a more rounded answer to the research questions.

Figure 5: Summary of results from research question 1

Intervention factors (methods of development, process, content of training)

Goal-setting (academic, practitioner, stakeholder)

A range of methods including: workshops (academic); multi-rater/360 feedback (academic, practitioner), experiential learning and learning on the job (practitioner), lectures (academic), coaching (academic, practitioner)

Appropriate language (practitioner, academic)

Developmental challenge (academic)

Mentoring (academic)

Feedback counselling (academic)

Group/peer collaboration (academic)

Management networks, for instance through action learning sets (academic, practitioner)

Follow-up session using, for instance after-event reviews (academic, practitioner)

Individual factors (factors to do with the leader themselves)

Leader identity / self-awareness / perceived efficacy (academic, practitioner, stakeholder)

Have both learning and prove performance goal orientation (academic)

Personality (conscientiousness, emotional stability and openness to experience) (academic)

Orientation for tough, negative feedback (academic)

Contextual/organisational factors (factors to do with wider organisation/team/environment)

Senior-level buy-in and role-modelling (stakeholder)

Organisational culture (including empowerment, mutual respect and permission to challenge behaviour) (stakeholder)

Setting standards and expectations for managers to follow (stakeholder)

Recognition of individual (stakeholder)

Link to organisational values (stakeholder)

Success/efficacy of management development programme

'Employees who feel more engaged with, and committed to, the organisation are more likely to want to use the skills learned in a development programme.'

Results from academic literature review

The core evidence from academic literature relating to this research question comes from two reviews: an integrative literature review by Burke and Hutchins in 2007, and a meta-analysis by Blume et al (2010). Blume et al (2010) criticised previous studies as including flawed data: their main criticisms were that data captured relied on self-reports (they argued this could over-estimate relationships between variables by up to 30%) and were cross-sectional (so only measuring training transfer immediately after the training rather than following a time lag). This criticism applies to Burke and Hutchins' review. Despite this, the decision has been made to include the earlier (Burke and Hutchins) review here for various reasons. Firstly, although the criticism regarding self-report is valid, the perspective of the self (manager) on transfer of learning is important to enable a wide perspective of learning, particularly as measures of learning are often unduly narrow, so not gathering the perspective of the manager may mean not capturing the full extent of learning. Secondly, a study by Franke and Felfe (2012) found that there was a strong correlation between motivation to transfer learning (which would have been captured in cross-sectional studies by measuring transfer immediately after the training) and actual behavioural transfer one year later. This suggests that if managers intend to transfer their learning, they are more likely to actually do so. To reject the Burke and Hutchins (2007) data based on the criticisms

of Blume et al (2010) would therefore be unhelpfully harsh.

In addition to these two reviews, six studies conducted after the Blume et al (2010) paper have also been included. For ease of interpretation, results have been categorised according to whether they consider individual factors, intervention factors or organisational factors.

Individual factors

Within the academic literature, research on the individual characteristics of the manager that are predictive of training transfer falls into three categories: cognitive ability; personality; and motivational/attitudinal characteristics.

Cognitive ability (and general ability) has consistently been shown (Blume et al 2010, Burke and Hutchins 2007) to be the strongest overall predictor of training transfer. Blume et al's (2010) meta-analysis found the relationship between cognitive ability and training transfer to be 0.37: in other words, 37% of the difference in training transfer across participants could be attributed to cognitive ability. Although some academic papers have recommended the proactive selection of candidates for development on this basis, we would suggest practitioners exercise extreme caution in considering this approach. Firstly, many of these studies have not been conducted on managerial samples but on general population samples. The general population will have a much wider spread of cognitive ability than that of a managerial sample and so the relationship between cognitive ability and transfer of learning may not be as strong in a managerial sample. Secondly, there is an ethical issue to consider if

participants are excluded on the basis of their cognitive ability, which is something that they have no power to affect or change. Finally, learning and training research has suggested that the effect of cognitive ability on success of learning from training can be largely mitigated if those with lower cognitive ability are given more time: this suggests that an extended development programme may not demonstrate these differences.

Much attention in the academic literature has also been paid to the importance of trainee personality in transfer of learning. In their meta-analysis, Blume et al (2010) found conscientiousness and neuroticism to be the strongest predictors of learning: individuals that were higher in conscientiousness, and lower in neuroticism, were more likely to transfer their learning successfully into the workplace. Also found to be negatively associated with transfer of learning into the workplace are anxiety (Colquitt et al 2000) and negative affectivity, which is the tendency of individuals to feel negative emotions (Burke and Hutchins 2007). However, selecting managers onto a programme based on their personality is problematic because, as is the case for cognitive ability, the managers have no power to affect or change their personality and so would be effectively permanently excluded from development.

A more positive area to focus upon is the academic insights with regards to trainee motivational, orientation and attitudinal characteristics. Unlike personality and cognitive ability, motivations, orientations and attitudes can be developed and changed in an individual and therefore this area of study offers real opportunities for practitioners to develop their

managers effectively. Perhaps the most consistently strong finding relates to the positive impact of self-efficacy (Blume et al 2010, Burke and Hutchins 2007, Simosi 2012). Self-efficacy refers to the belief that trainees hold in their ability to perform tasks. In the context of management development, it would refer to the belief or confidence the trainees hold in their ability to use the learning and skills in the workplace.

Goal orientations were explored under Research question 1 (page 17). Learning goal orientation, which refers to *'a desire to develop the self by acquiring new skills, mastering situations and improving one's competence'* (Van de Walle 1997), was found to be important to enhance the management development process. Within the training transfer literature, this orientation has also been found to be predictive of transfer of learning (Blume et al 2010). Related to this orientation for developing and learning, literature (Burke and Hutchins 2007, van der Locht et al 2013, Franke and Felfe 2012) has found that if managers have a motivation to learn, and a motivation to transfer that learning, they are much more likely to be successful in transferring skills and learning from the training context to the working environment. Training motivations refer to *'the intensity and persistence of efforts that trainees apply in learning oriented activities before, during and after training'* (Tannenbaum and Yukl 1992).

Three attitudinal characteristics have also been highlighted by the academic literature as positively affecting transfer of learning. The first is that individuals feel involved, and actively participate, in their job (Blume et al 2010) and so see the job that they do as

holding meaning and significance for them – and being important for their self-worth. The more that a manager feels involved in their job, the more they will want to develop and progress in that role and so focus on development opportunities. The second is the individual's commitment to the organisation (Burke and Hutchins 2007). Employees who feel more engaged with, and committed to, the organisation are more likely to want to use the skills learned in a development programme. Finally, research has found perceived utility (Burke and Hutchins 2007, van der Locht et al 2013) to be key for transfer of learning. This refers to the value associated with the development programme. Managers who believe that the programme is useful and will provide positive outcomes for them are more likely to apply the skills that they have learned. This also relates to a finding by Blume et al (2010) that managers who felt that they had increased their knowledge as a result of the programme were more likely to seek to develop their skills further.

A recent development in the academic literature is recognition of the importance of perceived organisational support (Franke and Felfe 2012, Chiaburu et al 2010), defined as *'the employees' belief about how much the organisation cares about them and values their contributions to the organisation'* (Chiaburu et al 2010). In this context, perceived organisational support would refer to employees perceiving that their organisation will enable and support them in transferring the learned skills to their job. Chiaburu et al (2010) found that both perceived organisational support and perceived supervisor support were positively related to trainee self-efficacy, motivation to learn and learning goal orientation,

suggesting that either source of perceived support can influence these relevant individual factors.

These motivational and attitudinal characteristics can all be developed in delegates before, during and after training by, for instance, highlighting the benefits of the training, demonstrating the end result and building confidence that they can succeed in the programme.

Intervention factors
Perhaps the most consistent finding across a range of academic literature (for example Blume et al 2010, Burke and Hutchins 2007, Johnson et al 2012) is the importance of goal-setting. Based on goal-setting theory (Locke and Latham 1979, Latham 2007), the benefits of goal-setting have been consistently demonstrated in over 500 empirical studies in occupational psychology (Seijts et al 2004). This research has demonstrated that goals are most effective when they are specific (meaning that individuals are very clear in what they are working towards), difficult (enough to feel challenging but not unachievable) and where there is commitment (where individuals actually want to achieve the goal). When the goal satisfies these three criteria, individuals have been shown to regulate their behaviour by directing more attention and action, energy and effort over time to achieve it – in this case to transfer the learning. In these circumstances individuals are also more likely to be persistent in their pursuit of that goal – and therefore not give up at the first setback or barrier to achievement. Johnson et al (2012) further found, in the context of training transfer, that it is more effective to set multiple goals for managers to achieve from the development programme.

Other research has shown that, in order to improve the likelihood of transfer, the content of the intervention should be relevant to the manager's role, and so be as closely linked to the job as possible (Burke and Hutchins 2007). Some argue (for example van der Locht et al 2013) that such 'identical elements' are important in order that the responses that the managers learn to make in the development situation can then be applied consistently in their job.

Practice and feedback will enhance the long-term maintenance and application of skills (Burke and Hutchins 2007). This would apply not just to the development programme itself, but following the programme with ongoing support and opportunity to practise and gain feedback on progress. These opportunities are explored further in the 'Contextual factors' section below.

Blume et al (2010) suggest that an optimistic preview of the programme be communicated to participants before it starts. It is likely that an optimistic preview, which would show the benefits of taking part in the programme and the potential positive outcomes for the individual, would build and develop the motivational characteristics explored in the previous section such as self-efficacy and motivation to learn.

Figure 6: Goal-setting theory
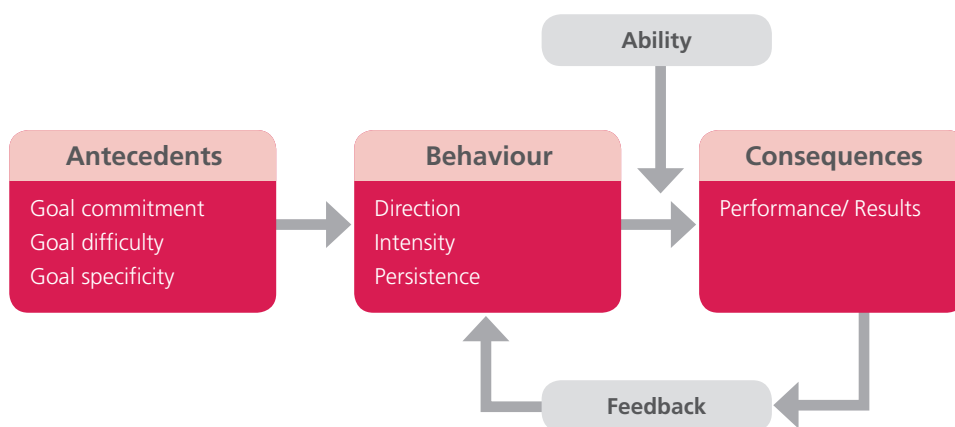
Adapted from Latham (2007)

Contextual/organisational factors

Transfer climate was identified by both Blume et al (2010) and Burke and Hutchins (2007) as having strong to moderate correlations with transfer of learning and skills into the workplace. Transfer climate was first defined by Rouiller and Goldstein in 1993 and refers to *'those situations and consequences in organisations that either inhibit or facilitate use of what has been learned in training back on the job'*. Features of a transfer climate are said to include cues that prompt managers to use the new skills learned, reward and recognition for use of those skills, accountability for not using the skills, and social support from peers and supervisors. Much of the academic literature exploring contextual factors affecting transfer of learning use this 'catch-all' descriptor of transfer climate: this means that it fails to provide practitioners with specific and independent features of the environment that are useful. That said, some studies have identified specific features that have been shown to be important for transfer of learning.

Perhaps the most consistent factor across academic literature to explain the link between the organisational environment and transfer of learning into the workplace (tallying very much with stakeholder perspectives reported on page 26) is the support that managers are given to utilise the new skills. Blume et al (2010) found supervisor support to be the single most important form of support (also supported by Burke and Hutchins 2007 and Chiaburu et al 2010). Supportive supervisor behaviours that are cited (Burke and Hutchins 2007, Chiaburu et al 2010) include: discussing the new learning; the participation of the supervisor in the development programme; providing opportunity and encouragement to use new skills in the workplace; assisting managers with overcoming obstacles to performance; providing goals and accountability; managing workload during development programme; and providing feedback on performance. Support from peers is also a consistent factor found to influence transfer of training (Blume et al 2010, Burke and Hutchins 2007, Chiaburu et al 2010), particularly if that support involves networking with peers and sharing ideas about course content.

A further specific element of transfer climate found to be important was the opportunity to perform learned skills (Burke and Hutchins 2007). Burke and Hutchins refer to papers that found participants having limited opportunity to perform the skills they had learned was the greatest barrier to successful training transfer (and the opportunity to use the skills was the greatest form of support for such transfer).

Finally, Simosi (2012) explored the impact of different cultures on training transfer. She explored humanistic organisational culture (where priority is given to teamwork, active involvement of employees in decision-making and empowerment) and achievement-oriented culture (where priority is given to pursuit of excellence and achieving goals). Simosi found that both a humanistic organisational culture and an achievement-oriented culture were predictive of intention to transfer. Interestingly, this study found that having an achievement-oriented culture was the stronger predictor of transfer (over and above both humanistic organisational culture and manager self-efficacy).

'Practice and feedback will enhance the long-term maintenance and application of skills.'

Results from practitioner literature review

Only one practitioner paper was found that conducted an empirical study to explore the issue of how best to maximise the transfer and retention of learning. Longenecker (2004) conducted qualitative research with 278 managers who had had extensive experience as participants in management development programmes. All were asked: *'Based on your experience, what specific actions are needed to increase a manager's retention and transfer of learning from the classroom to the workplace?'*
The responses were content-analysed and presented in terms of frequency of mentions: the results are summarised (in rank order) in Table 7 with frequencies. They have also been categorised into practices to do with individual factors, intervention factors or contextual/organisational factors.

As Table 7 shows, most of the key practices that emerged from this research focused on intervention factors and also mapped very clearly with those identified in the academic review – with some notable and interesting additions, such as building in an opportunity for managers to teach the material learned to others,

and providing a coach/mentor to ensure that managers are held accountable for utilising their new skills in the workplace.

Longenecker (2004) also found that there were some individual factors, in the form of specific actions and practices, which managers found useful in increasing their learning and transfer. Three 'learning imperatives' were identified: (1) being an action-oriented learner (which would relate to having a learning goal orientation from the academic literature and having a motivation to learn); (2) being accountable for the application of skills (although it could be argued that this is an intervention factor rather than an individual factor, it may be that managers identified that to feel accountable in addition to being held accountable was key); and (3) to practise and consistently review the material (again this would largely be an intervention factor).

It must be highlighted that, although it is empirical research, this study only represents the retrospective perceptions of managers on what has been important for transfer of learning

to the workplace – and so therefore may not represent actual factors. That said, as this work largely reinforces the findings of the academic literature, it can be seen as supplementary evidence in favour of the factors identified in the previous section.

Results from stakeholder interviews and focus group

Interestingly, and similarly to the practitioner review, stakeholders did not perceive individual factors to be key in the transfer of learning to the workplace, but instead focused on intervention and contextual/organisational characteristics.

Intervention factors

The perceptions from stakeholders very clearly reflect Longenecker's (2004) findings. Stakeholders reflected on the importance of goal-setting and creating action plans, particularly when these plans are embedded within a performance appraisal or wider performance management process. Stakeholders from all organisations reported that follow-ups needed to be carried out to ensure managers reflected on their learning and to enable them to measure change. It was also suggested that managers

Table 7: Summary of findings from Longenecker (2004)

No.	Key practice	Frequency (%)	Category
1	Development of goals and action plans for using skills on the job	59	Intervention
2	Ensure participants are active in the learning process	48	Intervention
3	Ensure participants actively review material after the programme	44	Intervention
4	Create report to supervisors/peers on learnings	42	Intervention
5	Review action plan with supervisors for accountability	39	Intervention
6	Embed action plan within performance appraisal review	37	Organisational
7	Provide opportunities to apply their learnings	33	Organisational
8	Ask managers to teach material to others	32	Intervention
9	Provide peer coach/mentor to hold them accountable for applying new skills	29	Intervention
10	Put visual aids and cues in the workplace to remind them to apply skills and practices learned	22	Intervention

should be asked to debrief on their learning to their manager and to their team. Once again, accountability was also felt to be key, with comments that this could be done through target-setting and through management support and follow-up. Something that was not mentioned in Longenecker (2004) but was mentioned by the majority of stakeholders was the importance of providing opportunities for support and feedback within the programme. Ideas for this were using feedback systems, mentoring and encouraging the use of peer action learning sets.

To enlarge on the idea of action learning sets: action learning is a process of learning and reflection that happens with the support of a group or 'set'. The 'set' meets regularly to work on real issues with the aim of participants learning with and from each other and taking forward actions as a result of the support the 'set' provides. The idea of action learning sets for management development would be for a small group of managers (approximately six) to meet up periodically (stakeholders mentioned every six weeks) to discuss issues and continue to build and develop their management skills.

Contextual/organisational factors

As found in the management development review under *Research question 1* (page 17), stakeholders strongly felt that being within a supportive culture and environment was absolutely key to ensuring that the skills learned could be successfully applied to the workplace. This included having senior management support (both support for the programme and a demonstration of support via role-modelling and leading by example), supervisor support and support from their team, including both direct reports and peers. Furthermore, stakeholders highlighted that support needed to be demonstrated more widely within the organisation; that support should be available from HR, training departments and wider HR business partners; and that the relevant policies and procedures should be supportive, accessible and visible to all. This strongly echoes the academic literature findings on the importance of support.

Stakeholders also felt that, in order to succeed, the programme needed to be seen as part of an overall and ongoing process of development, and be both integrated with other training and aligned with the organisational culture and values. An important cultural indicator, which was mentioned by stakeholders in all participating organisations, was that the organisational culture needed to be one where there could be an open dialogue across all levels and functions and where employees were encouraged to give feedback and be challenging. More specifically, stakeholders from all participating organisations felt that the team members needed to be encouraged to give feedback to managers on their progress and their learning.

Finally, once again, the need for accountability was mentioned by interviewees from all participating organisations in order that both the manager and wider stakeholders (such as supervisors, senior management and HR) be held responsible for ensuring that learning was transferred into the workplace.

'Action learning is a process of learning and reflection that happens with the support of a group or "set".'

Resulting model

Depicted in Figure 7 is a summary of the results from this particular research question, listing all the relevant factors in each category. In the brackets after each factor, the source of the data is clarified. Once again, the academic literature is the only one of the three literature sources to focus upon individual differences within the managers that will affect training transfer.

That said, across both intervention and contextual/organisational characteristics, it is encouraging to see similar factors emerge from all three sources of evidence.

Figure 7: Summary of results from research question 2

Intervention/training characteristics (training methods, process, content)

Pre-training activities, including optimistic preview (academic)

Goal-setting, including setting multiple goals (academic, practitioner, stakeholder)

Open skills (academic)

Voluntary participation (academic)

Relevant/identical content to work (academic)

Opportunity to practise (academic)

Feedback (academic, stakeholder)

Mentoring (stakeholder)

Behavioural modelling (academic)

Post-training activities including follow-ups, review of material/debrief, review of action plan, visual aids as a reminder of learnings (practitioner, stakeholder)

Action learning sets or guided learning (stakeholder)

Teach material to others (practitioner)

Accountability (practitioner, stakeholder)

Contextual/organisational characteristics (context)

Senior management lead by example (stakeholder)

Transfer climate (academic)

Supervisor support (academic, stakeholder)

Peer support (academic, stakeholder)

Perceived organisational support (academic, stakeholder)

Support from key stakeholders (such as HR, L&D) (stakeholder)

Opportunity to perform and apply learnings (academic, practitioner)

Goals and plan to be part of performance appraisal (practitioner)

Achievement culture orientation (academic)

Integrate with wider organisation (training, culture, values) (stakeholder)

Individual/trainee characteristics (factors to do with the trainee)

Cognitive ability (academic)

Personality (conscientiousness, neuroticism (–), negative affectivity (–), anxiety (–)) (academic)

Self-efficacy (academic)

Motivation to learn and learning goal orientation (academic, practitioner)

Motivation to transfer (academic)

Post-training knowledge (academic)

Experience (academic)

Job involvement and commitment to the organisation (academic)

Perceived utility of development programme (academic)

Transfer of learning into the workplace

With this final research question, the aim was to explore and identify the contextual factors that had been found to impact upon the relationship between manager behaviour on the one hand, and employee engagement, health and well-being outcomes on the other hand. This evidence falls into different categories from the preceding two questions where we could identify individual, intervention and contextual/organisational factors, all of which directly impact on the area of interest (success of management development and transfer of learning respectively). For this third question, the interactions are more complex, so we explored: mediators (factors that management behaviour affects and creates, which subsequently impact upon employee outcomes); moderators (factors that affect the impact of management behaviour on employee outcomes, making the behaviour of the manager more or less impactful); and barriers and facilitators (factors that have an impact on one or more parts of the relationship between management behaviour and employee outcomes).

The ways in which mediators, moderators and barriers/facilitators affect the relationship between manager behaviour and employee outcomes is depicted in Figure 8.

The contribution from the academic literature is very different in this area from the practitioner and stakeholder evidence. The results from the academic literature provide good evidence for factors that are mediators and some limited evidence on moderators; it does not consider the broader concepts of barriers and facilitators at all. By contrast, in the practitioner literature and stakeholder interviews/focus groups there was little or no consideration of mediators, and relevant factors tended to be explored in terms of barriers and facilitators that influence the relationship between manager behaviour and employee outcomes in a range of ways, rather than strictly moderating that relationship.

Figure 8: The ways in which mediators, moderators and barriers/facilitators affect the relationship between manager behaviour and employee outcomes
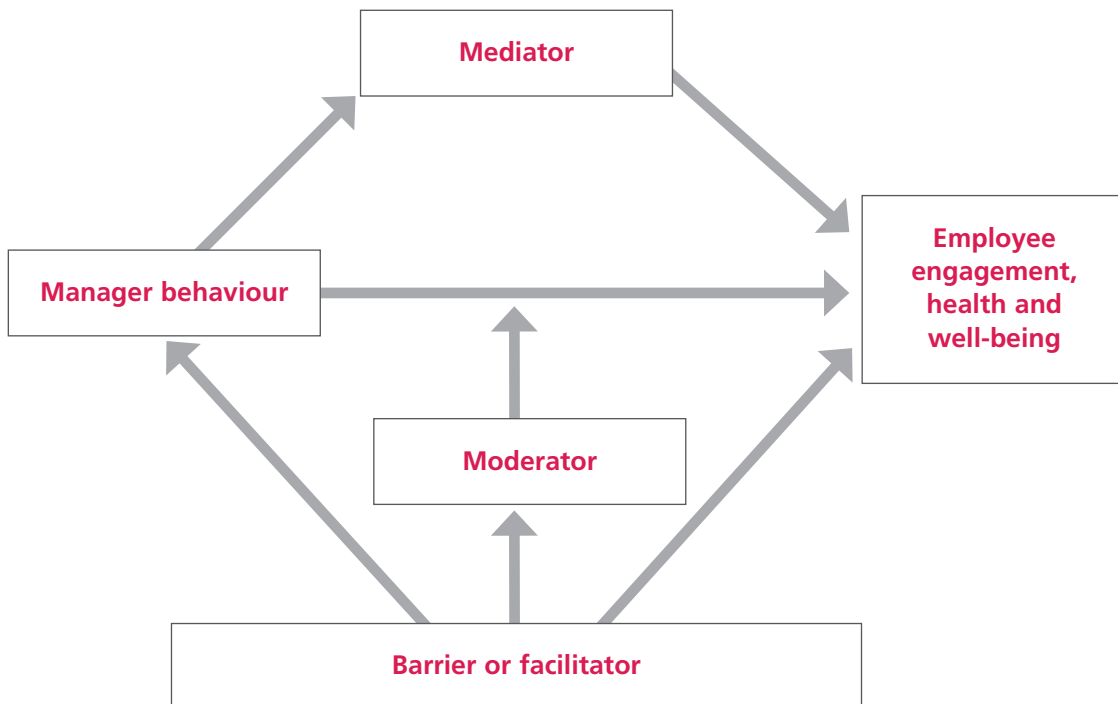
When analysing the data, it was found that the factors identified could be categorised into: those to do with organisational culture and context; and those to do with individual factors (manager or employee). For the practitioner literature, there was an additional, intermediate category of factors: those to do with relationships (manager and others).

Results from academic literature review

Mediators
A number of academic articles have explored mediators of the relationship between management behaviour and employee engagement, health and well-being outcomes, both organisational factors and personal factors.

Organisational factors
Leithwood et al (1996), in their study exploring the relationship between leadership behaviours and burnout in 337 Canadian teachers, found three organisational factors to be mediators. These were job demands, social support and organisational support (where there was opportunity to change types of work and work in flexible, non-hierarchical organisational structures). The mediated relationship was as follows: leadership behaviour was found to impact on employees' (teachers') experience of job demands, social support and organisational support, which then affected levels of employee/teacher burnout. Leithwood et al (1996) also explored personal factors as mediators (described in the next section) but found organisational factors to be consistently stronger and therefore more important considerations.

Nielsen and Daniels (2012) conducted a large study with 56 leaders and 424 followers in two Danish organisations.

The relationship between transformational leadership and well-being (both work and non-work) was found to be mediated by providing individuals with social support and by developing individuals' perceptions of more meaningful work. Group cohesion and role conflict were also found to be mediators of the *leader behaviour–employee well-being* relationship.

The Nielsen and Daniels (2012) study corroborated a previous longitudinal study exploring the mediators of the relationship between transformational leadership and employee well-being by Nielsen et al (2008), which also found a mediating effect of meaningful work. This earlier study found that employees' perceptions of their work characteristics, including role clarity, meaningfulness and opportunities for development mediated the *leader behaviour–employee well-being* relationship. The conclusion from Nielsen et al (2008) was that transformational leadership can increase the well-being of employees, but only if the behaviour of the manager alters the way employees perceive their work – particularly by making them clearer about their role, making them feel that their job is meaningful and by enabling them to see opportunities to develop.

Gurt et al (2011) also found role clarity to be a mediator of the relationship between leadership and well-being, together with a 'psychological climate for health'. The latter is defined as a climate in which there is a shared vision, a positive outlook and a sense of community.

Barling et al's (2002) paper focused on physical health outcomes – namely injuries (and was actually the only paper in our review to

look at physical health). It found that safety-specific transformational leadership predicted occupational injuries, and that the relationship was mediated by the effects of perceived safety climate (a reflection of the employee's perceptions of organisational policies, procedures and practices in relation to occupational safety), safety consciousness and safety-related events.

Individual factors
As mentioned above, Leithwood et al (1996) explored personal factors as mediators and found both personal goals (understanding and supporting departmental goals and direction) and context beliefs (working within a friendly, collaborative environment) to be mediators of the relationship between leadership and teacher burnout.

Nielsen et al (2009) explored both employee self-efficacy and team efficacy as mechanisms that linked transformational leadership with employee health and well-being. The cross-sectional study was conducted on 274 employees of care homes in Denmark. The study found that both self-efficacy (employees' belief about whether they could cope with the job demands given their resources) and team efficacy (employees' assessment of their team's collective ability to carry out their work successfully) fully mediated the relationship between transformational leadership and employee well-being, with self-efficacy explaining a greater proportion of the variance in well-being than team efficacy. Similar findings with regards to self-efficacy were also found by Liu et al (2010) and Nielsen and Munir (2009).

Walumbwa et al (2010) explored the mediators of the relationship between authentic leadership and

employee engagement, conducting the study on 129 managers and their 387 team members in two organisations in China. The study found that followers' identification with their leader and feelings of empowerment fully mediated the relationship between authentic leadership and engagement.

Kelloway et al (2012) explored the mediators of the relationship between transformational leadership and employee well-being in 436 employees in Canada. The research found that employees having trust in their leader fully mediated this relationship. This finding was also replicated by Liu et al (2010).

Moderators

Academic research in this area very much focuses on the mediating relationships rather than moderators. No academic research was found which addressed organisational moderators of the relationship between manager behaviour and employee outcomes. One paper, by Zhu et al (2009), looked at individual moderating factors and aimed to examine whether the relationship between transformational leadership and employee engagement was moderated by follower characteristics, such that the relationship would be stronger when followers had more positive characteristics. The research was conducted on 48 supervisors and their 140 followers across a range of industries in South Africa. Although only cross-sectional, the findings were that the relationship between transformational leadership and employee

engagement was stronger when employees were independent thinkers, were willing to take risks, were active learners and were innovative. The suggestion from authors was that there needed to be attention paid to followership training in addition to leadership training to increase the likelihood of success of the leadership development.

Results from practitioner literature review

Mediators

In the practitioner literature review, no papers were found that explored mediators of the relationship between manager behaviour and employee engagement, health and well-being.

Barriers and facilitators

Three papers that explored barriers and facilitators satisfied the criteria for inclusion in this section. By far the most comprehensive analysis was the work of Donaldson-Feilder et al (2009). The data for this was collected as part of a wider research study: to examine the question of *'What are the barriers to managers showing positive behaviours?'*, focus groups were conducted with 112 managers. Importantly, and unlike other work in this field, Donaldson-Feilder et al (2009) also captured information from managers on how these perceived barriers could be overcome. A summary of the findings from this research is included in each of the following sections, along with other data found.

'Transformational leadership can increase the well-being of employees, but only if the behaviour of the manager alters the way employees perceive their work.'

Organisational culture and context

Table 8, adapted from Donaldson-Feilder et al (2009), shows the moderators at the organisational culture and context level identified in their research to impact upon the relationship between manager behaviour and employee outcomes.

A synthesis report by the Work Foundation (2009) called *Quality People Management for Quality Outcomes* also contributed to understanding the barriers and facilitators to positive manager behaviour and its relationship with employee health, well-being and engagement. In this report, organisational culture was found to be key: stifling, insecure, hierarchical cultures that were not led by their values were cited as being negative influences on manager behaviour. It found that the culture needed to be one of honesty, where employee voice was heard and recognised. The report also found a negative effect when managers were not being incentivised to prioritise employee interests, and were instead focusing on the bottom line, with a target-driven mentality. The report further suggested lack of HR capability in both managers and HR personnel were barriers, as were HR practices and services that did not meet the requirements of the employee population.

A report by the CIPD called *Engaging Leadership* (2008) also found that having stakeholder support was key to managers being enabled to demonstrate positive behaviours, particularly where teams are multidisciplinary. Donaldson-Feilder et al (2009) also reinforced the need for stakeholder support.

Relationship factors

Table 9, adapted from Donaldson-Feilder et al (2009), shows the moderators at the team/relationship level identified in their research to impact upon the relationship between manager behaviour and employee outcomes.

Table 8: Organisational barriers to positive manager behaviour

Organisational-/wider-level barriers	
Barriers to displaying positive behaviours	**How this barrier might be overcome**
Organisational barriers (such as processes and bureaucracy)	• Challenge the processes and make suggestions for improvements • Create a steering group to focus on issues • Speak to others • Find ways around the processes • Develop creative approaches • Find a way to work within the system
IT issues, particularly excessive use of email	• Work from home • Ignore/delete 'round-robin' emails • Use 'out of office' or other messages • Work from home • Use a Blackberry to deal with emails on journey to and from work • Make senior managers aware of the issue • Challenge those who excessively use email • IT training
Impact of legislation, policy and government targets	• Share ownership and responsibility where appropriate • Consult specialists • Admit when you don't know • Training and development • Recognise the things that 'have to happen'
Not being able to share some information with the team that you would like to	• Build team trust so that they don't need proof • Avoid favouritism • Gain clarity about when to be consultative and when to be directive • Be honest that there are things you can't share • Increase team understanding of your role • Refuse to give false information • Take responsibility for your position • Use your own support structures

Adapted from Donaldson-Feilder et al (2009)

Table 9: Team/relationship barriers to positive manager behaviour

Team/relationship barriers	
Barriers to displaying positive behaviours	**How this barrier might be overcome**
Lack of progress/capability within the team	• Deal with poor performance • Make use of organisational policies • Communicate honesty with the team member involved • Increase one-to-ones with all team members • Communicate objectives clearly
Problematic behaviours/attitudes of team members	• Face and take action on the situation • Deal with poor performance • Develop a case/note down all incidents • Seek to find out the cause of the behaviour/attitude • Reflect back to the team member on their behaviour and your feelings about it • Role-modelling • Seek external advice and discussion • Take a step back to enable reflection and preparation • Clarify both their and your objectives • Recognise your feelings and your behaviour • Use of humour

Adapted from Donaldson-Feilder et al (2009)

The reports by the Work Foundation (2009) and the CIPD (2008) suggested that facilitators would include a perception that management and leadership were engaging with the team, and strong, positive relationships between the manager and employees within the team. These reports also suggested that the relationship would be more likely to be a positive one if the team had been working together longer, and if the size of the team was small (to allow for individualised attention to employees).

The Work Foundation (2009) also made an interesting point about the importance of trust in the manager. They found that employees were more likely to show commitment to the organisation, and be more engaged, if their psychological contract was *'trust based, negotiated, collective, broad, equal and long term'* and that, if trust was violated, there was likely to be reduced employee performance, well-being and commitment. The

report pointed out that, with the rising prevalence of high levels of change in organisations, lack of job security and increased focus on targets, it was more likely that trust, and therefore the psychological contract with the employee, would be violated than ever before.

Individual factors

Table 10, adapted from Donaldson-Feilder et al (2009), shows the moderators at the individual level identified in their research to impact upon the relationship between manager behaviour and employee outcomes.

The Work Foundation report (2009) found that managers did not always have the opportunity to learn and develop new skills, which may explain the issue found by Donaldson-Feilder et al (2009) of managers not feeling confident in their own ability. Related to this was the impression that operational demands were prioritised over people management and development.

Results from stakeholder interviews and focus group

Mediators
Stakeholders mentioned one factor that could be considered a mediator of the relationship between management behaviour and employee outcomes: this was culture of communication. Stakeholders from every organisation felt that communication was key to the relationship. Their feeling was that if employees were not communicated to adequately by their line manager, this would create a culture of lack of communication, leading to employees feeling less valued and ultimately impacting negatively upon employee well-being outcomes.

Barriers and facilitators

Organisational culture and context
Many stakeholders referred to the culture and context in which manager–employee relationships

Table 10: Individual-level barriers to positive manager behaviour

Individual-level work barriers	
Barriers to displaying positive behaviours	**How this barrier might be overcome**
Workload	• Planning • Prioritising • Challenge upwards and negotiating • Delegate/find extra resource where possible • Communicate honestly to the team what you are doing/trying to do • Diarise time for reflection/contingency time • Use 'surgery hours' rather than open door policy for team • Protect time to communicate with team • Take 15–30 minutes each day to get free time/fresh air and think/reboot
Short-term deadlines and demands	• Challenge upwards: request priorities and explain consequences for team • Anticipate and plan for regular deadlines • Communicate the strategy behind the deadline to the team • Thank the team for their efforts
Conflicting pressures and multiple priorities	• Filter the work and prioritise • Focus on the 'quick wins' • Deal with work straight away • Create an action plan • Set out milestones – plan the year ahead • Keep communicating with the team • Clarify expectations • Challenge upwards • Say 'no' when necessary
Lack of resource	• Make a strong case to senior management • Encourage teamwork • Step in when necessary to get 'all hands on deck' • Communicate honestly with the team • Get advice from others • Gather evidence on the problem
Senior/line managers (pressure, inconsistent management, lack of direction, undermining)	• Take a team approach to solving problems • Talk to peers about solutions • Ask for directions in writing and clarify what is required before taking action • Get involved in working groups and action planning sets to seek solutions • Communicate the situation to the level above the problematic manager • Know which directives to challenge, and which to accept • Communicate the situation to the team • Recognise your emotions and take time to get perspective before reacting
Personal barriers	
Barriers to displaying positive behaviours	**How this barrier might be overcome**
Personal/home-life issues	• Recognise and acknowledge your own behaviour • Talk to peers/manager/team/trusted colleague/mentor about it • Use EAP/occupational supports such as coaching and mentoring • Take time out/off
Lack of confidence in own ability	• Ask for training and development • Talk to/ask for help from peers/line manager • Seek to improve team relationships • Manage the expectations of your team • Clarify what your role is to the team • Set clear boundaries with your team • Recognise your strengths and limitations • Aim to be honest in all communications – say when you don't know!
Feeling stressed/under undue pressure yourself	• Speak to someone (peer, manager, coach) • Seek support for yourself • Take a break/holiday/deep breath • Recognise your emotions and know your stress triggers • Apologise to your team and, if possible, be honest about how you feel • Try to manage your own expectations of yourself • Be realistic about what you can and can't achieve at work • Focus on one thing at a time • Take time before reacting; prioritise and plan • Keep fit and healthy

Adapted from Donaldson-Feilder et al (2009)

operated as being either a barrier or a facilitator. As was found in the previous two research questions, stakeholders felt that the manager could only be effective in protecting and promoting the health, well-being and engagement of employees when the overall organisational culture reflected those ambitions. For instance, the culture of the organisation needed to be open, allowing for feedback and challenge without blame, and to be respectful, honest and flexible. As one stakeholder put it: *'A culture where people don't talk about their feelings, work long hours and never admit if they are overloaded is not conducive to well-being.'*

Many stakeholders cited change as being a barrier within organisations, affecting all employees' feelings of security and leading to a general sense of being unsettled. Stakeholders reported situations where restructuring, changing of department names, individuals leaving, and constant messages on changes to strategy from the wider organisation or senior management, left both managers and employees feeling uncertain and lacking in direction. Stakeholders mentioned that, in this context, managers were not always clear what was expected of them in their role, and therefore unable to adequately manage their team.

Stakeholders also felt that organisational structure was important, suggesting that a flatter, less hierarchical management structure was important to enable better communication and to ensure *'the vision and values of the organisation are less diluted'*. Another point on structure was that health and well-being policies and processes needed to be accessible and facilitative – and importantly that managers needed to know about them and how to use them.

Finally, stakeholders provided many reasons as to why managers, who had intended to behave in the positive ways towards employees, did not. The most common reason, given by stakeholders from all participating organisations, was lack of time and increased workloads that led to managers not having the time to listen and manage proactively and calmly, or to managers being too stressed themselves to be able to manage. Other reasons given were: increasing political pressures, public scrutiny, reduced financial resources and increased focus on targets, meaning that people management was often overlooked as target management was prioritised, and that the health and well-being of employees was increasingly pushed down the list of priorities.

Individual factors
Two individual factors were highlighted by stakeholders as impacting upon the relationship between the manager and the employee. The first was the positive characteristics of the leader. This referred not just to the behaviour of the manager, but also to whether the manager was concerned for the health and well-being of their employees, and to whether the manager was seen as

being honest and high in integrity. Interestingly, of the stakeholders who mentioned managers' concern for well-being, one explained that if managers had experienced mental health or well-being issues themselves, they would be better able to impact upon the well-being of their team by the understanding and empathy that they provided.

Secondly, stakeholders felt that individualised attention from the manager was key. Although a manager may be showing all the 'right' behaviours, if they did not treat each employee as an individual and manage them accordingly, they would not be able to effectively manage the engagement, health and well-being of their team.

Resulting model
Depicted in Figure 9 is a summary of the results from this research question, listing all the relevant factors in each category. In the brackets after each factor, the source of the data is clarified. Once again, a real difference can be seen between the academic literature and the evidence gathered from the practitioner literature and the stakeholder interviews. The academic literature mainly focused on the mediators of the relationship; whereas practitioner and stakeholder evidence focused much more on the factors within the organisation, the team and the individual that could help or hinder the manager to show positive behaviours and/or act as a barrier or facilitator to the positive impact of those behaviours on employee engagement, health and well-being.

Figure 9: Summary of results from research question 3

Mediators

Job demands (academic)

Role conflict (academic

Social support (academic)

Organisational and senior management support (academic)

Personal factors (personal goals, contextual beliefs, optimism) (academic)

Self-efficacy (academic)

Team efficacy (academic)

Role clarity (academic)

Meaningful work (academic)

Opportunities for development (academic)

Follower identification with, and trust in, leader (academic)

Follower empowerment (academic)

Perceived safety climate and psychological climate for health (academic)

Safety consciousness (academic)

Psychological safety (academic)

Differentiated perceptions of group cohesion (academic)

Job satisfaction (academic)

Positive climate for innovation (academic)

Culture of communication (stakeholder)

Structural empowerment (opportunity, information, support, resources, formal and informal power) (academic)

Management behaviour

Employee health, well-being and engagement

Moderators/barriers/facilitators:

Organisational culture and context

Organisational structure (practitioner, stakeholder)

Processes and bureaucracy (practitioner, stakeholder)

Organisational change (such as mergers, redundancies and cutbacks) (practitioner, stakeholder)

Legislation, policy and government targets/pressure (practitioner, stakeholder)

Lack of HR capability (practitioner)

Senior management role-modelling and championing health and safety (practitioner, stakeholder)

Senior management providing clear and consistent direction (practitioner)

Stakeholder support and multidisciplinary working (practitioner)

Embedded organisational practices and initiatives (practitioner)

Workload (stakeholder)

Financial resources/job targets (stakeholder)

Relationship factors (manager and others)

Leader supporting and engaging with the team (practitioner)

Being able to share information with the team (practitioner)

Length of time team has been working together/relationship between manager and employee (practitioner)

Lack of progress/capability within the team (practitioner)

Trust in the leader (practitioner)

Size of team (practitioner)

Individual factors (to do with manager or employee)

Positive follower characteristics (independent thinker; willing to take risks; being an active learner; being innovative) (academic)

Managers under undue pressure/workload (practitioner)

Prioritisation of operational demands (practitioner)

Lack of confidence in own ability (practitioner)

Feeling undermined by senior management (practitioner)

Role clarity (practitioner, stakeholder)

Opportunity to learn and develop new skills (practitioner)

Personal/home-life issues/work–life balance (practitioner, stakeholder)

Attention from manager (stakeholder)

3 Checklist development

The models described in Section 2 were converted into checklists, which are designed to be practical tools for use within organisations. As explained in *Developing checklists* (page 15), at this point, the research team concluded that the results would be more useful to practitioners in the form of a chronological series of checklists which address the steps in the process of creating, implementing and following up a management development programme, so the items from the models were reconfigured to fit in with this chronological framework. The resulting checklists are provided in the Appendix.

Each of the checklists was also summarised into a one-page 'at-a-glance view' table to enable practitioners to review the overall model in a quick and easy format. The three 'at-a-glance view' models are provided in Figures 10, 11 and 12.

Figure 10: Checklist stage 1: before the development programme – at-a-glance view

Methodology Considerations for planning, design and format of the programme that support success	Manager Characteristics of manager participants that support programme success	Organisation Characteristics of the organisational environment that support programme success
• MAKE the programme useful, beneficial and important to all. • MAKE programme goals SMART. • CONSIDER the resources available. • CHOOSE a good, organisationally relevant name for the programme. • INTEGRATE the programme into organisational strategy. • ENSURE shared departmental responsibility for the programme. • MAKE participants accountable for their success on the programme. • SET multiple aligned goals for participants. • USE a series of interventions over time. • USE a range of different delivery formats. • GET senior management support • ENSURE opportunities for participants to apply their learning.	• INVOLVE those participants most likely to learn. • BUILD self-awareness in managers and recognition of themselves as leaders. • ENCOURAGE managers to value learning and development. • PROVIDE support and feedback to managers to increase their management skills.	• HAVE a supportive culture with open dialogue, mutual respect and recognition. • SHOW support and recognition of, and commitment to, health and safety. • DEMONSTRATE support for innovation and initiative. • BUILD a culture where employees feel empowered. • ENSURE organisational policies and processes are accessible and helpful. • GET senior managers to engage with others. • ENSURE managers are supportive of others' learning. • LEAD by example. • ENSURE managers focus on both task and people. • SET clear standards and expectations for managers. • LET managers know what their role is. • PROVIDE meaningful work for all. • ENSURE opportunities for development.

Figure 11: Checklist stage 2: during the development programme – at-a-glance view

Methodology Considerations for planning, design and format of the programme that support success	**Manager** Characteristics of manager participants that support programme success	**Organisation** Characteristics of the organisational environment that support programme success
• DEVELOP a range of pre-training activities. • PROVIDE mentors, coaching and feedback support for participants. • CONSIDER ways to build collaborative working in the participant group. • USE a series of interventions over time. • USE a range of different delivery formats. • CONSIDER ways to ensure the group facilitator builds and develops trust. • SET multiple aligned goals for participants. • MAKE programme goals SMART. • MAKE the programme useful, beneficial and important to all. • ENSURE the programme content is relevant to, and reflective of, manager participants' job roles. • INTEGRATE the programme into organisational strategy. • CHOOSE the right programme name. • PROVIDE opportunities to practise, and get feedback on, their learning. • USE after-event reviews. • ENSURE opportunities to apply new learning. • CONSIDER ongoing availability of resources. • ENSURE programme goals/actions are integrated into performance appraisal/review system. • BUILD participants' confidence. • HOLD participants accountable. • GET leadership support for the programme.	• VOLUNTARY participation. • BUILD self-awareness in managers and recognition of themselves as leaders. • INVOLVE those participants most likely to learn. • ENCOURAGE managers to value the learning and development opportunity. • ENSURE managers feel they can succeed. • HELP managers see the programme as beneficial and important. • ALIGN manager and organisational values. • ENSURE managers are satisfied in their work and see it as meaningful. • MAKE sure managers are not in roles with conflicting goals and priorities.	• HAVE a supportive culture with open dialogue, mutual respect and recognition. • SHOW support and recognition of, and commitment to, health and safety. • DEMONSTRATE support for innovation and initiative. • BUILD a culture where employees feel empowered. • ENSURE organisational policies and processes are accessible and helpful. • GET senior managers to engage with others. • ENSURE managers are supportive of others' learning. • LEAD by example. • ENSURE managers focus on both task and people. • MAKE sure priorities don't conflict for managers. • SET clear standards and expectations for managers. • LET managers know what their role is. • PROVIDE meaningful work for all. • ENSURE opportunities for development. • ENSURE peer, team and social support for managers. • ENCOURAGE good-quality team relationships. • ENCOURAGE teams to trust in, and identify with, their manager. • BUILD cohesive working teams.

Figure 12: Checklist stage 3: after the development programme – at-a-glance view

Methodology	Manager	Organisation
Considerations for planning, design and format of the programme that support success	Characteristics of manager participants that support programme success	Characteristics of the organisational environment that support programme success

Methodology

- CONTINUE to use a series of interventions.
- INTEGRATE the programme into organisational strategy.
- CONSIDER ongoing availability of resources.
- ENSURE continued shared departmental responsibility for the programme.
- KEEP senior management support.
- SET multiple aligned goals for participants.
- ENSURE programme goals/actions are integrated into performance appraisal/review systems.
- CONSIDER a range of post-training activities.
- USE after-event reviews.
- CONDUCT follow-ups with participants.
- MAINTAIN opportunities for participants to practise, and get feedback on, their learning.
- ENCOURAGE participants to seek out opportunities to apply new learnings.
- MAKE participants accountable for applying their learning.
- USE a mentor/peer/colleague to hold participants accountable for applying learning.
- CREATE opportunities for participants to teach others what they have learned.
- USE visual aid reminders to practise learning.
- EMBED learning using action learning sets/guided learning sets.

Manager

- ENSURE that participants have been equipped with the required knowledge and skills.
- HELP managers see the programme as beneficial and important.
- ENCOURAGE managers to value the learning and development opportunity they have been given.
- BUILD optimism and confidence for managers to use their learning.
- FOCUS on managers who show the behaviour characteristic of success.
- ALIGN manager and organisational values.
- ENSURE managers are satisfied in, and committed to, their work and see it as meaningful.
- CHECK that managers are not under undue pressure and work–life conflict.
- MAKE sure managers are in roles with minimal conflicting goals and priorities.

Organisation

- HAVE a supportive culture with open dialogue, mutual respect and recognition.
- SHOW support and recognition of, and commitment to, health and safety.
- DEMONSTRATE support for initiative.
- BUILD a culture where employees are empowered.
- ENSURE organisational policies and processes are accessible and helpful.
- CONSIDER if any significant organisational change could have affected integration of learning.
- CONSIDER if political/legislative influences could be used to raise programme priority.
- ENSURE HR and other stakeholders are capable of providing ongoing support.
- GET senior managers to engage with others.
- LEAD by example.
- ENSURE managers focus on both task and people.
- MAKE sure priorities don't conflict for managers.
- SET clear standards and expectations for managers.
- LET managers know what their role is.
- PROVIDE meaningful work for all.
- ENSURE opportunities for development.
- ENSURE peer, team and social support.
- ENCOURAGE good-quality team relationships.
- ENCOURAGE teams to trust in their manager.
- BUILD cohesive working teams.
- ENSURE team members are empowered and equipped with relevant knowledge, skills and abilities.

Conclusions and implications

'For performance to be sustained over time, employees need both to be engaged and to have good health and well-being.'

Academic and practitioner literature now provides consistent evidence for the importance of employee engagement, health and well-being for the productivity, performance and success of organisations: in particular, for performance to be sustained over time, employees need both to be engaged and to have good health and well-being. Given the evidence that the way people are managed is a key determinant of their engagement, health and well-being, organisations that want an engaged and healthy workforce need to ensure that managers are equipped with the skills and behaviours both to engage and to protect the health and well-being of their teams; and to equip their managers in this way, employers need to provide effective management development.

Despite the focus of the academic literature (and many providers in the management development market) being mainly on identifying management/leadership models, evidence suggests that effective management development is not just about identifying the 'right' model and using it to provide 'training' for managers. Developing management skills, and manager or leader identity, is a process that happens over time, and one that is best supported by a range of different activities, rather than simply training. In addition, it is important to recognise that the context in which managers are managing will have a major influence both on their development of management skills and on how they actually manage people in the workplace.

Reviewing the academic and practitioner landscape, we identified that there was a need for practitioners to be provided with a unifying model or framework to help them apply all the evidence available relating to management development and contextual issues. Such a framework would help practitioners understand how best to foster positive manager behaviour through creating a context and providing programmes that support and develop managers in order to achieve high levels of employee engagement, health and well-being. In order to develop this framework, we undertook research using an evidence-based practice model (Briner et al 2009) that allowed us to take a broad perspective: while academic literature can make a valuable contribution to practice, it can be overly narrow, and taking an evidence-based practice approach allowed us to draw on evidence from practitioner, stakeholder and contextual perspectives as well as academic research.

The results of this research have been presented in three different formats:

* models (see Section 2) summarising the data gathered in response to three research questions:

  – What factors will affect the success of a development programme aimed at changing manager behaviour?

  – What factors will support transfer and sustainability of learning from management development programmes into the workplace?

– What contextual factors are likely to impact upon the relationship between manager behaviour and employee engagement, health and well-being outcomes?

• practical checklists (see Appendix and www.cipd.co.uk/hr-resources/research/developing-managers.aspx) designed to help practitioners explore the extent to which they have in place the factors suggested to be important for management development success, divided into methodology, manager and organisational considerations, and considered at three chronological stages:

– stage 1: before the development programme – a checklist for those considering conducting a development programme

– stage 2: during the development programme – a checklist for those designing and implementing a development programme

– stage 3: after the development programme – a checklist for those embedding learning into the workplace

• at-a-glance summaries (see Section 3) of the factors in the three categories of considerations (methodology, manager and organisation) at each of the three chronological stages (before, during and after) to enable practitioners to review the overall model in a quick and easy format.

We hope that these models, checklists and summaries will prove useful to employers and practitioners and to policy-makers, and consider the implications for each below. We also hope that the

beneficiaries of this work will be: managers, who will be provided with more effective management development; employees, who will be managed in ways that enhance their engagement, health and well-being; and the wider society, which will benefit from a healthier, more engaged and higher performing workforce.

Implications for employers and practitioners

This work is based on the conclusion from previous research that organisations that are not currently considering employee engagement, health and well-being could gain from doing so, not only for the benefit of their employees, but also to improve organisational performance. For organisations that are keen to improve employee engagement, health and well-being, the implication is that they can potentially make such improvements by supporting line managers to develop their people management skills and adopt the behaviours shown to be important in this context.

When it comes to designing and implementing management development (whether the focus is purely to develop positive manager behaviour in order to achieve high levels of employee engagement, health and well-being or more broadly on enhancing management skills) the research results in this report suggest that there are multiple factors that need to be considered to ensure that it is successful. These factors can be conceptualised in terms of those that will affect the success of the development programme, those that support transfer and sustainability of learning, and contextual factors that impact on the relationship between manager behaviour and employee outcomes; or they can be conceptualised

in terms of considerations about methods, managers and the organisation through the chronological stages before, during and after running management development programmes.

The models and at-a-glance summaries provided in Sections 2 and 3 are designed to help organisations conceptualise and gain an overview of the factors that will affect the success of management development programmes, particularly in the context of aiming to improve employee engagement, health and well-being. The checklists provided in the Appendix (and as practical tool available for download at www.cipd.co.uk/hr-resources/research/developing-managers.aspx) are designed to help organisations and practitioners establish to what degree a particular organisation (or part of an organisation) has in place the relevant factors. By working through the checklist that is appropriate to the organisation's stage in the management development journey, practitioners and employers can identify what they are already doing that will support the programme's success and what additional things they might need to consider.

It has been found (CIPD 2012) that nearly three-quarters of organisations in the UK report a management and leadership skill deficit; and that the effectiveness of leadership development is seen as the top determinant of leadership quality in an organisation (CIPD 2011). Many organisations approach leadership development in a 'training programme' way; and, from our experience and the experience of our participating organisations, may not focus on both building and supporting skills long term within a supportive learning

environment. This research is the first of its kind to enable organisations, by following the checklist, to improve the effectiveness of leadership development, therefore helping to address a huge issue of skill deficit, and in doing so, both saving and gaining financially.

We would recommend that all organisations considering or involved in management development take the time to complete the checklists provided from this work. The result is essentially a gap analysis that can help the organisation take action as appropriate to increase the likelihood of success for their management development programme. It can be used as a basis for discussion between all relevant parties within (and, if appropriate, external providers to) the organisation, including learning and development, HR, occupational health/well-being/health and safety, external consultants and providers, senior leadership/management, the managers to be developed and perhaps employees and/or their representatives; it can thereby support cross-functional and collaborative working to address any gaps identified.

Implications for public policy-makers

For policy-makers, this research builds on previous work that emphasises the importance of employee engagement, health and well-being for the success of organisations throughout the UK, and the need for national policy to encourage all employers to take the engagement, health and well-being of their workforce seriously. It reinforces the importance of good people management skills for employee and organisational outcomes – something

that has already been emphasised in a number of quarters (for example Dame Carol Black's work on the health of the working age population and David MacLeod/Engage for Success's work on employee engagement) but could benefit from receiving more prominence in general workplace policy. It suggests that there is a real need for cross-departmental policy-making to bring together the different strands involved – that is, health, workplace productivity and skills.

In terms of policy around management skills and skill development, the research results in this report suggest that there is a need for policy and communications from national bodies to move from a focus on *what* skills managers need to a focus on *how* to develop and maintain management skills. This moves the debate away from finding the perfect management/leadership model towards addressing the development needs of managers at all levels in UK organisations. As part of this shift, there is a need for explicit recognition of the range of factors that should be considered to ensure that those managing the UK workforce are supported to learn and apply effective people management skills.

By elucidating and summarising the factors relevant to successful management development, the frameworks developed in this research provide practical tools for policy-makers to communicate to relevant bodies, including: those setting skills policy; those providing management development in the university/business school, professional body, commercial and in-house sectors; and to employers and managers themselves. We recommend that the checklists provided in the Appendix (and as a

practical tool available for download at www.cipd.co.uk/hr-resources/research/developing-managers.aspx) be disseminated widely to these different audiences and integrated into recommendations from national bodies.

Implications for future research

It is clear from this research that there are important factors for practitioners to consider in order to achieve success in management development programmes; it is also clear that which of these factors should be considered depends on the stage of the intervention process. The research has been unique in using an evidence-based approach to gather a wide range of evidence in order to develop a model for management development. Although the development of this model, and subsequent inclusion of evidence, was subjected to consistent inclusion criteria, it must be recognised that some of the evidence (for instance from stakeholders) is constructed on subjective opinion about effectiveness, and may therefore not represent the actual factors that predict effectiveness. The models presented in this report therefore are evidence-based suggestions, rather than a validated model, and the relative prioritisation of factors included has not been determined.

The development of this model provides many avenues for potential research. Firstly, the framework developed invites further research to validate and test the model within an academic framework (for instance experimentally/quasi experimentally) in order to identify those factors predictive, or most predictive, of success.

Secondly, it provides an opportunity for further directions in academic research on this topic. Some factors found in practitioner literature and stakeholder reports have not been explored within academic literature, and therefore there is an opportunity to expand academic enquiry in this area using practitioner work to inform academic practice. This could have wide implications for management development literature, transfer of learning literature and training and development literature.

Thirdly, through using the evidence-based model in this research (and in other projects conducted by Affinity Health at Work within organisations), the authors have been able to develop an extension and real-world application of this model that will enable practitioners to significantly improve their existing practice in an accessible and rigorous way. This extended model will need further testing and validation.

Finally, it is recognised that this was an ambitious and complex project and that some of the outputs, although they offer a clear framework, will be perceived by organisations as lengthy and unwieldy. There is a need therefore to rationalise the checklists in some way in order to improve their usability and enable organisations to prioritise areas of focus (for instance, by indicating a sub-set of factors that other organisations have found easiest to address and establishing those as a priority focus for those embarking on the design and implementation of management development). There is a need for research to be conducted to simplify the model and further support organisations with 'how to' information to ensure maximum practitioner use.

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Appendix

See below for the full checklists.

Stage 1
Before the development programme

Checklist for those considering conducting a development programme

	Methodology		Evidence and comments
	Considerations for planning, design and format of the programme that support success		

Please mark the applicable box (✓) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.

		0 1 2 3 4 5	Evidence and comments
1	Have you considered how you ensure that the development programme is useful, beneficial and important to all stakeholders including manager participants?	☐ ☐ ☐ ☐ ☐ ☐ ☐ No, not at all — Yes, completely — Don't know	
2	Are the development programme aims clear and straightforward, for example SMART goals (Specific, Measurable, Agreed, Realistic and Time-bound)?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
3	Have you considered how ongoing resources (for example financial, administrative, logistical, support) will be made available?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
4	Have you ensured the name of the development programme is appropriate in your organisation (for example, fit with organisational language, brand, culture, population)?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
5	Will you ensure that the development programme is integrated with the wider organisation's culture and practices?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
6	Will you ensure there is a shared responsibility for its success across all the relevant teams and functions such as HR, health and safety, occupational health, learning and development?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
7	Does the development programme include setting multiple goals for participants that are compatible with each other, challenging but not unmanageable, specific and requiring effort over time?	☐ ☐ ☐ ☐ ☐ ☐ ☐	

Stage 1
Before the development programme

Checklist for those considering conducting a development programme

<table>
<tr><td colspan="2">Methodology (continued)
Considerations for planning, design and format of the programme that support success</td></tr>
<tr><td colspan="2">Please mark the applicable box (✓) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.</td></tr>
</table>

		0 1 2 3 4 5	Evidence and comments
8	Have you considered ways of making participants accountable both for the success of the development programme and for applying their learning in their management role (for example linking to performance reviews, follow-ups)?	☐☐☐☐☐☐ ☐ (No, not at all / Yes, completely / Don't know)	
9	Is the development programme seen as a series of interventions unfolding over time (3 months-plus including practice and follow-up) rather than just a one-off activity?	☐☐☐☐☐☐ ☐	
10	Does the development programme include a range of formats (effective formats include mentoring, coaching, lectures, group collaboration, management networks, multi-rater feedback, learning through experience and action learning sets)?	☐☐☐☐☐☐ ☐	
11	Are senior leaders and all in management positions genuinely supportive of the development programme?	☐☐☐☐☐☐ ☐	
12	Have you ensured there will be opportunities for the participants to apply their learning?	☐☐☐☐☐☐ ☐	

Note: Remember to refer to the Equality Act 2010 when planning the programme – for instance, ensuring it is accessible to part-time workers and considers the needs of older workers.

Stage 1
Before the development programme

Checklist for those considering conducting a development programme

		0 1 2 3 4 5	Evidence and comments
Manager Characteristics of the manager participants that support programe success			
Please mark the applicable box (✓) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.			
1	Have you considered selecting participants for the development programme according to the following behaviours/characteristics that have been shown to influence learning? Leaders who: • are supportive of their team • display integrity • are effective performers.	☐☐☐☐☐☐☐ No, not at all Yes, completely Don't know	
2	Do you currently have activities that build self-awareness and help managers recognise themselves as leaders (for example upward/360 feedback, mentoring, coaching, use of psychometrics/occupational testing)?	☐☐☐☐☐☐☐	
3	Do you encourage managers to value learning and development (for example through recognition schemes that place value on furthering knowledge)?	☐☐☐☐☐☐☐	
4	Do you support managers to be confident in their management skills (for example ensuring positive timely specific feedback, mentoring, coaching)?	☐☐☐☐☐☐☐	

Note: Research also shows that cognitive ability and personality characteristics (conscientiousness, emotional stability, openness to experience, external locus of control) positively impact on the success of learning and applying learning in the workplace. These should only be assessed/used as consideration criteria by qualified professionals in an objective and standardised way.

Stage 1
Before the development programme

Checklist for those considering conducting a development programme

<table>
<tr><td colspan="2" style="background:#e89;">Organisation
Characteristics of the organisational environment that support programme success</td></tr>
</table>

Please mark the applicable box (✓) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.

		0 1 2 3 4 5	Evidence and comments
1	Does your organisation have a supportive culture? An organisation where... • there is an open dialogue with good two-way communication • employee voice (participation of employees in the organisation's decision-making) • a climate of mutual respect • a climate of challenge in which people have the right to challenge others' behaviour • there is recognition of when individuals have done well • individuals can talk about issues such as work-related stress without fear of stigma.	☐☐☐☐☐☐ ☐ No, not at all Yes, completely Don't know	
2	Is your organisational culture and climate supportive of and knowledgeable about health and safety (for example demonstration of commitment to safety, employee awareness of health and safety)?	☐☐☐☐☐☐ ☐	
3	Is your organisational climate supportive of innovation (for example support for employees to take initiative, encouragement of open communication)?	☐☐☐☐☐☐ ☐	
4	Do you have an organisational structure and culture of empowerment (for example affording employees the following: opportunity, information, support, resources, formal and informal power, latitude and autonomy in their jobs, and support to solve problems when they occur)?	☐☐☐☐☐☐ ☐	
5	Does your organisation have policies, processes and a work environment that are seen as accessible, helpful and supportive?	☐☐☐☐☐☐ ☐	
6	Are senior leaders and all in management positions in your organisation seen as engaging of others (for example inclusive, accessible, motivational and collaborative)?	☐☐☐☐☐☐ ☐	

Stage 1
Before the development programme

Checklist for those considering conducting a development programme

Organisation (continued)
Characteristics of the organisational environment that support programme success

Please mark the applicable box (✓) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.

		0 1 2 3 4 5	Evidence and comments
7	Are managers' own managers supportive of their learning (for example supplying incentives and feedback)?	☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ No, not at all Yes, completely Don't know	
8	Do managers' own managers and senior managers lead by example (for example role-model desired behaviours)?	☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐	
9	Do managers have appropriate job demands that enable a focus on people management versus operational demands?	☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐	
10	Do you have clear standards and expectations that managers need to adhere to (for example appropriate competency frameworks and performance objectives)?	☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐	
11	Are managers clear about their role?	☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐	
12	Do managers' team members perceive their work as meaningful?	☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐	
13	Do managers have varied opportunities for development in their role?	☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐	

Stage 2
During the development programme

Checklist for those designing and implementing a development programme

	Methodology Considerations for planning, design and format of the programme that support success		

Please mark the applicable box (✔) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.

		0 1 2 3 4 5	Evidence and comments
1	Are you developing a range of pre-training activities, such as optimistic previews*, discussion sessions, and materials that describe what the sessions will include (time commitment, goals, objective-setting)?	☐☐☐☐☐☐ ☐ No, not at all Yes, completely Don't know	
2	Are you providing mentoring for participants?	☐☐☐☐☐☐ ☐	
3	Are you providing coaching/feedback support for participants (internal or external coach)?	☐☐☐☐☐☐ ☐	
4	Have you considered ways to ensure that the participant group work together collaboratively?	☐☐☐☐☐☐ ☐	
5	Is the development programme seen as a series of activities unfolding over time (3 months or more including practice and follow-up) rather than just an intervention?	☐☐☐☐☐☐ ☐	
6	Does the development programme include a range of formats? Effective formats include: • mentoring • coaching • lectures • group collaboration • management networks • multi-rater feedback • learning from experience • action learning sets.	☐☐☐☐☐☐ ☐	

*Optimistic previews are where positive statements about the upcoming training are communicated to participants ahead of time.

Stage 2
During the development programme

Checklist for those designing and implementing a development programme

Methodology (continued)
Considerations for planning, design and format of the programme that support success

Please mark the applicable box (✓) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.

		0 1 2 3 4 5	Evidence and comments
7	Have you considered ways to ensure the mentor/facilitator/trainer is able to create and develop trust in participants?	☐☐☐☐☐☐ ☐ No, not at all / Yes, completely / Don't know	
8	Does the development programme include setting multiple goals for participants that are compatible with each other, challenging but not unmanageable, specific and requiring effort over time?	☐☐☐☐☐☐ ☐	
9	Are the development programme aims and objectives specific, clear and straightfor-ward, for examplefor example SMART goals (Specific, Measurable, Agreed, Realistic and Time-bound)?	☐☐☐☐☐☐ ☐	
10	Have you considered how you ensure that the development programme is useful, beneficial and important to all stakeholders including participants?	☐☐☐☐☐☐ ☐	
11	Have you ensured the content of the develop-ment programme is relevant and reflects the job of the participants (for instance including elements that are identical to participants' jobs in the programme, learning from experience, role-plays and case studies)?	☐☐☐☐☐☐ ☐	
12	Have you ensured that the development programme is integrated within the wider organisation's culture and practices?	☐☐☐☐☐☐ ☐	
13	Have you ensured the name of the devel-opment programme is appropriate in your organisation (for examplefor example fit with organisational language, brand, culture and population)?	☐☐☐☐☐☐ ☐	

During the development programme

Checklist for those designing and implementing a development programme

		0 1 2 3 4 5	Evidence and comments
	Methodology (continued) Considerations for planning, design and format of the programme that support success		
	Please mark the applicable box (✔) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.		
14	Have you ensured the development programme provides participants with many opportunities to practise their new learning (for instance ensuring they are active in the learning process, repeating new information)?	☐☐☐☐☐☐ ☐ (No, not at all / Yes, completely / Don't know)	
15	Have you ensured the development programme provides participants with many opportunities to get feedback on their new learning (from the material presented itself, from the trainer/coach/ facilitator and from peers/colleagues)?	☐☐☐☐☐☐ ☐	
16	Have you considered using after-event reviews (AERs)* as your method of reflection?	☐☐☐☐☐☐ ☐	
17	Have you ensured that there will be opportunities for the participants to apply their learning?	☐☐☐☐☐☐ ☐	
18	Have you considered how ongoing resources (for example financial, administrative, logistical, support) will be made available?	☐☐☐☐☐☐ ☐	
19	Have you ensured that actions and goals from the development programme are integrated within a performance appraisal review/system?	☐☐☐☐☐☐ ☐	
20	Have you considered how to increase participants' confidence in, and motivation about, the programme (particularly building their own confidence that they can succeed in, and utilise the learning from, the programme)?	☐☐☐☐☐☐ ☐	

*After-event reviews (AERs) are a learning procedure that gives learners the opportunity to systematically analyse their behaviour and evaluate how their behaviour contributed to their learning. They have been shown to be highly effective in facilitating learning.

Stage 2
During the development programme

Checklist for those designing and implementing a development programme

<table>
<tr><td colspan="4">Methodology (continued)
Considerations for planning, design and format of the programme that support success</td></tr>
<tr><td colspan="4">Please mark the applicable box (✓) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.</td></tr>
<tr><td></td><td></td><td>0 1 2 3 4 5</td><td>Evidence and comments</td></tr>
<tr><td>21</td><td>Have you encouraged participants to value the learning and development opportunity offered by the programme (in contrast to focusing on the reward/status element of the opportunity)?</td><td>☐☐☐☐☐☐ ☐
No, not at all   Yes, completely   Don't know</td><td></td></tr>
<tr><td>22</td><td>Have you considered ways of making participants accountable both for the success of the learning intervention and for applying their learning in their management role (for example linking to performance reviews and follow-ups)?</td><td>☐☐☐☐☐☐ ☐</td><td></td></tr>
<tr><td>23</td><td>Are senior leaders and all in management positions genuinely supportive of the development programme?</td><td>☐☐☐☐☐☐ ☐</td><td></td></tr>
</table>

Note: Remember to refer to the Equality Act 2010 when planning the programme – for instance ensuring it is accessible to part-time workers and considers the needs of older workers.

Stage 2
During the development programme

Checklist for those designing and implementing a development programme

Manager
Characteristics of the manager participants that support programme success

Please mark the applicable box (✔) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.

		0 1 2 3 4 5	Evidence and comments
1	Have you ensured the participants have volunteered/chosen to take part in this pro-gramme?	☐☐☐☐☐☐ ☐ No, not at all — Yes, completely — Don't know	
2	Are participants self-aware? Do they recognise themselves as leaders?	☐☐☐☐☐☐ ☐	
3	Have you considered focusing on managers for the development programme according to the following behaviours/characteristics that have been shown to influence success in learning and development? Managers who: • are supportive of their team • display integrity • are effective performers • accept negative feedback.	☐☐☐☐☐☐ ☐	
4	Do participants value the learning and development opportunity offered by the pro-gramme and want to use the new learning in their role?	☐☐☐☐☐☐ ☐	
5	Do participants feel confident that they can succeed in, and utilise the learning from, the programme?	☐☐☐☐☐☐ ☐	
6	Do participants see the programme as benefi-cial, useful and important to them?	☐☐☐☐☐☐ ☐	
7	Do the values of the participants align with the wider organisation?	☐☐☐☐☐☐ ☐	

Stage 2
During the development programme

Checklist for those designing and implementing a development programme

		0 1 2 3 4 5	Evidence and comments
8	Are participants working within roles in which they are committed, satisfied, know what is expected of them and see their work as meaningful?	☐ ☐ ☐ ☐ ☐ ☐ ☐ No, not at all — Yes, completely — Don't know	
9	Have you ensured that participants are not in roles where they have conflicting priorities and goals?	☐ ☐ ☐ ☐ ☐ ☐ ☐	

Manager (continued)
Characteristics of the manager participants that support programme success

Please mark the applicable box (✓) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.

Note: Research also shows that cognitive ability and personality characteristics (conscientiousness, emotional stability, openness to experience, external locus of control) positively impact on the success of learning and applying learning in the workplace. These should only be assessed/used as consideration criteria by qualified professionals in an objective and standardised way.

Stage 2
During the development programme

Checklist for those designing and implementing a development programme

<table>
<tr><td colspan="3">Organisation
Characteristics of the organisational environment that support programme success</td></tr>
<tr><td colspan="3">Please mark the applicable box (✔) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.</td></tr>
<tr><td></td><td>0 1 2 3 4 5</td><td>Evidence and comments</td></tr>
<tr><td>1</td><td>Does your organisation have a supportive culture?
An organisation where...
• there is an open dialogue with good two-way communication
• employee voice (participation of employees in the organisation's decision-making)
• a climate of mutual respect
• a climate of challenge in which people have the right to challenge others' behaviour
• there is recognition of when individuals have done well
• individuals can talk about issues such as work-related stress without fear of stigma.</td><td>☐☐☐☐☐☐ ☐
No, not at all / Yes, completely / Don't know</td><td></td></tr>
<tr><td>2</td><td>Is your organisational culture and climate supportive of and knowledgeable about health and safety (for example a demonstration of commitment to safety, employee awareness of health and safety)?</td><td>☐☐☐☐☐☐ ☐</td><td></td></tr>
<tr><td>3</td><td>Is your organisational climate supportive of innovation (for example support for employees to take initiative and encouragement of open communication where employees are safe and able to communicate honestly across the organisation)?</td><td>☐☐☐☐☐☐ ☐</td><td></td></tr>
<tr><td>4</td><td>Do you have an organisational structure and culture of empowerment (for example affording employees the following: opportunity, information, support, resources, formal and informal power, latitude and autonomy in their jobs, and support to solve problems when they occur)?</td><td>☐☐☐☐☐☐ ☐</td><td></td></tr>
<tr><td>5</td><td>Does your organisation have policies, processes and a work environment that are seen as accessible, helpful and supportive?</td><td>☐☐☐☐☐☐ ☐</td><td></td></tr>
<tr><td>6</td><td>Are senior leaders and all in management positions in your organisation seen as engaging of others (for example inclusive, accessible, motivational and collaborative)?</td><td>☐☐☐☐☐☐ ☐</td><td></td></tr>
</table>

Stage 2
During the development programme

Checklist for those designing and implementing a development programme

<table>
<tr><td colspan="4">Organisation (continued)
Characteristics of the organisational environment that support programme success</td></tr>
<tr><td colspan="4">Please mark the applicable box (✔) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.</td></tr>
<tr><td></td><td></td><td>0 1 2 3 4 5
No, not at all — Yes, completely — Don't know</td><td>Evidence and comments</td></tr>
<tr><td>7</td><td>Do managers' own managers and senior managers lead by example (for example role-model desired behaviour)?</td><td>☐ ☐ ☐ ☐ ☐ ☐ ☐</td><td></td></tr>
<tr><td>8</td><td>Do managers have appropriate job demands that enable a focus on people management versus operational demands?</td><td>☐ ☐ ☐ ☐ ☐ ☐ ☐</td><td></td></tr>
<tr><td>9</td><td>Have you ensured managers, where possible, do not have conflicting priorities in their role?</td><td>☐ ☐ ☐ ☐ ☐ ☐ ☐</td><td></td></tr>
<tr><td>10</td><td>Do you have clear standards and expectations that managers need to adhere to (for example appropriate competency frameworks and performance objectives)?</td><td>☐ ☐ ☐ ☐ ☐ ☐ ☐</td><td></td></tr>
<tr><td>11</td><td>Have you ensured managers are clear about their role?</td><td>☐ ☐ ☐ ☐ ☐ ☐ ☐</td><td></td></tr>
<tr><td>12</td><td>Do managers' team members perceive their work as meaningful?</td><td>☐ ☐ ☐ ☐ ☐ ☐ ☐</td><td></td></tr>
<tr><td>13</td><td>Do managers have varied opportunities for development in their role?</td><td>☐ ☐ ☐ ☐ ☐ ☐ ☐</td><td></td></tr>
</table>

Stage 2
During the development programme

Checklist for those designing and implementing a development programme

		0 1 2 3 4 5	Evidence and comments
Organisation (continued) Characteristics of the organisational environment that support programme success			
Please mark the applicable box (✓) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.			
14	Do managers have appropriate peer, team and social support in their roles?	☐☐☐☐☐☐ ☐ No, not at all / Yes, completely / Don't know	
15	Do the managers work within cohesive teams where there are good-quality, mature manager–employee relationships?	☐☐☐☐☐☐ ☐	
16	Do the managers work within teams where their team members trust them and identify with them?	☐☐☐☐☐☐ ☐	
17	Do managers work within teams where followers are innovative and independent thinkers, where they learn actively and are willing to take risks?	☐☐☐☐☐☐ ☐	
18	Do managers' team members feel empowered in their roles?	☐☐☐☐☐☐ ☐	

Stage 3
After the development programme

Checklist for those supporting the embedding of learning into the workplace

<table>
<tr><td colspan="4">Methodology
Considerations for planning, design and format of the programme that support success</td></tr>
<tr><td colspan="4">Please mark the applicable box (✔) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.</td></tr>
<tr><td></td><td></td><td>0 1 2 3 4 5</td><td>Evidence and comments</td></tr>
<tr><td>1</td><td>Does the development programme continue to be seen as a series of activities unfolding over time rather than just an intervention that has been completed?</td><td>☐☐☐☐☐☐ ☐
No, not at all — Yes, completely — Don't know</td><td></td></tr>
<tr><td>2</td><td>Is the development programme integrated with the wider organisation's culture and practices?</td><td>☐☐☐☐☐☐ ☐</td><td></td></tr>
<tr><td>3</td><td>Do you continue to make ongoing resources (for example financial, administrative, logistical, support) available?</td><td>☐☐☐☐☐☐ ☐</td><td></td></tr>
<tr><td>4</td><td>Have you ensured there is continued shared responsibility for programme success across all the relevant teams and functions such as HR, health and safety, occupational health and learning and development?</td><td>☐☐☐☐☐☐ ☐</td><td></td></tr>
<tr><td>5</td><td>Do senior leaders and all in management positions continue to be genuinely supportive of the development programme?</td><td>☐☐☐☐☐☐ ☐</td><td></td></tr>
<tr><td>6</td><td>Have participants been set multiple goals that are compatible with each other, challenging but not unmanageable, specific and requiring effort over time?</td><td>☐☐☐☐☐☐ ☐</td><td></td></tr>
<tr><td>7</td><td>Have you ensured that actions and goals from the development programme are integrated within a performance appraisal/review system?</td><td>☐☐☐☐☐☐ ☐</td><td></td></tr>
</table>

Stage 3
After the development programme

Checklist for those supporting the embedding of learning into the workplace

		0 1 2 3 4 5	Evidence and comments
	Methodology (continued) Considerations for planning, design and format of the programme that support success		

Please mark the applicable box (✓) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.

		0 1 2 3 4 5	Evidence and comments
8	Have you considered a range of post-training activities for participants (for instance getting managers to thoroughly review material after the programme, develop a report/de-brief on what they learned, feed back learning to their team)?	☐☐☐☐☐☐ ☐ *No, not at all / Yes, completely / Don't know*	
9	Have you considered using after-event reviews (AERs)* as your method of reflection?	☐☐☐☐☐☐ ☐	
10	Have follow-ups been conducted with participants (for example to measure change and provide multi-rater feedback)?	☐☐☐☐☐☐ ☐	
11	Does the development programme continue to provide participants with multiple opportunities to gain feedback on their new learning (from the trainer/coach/facilitator, supervisor and peers/colleagues)?	☐☐☐☐☐☐ ☐	
12	Do participants continue to have opportunities to practise their new learning?	☐☐☐☐☐☐ ☐	
13	Are participants encouraged to seek out opportunities to apply their new learning?	☐☐☐☐☐☐ ☐	
14	Are participants accountable for applying their learning in their role?	☐☐☐☐☐☐ ☐	

*After-event reviews (AERs) are a learning procedure that gives learners the opportunity to systematically analyse their behaviour and evaluate how their behaviour contributed to their learning. They have been shown to be highly effective in facilitating learning.

Stage 3

After the development programme

Checklist for those supporting the embedding of learning into the workplace

	Methodology (continued)			
	Considerations for planning, design and format of the programme that support success			

Please mark the applicable box (✔) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.

		0 1 2 3 4 5	**Evidence and comments**
15	Is there a mentor/peer/ colleague who is able to hold the participant accountable for applying the new learning in the organisation?	☐ ☐ ☐ ☐ ☐ ☐ ☐ No, not at all Yes, completely Don't know	
16	Have you considered creating opportunities for participants to teach the new material to others?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
17	Are there any visual aids in the participants' workplace or other approaches that could be used as a reminder to practise what they have learned (for instance posters and emails)?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
18	Have you considered embedding learning by use of action learning sets or guided learning sets for manager participants (peer group meetings to facilitate ongoing learning)?	☐ ☐ ☐ ☐ ☐ ☐ ☐	

Note: Remember to refer to the Equality Act 2010 when planning the programme – for instance ensuring it is accessible to part-time workers and considers the needs of older workers.

Stage 3
After the development programme

Checklist for those supporting the embedding of learning into the workplace

	Manager		
	Characteristics of the manager participants that support programme success		

Please mark the applicable box (✓) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.

		0 1 2 3 4 5	Evidence and comments
1	Have you ensured that, following the intervention, participants had the required knowledge and skills?	☐☐☐☐☐☐ ☐ No, not at all Yes, completely Don't know	
2	Do participants see the programme as having been beneficial, useful and important to them?	☐☐☐☐☐☐ ☐	
3	Do participants continue to value the learning and development opportunity offered by the programme and want to use the new learning in their role?	☐☐☐☐☐☐ ☐	
4	Do participants feel optimistic and confident that they can utilise the learning of the programme in their role?	☐☐☐☐☐☐ ☐	
5	Do participants demonstrate the following characteristics and behaviours that are characteristic of success in learning and development? Managers who: • are supportive of their team • are effective performers • display integrity.	☐☐☐☐☐☐ ☐	
6	Do the values of the participants align with the wider organisation?	☐☐☐☐☐☐ ☐	
7	Are participants working within roles in which they are: • committed • satisfied • know what is expected of them • see their work as meaningful?	☐☐☐☐☐☐ ☐	
8	Are participants working in roles where they are not: • under undue pressure • experiencing work–life conflict • have conflicting priorities and goals?	☐☐☐☐☐☐ ☐	

Note: Research also shows that cognitive ability and personality characteristics (conscientiousness, emotional stability, openness to experience, external locus of control) positively impact on the success of learning and applying learning in the workplace. These should only be assessed/used as consideration criteria by qualified professionals in an objective and standardised way.

Stage 3
After the development programme

Checklist for those supporting the embedding of learning into the workplace

<table>
<tr><td colspan="3">Organisation
Characteristics of the organisational environment that support programme success</td></tr>
<tr><td colspan="3">Please mark the applicable box (✔) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.</td></tr>
<tr><td></td><td>0 1 2 3 4 5</td><td>Evidence and comments</td></tr>
<tr>
<td>1</td>
<td>Does your organisation have a supportive culture?
An organisation where...
• there is an open dialogue with good two-way communication
• employee voice (participation of employees in organisation's decision-making)
• a climate of mutual respect
• a climate of challenge in which people have the right to challenge others' behaviour
• there is recognition of when individuals have done well
• individuals can talk about issues such as work-related stress without fear of stigma</td>
<td>☐ ☐ ☐ ☐ ☐ ☐ ☐
No, not at all / Yes, completely / Don't know</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Is your organisational culture and climate supportive of health and safety (for example a demonstration of commitment to safety, employee awareness of health and safety)?</td>
<td>☐ ☐ ☐ ☐ ☐ ☐ ☐</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Is your organisational climate supportive of innovation (for example support for employees to take initiative, encouragement of open communication)?</td>
<td>☐ ☐ ☐ ☐ ☐ ☐ ☐</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Do you have an organisational structure and culture of empowerment (for example affording employees the following: opportunity, information, support, resources, formal and informal power, latitude and autonomy in their jobs, and support to solve problems when they occur)?</td>
<td>☐ ☐ ☐ ☐ ☐ ☐ ☐</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Does your organisation have policies, processes and a work environment that are seen as accessible, helpful and supportive?</td>
<td>☐ ☐ ☐ ☐ ☐ ☐ ☐</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Since the programme, has the organisation been free of significant organisational change (such as mergers/redundancies/cutbacks) that could affect integration of learning?</td>
<td>☐ ☐ ☐ ☐ ☐ ☐ ☐</td>
<td></td>
</tr>
</table>

Stage 3
After the development programme

Checklist for those supporting the embedding of learning into the workplace

		0 1 2 3 4 5	Evidence and comments
	Organisation (continued) _Characteristics of the organisational environment that support programme success_		
	Please mark the applicable box (✓) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.		
7	Could political or legislative influences be used to bring focus to and increase the priority given to the programme (such as an HSE inspection, or litigation case)?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
8	Are HR and other relevant stakeholders equipped with the appropriate capabilities to support the participants' development?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
9	Are senior leaders and all in management positions in your organisation seen as engaging of others (for example inclusive, accessible, motivational and collaborative)?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
10	Do managers' own managers and senior managers lead by example (for example role-model desired behaviour)?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
11	Are senior leaders and all in management positions generally avoiding role-modelling undesirable behaviours (such as inconsistency, lack of direction, pressurising, focusing on bottom line only)?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
12	Do managers have appropriate job demands that enable a focus on people management versus operational demands?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
13	Do you continue to ensure that managers, where possible, do not have conflicting priorities in their role?	☐ ☐ ☐ ☐ ☐ ☐ ☐	

(Column labels for scale: No, not at all / Yes, completely / Don't know)

Stage 3
After the development programme

Checklist for those supporting the embedding of learning into the workplace

<table>
<tr><td colspan="3">Organisation (continued)
Characteristics of the organisational environment that support programme success</td></tr>
<tr><td colspan="3">Please mark the applicable box (✓) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.</td></tr>
<tr><td></td><td>0 1 2 3 4 5</td><td>Evidence and comments</td></tr>
<tr><td>14</td><td>Do you have clear standards and expectations that managers need to adhere to (for example appropriate competency frameworks and performance objectives)?</td><td>☐☐☐☐☐☐☐
No, not at all   Yes, completely   Don't know</td><td></td></tr>
<tr><td>15</td><td>Do managers continue to be clear about their role?</td><td>☐☐☐☐☐☐☐</td><td></td></tr>
<tr><td>16</td><td>Do managers' team members perceive their work as meaningful?</td><td>☐☐☐☐☐☐☐</td><td></td></tr>
<tr><td>17</td><td>Do managers have varied opportunities for development in their role?</td><td>☐☐☐☐☐☐☐</td><td></td></tr>
<tr><td>18</td><td>Do managers have appropriate peer, team and social support in their roles?</td><td>☐☐☐☐☐☐☐</td><td></td></tr>
<tr><td>19</td><td>Are managers working within effective (high-performing) teams?</td><td>☐☐☐☐☐☐☐</td><td></td></tr>
<tr><td>20</td><td>Do the managers work within cohesive teams where there are good-quality, mature manager–employee relationships?</td><td>☐☐☐☐☐☐☐</td><td></td></tr>
</table>

Stage 3
After the development programme

Checklist for those supporting the embedding of learning into the workplace

	Organisation (continued)
	Characteristics of the organisational environment that support programme success

Please mark the applicable box (✓) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examples.

		0 1 2 3 4 5	Evidence and comments
21	Do the managers work within teams where their team members trust them and identify with them?	☐ ☐ ☐ ☐ ☐ ☐ ☐ No, not at all / Yes, completely / Don't know	
22	Do managers work within teams where followers are innovative and independent thinkers, where they learn actively and are willing to take risks?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
23	Do managers' team members feel empowered in their roles?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
24	Are managers' team members equipped with the knowledge, skills and ability to do their roles?	☐ ☐ ☐ ☐ ☐ ☐ ☐	