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Stage 1 checklist – Before the development programme

February 2017

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

Refined checklist for those considering conducting a development programme

Introduction

Numerous research studies have shown that, through the management of their teams, line managers have a huge impact on employee engagement, health and well-being. Previous research conducted by Affinity Health at Work identified certain manager behaviours that are central to engaging employees and the prevention and reduction of stress in employees. In addition, the research demonstrated that, using development programmes, organisations can equip managers with these behaviours. However, running such development programmes is not without challenges, and sustaining the changes after the development programme is even more difficult.

Affinity Health at Work wanted to understand more about how to create the context and implement development programmes to support manager behaviour that enhances employee engagement, health and well-being. They used an evidence-based practice model (Briner et al 2009) to collect evidence from a wide range of sources. Both academic and practitioner literature was reviewed and stakeholders within organisations were interviewed. The evidence gathered clearly demonstrated that there are crucial factors for practitioners to consider in order to achieve success in such development programmes; the research also suggests that the stage of the intervention process determines which of these factors should be considered. This research resulted in the development of checklists for practitioners (Lewis et al 2014).

The initial 2014 checklists were designed to guide practitioners who are planning to run a development programme, currently running a development programme, or facilitating the transfer of learning after a development programme. They are intended to support organisations to implement successful development programmes by helping them to consider the range of factors that could enhance or reduce effectiveness. The checklists were categorised into three areas of consideration: methodology, manager and organisation.

Feedback on the 2014 work was that, although the checklists were both easily understood and useful, they provided a large number of factors that practitioners needed to consider when beginning the process of running a development programme. During 2015–16, Affinity Health at Work therefore conducted research focused on collecting further data to help refine the checklists and provide additional guidance to support their application. The methodology for this research is summarised in Figure 1.

The refined checklist set out in this document should be used by practitioners BEFORE a development programme.

Please note: these checklists represent guidance on factors to consider. They are evidence-based suggestions, rather than a validated model.

How to use these refined checklists

The factors for management development success have been categorised into three levels, based on the research findings. Level 1 factors are those that the research showed most respondents had considered, level 2 factors are those that some respondents had considered and level 3 factors are those that most respondents had not considered. For ease of use, these have been highlighted using different shades (see key below).

It is suggested that these levels can be used to prioritise practitioner action. When starting out, it is suggested that practitioners implement the Level 1 factors first and then, with more experience and time, consider Level 2 and Level 3 factors. Therefore when using the refined checklists, organisations should at first ensure the pink factors (Level 1) are in place before moving onto the purple and grey factors (Levels 2 and 3), as these factors are more likely be in place in organisations with mature development programmes.

Key:

Level 1	
Level 2	
Level 3	

Managers who take part in the development programmes are referred to as participants throughout the checklist.

Should you have any questions when completing the checklist, please refer to the supporting Frequently Asked Questions document.

Figure 1: Research process

Collecting quantitative data using the checklist items as a survey questionnaire

The questionnaire was provided initially on the CIPD website and subsequently distributed via SurveyMonkey. It was advertised widely, asking for one response per organisation. Respondents were asked about the degree to which they had in place the items identified in the checklists as being important for the success of management development programmes. The majority of the items in the questionnaires were asked of everyone, but there were also specific questions relating to the three stages.

In total, 189 organisations completed the questionnaire.

Development of refined checklists

The quantitative data gathered was used to refine the checklists. A high number of incomplete entries resulted in organisations being removed from the dataset. 116 organisations were included in the final analysis. These were distributed across three chronological stages (34 at the 'Before the development programme' stage, 46 at the 'During' stage and 36 at the 'After' stage).

Descriptive statistics were calculated for each item to see which items were most and least likely to have been considered. The mean for each checklist question was calculated; subsequently these were categorised into levels. Level 1 factors are those that it is suggested practitioners use when starting out; when practitioners have more experience and time they should consider Level 2 and Level 3 factors.

Creating a maturity model

The categorised quantitative data gathered was used to create a maturity model.

This initially included the three levels as per the refined checklists. Following piloting on a group of 23 stakeholders, it was agreed that an additional level (equivalent to before stage 1) should be added to include those practitioners who had little or no prior knowledge of the success factors for management development. The resulting model therefore had four levels.

Conducting interviews

The data was examined to identify 'advanced' organisations who were happy to be interviewed.

Three interviews were conducted.

Two organisation-specific case studies were written for two 'advanced' organisations who have run and continue to run management development programmes.

A further case study was developed from an organisation who had participated in the first phase of the research and who was developing their approach through an action learning programme.

Creating top tips

The interview data was analysed to create a top tips document on barriers and facilitators to running management development programmes.

Refined checklist for those considering conducting a development programme

Stage 1 - Before the 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	Is the development programme seen as a series of interventions unfolding over time (3-plus months including practice and follow- up) rather than just a one-off activity?	No, not at all					Yes, completely		
2	Will you ensure that the development programme is integrated with the wider organisation's culture and practices?								
3	Have you considered how ongoing resources (for example financial, administrative, logistical, support) will be made available?								
4	Have you ensured there will be opportunities for the participants to apply their learning?								
5	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)?								

Methodology (cont.)

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

Please mark the applicable box (1) 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
6	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)?	No, not at all	
7	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?		
8	Have you considered how you ensure that the development programme is useful, beneficial and important to all stakeholders, including manager participants?		

The following factors have also been found to be important but may need you to consult with other areas of your organisation. Please consider the following:

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?

Are senior leaders and all in management positions genuinely supportive of the development programme?

Are the development programme aims clear and straightforward (for example, SMART goals – specific, measurable, agreed, realistic and time bound)?

Have you ensured the name of the development programme is appropriate in your organisation (for example, fit with organisational language, brand, culture, population)?

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.

Manager

Characteristics of the manager participants that support programme success

Ple	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	Do you support managers to be confident in their management skills (for example ensuring positive, timely, specific feedback, mentoring, coaching)?	No, not at all					Yes, completely		
2	Do you encourage managers to value learning and development (for example through recognition schemes that place value on furthering knowledge)?								
3	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 and accept negative feedback?								
4	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)?								

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 be assessed/used as consideration criteria only by qualified professionals in an objective and standardised way.

Organisation

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** 1 Does your organisation have a supportive Yes, completely Don't know culture? Is it an organisation where not at all there is an open dialogue with good two-way communication, employee voice (participation of employees in the No, 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 and individuals can talk about issues such as

	work-related stress without fear of stigma?	
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 managers clear about their role?	
7	Do managers' own managers and senior managers lead by example (for example role- model desired behaviours)?	

Organisation (cont.)

Characteristics of the organisational environment that support programme success

Ple	Please mark the applicable box (1) on a scale from 0 - 'No, not at all' to 5 - 'Yes, completely' or 'Don't know' and provide examples.							
		0	1	2	34	5	Evidence and comments	
8	Do managers have varied opportunities for development in their role?	No, not at all				Yes, completely Don't know		
9	Are managers' own managers supportive of their learning (for example supplying incentives and feedback)?							
10	Are senior leaders and all in management positions in your organisation seen as engaging of others (for example inclusive, accessible, motivational and collaborative)?							
11	Do managers have appropriate job demands that enable a focus on people management vs. operational demands?							
12	Do you have clear standards and expectations that managers need to adhere to (for example appropriate competency frameworks and performance objectives)?							

The following factors have also been found to be important but may need you to consult with other areas of your organisation. Please consider the following:

Do managers' team members perceive their work as meaningful?





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