in partnership with







### Stage 3 checklist – After the development programme

February 2017

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

# Refined checklist for those embedding learning into the workplace

#### 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 AFTER 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 embedding learning into the workplace

### Stage 3 - After the development programme

Please mark the applicable box (✓) on a scale from 0 – 'No, not at all' to 5 – 'Yes, completely' or 'Don't know' and provide examp 0 1 2 3 4 5 Evidence and comments										
		0	1	2	3	4	5	;	Evidence and comments	
1	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?	No, not at all					Voc complotativ	Don't know		
2	Do you continue to make ongoing resources (for example financial, administrative, logistical, support) available?									
3	Is the development programme integrated with the wider organisation's culture and practices?									
4	Have participants been set multiple goals that are compatible with each other, challenging but not unmanageable, specific and requiring effort over time?									
5	Do senior leaders and all in management positions continue to be genuinely supportive of the development programme?									
6	Do participants continue to have opportunities to practise their new learning?									
7	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/debrief on what they learned, feed back learning to their team)?									

### Methodology (cont.)

Considerations for design, training and format of the programme that support 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						
8	Have you ensured that actions and goals from the development programme are integrated within a performance appraisal/ review system?	No, not at all							
9	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?								
10	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)?								
11	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)?								
12	Are participants encouraged to seek opportunities to apply their new learning?								
13	Are participants accountable for applying their learning in their role?								
14	Have you considered creating opportunities for participants to teach the new material to others?								

### Methodology (cont.)

Considerations for design, training 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	2 3	5 4	5		Evidence and comments
15	Have you considered using after-event reviews (AERs) as your method of reflection? 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.	No, not at all				Yes, completely	Don't know	
16	Have follow-ups been conducted with participants (for example to measure change and provide multi-rater feedback)?							
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	Is there a mentor/peer/colleague who is able to hold the participant accountable for applying the new learning in the organisation?							

**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	ase mark the applicable box ( $\checkmark$ ) on a scale from 0 – (	No, not at all' to 5 – 'Yes	s, completely' or 'Don't know' and provide examples.
		0 1 2 3 4 5	Evidence and comments
1	Do participants continue to value the learning and development opportunity offered by the programme and want to use the new learning in their role?	No, not at all No. vot at all Yes, completely Don't know	
2	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 and accept negative feedback?		
3	Do participants feel optimistic and confident that they can utilise the learning of the programme in their role?		
4	Do participants see the programme as having been beneficial, useful and important to them?		
5	Do the values of the participants align with the wider organisation?		
6	Are participants working within roles in which they are committed, satisfied, know what is expected of them and see their work as meaningful?		
7	Have you ensured that, following the intervention, participants had the required knowledge and skills?		
8	Are participants working in roles where they are not under undue pressure, experiencing work-life conflict or 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 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 all there is an open dialogue with good at not two-way communication, employee voice (participation of employees in 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 health and safety (for example a 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 Have you ensured managers are clear

about their role?

### Organisation (cont.)

Characteristics of the organisational environment 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							
7	Do you have clear standards and expectations that managers need to adhere to (for example appropriate competency frameworks and performance objectives)?	No, not at all								
8	Do managers' team members perceive their work as meaningful?									
9	Do managers have varied opportunities for development in their role?									
10	Do managers have appropriate peer, team and social support in their roles?									
11	Are HR and other relevant stakeholders equipped with the appropriate capabilities to support the participants' development?									
12	Are managers' team members equipped with the knowledge, skills and ability to do their roles?									
13	Are senior leaders and all in management positions in your organisation seen as engaging of others (for example inclusive, accessible, motivational and collaborative)?									

### Organisation (cont.)

Characteristics of the organisational environment that support programme success

Ple	ase mark the applicable box ( $\checkmark$ ) on a scale from 0 – '	No, I	not	t at	all'	' to	5 -	'Yes	, completely' or 'Don't know' and provide examples.
		0	1	2	3	4	5		Evidence and comments
14	Do managers' own managers and senior managers lead by example (for example role-model desired behaviour)?	No, not at all					Yes, completely	Don't know	
15	Do managers have appropriate job demands that enable a focus on people management vs. operational demands?								
16	Do you continue to ensure that managers, where possible, do not have conflicting priorities in their role?								
17	Do the managers work within cohesive teams where there are good-quality, mature manager–employee relationships?								
18	Do the managers work within teams where their team members trust them and identify with them?								
19	Do managers work within teams where followers are innovative and independent thinkers, where they learn actively and are willing to take risks?								
20	Do managers' team members feel empowered in their roles?								

### Organisation (cont.)

Characteristics of the organisational environment that support programme success

Pie	Please mark the applicable box ( $\checkmark$ ) 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	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)?	No, not at all					Yes, completely	Don't know		
22	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)?									
23	Are managers working within effective (high-performing) teams?									
24	Since the programme, has the organisation been free of significant organisational change (such as mergers/redundancies/ cutbacks) that could affect integration of learning?									





Chartered Institute of Personnel and Development 151 The Broadway London SW19 1JQ United Kingdom **T** +44 (0)20 8612 6200 **F** +44 (0)20 8612 6201 **E** cipd@cipd.co.uk **W** cipd.co.uk

Incorporated by Royal Charter Registered as a charity in England and Wales (1079797) and Scotland (SC045154) Issued: February 2017 Reference: 7423 © CIPD 2017