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

November 2014

Stage 2
During the development programme

Checklist for those designing and implementing a development programme

Introduction

Line managers have been shown to be vital to employee engagement and well-being through the way they manage their teams. Research previously conducted by Affinity Health at Work has identified the specific manager behaviours that are important for preventing and reducing stress and for engaging employees; it has also shown that managers can be equipped with these behaviours through development programmes. Carrying out development programmes of this type in organisations is, however, difficult and maintaining change is even more difficult.

Using a model of evidence-based management, Affinity Health at Work has reviewed academic and practitioner literature and analysed views from a wide range of stakeholders within organisations, in order to gather evidence about how to create the context and implement development programmes for manager behaviour that enhance employee engagement, health and well-being. The research methodology is summarised in the following flowchart.

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 team 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

It is clear from this research that there are important factors for practitioners to consider in order to achieve success in such development programmes; it is also clear that which of these factors should be considered depends on the stage of the intervention process.
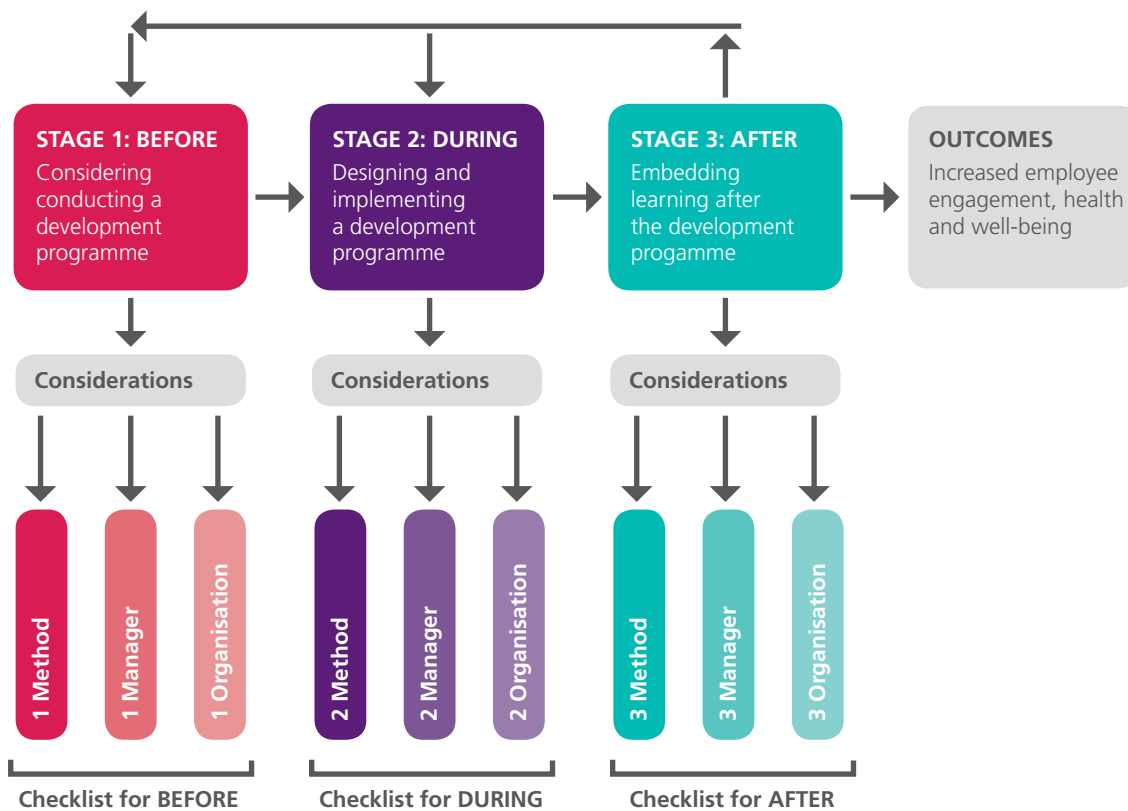
The result is three checklists to guide practitioners who are either planning to run a development programme, currently running a development programme, or facilitating the transfer of learning after a development programme. The checklists are designed to support organisations to implement successful development programmes by helping them to consider the range of factors that could enhance or reduce effectiveness. Each checklist comprises factors under three areas of consideration: methodology, manager and organisation.

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

Please note: these checklists represent guidance on factors to consider. They are evidence-based suggestions, rather than a validated model, and the relative prioritisation of factors included has not been determined.

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.

STAGE 1: BEFORE
Considering conducting a development programme

STAGE 2: DURING
Designing and implementing a development programme

STAGE 3: AFTER
Embedding learning after the development progamme

OUTCOMES
Increased employee engagement, health and well-being

Considerations

Considerations

Considerations

1 Method
1 Manager
1 Organisation

2 Method
2 Manager
2 Organisation

3 Method
3 Manager
3 Organisation

Checklist for BEFORE

Checklist for DURING

Checklist for AFTER

Stage 2
During the development programme

Checklist for those designing and implementing a development programme

Methodology		
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)		

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 straightforward, for 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 development 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 development programme is appropriate in your organisation (for example fit with organisational language, brand, culture and population)?	☐☐☐☐☐☐☐☐	

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
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="3">Methodology (continued)
Considerations for planning, design and format of the programme that support 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>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

		0 1 2 3 4 5	Evidence and comments
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.			
1	Have you ensured the participants have volunteered/chosen to take part in this programme?	☐ ☐ ☐ ☐ ☐ ☐ ☐ 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 programme 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 beneficial, 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
	Manager (continued)		
	Characteristics of the manager participants that support programme success		
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?	☐☐☐☐☐☐☐	

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

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	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 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 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 and encouragement of open communication where employees are safe and able to communicate honestly across the organisation)?	☐☐☐☐☐☐☐	
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 2
During the development programme

Checklist for those designing and implementing 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	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	
8	Do managers have appropriate job demands that enable a focus on people management versus operational demands?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
9	Have you ensured managers, where possible, do not have conflicting priorities in their role?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
10	Do you have clear standards and expectations that managers need to adhere to (for example appropriate competency frameworks and performance objectives)?	☐ ☐ ☐ ☐ ☐ ☐ ☐	
11	Have you ensured managers are 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?	☐ ☐ ☐ ☐ ☐ ☐ ☐	

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Checklist for those designing and implementing a development programme

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
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?	☐ ☐ ☐ ☐ ☐ ☐ ☐	