Organisation Improvement Framework

SCOTTISH PUBLIC SERVICES OMBUDSMAN

Edinburgh

Continuing Assessment Report

Commercial in Confidence

UNDERTAKEN BY
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On behalf of Investors in People Scotland

Project Reference Number: 10/0101
Date: 3 March 2010

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INTRODUCTION

Established in 2002 by the Scottish Parliament, the Scottish Public Services Ombudsman (SPSO) replaced three previous offices:

- The Scottish Parliamentary and Health Ombudsman
- The Local Government Ombudsman for Scotland
- THE Housing Association Ombudsman for Scotland

The office of the SPSO investigates complaints about organisations that provide public services such as the National Health Service, Councils, Housing Associations, Higher Education establishments, Scottish Government departments and agencies. In addition, outreach services are provided to raise awareness of the SPSO across the general public and to promote high quality complaint handling in those bodies coming within the remit of the organisation. The main aim of the organisation is to resolve disputes fairly, reasonably, quickly and impartially.

The present Ombudsman was appointed in May 2009 and has overall responsibility for the operation of the SPSO. He is supported by two Directors, a Head of Services, the Communications Manager, Casework Knowledge Manager and operational Team Managers. Wishing to improve its external standing with key stakeholders, the organisation is facing continual challenge. It is currently going through cultural change. High on the agenda are improving the consistency of management approach and creating more effective and efficient working practices.

Two Bills are currently before Parliament and if parliamentary approval is obtained these will result in increased organisational responsibility for the SPSO, create further change and significant challenge. Some alteration to the existing organisational structure is imminent.

The office of the SPSO is situated in Edinburgh where 48 employees are based. The activities of 4 contractors also come within the scope of this Assessment. I interviewed 18 individuals, including one contractor.

This is an Early Assessment and is the first occasion the SPSO has presented itself for accreditation.

OUTCOME

Early Assessment

Having carried out the assessment process in accordance with the guidelines provided by Investors in People UK, I can confirm that further development is required in order to meet the requirements of the Investors in People Standard. It is recommended that the process below is followed. This will assist in keeping focused to achieve the Standard:-

1. Complete an Action Plan with the support of myself or another IIP Specialist, identifying the areas for development from this report, the action to be taken and the timescales.

2. Agree with either myself or another IIP Specialist when the assessment should be continued.

A draft copy Action Plan is attached should you choose to use this. As agreed at the feedback meeting please contact me if you would like any further assistance from me or another Specialist.

PRIORITIES/OBJECTIVES

As agreed during the planning activity, your Early Assessment focused on the following objectives:

▪ To give feedback on the appropriate aspects of the Investors in People Framework that relate to your organisation's objectives/priorities/issues.

ADDED VALUE OBJECTIVES

▪ What do people think about the transparency and clarity of information being communicated around the implementation of change?

▪ How do people view the future and the impact of proposed external legislation? What are their observations about the way in which the organisation is going forward?

FINDINGS AGAINST PRIORITIES/OBJECTIVES

These findings are commented upon within the context of significant cultural change and process which has been a very high priority since the appointment of the Ombudsman and the Director of Complaints and Investigations. This, coupled with uncertainty related to the potential impact of the two Parliamentary Bills awaiting approval, resulted in strategic decisions being made which have influenced the demonstrated evidence for outcomes at this visit.

Priority was given to the implementation of four specific key objectives and performance indicators mid-year 2009. These were designed to improve the service provided and enhance the organisations standing with Stakeholders. The specific outcome was to improve the reputation/performance of SPSO and enhance stakeholder engagement. In addition, due to the uncertainty of the approval of the Bills going forward, the strategy for learning and development was impacted upon and activities/resources reduced until the impact on organisational skills and capability is fully clarified.

To provide a high quality, independent complaint handling Service

Business Planning - The vision and values are clearly set out. Your vision is of enhanced public confidence in high quality, continually improving public services in Scotland which consistently meet the highest standards of public administration. You aim to do this by providing a trusted, effective and efficient complaint handling service which remedies injustice for individuals resulting from maladministration or service failure.

You have five corporate strategic objectives set for 2008-2011, one of which has already been achieved. A common understanding and commitment to achieving improvements in case handling and quality of casework was demonstrated. Individuals are aware of how they contribute to the achievement of the aims and objectives. They described how they contribute through good complaint handling, providing a high quality service, looking to improve frontline services, being efficient and supporting colleagues. *"We need to demonstrate we are independent and fair". "We have to be very efficient and deadline driven to improve our image".*

Staff explained how they had been involved in the preparation of the 2008 plan and had been kept advised of the new targets last year. I also discussed plans for staff involvement in the forthcoming planning review and update. You do consult with Union representatives and this has improved recently but earlier involvement/communication of decisions would be appreciated. There would be benefit in considering and developing how you engage with

staff and Union representatives when formalising the 2010 – 2011 updated plan. *"There is input from me to the objectives".*

Developing People - Learning and development is normally planned and aligned to the Business plan. The decision to await clarity related to the impact of the Bills going through Parliament has impacted on your ability to demonstrate outcomes at the organisational level. There is a training budget in place and activities demonstrated included train the trainers, dealing with difficult callers, interview techniques, technical updates, project management training, judicial review seminars and mental welfare. Qualifications supported included Customer Care SVQ 3, Prince 2, and Masters in Public Policy and Human Resource Management.

Individuals confirmed that they discuss learning and development during the Annual Appraisal and six monthly interim reviews. Many staff expressed the opinion that they are self directed and suggest development or courses they feel they require. They also are of the opinion that they can ask for training at any time. They confirmed their participation in the activities mentioned above. There was some comment that the technical updates should be more job specific and this is something that you are aware of and are considering. *"I can suggest any courses or training I need at any time". "We discuss this during the Appraisal". "The technical updates are not job specific enough".*

The majority of those spoken to believe that they are/will be offered the training they need. However, there were some examples of individuals requesting activities and these not being offered. Those individuals had not received feedback regarding why their requests were not being taken forward. Whilst jobs are advertised, secondments were demonstrated and individuals are involved in projects to improve or develop skills, there was a perception that opportunities for career progression were limited. On discussing this further, most of the staff did understand the specialism of roles impacted on this. Those more recent employees confirmed that this aspect was specifically covered during the recruitment process. Going forward, you may wish to consider this aspect in terms of building the capability of staff, obtaining flexibility of complaints handling across the organisation and planning for future organisational needs. *"There is strong commitment to any learning & development I need". "We get the opportunities we need and the Ombudsman is keen on personal development". "There is little opportunity for career progression because of the specialism needed and the size of the office". "We discussed career prospects at the interview. They were very open about that".*

You ensure that individuals and teams have the knowledge and skills to deliver improved practices by continuous technical updates. You have recently implemented new procedures for complaints handling and staff confirmed involvement in the design and implementation of the improved practices. Staff do share knowledge and skills within teams and sometimes

share their experience of learning and development at team meetings. Some individuals are recognised for the knowledge they hold and are regularly consulted by their colleagues.

Continuous Improvement - We agreed during the visit that whilst there are elements of continuous improvement related to the evaluation of learning and development, the benefits, impacts and the improvements to the way in which people are managed and the co-ordination of information to inform future strategy requires further development and more structure. There was inconsistent, insufficient and mixed information related to this aspect. Once the Bills receive approval and the additional remit of SPSO is clarified, you will be in a position to consider this and utilise the Standard to move forward.

To Improve complaint handling by public service providers

Staff Engagement - You have improved the support to front line complaint handling by public service providers through the creation of a training function. You have engaged with staff by including individuals from different functions within SPSO. These individuals have been trained as trainers and you are utilising their knowledge and skills to design and pilot external training courses for public sector complaints handlers. In addition, by implementing the new complaints handling procedures and reducing outstanding complaints you are positioning SPSO as a best practice 'design authority'.

To utilise the capabilities and enthusiasms of staff you are consulting and engaging with them in a number of groups looking at improvements in :

- Learning and Development
- Equality and Diversity
- Business Review
- SPSO+
- Intranet User Project

Those involved confirmed they had volunteered for the groups because of an interest or had been asked to join due to their knowledge, expertise or enthusiasm. They believe that they are trusted to make decisions and to improve performance. Examples were given of suggestions being implemented. However, some other staff believed that they are not trusted by their managers to make decisions. (Evidence criteria 7.15) Most of this is related to the changes in the complaints handling procedures but it also is reflective of inconsistency of management effectiveness about which I will comment later in the report. In addition, although there are a variety of groups, I was unable to obtain sufficient examples of managers creating opportunities for staff to challenge the way things work. Obviously the

groups are doing this but those not specifically included did not seem to be aware of the outcomes from the groups or what improvements had been made. (Indicator 7.18)

In general, staff are of the opinion that they have a high level of personal responsibility, although, as mentioned above, the change in the quality assurance aspects of the complaints handling procedures has left some team members feeling less trusted. I would invite you to consider further clarifying this aspect of the procedure to ensure it does not impact on staff feeling valued for their contribution. *"I do feel I have ownership and responsibility". "The changes have left me feeling less trusted to make decisions and your work is looked at". "We have regular team meetings and you can put forward views and ideas".*

You will be pleased to hear that the majority of staff spoken to confirmed they were committed to the success of SPSO. This is demonstrated by one member of staff explaining the enthusiasm for a project. Another mentioned involvement in groups and by putting in extra time to make this successful. An individual explained the strong will within the office to work for a successful organisation and how they wanted contributes by putting forward suggestions for improvement. Against that, there is concern for jobs at the moment and this is impacting on individual perceptions and creating uncertainty. There is not sufficiency of evidence to confirm this Indicator is met but good practice is developing and perceptions are improving. (Evidence criteria 7.16)

There was mixed evidence in regard to people having a sense of ownership and pride in working for SPSO. One individual explained that helping people and believing they made a difference gave them real sense of pride. Another commented that since the new appointments in the senior management team last year she felt more pride in working for the organisation. People appear to be cautiously optimistic that the changes taking place will change the external opinion of SPSO and they can take greater pride in the work they do. Good practice is developing. (Evidence criteria 7.19)

To support public service improvement in Scotland

Communication and Consultation - Recent improvements in the complaints investigation procedures ensure that quality assurance is being improved and the credibility of SPSO is being enhanced. Managers explained that a sample of reports and letters are reviewed to ensure high quality and improve performance. Also, individuals have monthly one to ones and discuss cases with their manager. In another area weekly one to ones take place to discuss operational performance and developmental aspects.

Consultation takes place with Union representatives and they are able to be involved in improvement groups. At present a representative is involved in one group and the training project. Consultation is positive and occurs by informal arrangement. It was indicated that consultation has been improving recently with agreed updates although earlier involvement in 'bigger issue' decisions and more formality around information and consultation would be of benefit. It is appreciated that much of what is happening at present is as a result of time constraints and representatives are confident agreed regular updates and consultation will continue.

During discussion with the Ombudsman it is clear that he plans to engage with representatives and staff during the planning for 2010 – 2011 to ensure clarity of understanding going forward.

The Intranet User project and improvements to communications are good practice in regard to the way in which people receive support, information and knowledge to make informed decisions. Sharing information with colleagues, at team meetings, by e-mail and during case reviews support staff. You are working on using information technology as a way of improving the sharing of knowledge and information to support decision making and performance improvement. This is an area where good practice is developing. (Evidence criteria 7.14)

To be an accountable, best value organisation

Learning and Development - is resourced and the budget discussed and monitored during weekly operational management team meetings, monthly monitoring of performance indicators and during individual one to one discussions. Learning is normally aligned to the Business Plan. Activities have been delayed due to the critical priority for business process changes. Whilst learning and development has been taking place there would be benefit going forward to create much more structure around planning this at the organisational, team and individual level

A competency framework exists and defines the capabilities of leaders and managers. However, there was inconsistent and mixed information related to how people understand these aspects and what this means for them in regard to what they should expect from their managers.

Leadership and Management Strategy - I would recommend that the strategy for management development requires clarity, structure and alignment with the Business Plan. This is particularly important as the implementation of the Business Review project and resulting re-structure is imminent. Also in terms of going forward in regard to the critical contribution effective management will make to the implementation of your strategies and

the support for employee development and performance management.

Coaching does take place, advice and guidance is offered by the Head of Services and four seminars are available each year from Anderson Strathearn on topics related to your organisation. I appreciate that you have a very experienced operational management team but unfortunately there was insufficient evidence of planned management development or refreshers related to people skills apart from coaching.

Management Effectiveness - It is clear that there are different management styles being demonstrated and whilst this is not necessarily a negative aspect there is inconsistency of approach being demonstrated. Appraisal discussions are not necessarily taking place in line with the agreed process. For example, individuals who are on secondment are not receiving an Appraisal. The frequency of interim reviews is not always being adhered to. There is also some inconsistency to the approach to discussing learning and development during the Appraisal and to setting objectives. *"The Ombudsman is a great leader, a great top guy and supports my development" "My manager is a top class manager of staff and very motivational". "My Manager is extremely good and a pleasure to work with". "There are different approaches and management styles".*

Individuals confirmed that they do receive constructive feedback during informal dialogue, one to ones and at the Appraisal discussions and interim reviews. An individual explained the approach to constructive feedback during one to one case reviews. They commented on how that learning is shared with the rest of the team. The Case reviews and team meetings also offer opportunities for constructive feedback. There was also some comment about a manager being remote from the team. *"My manager is good at playing devil's advocate and is very constructive". "There is not much constructive feedback in our area from the manager".*

Staff confirmed that they receive praise thanks and acknowledgement for the work they do on a regular basis and during the Appraisal. Again, there seems to be some inconsistency of approach. In some areas there was a general perception that this aspect could be improved upon. Some of this may be historical and comment was made that since the change in the operational management team this has improved. Examples of praise and thanks, comments from the Ombudsman were described. *"I am valued and recognised to an extent". "You do get thanks for a job well done and we are spoken highly of at management meetings". "I usually ask for feedback and check I'm doing okay as it isn't regularly given".*

Constructive feedback and recognition and reward are demonstrated but the evidence could be stronger and this is an area that we may wish to look at during any future visit.
In terms of celebrating success and achievements, this has to be placed in the context of

nationally agreed public sector reward and remuneration and financial governance. Staff did mention that an additional half day of flexi time was made available by the Ombudsman in recognition of the significant improvement and KPI achieved in old cases. Further development is required before sufficient evidence can be demonstrated. (Indicators 6.10 and 6.11)

Effective Learning and Development – The Appraisal discussions, one to ones, interim reviews, case reviews, observations in the workplace and quality assurance all offer opportunities to measure effective learning and development takes place and to identify areas for improvement or further development. There is some inconsistency of approach to discussing objectives for learning and development pre participation and post participation.

Staff who had participated were able to describe what they had learned and how they had applied this in the workplace. The impact on organisational performance could be much stronger and I had to probe for this information.

Those new to the organisation confirmed that effective induction takes place and that they had an opportunity to comment on the process. Those who had been seconded expressed the opinion that they were supported in the new role and received any coaching or development needed.

Continuous Improvement - We have agreed that the whole aspect of measuring the success of learning and development and resulting improvements to the way in which people are managed and developed requires further development. There are evaluation forms in use for some courses and specific pilots are separately evaluated. Some managers discuss the learning undertaken and how this impact on the individual team and organisation. Others do not appear to do so or it is perceived that they do not.

Whilst there is not sufficient evidence to meet Indicators 9 and 10, I would like to reflect the significant improvement achieved as a result of the outcome from the Business Review project, future ongoing re-structure and identified drivers for cultural change. In my experience, this has been achieve in a relatively short period of time against a background of new appointments to the senior operational team and ongoing external impacts over which you have had no control.

You have implemented staff surveys in the past and utilising these in the future to specifically measure how effective managers are might be beneficial. However, some comment was made that the resulting responses and actions were superficial so you may wish to consider other options. I have included some suggestions in the section headed Continuous Improvement Actions.

ADDED VALUE OBJECTIVES

Communication

As you would expect there were a variety of opinions expressed regarding the clarity and transparency of information. Views were expressed that more effort is being made to communicate. Whilst some staff expressed the belief that communication has improved and you are trying to be transparent there does appear to be contradictory information and final decisions have not yet been made. As a result, some staff feel "Chinese whispers" are perceived to be *"breeding confusion"*. It is clear from my discussions and the perceptions from comments made during the last all staff meeting that there is uncertainty and concern for jobs. On the other hand, some individuals believe that there is balance between the timing of information and clarity of information. Much of this will result from individual reactions to change and how people perceive this to be impacting on them personally.

The Future/Going Forward

Again mixed views were expressed. Some individuals viewed the changes positively and believed they were very necessary as historic issues had to be addressed. Others felt that the changes going forward offered opportunities for extra responsibility, more areas of work and would improve SPSO's standing with stakeholders. There was some consensus that it was too early to see how the "*direction of travel"* being outlined would ultimately effect resources and job security for everyone. *"They keep changing things and don't necessarily tell you decisions have been altered".*

Going forward, changes including the addition of complaints about Prisons and Water were seen as being not that different and of benefit. One individual commented that the work for prisons should be a smooth transition and would not really present hurdles. This is seen as being a good way forward and a new area for others. *"We need to have wholesale change. Keep the good and move forward". "Being a bigger organisation should offer opportunities". "There is indecision and mixed messages about redundancies".* Again these comments are very reflective of how people react to change and are positioned on the change curve.

EVIDENCE REQUIREMENTS WHICH ARE NOT CURRENTLY MET

The areas requiring further development are:
Planning Learning and Development   (2.1 and 2.2)
Management Effectiveness   (4.1, 4.3 and 5.3)
Performance Measurement   (9.1, 9.2, 9.3, 9.4 and 9.5)
Continuous Improvement   (10.1, 10.2, 10.3)

CONTINUOUS IMPROVEMENT ACTIONS

Paragraphs stating that outcomes must be demonstrated or staff must demonstrate are areas where action/further development is specifically required to meet the requirements of the Standard. Observations or recommendations in this section are included to offer you opportunities to consider how you might use the standard to support what you want to achieve.

To improve a high quality, independent complaint handling Service and to be an accountable, best value organisation

Developing People – Evidence Criteria 2.1 and 2.2

To demonstrate the outcomes required for the above I would expect to see a strategy in place which is aligned to your aims and objectives at the organisational, team and individual levels. In line with the strategic planning cycle I would expect there to be discussion and understanding across the senior management team of the learning and development needs aligned to the corporate strategic objectives. I would also expect that when engaging with managers and staff during the planning cycle that learning and development needs are discussed and identified to meet team or functional objectives. These are then fed upwards into the planning process to inform the strategy for organisational learning and development and the related budget and resources. A more formal strategy can provide the platform not only to look at current needs but also those required as your remit and responsibilities grow in the immediate and long term future.

The Appraisal process is the formal way in which you identify individual development needs. I am aware that you use Performance Agreements to capture personal development needs but these could be developed further into personal development plans. I would recommend that you consider introducing these as part of the Appraisal process. Whilst placing the responsibility for recording learning and development on the individual, PDPs can be of benefit by focussing in on the needs of the individual, stimulate meaningful discussion and assist the identification of objectives for learning and how this will be applied in the workplace. It can also increase the understanding of individuals and managers across the organisation of the benefits and impacts of employee development and enhance understanding of its impact on improved performance across the organisation. It is also useful in assisting employees to recognise how well they have progressed and can make the Appraisal more motivational.

Leadership and Management Strategy – Evidence Criteria 4.1

In the same context the development of leaders and managers is critical to ongoing and future success of the SPSO. How managers are equipped to deal with the change occurring due to the imminent re-structure and related impacts on staff will also be a key measure for success. I would expect you to be able to demonstrate how you identify the skills needed in line with the competencies and corporate strategic objectives. The senior management team should be aware of the resources and costs of this for inclusion in the overall strategy for employee development which should include your plans to develop management capabilities.

These do not require to be large formal strategic documents but could be included as part of the corporate strategic aims and objectives.

As an observation, I would invite you to consider undertaking a management training needs analysis, leadership and management profiles or learning questionnaires so that you can identify current skills levels and identify individual development needs. In particular, interpersonal skills are critical to changing mindsets, understanding emotional intelligence and staff engagement. You may wish to consider implementing a skills matrix for management development linked to the competencies. Creating opportunities for people managers to share good practice would be of benefit. Mentoring, coaching and peer support can also be very cost effective.

Another observation is utilising your values. This is an element of the choice options that you might consider. If everyone understands what the values mean in terms of how they are expected to work this can result in clarity of understanding and can be utilised as drivers for cultural change or changing mindsets. For example, SPSO aims to be courteous, considerate and respectful of people's rights. What does that mean for people in terms of demonstrating this during daily work/how they are expected to work? What does that mean for managers in terms of working together as a team, interacting with staff and supporting employee development? This can create greater clarity of behaviours, expectations, performance and team working.

Management effectiveness – Evidence criteria 5.3

People are required to demonstrate their understanding of what it is their manager should be doing to lead, manage and develop them if this criteria is to be achieved. People are aware there are competencies but the information described was inconsistent, mixed and insufficient for me to make an objective judgement. Ensuring all managers understand their

responsibilities for these aspects and communicating this to staff should clarify understanding and achieve consistency of approach.

As an observation, introducing mechanisms to encourage upward feedback from staff to managers would enable you to measure their effectiveness. For example, asking specific questions related to management behaviours during staff surveys may present opportunities. Encouraging managers to ask for upward feedback during one to ones or at team meetings would encourage open and honest dialogue and demonstrate that managers are willing to receive constructive feedback on how they can improve. Perhaps including specific questions around manager's behaviours in the Appraisal would open up dialogue and encourage upward feedback.

Whilst evidence criteria 5.4 and 6.3 is met there would be benefit is ensuring that managers are aware of their responsibilities for giving constructive feedback, ensuring staff recognise this as such and creating a culture of praise thanks and valuing individual contribution.

Continuous Improvement – Evidence criteria 9.1, 9.2, 9.3, 9.4, 9.5 and 10.1, 10.2, 10.3

We agreed that elements of evaluating learning and development are in place however, you are required to demonstrate how your investment in people improves the performance of SPSO. The senior management team are required to demonstrate the investment in time, money and resources in learning and development. They should also be able to quantify how this has improved organisational performance and how the evaluation is used to inform and develop their strategy for organisational improvement.

I would expect the senior management team to be able to describe how they discuss and review learning and development activities in line with the planning process. They should be able to demonstrate their understanding of the real cost of their investment, an appreciation of the benefits and impacts on improved organisational improvement. This understanding would inform future strategic decision making around learning and developments. It would also identify areas where cost efficiencies might be obtained, or internal skills might be utilised. For example, if pressures on funding created a need to reduce the employee development budget, what could be done differently, what has the biggest benefit or impact on organisational improvement.

Likewise I would expect the senior management team to demonstrate examples of how evaluation has improved the strategy for learning and development and all managers to demonstrate how they have improved the way they manage and develop people as a result of evaluation or management development. People should be able to give examples of improvements.

A much more structured approach to the mechanisms for measuring and evaluating learning and development is required. This does not have to be complex. For example, you may wish to co-ordinate training and detail this together with direct and indirect costs on a spread sheet. Including learning and development at team meetings and management meetings would be of benefit. Formally reviewing learning and development and its related costs as part of the operational management team meetings at specific intervals would enhance understanding.

Managers should be reminded of their responsibilities for supporting development through discussion of objects for learning pre and post activity and linking objects to the corporate strategic aims and objectives or team objectives.

NEXT STEPS

As previously mentioned, there would be benefit in drawing up and implementing an Action Plan. If you come forward for accreditation within 12 months from my visit, the evidence criteria banked will still be considered current. After this period a full Assessment would be required.

You may wish to consider attending the IIP workshops. The workshops are designed for recognised organisations and may also stretch participant's knowledge beyond the Standard into broader business and people management activities.   Contact Laura Peacock laura@iipscotland.co.uk for further information about these. Information is also available on the IIPs website.

It may be of benefit to explore the Investors in People on-line support called IIP Interactive. It contains a library of materials that you can download along with case studies and examples all linked to business themes within the framework. Go onto the IIP Website http://www.iipscotland.co.uk   register/sign in and click on the menu button headed Interactive.

I have noted below a number of websites that may be of interest to you.

www.mangement-standards.org   www.cipd.co.uk/manag/standards/prac
www.ilmscotland.com   www.wikipedia.org/wiki/coaching
www.leadership.co.uk   www.businessballs.com
www.strath.ac.uk   - Life Long Learning - Certificate in Professional Development in Performance Coaching

www.napier.ac.uk – The Edinburgh Institute of Leadership and Management Practice – MSC in Coaching

I would like to thank all those who participated in the Assessment for their contribution and open discussion.

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Investors in People Scotland

Date: 3 March 2010

Key

√	Areas of strength and meeting the requirements of the Standard	
D	Met but with development areas	
D	Not yet met but good practice is developing	
X	Areas for development and not meeting the requirements of the Standard	
n/a	Evidence not considered at this visit	

The Framework

01	**Business Strategy** *A strategy for improving the performance of the organisation is clearly defined and understood.*	
The Standard	1	Top managers make sure the organisation has a clear purpose and vision supported by a strategy for improving its performance	√
	2	Top managers make sure the organisation has a business plan with measurable performance objectives	√
	3	Top managers make sure there are constructive relationships with representative groups (where they exist) and the groups are consulted when developing the organisation's business plan	D
	4	Managers can describe how they involve people when developing the organisations business plan and when agreeing team and individual objectives	√
	5	People who are members of representative groups can confirm that top managers make sure there are constructive relationships with the groups and they are consulted when developing the organisation's business plan	D
	6	People can explain the objectives of their team and the organisation at a level that is appropriate to their role, and can describe how they are expected to contribute to developing and achieving them	√

02	**Learning & Development Strategy**		
	Learning and development is planned to achieve the organisation's objectives.		
The Standard	1	Top managers can explain the organisation's learning and development needs, the plans and resources in place to meet them, how these link to achieving specific objectives and how the impact will be evaluated	X
	2	Managers can explain team learning and development needs, the activities planned to meet them, how these link to achieving specific team objectives and how the impact will be evaluated	X
	3	People can describe how they are involved in identifying their learning and development needs and the activities planned to meet them	√
	4	People can explain what their learning and development activities should achieve for them, their team and the organisation	D

03	**People Management Strategy** *Strategies for managing people are designed to promote equality of opportunity in the development of the organisation's people.*		
The Standard	1	Top managers can describe strategies they have in place to create an environment where everyone is encouraged to contribute ideas to improve their own and other people's performance	√
	2	Top managers recognise the different needs of people and can describe strategies they have in place to make sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for people to learn and develop which will improve the performance	√
	3	Managers recognise the different needs of people and can describe how they make sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for people to learn and develop which will improve their performance	√
	4	People believe managers are genuinely committed to making sure everyone has appropriate and fair access to the support they need and there is equality of opportunity for them to learn and develop which will improve their performance	D
	5	People can give examples of how they have been encouraged to contribute ideas to improve their own and other people's performance	√

04	**Leadership & Management Strategy** *The capabilities managers need to lead, manage and develop people effectively are clearly defined and understood.*		
The Standard	1	Top managers can describe the knowledge, skills and behaviours managers need to lead, manage and develop people effectively and the plans they have in place to make sure managers have these capabilities	X
	2	Managers can describe the knowledge, skills and behaviours they need to lead, manage and develop people effectively.	√
	3	People can describe what their manager should be doing to lead, manage and develop them effectively	X

05	**Management Effectiveness** *Managers are effective in leading, managing and developing people.*		
The Standard	1	Managers can explain how they are effective in leading, managing and developing people	√
	2	Managers can give examples of how they give people constructive feedback on their performance regularly and when appropriate	√
	3	People can explain how their managers are effective in leading, managing and developing them	X
	4	People can give examples of how they receive constructive feedback on their performance regularly and when appropriate	D

06	Recognition & Reward		
	People's contribution to the organisation is recognised and valued.		
The Standard	1	Managers can give examples of how they recognise and value people's individual contribution to the organisation	√
	2	People can describe how they contribute to the organisation and believe they make a positive difference to its performance	√
	3	People can describe how their contribution to the organisation is recognised and valued	D

07	**Involvement & Empowerment** *People are encouraged to take ownership and responsibility by being involved in decision-making.*	
The Standard	1	Managers can describe how they promote a sense of ownership and responsibility by encouraging people to be involved in decision-making, both individually and through representative groups, where they exist	D
	2	People can describe how they are encouraged to be involved in decision-making that affects the performance of individuals, teams and the organisation, at a level that is appropriate to their role	√
	3	People can describe how they are encouraged to take ownership and responsibility for decisions that affect the performance of individuals, teams and the organisation, at a level that is appropriate to their role	√

07	**Involvement & Empowerment (Continued)** *People are encouraged to take ownership and responsibility by being involved in decision-making.*		
Your Choice	11	Managers can give examples of how they have created an environment where people aim for continuous improvement and openly challenge the way the organisation works to improve performance	n/a
	12	People can give examples of how they take ownership for decisions that affect the performance of individuals, teams and the organisation, at a level that is appropriate to their role	n/a
	13	People believe that the consultation arrangements are effective and allow them to take part in decision-making	n/a
	14	People can confirm that they have access to the knowledge and information and receive the support they need to make decisions and improve performance	D
	15	People believe their managers trust them to make decisions that improve performance	D
	16	People can confirm that they are committed to the success of the organisation	D
	17	People can confirm that they are involved in designing consultation arrangements	n/a
	18	People believe they can challenge the way the organisation works to improve performance and can give examples of how they or others have done so	D
	19	People can describe what gives them sense of ownership and pride in working for the organisation	D
Do: Take action to improve performance			

08	Learning & Development *People learn and develop effectively.*		
The Standard	1	Managers can describe how they make sure people's learning and development needs are met	D
	2	People can describe how their learning and development needs have been met, what they have learnt and how they have applied this in their role	√
	3	People who are new to the organisation, and those new to a role, can describe how their induction has helped them to perform effectively	√

09	**Performance Measurement** *Investment in people improves the performance of the organisation.*		
The Standard	1	Top managers can describe the organisation's overall investment of time, money and resources in learning and development	X
	2	Top managers can explain, and quantify where appropriate, how learning and development has improved the performance of the organisation	X
	3	Top managers can describe how the evaluation of their investment in people is used to develop their strategy for improving the performance of the organisation	X
	4	Managers can give examples of how learning and development has improved the performance of their team and the organisation	X
	5	People can give examples of how learning and development has improved their performance, the performance of their team and that of the organisation	X
Your Choice	6	Top managers can describe how the organisation measures and evaluates how its strategies for managing people contribute to the organisation's performance	n/a
	7	Top managers can describe the impact of their investment in people on achieving key performance indicators	n/a
	8	Top managers make sure the organisation has a flexible and effective approach to measuring and reporting the return on investment on its people strategies	n/a
	9	Top managers make sure that the return on investment on its people strategies is reported clearly to all stakeholders	n/a
	10	Managers can describe how they are involved in measuring and evaluating how the organisation's people strategies contribute to its performance	n/a

09	Performance Measurement (Continued) *Investment in people improves the performance of the organisation.*		
Your Choice	11	Managers can give examples of improvements in the performance of individuals, their team and the organisation as a result of people management activities	n/a
	12	People can describe how their career prospects have improved as a result of their learning and development and the way they have been managed	n/a
	13	People can give examples of improvements in the performance of the team as a result of people management and development activities	X
	14	People can describe how the organisation's investment in people has improved its performance	n/a
Review: Evaluate and improve performance			

10	**Continuous Improvement** *Improvements and continually made to the way people are managed and developed.*		
The Standard	1	Top managers can give examples of how the evaluation of their investment in people has resulted in improvements in the organisation's strategy for managing and developing people	X
	2	Managers can give examples of improvements they have made to the way they manage and develop people	X
	3	People can give examples of improvements that have been made to the way the organisation manages and develops its people	X
Your Choice	4	Top managers can describe how the organisation has used self-review techniques to improve its strategies for managing and developing people.	n/a
	5	Top managers can describe how the organisation has used information from external reviews, including previous Investors in People assessment or review, to improve strategies for managing and developing people	n/a
	6	Top managers make sure effective feedback methods are used to understand people's needs and expectations and to highlight improvements needed to the way they are managed and developed	n/a
	7	Top managers can describe the range of measures used to monitor and understand people's view of how they are managed and developed	n/a
	8	Top managers can describe how the organisation has used Internal and external benchmarking to review and improve its strategies for managing and developing people	n/a
	9	Top managers can demonstrate an improvement in people's views of how they are managed and developed	n/a
	10	Managers can describe how they review and evaluate people management and development and use this learning to shape future activity	n/a

10	Continuous Improvement (Continued) *Improvements and continually made to the way people are managed and developed.*		
Your Choice	11	Managers can describe how they involve people in identifying improvements to the way they are managed and developed	n/a
	12	People can give examples of how they are involved in identifying improvements to the way they are managed and developed	n/a
	13	People believe that managers are genuinely committed to improving the way they manage and develop them	n/a
	14	People can describe improvements that have been made, as a result of their feedback, to the way the organisation manages and develops people	X
	15	People believe that the organisation is a great place to work as a result of ongoing improvements made to the way they are managed and developed	n/a
Review: Evaluate and improve performance			