Barriers and Catalysts in Awareness-based Learning

**A Study of Transfer of Learning in
Equity-Focused
Leadership Development Programs**

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*In fulfillment of the requirements for the
degree of Doctor of Education in
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EXECUTIVE SUMMARY

Equity, diversity, and inclusion (EDI) topics have become central areas of focus in leadership development programs across industries and fields. EDI leadership training efforts often involve significant focus on awareness-building of the individuals who participate. Organizations that provide and support these training efforts often intend to realize positive organizational impact as a result of the investment in these programs. However very little is understood about how building awareness of a topic, such as EDI, leads to significant impact. Therefore, it is essential that we better understand how the transfer of learning in EDI leadership programs occurs, and of what barriers might prevent the transfer of learning.

This quality improvement study seeks to develop insights and recommendations for effectively designing and delivering equity-focused leadership development programs. The project, done in partnership with the Georgia Leadership Institute for School Improvement (GLISI), assessed efforts to effectively develop GLISI team members as capable and confident equity-focused leader-facilitators.

The findings and recommendations of this improvement study serve to inform both internal equity leadership strategy development as well as how GLISI might serve their clients in developing equity leadership capabilities.

The principal focus of this study was to better understand how to design and execute an equity-focused leadership development program that is transferable and useful. Transfer of learning occurs when participants are able to demonstrate skills gained in a learning program with effectiveness and

through continued application in their roles (Foley & Kaiser, 2013). Holton's Learning Transfer Model was used for the evaluation of GLISI's equity-focused "train-the-trainer" program (Holton III, Bates, & Ruona, 2000).

This model allowed for elements of program design, organizational environment, and participant abilities to be considered as either barriers or catalysts to the transfer of learning for the GLISI team.

> **The following study questions served as guiding areas of focus in this effort:**
> o *Do GLISI team members feel like they can apply what they are learning?*
> o *What personal, program design, or organizational factors are influencing the GLISI team's transfer of training potential?*
> o *How does the GLISI team perceive their facilitator training experience to be affecting their ability and confidence to facilitate equity-focused programs?*

These guiding study questions delivered the following key findings were developed through analysis of both quantitative and qualitative data:

Key Finding #1
A paradox exists between the GLISI team's generally high levels of self-efficacy and their current perception of their personal capacity to apply what they have learned in terms of equity leadership capabilities.

The GLISI team reported a high level of general confidence about their ability to overcome obstacles in order to utilize new learning. However, they rated their current capacities of time, energy, and mental space to apply what they are learning in the equity-

focused training program extremely low. Though there may be many factors contributing to their perception, observational data confirmed that the subject matter itself is a driving factor of the diminished personal capacities felt by the team.

Key Finding #2
The GLISI team does not perceive what, if any, positive or negative outcomes might result from using or not using what they are learning from this training program in their work.

The GLISI team does not yet see either positive organizational benefits and rewards for employing the new skills they are learning or negative organizational repercussions if they do not apply what they are learning.

Key Finding #3
Initial feedback indicates that the content and format of the training program have shortcomings that should be addressed.

The GLISI team perceives that improvements can be made to the content and format in order to promote transferable use of the training, specifically, participants perceive that more time should be provided to practice and discuss the content.

Key Finding #4
Observational indicated that the majority of the content was awareness-based in nature, with minimal time spent on developing actionable skills.

Little time was given for participants to either conduct situational role-play practice or to develop observational skills related to the content being delivered.

Because this quality improvement study was directed towards offering insights and improvement suggestions, the data analysis and key findings led to the following recommendations:

Recommendation #1
Extend the program by establishing a continued peer-group coaching and practice process.

GLISI should consider establishing a series of small group sessions that will allow team members to continue practicing the use of the equity-focused leadership skills. By doing so, GLISI can influence and ideally overcome several of the identified barriers and underlying challenges being felt by team members.

Recommendation #2
Institute a process of continuous monitoring of the team's perceptions of ability.

GLISI should continue to monitor how team members feel they are developing in the equity-focused leadership and equity-focused program facilitation skill areas. Regular assessment will ensure that deeper understanding of the most critical barriers is developed and can also bolster perceptions of continued support from the organization.

Recommendation #3
Develop and implement an "equity-positive" behavioral framework.

GLISI should consider developing a behavioral framework that describes actionable, visible steps that are indicative of an equity-positive posture. This framework could serve as a roadmap for successful behavior change for GLISI as well as for developing their own equity-focused client programs.

Introduction of Capstone Organization and Study Context

The Georgia Leadership Institute for School Improvement (GLISI) is an independent, nonprofit organization of educators, leadership and education professionals that supports other educator leaders through cohort model leadership programs as well as in-district customized training. The mission of GLISI, to "uplift school leaders, transform mindsets and action, create vibrant cultures of innovation, and build excellent and equitable schools," is translated in their offerings into skill development in key leadership areas. The offerings are designed to equip teachers and leaders to "work together to create thriving school cultures for students and adults alike" (www.glisi.org, 2017).

Alongside GLISI's flagship cohort model, a retreat-style program known as Base Camp and Leadership Summit established in 2002, school districts now also can partner with GLISI's team of educators to create in-district programs that allow district leaders and teachers to develop shared understandings, new skills, and district-wide strategies.

Specifically, GLISI developed a social-emotional learning leadership competency framework, which is referred to as Leader SEL, that serves as the foundational framework for programs designed for school organizations.

GLISI'S LEADER SEL COMPETENCIES

Effective Leadership Includes…

- Actionable Self-Reflection
- Generative Relationships
- Cultivation of Trustworthiness
- Meaningful Conversations
- Thinking Systemically
- Equity Consciousness

"Creating conditions where connection occurs and factors like race, geography, and income do not predict belonging and thriving."

(www.glisi.org, 2019)

Programs such as GLISI's Culture of Belonging and Learning Together (COBALT), which launched in 2019-2020 were designed to specifically expand these social-emotional learning (SEL) leadership skill sets for participants. The COBALT program was piloted with two school districts in the state of Georgia: Carroll County School System and Clayton County Public Schools. GLISI also utilizes these same Leader SEL competencies with their own full-time staff and team of consultants, as they continually strive to model the behaviors associated the Leader SEL competencies.

Recently, GLISI engaged in a strategic process to further define and practice the equity consciousness competency with their own team. GLISI defines the practice of equity consciousness as, "Creating conditions where connection occurs and factors like race, geography, and income do not predict belonging and thriving," (www.glisi.org, 2019). As a part of a multi-year strategic initiative, GLISI is actively working to develop their own equity consciousness in the aspirational as well as in actionable day to day behaviors that exemplify this core leadership capability. This process contributes to GLISI's commitment to providing effective equity-focused leadership programs for their clients.

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GLISI's recent strategic efforts to intentionally focus on the equity consciousness competency is similar to one shared by many organizations right now (Newkirk, 2019; Agovino, 2020). As more organizations focus on equity, diversity, and inclusion within leadership development initiatives, it is critical that GLISI's team share a collective understanding and approach to facilitating greater equity consciousness.

In their strategic work of further defining their own equity-centered goals and practices, GLISI determined the need to engage their full staff and consulting partner group in a training program geared towards building greater understanding of and language about equity in the context of GLISI's services. The goal of this effort is to develop shared practices that promote equity and inclusivity.

Another intended outcome of GLISI's equity consciousness strategic platform is to equip their team with the capabilities that are essential to delivering equity-focused training programs to their client districts. As educational leadership experts and program facilitators, the GLISI team must be equipped to lead others in the ever-growing area of focus that is equity, diversity, and inclusion.

To better equip their team of full-time staff and program consultants in the space of equity-focused leadership and equity program facilitation, GLISI is first aiming to ensure competence and confidence among their own team by participating in a training program. This train-the-trainer style program was designed a series of workshops that allowed the GLISI team to be introduced to equity-focused leadership content, which included theory, awareness-based frameworks, and actionable role-play scenarios.

Prior research has shown that challenges exist in awareness-based leadership development programs and those will likely be factors for GLISI's team as facilitators (Limeri, et al., 2020; Marshall-Mies, et al., 2000). So, while this study primarily served to inform GLISI's own staff training efforts moving forward, it also allowed the team to consider some additional recommendations for the design of their future client programs in this same content area.

Problem of Practice

Leadership development practitioners need to have a fundamental understanding of how useful and transferable training programs are. Particularly in an area that is largely awareness-based in nature, as is the case with equity consciousness, transfer of training can be difficult (Sørensen, 2017; Ninan, Feitosa, & Delice, 2020). This type of training typically involves work done by participants to increase their awareness of "their own and other cultural assumptions, values, and biases," (Atrain, 2017, p.6). But studies show that such introspection does not always actually improve self-awareness, nor does it necessarily build skill and ability that would allow for changes in behavior (Eurich, 2018; Ninan, Feitosa, & Delice, 2020). As more school organizations move towards a focus on EDI, the need to understand the impact of such programs is paramount for GLISI (Simmons, Brackett, & Adler, 2018).

PROBLEM OF PRACTICE

🔍 SEL and EDI Leadership training is a primary area of work for GLISI.

🔍 It is difficult to both *deliver* and *measure* effective training in these areas for several reasons, including that these types of training are largely *awareness-based* in nature.

🔍 GLISI has a critical need to understand how best to equip their team members to confidently and effectively facilitate equity-focused leadership programs.

🔍 This study evaluates how the GLISI team perceives their ability to effectively facilitate equity training as a result of participating in *GLISI's facilitator training program*.

In order to effectively meet this emerging demand, GLISI's staff must be equipped as capable and confident facilitators and leaders in equity-focused programs of learning. But existing literature and research indicate important challenges, both in the broad area of leadership development training as well as in the relatively new area of EDI training. It is critical that GLISI examine the efforts they are engaging in to create subject-matter expertise in this area. Therefore, this organization seeks to study the effectiveness of their "train the trainer" program, as well as learn from the experience how it might design and execute its own equity-focused training programs.

Literature Review

> *The challenge to effectively equip leadership facilitators to deliver equity-focused, awareness-based programs requires a close examination of three areas of existing literature and research: leadership development program effectiveness, equity/diversity/inclusion (EDI) training, and learning transfer via the lens of learning psychology.*

Leadership Development Program Impact

Leadership development program (LDP) designers and facilitators, both in education and corporate leadership development fields, have long grappled with how to accurately measure and communicate instances of transferable skill usage as a direct result of program participation (Snoek & Volman, 2014; Burke & Collins, 2005; Johnson, Garrison, Hernez-Broome, Fleenor, & Steed, 2012; Gilpin-Jackson & Bushe, 2007). LDP design has been studied and evaluated across decades of activity and evolution, as well as across various platforms of delivery, yet no consensus has formed around the most effective form of delivery that results in transfer of learning. The illusive qualities of effective leadership development remain a challenge to scholars and practitioners alike (Day, Fleenor, Atwater, Sturm, & McKee, 2014).

Despite the lack of clearly defined factors that lead to successful transfer of learning and thus adoption of new skills into daily organizational contexts, and the low effectiveness reported in the majority of studies of leadership program impact, leadership development continues to be a multi-billion-dollar industry in the United States each year (Couch & Citrin, 2018; Kaiser & Curdy, 2013).

Compounding the relatively low impact of these programs is the additional challenge of current trends in LDP subject matter. LDPs are often designed as an "integrated approach that involves the interplay between leaders and followers and socially based concepts," (Lacerenza, Reyes, Marlow, Joseph, & Salas, 2017, p. 1687). In recent decades, this has created a shift towards a focus on emotional intelligence, social

and interpersonal skills, and, more recently, inclusive and equitable leadership, as a means for supplying leaders with learning experiences that are designed for advancing their skills in these socially focused areas. As such, a closer examination of the nature of these content areas is a relevant and necessary avenue of scholarship, if the intended outcome of these types of leadership training experiences is that participants are able to transfer their learning into practice in their organizations.

While there are notable behavioral skills associated with interpersonal communication, such as feedback and conversation protocols and developmental coaching processes, often the content and intended outcome of these types of LDPs is increased awareness of individuals. This is the case with topics such as equity or inclusion, which are often introduced as a combined intrapersonal and interpersonal subject matter, meaning that there is often a focus on building awareness and adjusting mindset as well as a focus on interpersonal and interactive skills that embody such a mindset. While this type of program might align with the traditional view of leadership development as involving both "within- and between-person change patterns," it remains difficult to both effectively deliver and measure true impact to program participants as well as to their organizations (Day, Fleenor, Atwater, Strurm, & McKee, 2014, p. 64).

Researchers who have studied cognitive processes involved in various leadership development topics note that often there is a metacognitive element to effective leadership. Leaders, in this case participants in LDPs, must learn not only the direct and interactive skills and their cognitive foundations, but also a process that allows them to monitor, or reflect, on their own thinking in these areas (Marshall-Mies, et al., 2000). In particular, it is challenging to see progress being made because this work is primarily about mindset shifts, which happen incrementally and internally, not necessarily right away in those more visible, behavioral ways (Limeri, et al., 2020).

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Leadership program participants often report gaining many new insights during their program experiences, but those light bulb moments often do not translate to actionable progress or change back on the job for those same leaders. Researchers who have studied the effectiveness of LDPs refer to this as *the transfer problem* (Baldwin, Ford, & Blume, 2017; Holton III, Bates, & Ruona, 2000).

The challenge to transfer new learning about leadership competencies, such as equity or inclusion, is often due to barriers like the lack of connection or relevance of the training content in relation to real-world demands, the lack of support or opportunity back in the day to day of the organization to use the new learning, and importantly, that the subject matter often remains theoretical, so figuring out how to apply the learning is left up to the participants (Holt, Hall, & GIlley, 2018; Sørensen, 2017; Ninan, Feitosa, & Delice, 2020).

But as Sørenson notes in his study of LDP impact, there is a significant and relevant area of research that can contribute to evaluation but that has often been neglected in the leadership-development field: the work on learning transfer (2017).

CHALLENGES WITH LEADERSHIP DEVELOPMENT TRAINING

Leadership development is a multi-billion-dollar industry, but the effectiveness of LD programs remains elusive in research.

- 81% of organizations say LD programs are not effective (Loew, 2015)

- *"the transfer problem"* (Baldwin & Ford; Blume; Holton)

- The challenge to apply new learning comes from a variety of sources: (Sorenson, 2017)
    - Relevance to real-world challenges
    - Lack of support and opportunity within the organization
    - Theory ⇨ Application is up to the learner

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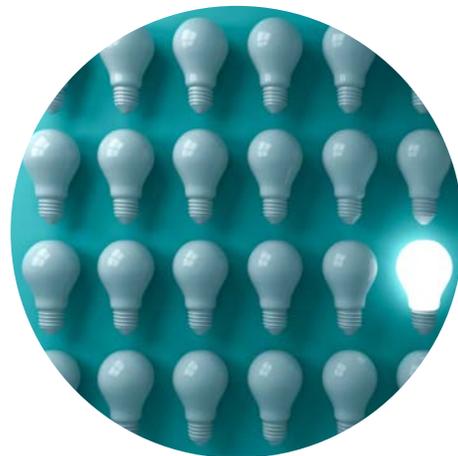
Transfer of Learning

Capturing experiences indicative of transfer of learning is paramount in the field of learning psychology, where scholars have long considered the transfer of learning to be the most important topic in their field (Leberman, McDonald, & Doyle, 2006). Studied primarily at an individual level, transfer of learning occurs when participants are able to demonstrate skills gained in a learning program with effectiveness and continued application in their roles and responsibilities (Foley & Kaiser, 2013). But because organizational leaders often communicate a desire to see culture change as a result of investing in leadership development programs, practitioners need to be able to measure and demonstrate program impact that goes beyond personal learning to real organizational impact (Ray & Goppelt, 2011; Crawley-Low, 2013; Vitello-Cicciu, Weatherford, Gemme, Glass, & Seymour-Route, 2014; Peters, Baum, & Stephens, 2011).

Learning transfer scholars note the complex and dynamic process involved in effectively adopting new skills as a result of attending a learning event, such as a leadership training program (Bates, Holton, & Hatala, 2012). When learning involves "open skills," defined by Peter Drucker as capacities which are more abstract and theoretical, such as awareness-based leadership competencies like equity consciousness, it is notably more complex to measure and track the successful transferability of those newfound awareness-based insights into active skills (Sørensen, 2017).

The work done to understand learning transfer has also pointed to certain factors that have the potential to influence the successful adoption of new behaviors as a result of attending a training program. Those influences stem from three primary contributing sources: **the individual participant (learner), the programs of learning themselves (program design, content, and delivery), and the organizational environment (culture, processes, and structure)**. Baldwin, Ford, and Blume note that the transfer problem continues to be pertinent to practitioners, as they recognize that upwards of 75% of leaders report dissatisfaction with training program outcomes (Baldwin, Ford, & Blume, 2017).

Participant/Learner Contributing Attributes

Individual attributes have been closely studied as key contributors to learning transfer. Given that the behavioral choice to enact new insights from a learning experience is ultimately controlled by the participants, this is a critical area of this body of research. Efforts have been made by scholars to better understand both a learner's motivation to learn and their readiness to apply new learning. A learner's self-efficacy, or general belief in her own abilities, has been shown to be a catalyst in prompting learning transfer activities (Stevens & Gist, 1997). Specifically, the learner's readiness can be influenced by high levels of perceived self-efficacy, which can work to create momentum for a learner to seek out ways to apply new skills after training events. Therefore, when considering how to measure the potential for transfer of learning to occur, evaluative tools that include a self-efficacy component are critical.

Research also suggests that other personal attributes must exist alongside self-efficacy in order for transfer of training to successfully occur. In Sørenson's learning transfer research, which focused specifically on leadership development program transfer, he identified other unique learner attributes that might contribute to effective learning transfer. Among the intrapersonal factors noted in his study were general motivation to transfer and individual motivation to learn, with the latter serving as a precondition to the former (Noe, 1986; Sørensen, 2017). These studies indicate that this type of "trainability" is not only important in the willingness of a participant to engage in the training itself, but also serves as a foundational attribute that encourages transfer once the training concludes (Noe, 1986). Because of this, factors that might increase such motivations should also be evaluated when determining transfer potential.

Organizational/Environmental Contributing Attributes

In addition to the personal attributes of individual participants, transfer of training can also be influenced by what the organizational environment either provides or lacks. Organizational culture of learning and the structure of support, reward, and

accountability in the practice of new skills are also vital to effective learning transfer. Because participants will be attempting to apply what they learn in the living context of their organization, researchers have noted the significance of organizational climate as a strong determinant of transfer potential. A key factor that creates the potential for transfer of learning to occur is ample opportunity to use the newly acquired learning once back in the daily organizational environment is important (Kirwan & Birchall, 2006). Understanding if such opportunity exists, and how the participants perceive those opportunities to be available is yet another important step to evlauting transfer potential in any given learning event.

An important component of the organizational context and the impact it has on a learner's transfer efforts is the social network that exists which might serve as a source of support. A group of supportive co-workers and leaders that encourage and even facilitate opportunities for using new skills may also be a key factor in successfully transferring new knowledge and skills back into the organizational environment. Learning transfer scholars generally agree that support from immediate supervisors and the network of peer support that a learner experiences is vital to a successful transfer of new learning (Cromwell & Kolb, 2004; Chiaburu & Marinova, 2005).

Program Design Contributing Attributes

A third and obvious area of learning transfer research is the impact of the program of learning itself. Transfer potential can be impacted by both what and how the training is being delivered. Much has been studied about the applicability of program design and content, with distinctions made about unique challenges felt when engaged in open skill development, which are those skills that are perceptual and dynamic in nature, such as managing interpersonal conflict or coaching others (Kim & Callahan, 2013). Compared to closed skill development, which involves more fixed and procedural skills, the design of a program for the open skills that are often taught in leadership development programs should be developed with as much connection to the daily challenges and situations that the learners are likely to encounter as possible.

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Creating this kind of the relevancy and proximity between the training content and real-world scenarios is called near transfer capability (Kim & Callahan, 2013; Chiaburu & Marinova, 2005). Essentially, the design of the training program should include elements that mirror, as closely as possible, those likely scenarios so that the learners are already trying out their new behaviors and skills in situations that are "near" to those common experiences they are set to have upon program completion. Additionally, a focus on designing these open skill programs with thought given to the frequency and spacing of the program format has also been considered an important step in creating the type of positive content design impact that would lead to successful transfer of training (Chiaburu & Marinova, 2005).

Interestingly, very little is noted about the role of the facilitator as a possible influencing factor of learning transfer. A 2016 study conducted an evaluation of facilitator attributes that contribute to training effectiveness, making the connection to learning transfer research and terminology, but this study did not identify strong links to the direct influence of the facilitator (Chukwu, 2016).

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Equity, Diversity, and Inclusion Training

Transfer of training is particularly challenging in the specific area of equity, diversity, and inclusion (EDI) competency development, as it is an emerging field of focus within larger social-emotional leadership development efforts. Organizations often include equity, diversity, and inclusion (EDI) as primary elements of their mission, vision, and values statements, or it is listed as a specific strategy or area to improve in yearly strategic goals (Ferdman, 2014; Roberson, Kulik, & Pepper, 2009).

CHALLENGES WITH EDI LEADERSHIP TRAINING

Organizations articulate "performative" support for EDI initiatives, with good intention.

Organizations struggle to define training goals, and mandatory events become *"check the box"* training.

EDI is messy. It is subjective and emotional. It means confronting personal world views. (Comer & Soliman)

Personal Awareness is tough to measure. (Wierzchon et. al; Singal)

Awareness ⟹ Action

Behavior change that stems from increased awareness is a fledgling science.

These statements of support for greater EDI, however well-intended they might be, are rarely attached to clear measurements, reference points, or benchmarks that would indicate what success might look like if the strategies are implemented successfully. While EDI training efforts are intended to serve as an effective gateway for organizations to increase awareness of these important topics, they are often designed as mandatory "check the box" events, in which little is measured beyond mere compliance and attendance. This falls short of internalized practices that would indicate that an organization has evolved to truly be inclusive (Holvino, Ferdman, & Merrill-Sands, 2004).

Academic research and analysis on the impact of EDI leadership training is still forming, but organizations like GLISI that hope to be on the leading edge of developing
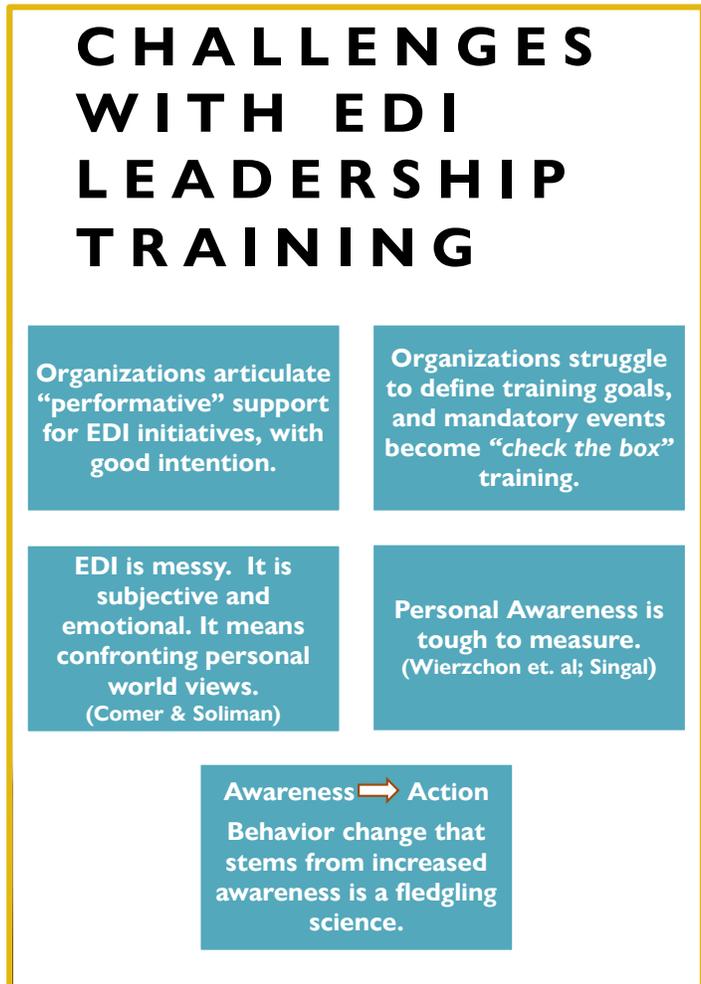
equity-centered leadership training programs should note the following early conclusions of inherent challenges:

- o *Lack of Consistent Behavioral Indicators of Effectiveness*- A lack of consistency exists across the varied frameworks and competency models that are currently being utilized in EDI training programs, such as those GLISI is engaged in, so clear indicators of effective behavioral growth and development have yet to be developed (Taylor, et al., 2018; Boekhorst, 2015; Cottrill, Lopez, & Hoffman, 2014; Allen, 2017).

- o *Subjectivity and Emotionality* – EDI leadership training involves degrees of subjectivity and emotionality, as confronting individual, personal world views and personal attitudes about diversity are a necessary piece of building awareness (Comer & Soliman, 1996).

- o *Measuring Implicit Bias and Personal Awareness* – Implicit bias awareness is central to the focus of EDI leadership training, but a fundamental understanding of how to accurately and effectively measure individual awareness is unclear. Researchers in the cognitive psychology field of study continue to evaluate just how to measure one's awareness on topics such as these (Wierzchoń, Anzulewicz, Hobot, Paulewicz, & Sackur, 2019; Singal, 2017) .

- o *Awareness to Action (Behavior Change)* – Measuring behavior change that stems from increased awareness also appears to be a fledgling science. To date, my efforts to discover an evidence-based, defined set of behaviors that would be indicative of a posture that might be considered "equity-focused" have been unsuccessful.

Together, this research suggests that there are overlapping considerations of leadership development program transferability, the three critical elements to effective transfer of training- the individual, the organization, and the training program itself-, and the emotionally complex challenges inherent in the subject matter of equity, diversity and inclusion that should be evaluated as having impact on the GLISI team.

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Study Questions

In order to effectively guide this quality improvement study, three research questions emerged from the literature on transfer of training and serve as guides to research design and recommendations. Because of the nature of this study, the intent was to gain insights that would direct recommendations for overall improvement of the training for the participants and for their future work as facilitators of equity-focused leadership development programming.

Study Question #1
Do GLISI team members feel like they can apply what they are learning?

Primarily, this improvement study is directed towards understanding how capable leaders feel to transfer awareness-based content into practice. The review of literature pertaining to *the transfer problem* experienced in many leadership development programs means that a key focus of this study should be if GLISI is also experiencing this common challenge. This question allowed for analysis of how the GLISI team experienced their facilitator training program and its applicability in their organizational roles. In the most general yet important terms, this study is aimed at understanding if the training is perceived as transferable and useful.

Study Question #2
What personal, program design, or organizational factors are influencing the GLISI team's perceptions that they will be able to transfer their training experiences?

Considering the factors that the literature on transfer of training indicate to be key contributors for successful participant transfer of skills, it was also important to attempt to understand what specific factors are leading to the GLISI team perceiving themselves as capable of using the knowledge they are gaining in their program. Utilizing a conceptual framework that allowed for data-gathering and analysis of various factors that serve as learning transfer catalysts, this question guided the evaluation of three clearly defined elements that might influence program participants' transfer capability. A desire to provide improvement recommendations as a result of this study required an understanding of the separate, yet connected, factors that are 1)

individual in nature, 2) products of the design and delivery of the program and content, and 3) related to the organizational environment.

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<u>Study Question #3</u>
How does the GLISI team perceive their facilitator training experience to be affecting their ability and confidence to facilitate equity-focused programs?

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This third question directed evaluation towards a deeper understanding of the role that equity-focus subject matter might have to influence perceptions of ability and levels of confidence. The existing, yet limited, research about the challenges inherent to EDI subject matter served as the basis for this research question.

Conceptual Framework

> *"Good transfer conditions are a prerequisite to learning outcome and thus to leadership-development interventions."* **(Sørensen, 2017).**

Investigating the defined areas of this study in order to better understand the usefulness of GLISI's facilitator training required the use of a conceptual framework that could situate the context and the content that GLISI is utilizing. Therefore, careful consideration was given to the evolution of the research and subsequent models of learning transfer and leadership development program design.

Galli and Müller-Stewens note that a defining element of leadership as a construct is the interaction between the individual serving as the leader and the social and interpersonal environment where those leaders work (Galli & Müller-Stewens, 2012). Because of this interactivity, a full understanding of one's ability and potential to transfer new learning into everyday practice requires that both the leader-as-learner and the organizational environment be evaluated as possible contributing factors on transfer. A third component often conceptualized as having a primary role in influencing transfer potential is the training program itself: the content, the program design, and the specific skill practices employed (Holton III, Bates, & Ruona, 2000). Holton's Learning Transfer Model (as seen below in Figure 1), often referred to as the "Holton Model," was developed as a result of E. F. Holton III's original research regarding evaluative processes for determining training effectiveness and his interest in developing an evaluative model that considered various intervening variables (Holton III E. F., 1996). This model allows for evaluation of the potential role that each of these factors- the participant, the program, and the organizational environment- plays in the successful transfer of new learning (Holton III, Bates, & Ruona, 2000).

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Figure 1. Learning Transfer System Inventory: Conceptual Model of Instrument Constructs

Secondary influences
Performance self-efficacy
Learner readiness

Motivation
Motivation to transfer
Transfer effort –> Performance
Performance –> Outcomes

Environment
Feedback
Peer support
Supervisor support
Openness to change

Personal outcomes-positive
Personal outcomes-negative
Supervisor sanctions

Outcomes
Learning → Individual performance → Organizational performance

Ability
Content validity
Transfer design
Personal capacity for transfer
Opportunity to use

The selection of Holton's Learning Transfer Model as the conceptual framework employed in this study stemmed from a thorough review of its' use within the context of leadership development programs. This model also has generalized validity across industry and training type, as well as broad ethno-cultural demographics (Bates, Holton, & Hatala, 2012). Importantly, Holton's model builds on the foundational framework and earlier research conducted by Baldwin and Ford (1988) as well as Rouiller and Goldstein (1993). Generally speaking, the various learning transfer models have similar and often overlapping variables, so Holton's model should not be seen as entirely unique. However, because Holton's model attempts to incorporate personal, organizational, and program design elements necessary for successful transfer of learning, it was selected for this study (Baldwin, Ford, & Blume, 2017; Rouiller & Goldstein, 1993).

Baldwin and Ford's work allowed for the concept of learning transfer to be defined as effective application of new training in which the new learned behaviors are sustained through use in the organization over time (Baldwin, Ford, & Blume, 2017). Additional research by the Rouiller and Goldstein team extended Baldwin and Ford's work with conceptualization of a transfer-climate framework (Rouiller & Goldstein, 1993).

A critical consideration in the selection of Holton's Learning Transfer framework was the subject matter of GLISI's facilitator training program. Equity, diversity, and inclusion (EDI) training, often part of larger organizational initiatives related to these topics, has potential to backfire if not reinforced through extensive post-program efforts (Holvino, Ferdman, & Merrill-Sands, 2004). Combs and Luthans evaluated how self-efficacy factors into successful EDI training efforts (Combs & Luthans, 2007). Noting the lack of direct research to evaluate EDI training efforts, this team evaluated self-efficacy relative to participants' perceived confidence and belief that they are capable of changing behaviors and adopting modes that align with "EDI-positive" actions. Evaluating "domain-specific" self-efficacy in this way provides evidence that one's belief in themselves in the unique skill area of EDI is important (Bandura & Wood, 1989; Das, 2017). Evaluating "domain-specific" self-efficacy in this way provides evidence that one's belief in themselves in the unique skill area of EDI is important (Bandura & Wood, 1989; Das, 2017).

While little academic research or practitioner reporting is available that clearly describes effective methods of evaluating learning transfer in the EDI training space, Holton's framework was selected because it incorporates both the self-efficacy and personal factors, as well as those environmental factors that might also serve as catalysts for successful transfer of EDI mindsets and behaviors. While Holton's Model is not the only transfer of training framework that allows for this combined focus, the environmental factors of this model included some key areas of interest for the GLISI team, such as peer support and coaching.

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Holton's foundational framework for understanding training impact is based on the theory that learning outcomes and indeed the transfer of learning is cultivated through influences of personal, program, and organizational factors (Holton III, Bates, & Ruona, 2000).

Table 1: Holton's Learning Transfer Variables Defined

Constructs	Definitions
Motivational factors	
Motivation to transfer	Trainees' desire to use the skills and knowledge learned in a training program or a work setting
Transfer effort – performance expectations	Expectation that learning transfer efforts will contribute to improving job performance
Performance – outcomes expectations	Expectation that increased job performance will lead to valuable and meaningful recognition
Trainee characteristics	
Learner readiness	State of individuals that make it possible for them to participate actively in a given learning activity
Performance self-efficacy	Individuals' general confidence that they will be able to overcome obstacles that hinder learning transfer
Environmental factors	
Employee-supervisor relationship	
Supervisor support	Extent to which supervisors or managers provide opportunities for learning transfer
Supervisor sanction	Degree of opposition, negative feedback, and lack of assistance to learning transfer from supervisors or managers
Performance coaching	Formal and informal process of equipping employees with the knowledge and skills to improve their job performance
Work-group related factors	
Peer support	Degree of support from peers for learning transfer
Resistance to change	Extent to which current organizational culture is perceived by employees to hinder or disapprove learning transfer
Reward system	
Personal outcomes – positive	Extent to which employees believe that learning transfer leads to positive outcomes for the employees
Personal outcomes – negative	Degree to which employees perceive that not transferring learning will result in negative outcomes in the employees
Ability elements	
Ability to apply learning to the job	
Opportunity to use	Extent to which trainees are given the opportunity, tasks, and resources to transfer learning on the job
Personal capacity for transfer	Extent to which employees' workload, time, personal energy, and mental space promote or inhibit learning transfer
Training design	
Perceived content validity	Degree to which trainees perceive that the knowledge and skills taught in training are consistent with job requirements and performance expectations
Transfer design	Extent to which training has been designed to link learning with job requirements by using the relevant training methods, examples, and instructions

Source: Holton *et al.* (2007, pp. 398-9)

The Learning Transfer System Inventory was developed by Holton and his team in order to enable measurement of the 16 unique training factors (see table below) that are organized across personal, programmatic, and organizational categories, and that are theorized to facilitate the transfer of new learning (Kim & Callahan, 2013).

Using this conceptual framework and the validated and widely used Learning Transfer System Inventory (LTSI), this quality improvement study seeks to understand elements of each of the three main factors that affect learning transfer: the unique learner, the facilitation of the program, and the organization in which the participant explores new skills. Holton's 16 variables are measured across three primary areas of generalized influence: ability, motivation, and environment. The design of this instrument is illustrated in Figure 2.

Figure 2: LTSI Conceptual Framework

ABILITY	MOTIVATION	ENVIRONMENT	TRANSFER OF LEARNING
Content Validity	Motivation to Transfer	Supervisor Support	
Transfer Design	Learner Readiness	Supervisor Sanctions	
Personal Capacity	Performance Self-Efficacy	Peer Support	
Opportunity to Use	Transfer Effort-Performance Expectations	Personal Outcomes - Positive	
	Performance-Outcome Expectations	Personal Outcomes - Negative	
		Performance Coaching	
		Resistance to Change	

Adapted from www.ltsinventory.com

Because this study seeks to provide actionable recommendations, the LTSI is appropriate as a data-gathering tool as it was developed to be diagnostic in nature. As can be seen in Table 2, Holton's research team has noted the intended appropriate uses for the LTSI, many of which align with the scope of this quality improvement study and the GLISI Team's efforts.

Table 2: Suggested uses for LTSI assessment

Holton, Bates, & Ruona's Suggested uses for LTSI

- To assess potential transfer factor problems before conducting major learning interventions
- As a part of follow-up evaluations of existing training programs
- As a diagnostic tool for investigating known transfer of training problems
- To target interventions designed to enhance transfer
- To incorporate evaluation of transfer of learning systems as a part of regular employee assessments
- To conduct needs assessment for training programs to provide skills to supervisors and trainger that will aid transfer

Adapted from Development of a generalized learning transfer system inventory
Holton, Elwood F, III; Bates, Reid A; Ruona, Wendy E A. Human Resource Development Quarterly; Hoboken Vol. 11, Iss. 4, (Winter 2000): 333-360.

Study Design and Methods

This exploratory study was designed to utilize a primary source of Quantative data, along with supplemental and informal qualitative efforts that served the purpose of further understanding and illuminating the context that the Quantative results reveal. Additionally, document analysis was conducted for the purpose of further understanding the organization and the specific training program studied.

Quantitative Method

As Holton's Learning Transfer Model was utilized as the directing conceptual framework for this study, the Learning Transfer System Inventory (LTSI) was selected as the survey tool. The LTSI includes 52 questions that are answered using a forced-choice, five-point Likert scale that ranges from Strongly Disagree (1) to Strongly Agree (5). These 52 questions were developed to assess perceptions of learning transfer related to personal/individual factors, program design and content influence, and the role of the organizational environment. As can be seen in Figure 2 these types of factors are distributed across three main areas: ability, motivation, and environment.

The LTSI has evolved through empirical research and validation efforts since 1997, with Version 3 of the survey now in use in 17 countries and 14 different languages (Bates, Holton, & Hatala, 2012). Developed to assess the 16 variables of Holton's Learning Transfer Model, this self-report survey measures "individual perceptions of catalysts and barriers to the transfer of learning from work-related training" (Bates, Holton, & Hatala, 2012, p. 549). The research team that developed the LTSI has since conducted exploratory factor analysis studies multiple times as further work to articulate and measure the factors being studied were deemed pertinent to the evolution and validity of the instrument.

Utilization of the LTSI is provided on a licensed basis, and as such, researchers involved in individual study efforts, such as this particular study, are not provided

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access to full factor analysis. Rather, the LTSI is administered through an online portal and the subsequent factorial analysis and data compilation is done prior to the primary researcher receiving data outputs.

The researcher is provided with two forms of results data:

1. Raw data of questionnaire responses via Excel spreadsheet (see Appendix A)
2. LTSI Report (see Appendix B)

The LTSI Report includes analysis and interpretation across the 16 variables and is designed to provide a full feedback and recommendations report to groups regarding the results of the study. The composite scores for each of the unique variables is provided in this report, which indicates which areas serve as ***Strong Catalysts, Weak Catalysts,*** or ***Barriers*** to learning transfer. These categories identified by the LTSI reports are defined by their composite score. Strong catalysts are those individual variables with composite Likert scores of 4.00 or higher, weak catalysts are the variables with mid-range composite scores, and barriers are variables with the lowest composite scores. These 16 variables are reported across the three general areas of transfer factors noted above: ability, motivation, and environment. Tables 3-5 provide the definitions of each variable as categorized into these three areas of influence.

Table 3: Learning Transfer Conceptual Model: Ability Variables

Holton's Learning Transfer Conceptual Model: Ability Variables	
Variable	Definition
Opportunity to Use	Extent to which trainees are given the opportunity, tasks, and resources to transfer learning on the job
Personal Capacity	Extent to which employees' workload, time, personal energy, and mental space promote or inhibit learning transfer
Transfer Design	Extent to which training has been designed to link learning with job requirements by using the relevant training methods, examples, and instructions
Content Validity	Degree to which trainees perceive that the knowledge and skills taught in training are consistent with job requirements and performance expectations

Adapted from Holton et.al. (2007, pp. 398-9)

Table 4: Learning Transfer Conceptual Model: Motivation Variables

Holton's Learning Transfer Conceptual Model: Motivation Variables	
Variable	**Definition**
Motivation to Transfer	Trainees' desire to use the skills and knowledge learned in a training program or a work setting.
Transfer Effort - Performance Expectations	Expectation that learning transfer efforts will contribute to improving job performance
Performance Self-Efficacy	Individuals' general confidence that they will be able to overcome obstacles that hinder learning transfer
Learner Readiness	State of individuals that make it possible for them to participate actively in a given learning activity
Performance Self-Efficacy	Individuals' general confidence that they will be able to overcome obstacles that hinder learning transfer
Performance – Outcomes Expectations	Expectation that increased job performance will lead to valuable and meaningful recognition

Adapted from Holton et.al. (2007, pp. 398-9)

Table 5: Learning Transfer Conceptual Model: Environment Variables

Holton's Learning Transfer Conceptual Model: Environment Variables	
Variable	**Definition**
Resistance/Openness to Change	Extent to which employees believe that learning transfer leads to positive outcomes from employees
Performance Coaching/Feedback	Formal and informal process of equipping employees with the knowledge and skills to improve their job performance
Personal Outcomes – Negative	Degree to which employees perceive that not transferring learning will result in negative outcomes in the employees
Personal Outcomes – Positive	Extent to which employees believe that learning transfer leads to positive outcomes for the employees
Peer Support	Degree of support from peers for learning transfer
Supervisor Support	Extent to which supervisors or managers provide opportunities for learning transfer
Supervisor Sanction	Degree of opposition, negative feedback, and lack of assistance to learning transfer from supervisors or managers

Adapted from Holton et.al. (2007, pp. 398-9)

The LTSI also includes five questions that are optional and demographic in nature. Of the 18 respondents in this study, 13 individuals elected to answer either some or all of those demographic questions. Those 13 individuals represent 48% of GLISI's team.

LTSI Optional Demographic Questions:

- *What is your gender?*
- *What is your job title?*
- *Including this training, how many work-related training programs provided by this organization have you attended in the last 12 months?*
- *My main goal for engaging in this learning experience was . . . (check the one that best fits)*
    - *Personal interest or growth*
    - *To develop job-related skills or knowledge*
    - *Required by employer*
    - *Needed for job-related certification*
    - *Preparation for job advancement*
- *What is your age?*

Qualitative Method

During the course of this study, it was determined that an additional step of observational data gathering also take place so that broader insights might be developed regarding the results of the LTSI survey. Specifically, it was important to take steps to better understand the context for some of the areas that were determined to be barriers during the quantitative process.

Because this study was limited to only surveying one team that was participating in this type of facilitator training, and because there were no existing benchmarks to understand how this team responds to facilitator training that involves other areas of leadership focus besides equity consciousness, more insight was needed about the initial findings.

Therefore, an observation was conducted during the team's second facilitated session of their facilitator training program. There were two goals for this observation

period. The first goal was to better understand the specific content that the GLISI team was being exposed to during their program, as the specific content and subject matter has the potential to be conflated with the overall design and delivery of the program. The other goal of this effort was to capture evidence of how the participants were perceiving usefulness and transferability of the new skills to which they were being exposed during the program.

Notes were taken during the training session and were recorded by hand and were converted to a spreadsheet later for easier thematic analysis. Additionally, the program facilitator asked key questions within the session that were responded to by participants in the chat feature of Zoom. Those questions and comments were downloaded after the session and analyzed as well. As these were direct and open responses to questions that directly related to this study's focus, these were interesting and enlightening to review in the context of the research questions posed.

Document Analysis

Documents about the GLISI organization, their facilitator training program, and their equity consciousness strategic initiative were also analyzed. These documents were supplied by GLISI and were reviewed both prior to administering the LTSI and again as subsequent analysis once the data collection was complete.

Because this training program was situated within a concerted strategic effort to further define, develop, and embody the leadership competency that GLISI indicates is "equity consciousness," it was important to understand larger, contextual elements that might have factored into the findings of this study. Additionally, when considering this study's goal of providing recommendations for quality improvement within the equity-focused training initiative, it was critical that any such recommendations be provided in the context of other organizational efforts. Ideally, this study's recommendations work in alignment with such efforts.

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Importantly, one document provided by GLISI served as a key datapoint for this study. GLISI supplied the feedback from the initial train-the-trainer session that was provided through an internal post-session survey tool. This data was analyzed in relationship to the findings of the LTSI and several of the verbatim comments provided context for the recommendations provided in this study.

Sample

The study sample was comprised of both GLISI's full time staff of 11 individuals and their 16 contracted partner consultants. Because this study primarily focused on the impact of the equity facilitator training sessions, the sample was narrowed down to reflect only those individuals who were in attendance for the first train-the-trainer session, which was a total of 22 team members. Of those, 18 individuals completed the LTSI survey that was used as the primary data source, which resulted in an 82% return rate. Twenty-one team members were present during second session of the training, which was held on October 13th. This session yielded the supplemental qualitative data that was used to further understand the findings of the LTSI survey.

Data Analysis and Key Findings

Quantative Data Analysis

Personal Capacity:
Extent to which individuals have the time, energy and mental space in their work lives to make changes required to transfer learning to the job.

1.41

This factor is a **BARRIER** because it should score HIGH

Implication: Transfer does not magically happen. To be successful, the transfer process must be managed. Part of that management comes in taking steps to assure that trainees find the time and energy in an already busy work life to apply new learning on the job. Trainees stressed by trying to catch up on work they missed because of training attendance, overloaded schedules, or the pressure of tough production schedules will have less energy and opportunity to use new learning. Scores on this factor help us understand the extent to which an individual's' workload, schedule, personal energy, and stress-level facilitate or inhibit the application of new learning on-the-job.

Learner Readiness:
Extent to which individuals are prepared to enter and participate in training with clear goals and expectations.

3.44

This factor is a **WEAK CATALYST** because it should score HIGH

Implication: The support of supervisors is consistently an important factor in high performing transfer systems. Supervisors play a crucial role because of the unique, profound, and broad capacity they have to improve learning transfer: they control resources, job assignments, set performance expectations, and are key sources of coaching, feedback, and reinforcement. In short, they are able to use fundamental supervisory competencies and apply these to support and improve learning transfer in their organization. This scale helps us understand how effective supervisors are at supporting the learning transfer efforts of their subordinates.

Examples of LTSI Variables from Feedback Report (Appendix B)

The LTSI was administered to GLISI's full team of both full-time and contracted consultant facilitators and coaches that attended the first session of the equity-consciousness focused facilitator training program. The survey received an 82% return rate with 18 out of 22 initial program participants completing the questionnaire.

The LTSI report (see Appendix B) provides a summary of the composite average scores for each of the variables, and those are individually noted as either *Strong Catalysts*, *Weak Catalysts*, or *Barriers* to transfer of learning. The LTSI provides these categories within the feedback as a means for describing which variables are indicated to be strongly influencing transfer of training either positively (Strong Catalysts), negatively (Barriers), or are currently perceived as neutral or slightly positive in nature (Weak Catalysts). The following table includes all variables reported in ranked order, from highest overall average scores- which denote the strongest areas of transfer capability, to the lowest- which indicate the biggest barriers present for this team in

their learning transfer potential.   Two items of note, Supervisor Sanction and Resistance to Change, are reverse scored on the Likert scale. These two variables are considered to be stronger catalysts the lower their scores. These are noted with an asterisk below.

Table 6: GLISI LTSI Variable Rankings

LTSI Variable Rankings from Low to High

Variable	Ability/Motivation/Environment	Average Rating on 5-pt Scale
Supervisor Sanction*	Environment	1.19
Resistance to Change*	Environment	1.26
Peer Support	Environment	4.54
Transfer Effort- Performance Expectations	Motivation	4.54
Opportunity to Use	Ability	4.41
Performance Self-Efficacy	Motivation	4.11
Motivation to Transfer	Motivation	3.94
Transfer Design	Ability	3.81
Learner Readiness	Motivation	3.44
Performance-Outcome Expectations	Motivation	3.41
Content Validity	Ability	3.37
Supervisor Support	Environment	3.22
Performance Coaching	Environment	2.69
Personal Outcomes- Positive	Environment	2.56
Personal Outcomes- Negative	Environment	1.67
Personal Capacity	Ability	1.41

*Legend: Strong Catalysts; Weak Catalysts; Barriers; *denotes reverse ranking items*

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Figure 3: GLISI Ability Variables: Results

Ability Factors
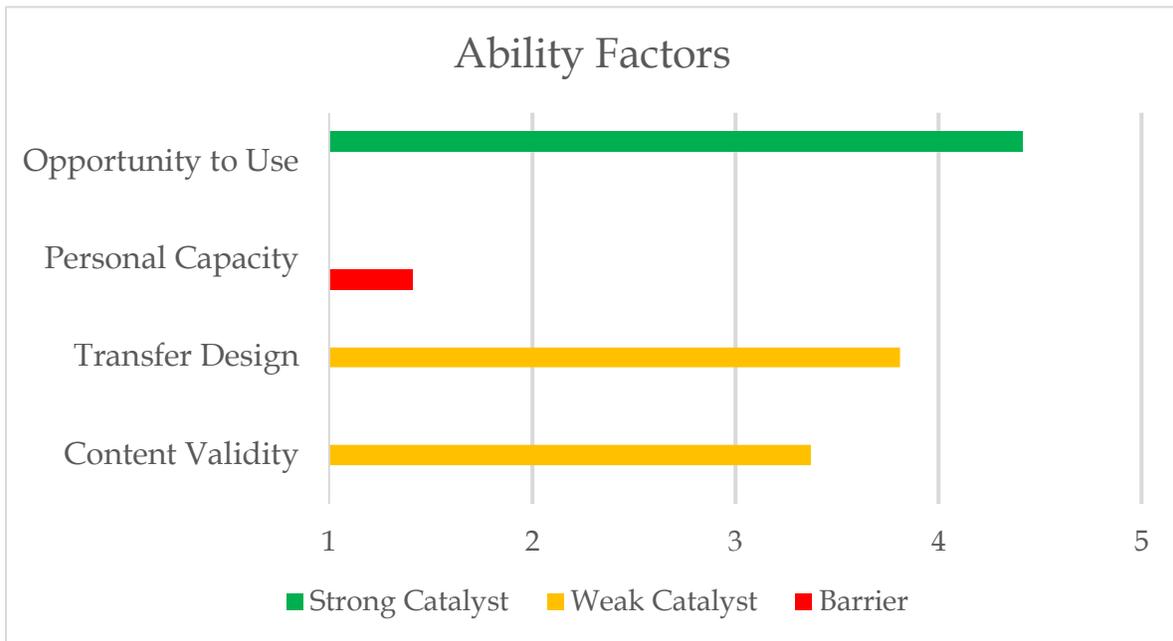
Figure 4: GLISI Motivation Variables: Results

Motivation Factors

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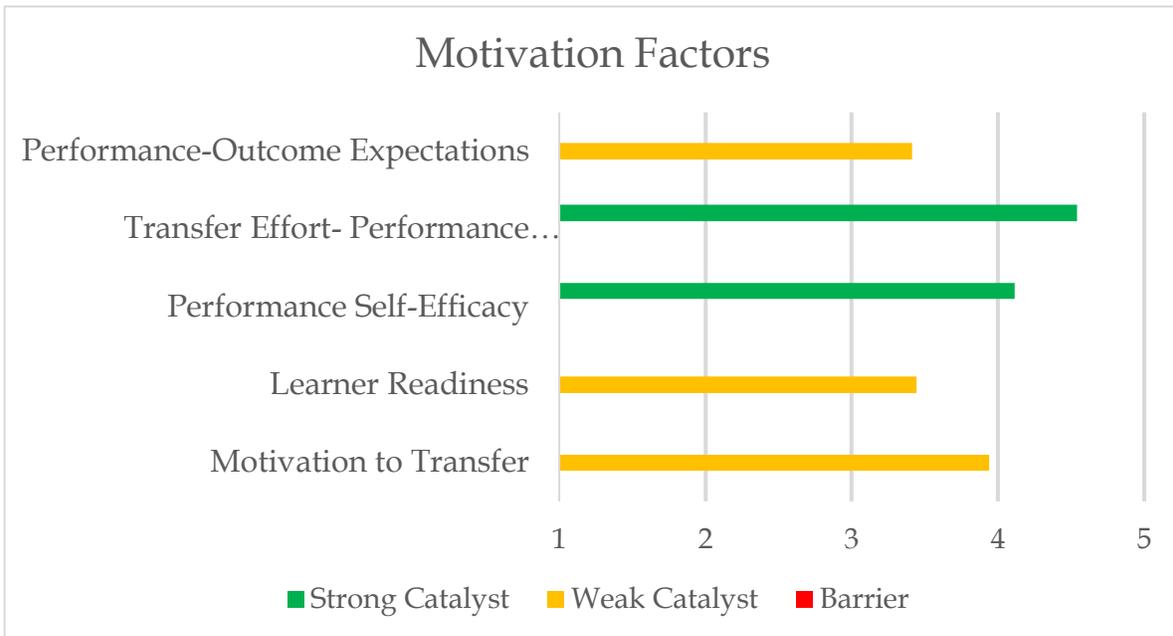
Figure 5: GLISI Environment Variables: Results
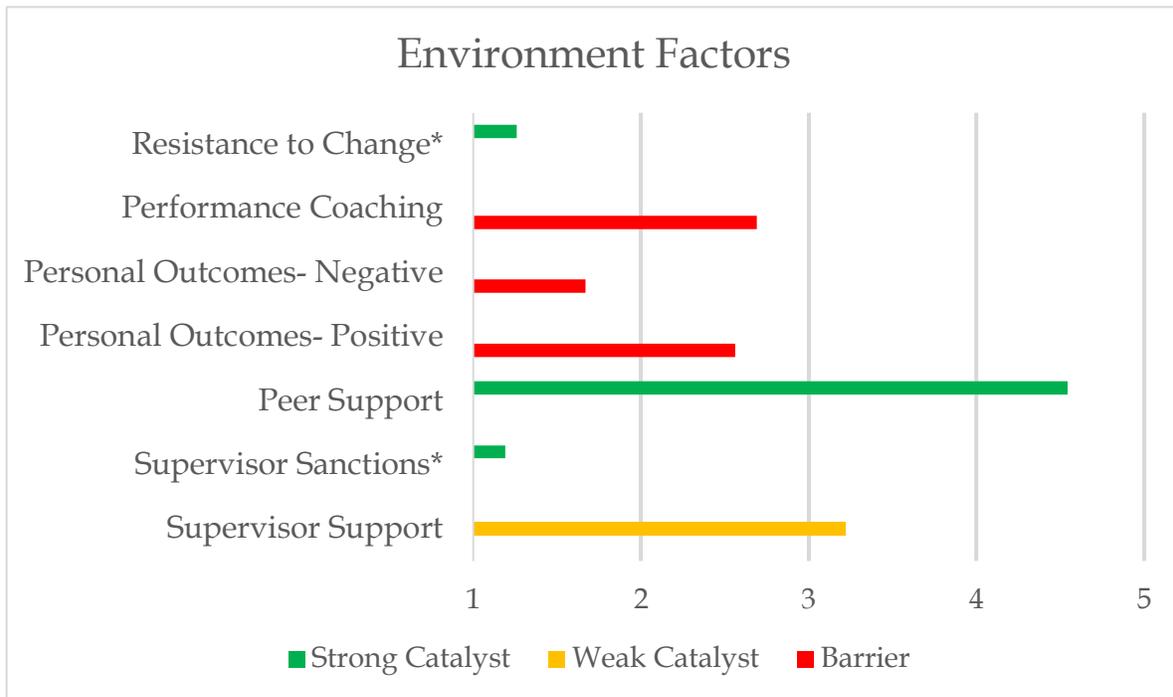
Qualitative Data Analysis

A total of 21 members of the GLISI team attended the second session in the train-the-trainer series, which was held via Zoom on October 13, 2020. The facilitator of the program shared some materials ahead of the session that were assigned as pre-reads, and those were used throughout the session as discussion topics. Additionally, the facilitator utilized some in-session materials that allowed participants to reflect on their own "equity postures," which was left undefined by the session facilitator, and challenges with hard conversations related to equity, such as those including socioeconomic or racial differences. The breakout room function was also utilized for a portion of the workshop, and the researcher observed one of those small group discussions related to those personal challenges.

Finally, the facilitator introduced the NeruoLeadership Institute's SCARF model®, and asked for each participant to complete the SCARF assessment, which

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helps to identify individuals' social motivations, threats, and needs (NeuroLeadership Institute, 2020). Because this model was introduced later in the program, it was not possible to incorporate it into the context of this study, other than to observe how the participants viewed their own primary motivations and threats during the workshop.

During participant observation of the workshop via Zoom, I kept my camera off. This resulted in minimal distraction as a result of the researcher being present, though participants were aware of my presence. Observational notes were taken throughout the two-hour session, and the notes from the chat feature of Zoom were obtained, allowing for direct data collection of participant responses to the primary discussion questions posed by the facilitator.

Using the research questions identified for this study and the LTSI variables as the framework for creating codes, a deductive thematic analysis coding method was done in order to assess common themes related to the GLISI team challenges that were offered in response to the facilitator's prompts as well as in the generalized comments made during the training session. Braun and Clarke's *Six Phases of Thematic Analysis* process of familiarization, coding, searching for themes, reviewing themes, and defining and naming themes, and writing the data collected in this effort was conducted for this data set and it allowed for both the flexibility needed in such an exploratory study as this was as well as the form necessary to articulate the findings (Braun & Clarke, 2006).

During the familiarization phase, the observational data was reviewed and considered in the context of the LTSI data, as well as in how the research questions created a potential structure for coding this data set. This led to the initial coding step, where research question (RQ1, RQ2, RQ3) coding was developed in an attempt to initially connect the data to one or more areas of the study's focus. This step also prompted codes to be developed that were specific in nature to the comments made, so that in the thematic search and review those comments that yielded similar codes could

be grouped together for further analysis. The codes developed this secondary effort proved more useful than looking for connections to the research questions themselves, so ultimately, they were selected for the next phase of this analysis.

Searching for, reviewing, and formalizing the themes involved grouping and then at times recoding initial statements that were initially coded as descriptive to the type of emotion displayed, the specific situational context mentioned, and the issues being offered in response to a question prompt. While the intent was to develop themes that directly reflected either the research questions or the LTSI variables, what resulted instead in the coding process was the emersion of key themes that provided contextual depth of the LTSI data. As this was the overall goal in conducting the qualitative research- to further understand and triangulate the findings of the LTSI into more specific insights for the GLISI team to consider, this was a productive analysis process.

An example of one set of thematically coded data from this effort is provided in the Findings section in Table 8 and includes the themes of *Subject Matter Complexity Concerns* and *Interpersonal Fears/Concerns*, which were two of the most common themes expressed in both this direct question as well as additional discussions observed under the general thematic category of *Concerns Expressed*. Other key themes that were frequently found within this analysis were those of *Interest in "Next Steps"* within the training process, *Interest in More Dialogue*, and *Exploration of Usability*. These key themes were incorporated into the Recommendations of this study as a means of aligning not only to the literature that is noted in the Recommendations section, but also to the thematic areas of interest expressed most often by the GLISI team.

Observation Coding Themes	
Subject Matter Complexity Concerns	*Exploration of Usability*
Interpersonal Fears/Concerns	*Statements of Usefulness*
Interest in "Next Steps"	*Care for Others*
Interest in More Dialogue between peers	*Statements of Peer Expertise*

Some data collected in the observation did not fully align with this thematic analysis process but was nevertheless helpful to consider in light of the findings and recommendations. One example of supplemental data that fell into this category is the set of Zoom chat feature responses that the GLISI team provided when the facilitator prompted them to consider what their "equity influencer strengths" might be when guiding equity discussions. Follow-up discussions of those strengths were not included in the program activities, but it may well serve the GLISI staff as they step into the role of equity-program facilitators to consider coming back to review this data set prior to engaging in future sessions.

Table 7: October 13ᵗʰ GLISI Team workshop Equity Influencer Strengths question/responses

What is your Equity Influencer Strength?
Listed in Order of Frequency in Responses

Empathy – 5 responses	Openness	Patience
Ability to Listen – 2 responses	Disarming	Perseverance
Vulnerability	Making Connections	Impatience
Conviction	Making Sense	Courage
Relatability and Compassion	Honesty	
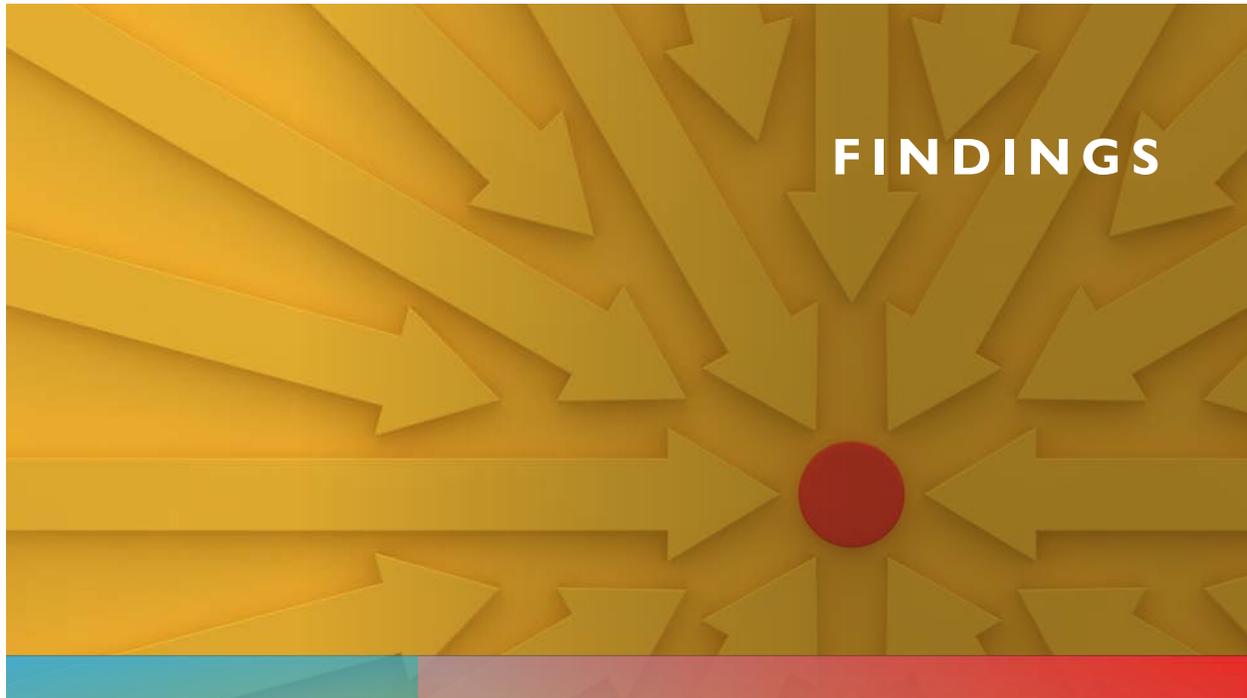
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Quantitative Data Key Findings

FINDINGS

Key Finding #1
A paradox exists between the GLISI team's generally high levels of Self-Efficacy and their current perception of Personal Capacity.

The GLISI team perceives their *Performance Self-Efficacy*, or their general level confidence that they can overcome obstacles in order to utilize new learning, is high. However, they noted an extremely low level of *Personal Capacity*, meaning they feel as though they do not have the time, energy, or mental space to apply what they are learning in their facilitator training program. This is an interesting paradox of perceptions among the GLISI team. These are seasoned professional leaders and capable facilitators who, through their combined experiences, have developed a relatively high level of confidence that they can apply new skills in meaningful ways within their roles. But in terms of this specific training subject matter, the data indicate that the team is struggling to determine how they can apply what they are learning.

Performance Self-Efficacy	Individuals' general confidence that they will be able to overcome obstacles that hinder learning transfer
Personal Capacity	Extent to which employees' workload, time, personal energy, and mental space promote or inhibit learning transfer

The motivational driver of self-efficacy is a valuable catalyst for the GLISI team, but if these individuals are unable to gain traction in the use of the skills being introduced in their training program, transfer is not likely to occur (Baldwin, Ford, & Blume, 2017; Stevens & Gist, 1997). A myriad of factors could be influencing this low Personal Capacity score amongst the team, such as the COVID-19 pandemic crisis, various personal and organizational time constraints, and importantly, the framing of the subject matter as an awareness/consciousness program. Because of this, it was deemed critical and necessary to gather further insight from GLISI team members in order to better understand this particular barrier and how recommendations might be formed in order to help the GLISI team feel additional capacities for learning transfer.

In sharing the results of the LTSI with some members of the GLISI executive team who are both program participants as well as organizational leaders in this effort, there was both validation of this barrier as well as the consideration that the subject matter itself is challenging in particular in the "mental space" aspect of Personal Capacity. While this was initial reflection of these findings, the GLISI team also planned to utilize internal survey efforts to gain additional insight about the challenges perceived by team members.

> **GLISI Executive Team Member**
> *"This is challenging material- we are working on getting comfortable helping people reflect on themselves and that forces you to consider things that you don't really recognize as influencing the way you see yourself and others. It is important work, but it feels really intense too."*

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Key Finding #2
The GLISI team does not perceive what, if any, positive or negative outcomes might result from using or not using what they are learning from this training program in their work.

This second key finding is in relation to perceptions of organizational variables measured within the LTSI framework. The GLISI team's low scores in both *Personal Outcomes- Positive* and *Personal Outcomes- Negative* indicate that these are both barriers to their learning transfer. Essentially, they are not yet able to see either positive organizational benefits and rewards for employing the new skills they are learning or negative organizational repercussions if they do not apply their new learning.

Personal Outcomes – Negative	Degree to which employees perceive that not transferring learning will result in negative outcomes in the employees
Personal Outcomes – Positive	Extent to which employees believe that learning transfer leads to positive outcomes for the employees

As is the case with Finding #1, there are several possibilities for the cause of this set of barriers, such as a limited reward structure due to the nature of the consultant partnerships within the team, the lack of clear articulation of possible rewards, or the culture within the organization so far as it might build in accountability and requirements that new skills be utilized after training completion. Research and literature on transfer of training recognize the importance these types of environmental structures play in the successful utilization of new skills (Kirwan & Birchall, 2006; Cromwell & Kolb, 2004).

While somewhat limited in nature, the literature on EDI training suggests that organizations do struggle to determine methods of holding individuals accountable to changed behavior and learning transfer (Holvino, Ferdman, & Merrill-Sands, 2004; Ferdman, 2014). In particular, when organizations and training programs are not providing clearly defined expectations for how to apply what is covered in a training program on topics related to equity and inclusion, it can be challenging at best to assign rewards for visible use of those newly acquired skills.

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This finding was unpacked during observation and dialogue in order to define the specific organizational factors that attributed to these barriers, with a focus once again on understanding to what degree the subject matter is a contributing factor (see below).

<div align="center">

Key Finding #3
There is a discrepancy between the LTSI data regarding Content Validity and Transfer Design (program design) and the initial internal feedback about the program.

</div>

LTSI scores for *Content Validity* and *Transfer Design* (as described in Table 3) revealed that the GLISI Team perceives that improvements can be made to the content and format; however initial internal feedback provided immediately after the first training session indicated that overall, the team felt as though the content was valuable.

Transfer Design	Extent to which training has been designed to link learning with job requirements by using the relevant training methods, examples, and instructions
Content Validity	Degree to which trainees perceive that the knowledge and skills taught in training are consistent with job requirements and performance expectations

As a standalone finding, the LTSI data indicate that the GLISI team did not see the content and program design of their facilitator training program to be highly impactful in providing them with transferable skills. This prompted a review of previously collected internal post-session feedback data for references to the content value, which was supplied as a part of the Document Analysis data gathering step. Open-ended responses provided by program participants in this initial internal feedback step indicated a different impression of these factors.

In general, the GLISI team's immediate impression of the content was that it was good, useful material. However, the team responded that the overall design and delivery of the program did not allow for adequate time to be spent in practice and in conversation about the content. When considering this feedback in light of the LTSI results for these same variables, indications are that the GLISI team is once again noting

that there is a relevant time component to successful understanding and transfer for this training program. And as is the case with the other findings, another critical step in this study was to determine to what extent the participants felt this barrier as a result of the complexities of working within an awareness-based topic area.

> ## Program Design & Content
> *The team perceives the current program design to be a barrier in terms of the time allotment, not the quality of the content. More time is desired by the team to practice using the materials.*

Qualitative Data Findings

In general, the observations made in the training session aligned very closely with the key findings related to the LTSI data. This team of professionals expressed trepidation to engage in leading equity-focused discussions and learning events. The observed discussion question responses as well as the small group discussion confirmed that GLISI team members have concerns about preserving important interpersonal relationships when engaging in these types of discussions. Additionally, they expressed concerns about being able to successfully manage the complexities of the subject matter. Taken together, these concerns seem to be creating reluctance and lack of confidence for some team members.

Like the LTSI survey data, the observed workshop discussions again confirm that the feeling of inadequate personal capacity, or personal energy and mental space, is a primary inhibitor for learning transfer and thereby effective use of equity-focused facilitation skills. While the GLISI team was noticeably engaged and interested in the workshop content, and consequently noted key takeaways from each segment of the content at the close of the session when asked, the challenges that were articulated by the team members were in relation to comfort and confidence in this skill area.

Personal Capacity	Extent to which employees' workload, time, personal energy, and mental space promote or inhibit learning transfer

Program participants also expressed appreciation for the small group discussions and time spent collectively engaging with the subject matter in the two workshops held thus far. When considering this observation through the lens of Holton's model, it would seem that the environmental variable of peer support is a key potential transfer catalyst. Leveraging the group's interest to continue processing the equity-focused content in the collective, GLISI might well consider the possibility of continuing in this effort, as is noted in the Recommendations section of this study.

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Key Finding #4
Observations confirmed that the majority of the content was awareness-based in nature, with minimal time spent on developing actionable skills.

Finally, observation of content design and delivery confirmed that the majority of the content was delivered with a focus on further development of personal awareness factors, such as personal SCARF model® motivations and threats (NeuroLeadership Institute, 2020). Situational role-playing practice was not conducted, and no time was spent in this workshop on how to develop observational or interpersonal skill for how to assess such concerns in others, which would be an actionable step for the GLISI team to consider in utilizing this tool.

Majority of workshop content was awareness-based.

Minimal time given for practice during session.

Though much time was spent considering equity issues to be aware of, there was no content specifically designed to increase observational skills that might allow the GLISI team to notice those challenges in others.

Therefore, this observation reveals that there remains a in the design of the program that is creating a perceived barrier for the GLISI team. Without improvements made to the way in which the sessions are designed and delivered this barrier might continue to contribute to a lack of transferability of the training.

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Discussion and Limitations

Discussion

In considering the research questions established as the guiding focus of this study, the findings reveal that there is still work to be done in order for this team to feel fully equipped, able to apply what they have learned in this facilitator training, and confident as equity-focused program leaders.

A prevalent theme across both the quantitative LTSI data results and the qualitative data collected is that a general feeling of inadequacy exists within the GLISI team. Further analysis, and importantly, sharing these findings with key members of GLISI's executive team indicated that the perceived primary source of these reactions is the subject matter involved in the training. In other words, the GLISI team feels ill-equipped to be effective facilitators of equity-focused leadership training and discussions as of yet.

> **Research Question #1**
> **Do GLISI team members feel like they can apply what they are learning?**
>
> *No, not yet. They see value in the topic but don't yet feel capable.*

The GLISI team noted their own recognition of the complexities of equity-focused content, and as such, they appear to be aware that they perceive themselves to be, so far, lacking full capability and confidence to conduct this type of leadership training.

Interestingly, a finding that was not directly intended in the scope of this study but that has relevance to the future recommendations for this quality improvement effort is the level of fear expressed by this group of facilitators when considering how to engage in these equity-focused training initiatives. In the second workshop of their

facilitator training, a question was posed to the GLISI team about the barriers they feel when considering engaging the leader groups they work with in equity-focused discussions. While many of the responses (seen below in Table 8), aligned with and further illustrated the LTSI data that more time and mental effort was desired in order to feel capable to apply this subject matter, a secondary collective concern was expressed about the tenuous nature of individual emotions and interpersonal dynamics when EDI topics are central in discussions.

> **Research Question #2**
> **Are there personal, program design, or organizational factors that are influencing their training experience?**
>
> *There are indications that improvements are desired in program design, as well as personal and organizational issues described in study findings.*

This finding might not be particularly surprising on initial analysis, given that the GLISI Team is still engaged in a longer process of developing this skill via a two-year strategic initiative. As well, this uncertainty and fearfulness to engage in the subject matter seems like a natural response to the subject matter of equity and inclusion, given the general emotionality noted in studies of EDI training content (Comer & Soliman, 1996). However, considering that GLISI's formal training program is two-thirds complete, the general fear and uncertainty expressed by the team indicates that additional interventions of skill development may be necessary.

> **Research Question #3**
> **How does the team perceive their current staff training experience to be affecting their *confidence* and *ability* to facilitate others' growth in awareness of equity issues and opportunities?**
>
> *They have a general lack in confidence and still perceive their ability to be low .*

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Table 8: October 13th GLISI Team workshop thematic analyresponses

> ### What gets in the way of your will to have the hard conversations about equity?
> Subject Matter Complexity Concerns
> o not totally understanding the complexity
> o Feeling like I need to learn much more to be effective
> o feeling like I don't know enough
> o *fear of being misunderstood
> o *looking/sounding foolish/saying the wrong things
>
> Interpersonal Fears/Concerns
> o Fear of jeopardizing the relationship
> o damaging the relationship with the person
> o fear of irreparably damaging a relationship I care about,
> o Not wanting someone to feel attacked or ignorant because they express themselves a certain way
> o Fear of offending
> o fear of emotional or physical harm
> o fear of being attacked personally and not responding with empathy
> o *fear of being misunderstood
> o *looking/sounding foolish/saying the wrong things
>
> Misc. Barriers
> o Right now it can be that it's hard when you are not face to face so you let things go.
> o **Ability to calm my impatience
> o **Exhausted
>
> *Barriers that overlap both categories
> **Barriers that have potential connection to subject matter confidence

Limitations

The Learning Transfer System Inventory (LTSI) is a widely used instrument in various contexts and cultures (Bates, Holton, & Hatala, 2012; Holton III, Bates, & Ruona, 2000; Bates & Holton III, 2004). And while it stands as a reliable tool for measuring learning transfer potential, Holton's research team has in the past found that a general limitation of this tool is that it only serves as a diagnostic tool, not as one that might inform which interventions would be more productive than others. The data from the LTSI should be considered as "diagnostic pulse-taking" in nature, helping to identify problem areas as well as those factors that warrant additional insight gathering steps, such as observations and focus groups (Holton III, Bates, & Ruona, 2000). As noted in

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the study design section of this report, additional qualitative steps were taken to discover specific insights that guided the recommendations provided to GLISI.

Another key limitation to note in the scope of this study is the limited engagement with the GLISI Team. In particular, the LTSI has not been utilized with the GLISI staff in the past, so no data exist that might allow for a "benchmark" of perceptions about learning transfer within the team. This would have been a key data point to draw insights from in this study, because some of the challenges noted with this team seem to be subject matter driven. Previous data that might indicate how the GLISI Team responded to other facilitator training would have allowed for a comparative analysis with the same sample group, thereby potentially heightening the validity of this set of results relative to the equity-focused facilitator training program.

The LTSI is widely used around the globe, and the data available for generalized benchmarking indicates similar challenges across various types of training, including both hard skills and soft skills development (Bates & Holton III, 2004; Bates, Holton, & Hatala, 2012; Chatterjee, Pereira, & Sarkar, 2018). However, there is limited data published about its use specifically in leadership development programs, and specifically in the subject matter of EDI training. As such, a limiting factor existed in this body of work in that there was no possibility of doing comparative analysis between sample groups on the indications of perceived learning transfer relative to equity-focused facilitator training.

Additionally, from one workshop observation, it was not clear that the GLISI team has clarity yet on when and how this equity-focused content will be utilized. Having a clear understanding of intended use might well have guided GLISI team members to ask different questions and engage with the content differently. It is also possible that those avenues of use have not been fully developed yet, as this is still an emerging topic of leadership programming for GLISI and the team is still involved in a

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strategic initiative to more fully define equity consciousness as an actionable leadership competency.

Recommendations

The recommendations provided herein were based on indications from the data collected and formed through an understanding of research-based foundational concepts. What follows is a collective set of potential actions that will ideally help the GLISI team become more capable, confident, and well-versed in the EDI leadership training space. A key consideration when developing these recommendations was the applicability of each unique idea, as well as the collective, overall intent to provide recommended movement towards behavioral work.   This type of connective, structured approach to recommendations for interventions is itself based in an understanding that "an array of developmental experiences must be designed and implemented that are meaningfully integrated with one another," (Hernez-Broome & Hughes, 2004, p. 28). Similarly, an essential step in building an effective and impactful leadership development program is to create a "cadence of development," which includes regular focus and attention delivered in a variety of ways. It is the intent of this set of recommendations to help evolve GLISI's cadence of development for their team (Couch & Citrin, 2018).

Study Recommendations
Continued Peer-Group Coaching & Practice
Continuous Monitoring of Perceptions of Ability
Develop & Implement an "Equity-Positive" Behavioral Framework

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Recommendation #1
Continued Peer-Group Coaching & Practice

> "*Intentional development is just that – intentional. You have to think about the new skill and the situations in which you will apply it, and you need to focus on regularly on what you want to do more of, differently or better.*"
> (Couch & Citrin, 2018)

It is recommended that GLISI extend their formal training program by establishing a series of small group sessions that can serve to influence and overcome several identified barriers and underlying challenges. The establishment of regular small group sessions in which team members are specifically focused on "building their equity muscle," as GLISI CEO Dr. Leslie Hazle Bussey refers to this work, will help overcome the time component that was a notable barrier both in the LTSI/Personal Capacity datapoint as well as the anecdotal feedback provided through GLISI team member discussions and the qualitative data gathering conducted. Working as peer group coaches, small groups of GLISI staff can come together to have additional dialogue and practice of new equity-focused content and begin to more fully evaluate additional steps that can be taken as continued work in this effort.

In addition to mitigating the time/capacity challenge, this might also build strength among the team in the mental space function of the personal capacity variable. Similar to what Lacerenza et al. noted in their 2017 study about transfer of training interventions such as this recommendation, an organized "spaced-content" experience on a continued basis will help the GLISI team overcome cognitive load challenges and will allow for the spacing effect, which has been shown to positively impact "downstream outcomes" of usability of new content (Lacerenza, Reyes, Marlow, Joseph, & Salas, 2017). Also aiding in the work to overcome the mental space barrier, these sessions might allow for more purposeful reflection on an ongoing basis, which is a notable element of "scaffolding," or support for learning (Foley & Kaiser, 2013).

Regular interaction among peers and with organizationally designed and sanctioned structure can serve the dual purpose of allowing for time and mental space to adopt new skills and increasing awareness of organizational expectations for using the equity-focused leadership skills. Thoughtfully designed peer-group coaching and practice sessions might influence additional levels of organizational/environmental support and accountability, which the LTSI data revealed is currently missing for this team. A process such as this could encourage peer accountability and accountability to the process of practicing and using new knowledge. Such steps towards greater accountability would ideally lead to increased perceptions of both positive (rewards) and negative (threats) outcomes in relation to applying new skills in their GLISI roles.

Couch and Citrin (2018) noted that adult learners need to find self-relevance in order to advance their new skills, and in particular they believe that leaders should "never learn alone" so that true perspective and broad understanding can be developed (Couch & Citrin, 2018, p. 280). They also note that Rock and Ringleb's work in the field of neuroscience related to how threats and rewards help form human behavior make the case for developing formal structures that underscore those positive and negative organizational outcomes (Rock & Ringleb, 2013).

RECOMMENDATION #1
CONTINUED PEER GROUP COACHING & PRACTICE

Research about supporting successful learning transfer from leadership programs indicates coaching efforts like this are primary sources of support for using new skills, so this could be a critical step in ensuring success for the GLISI team. Gilpin-Jackson and Bushe note findings in their research that coaching efforts made by leaders of program participants facilitated additional and continued learning and, importantly, encouraged use of new skills (Gilpin-Jackson & Bushe, 2007). Other studies note that external executive coaching as a post-training transfer support mechanism can significantly increase skills use and productivity versus training alone (Olivero, Bane, & Kopelman, 1997).

Recommendation #2
Continuous Monitoring and Measurement of Perceptions of Ability

This next recommendation again was developed through a focus on how to continue to support the growth of this skill set for the GLISI team, but this time through an ongoing monitoring process. In order to effectively implement the new learning, as well as any adjustments to the training methodology, experts recommend this type of continual monitoring so that an organization might be successful in achieving their training outcomes (Holt, Hall, & GIlley, 2018). GLISI should continue to monitor how participants feel they are developing in the equity-focused leadership and equity-focused program facilitation skill sets. Regular assessments after each training session and, if adopted, each peer-coaching and practice session, would ensure deeper understanding of the most critical barriers is developed. This step requires using either the LTSI survey or a unique, customized survey created to home in on the factors are the biggest barriers, and careful internal analysis at regular intervals.

Monitoring can also be done more informally, through conversational check ins that happen in concert the peer-group coaching sessions, if initiated by GLISI. Such informal check-ins might not yield as much usable data for the purpose of tracking progress in barrier areas over time, but it might well serve to continue bolstering

perceived support from the organizational leaders, which is currently a learning catalyst for GLISI, based on the LTSI results.

Either way this monitoring is conducted, this will allow GLISI to recognize and leverage where the team is starting to feel capable and equipped. As noted in the Findings section of this study, the GLISI team has a high self-efficacy score currently. Continual monitoring of this key element of motivation, which consequently has been noted to be a contributing factor for intention to apply EDI training would be an important step to ensuring participants can capitalize on their own strength (Combs & Luthans, 2007). And importantly, monitoring will also reveal where additional structures of support are needed. This an essential step in overcoming the "transfer problem" in general, as well as the specific barriers noted above.

RECOMMENDATION #2

MONITOR PERCEPTIONS OF ABILITY
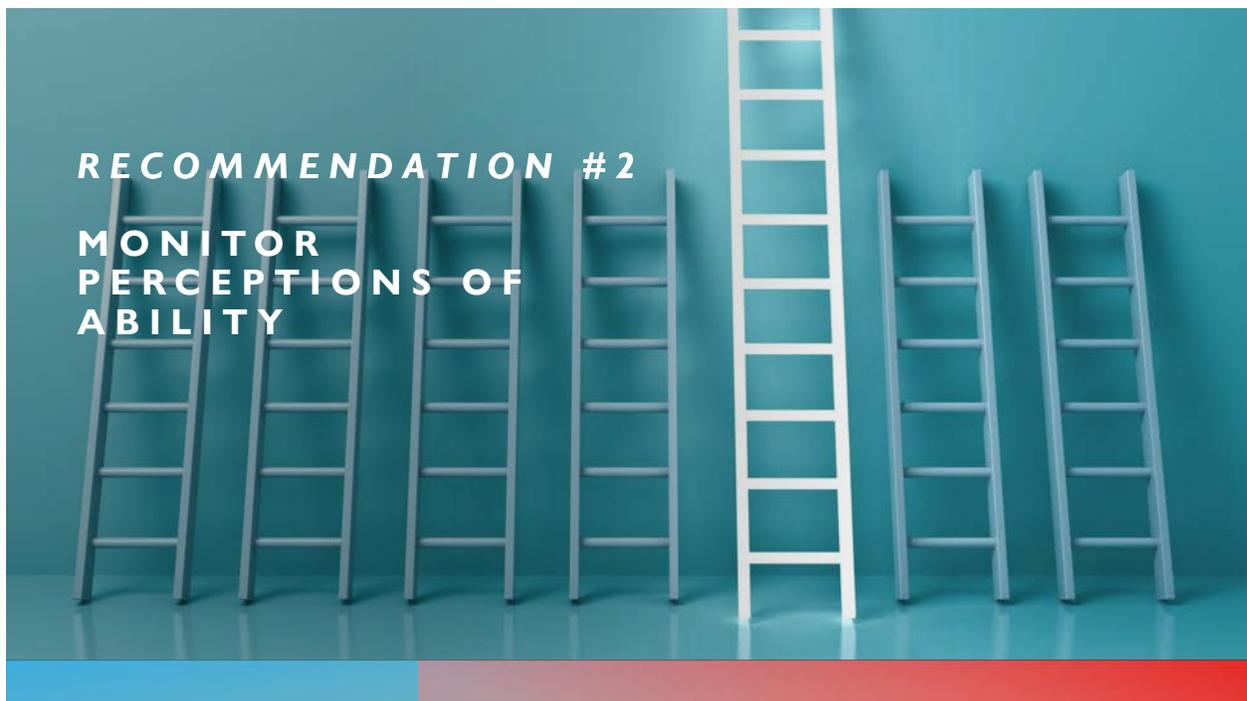
Going forward, GLISI might also consider applying this same scaffolding of support and evaluation into the equity-focused leadership programs they create for other leader groups. For this to be clear and effective, they will need to build the expectation that there will be follow-ups to monitor progress, barriers, and catalysts of

their participant groups. This will allow their team to discover what else they as practitioners might do so that their participants can feel equipped and ready to change their behavior.

Recommendation #3
Develop and Implement an "Equity-Positive" Behavioral Framework

> *"The trouble comes when we don't know what our desired end state actually looks like."*
> (Ibarra, 2015)

This final recommendation is a critical step in the work that leadership development facilitators have before them in the equity-focused leadership space. Developing a behavioral framework that describes actionable, visible steps that can be taken to indicate an equity-positive approach could advance the focus and impact of this field of work. A framework of this nature would ideally equip the GLISI team both as equity-focused leaders and as equity-focused program facilitators. The GLISI Team is already doing the foundational work of visualizing equity-focused conversations and actions- which is a neuroscience-based step in the right direction towards true transfer of their training knowledge (Rock & Ringleb, 2013). But taking the more formal step towards articulation of actual behavior is essential. Establishing a multi-level framework that clearly describes postures of equity-focused action, such as ***equity-negative***, ***equity-neutral***, and the ideal of ***equity-positive***, could serve as a roadmap for successful evolution of behavior change that programs like GLISI's equity facilitation training hope to achieve.

Invoking the notion that Ibarra cites as an often-critical challenge in leadership behavioral change, the buildout of an aspirational behavioral framework can serve as to motivate behavior change because it is definitive in nature (Ibarra, 2015). The ability to move beyond the awareness-based content that is so often delivered in EDI training

programs and more fully into behavior-based models of content would address a critical aspect of common leadership development programming transfer problems, which is that there is significant focus given to theory, but little given to application (Sørensen, 2017).

A behavioral model might allow GLISI to more fully define and articulate "what does an equity-focused leader look like in action?" As well, it would allow for a further defining of precise language, decisions, and other actions that are expected as a result of internalizing the new learning within an equity-focused program. This effort to more fully define expectations in the equity-focused leadership space might also allow GLISI to achieve the internal accountability mentioned above as a current barrier.

RECOMMENDATION #3
DEVELOP
"EQUITY-POSITIVE"
BEHAVIORAL FRAMEWORK

And as a leadership development consulting firm, the effort to build out an actionable behavior model for equity-focused leadership in their own organization could also result in the potential to define those behaviors and thus new direction within the training programs they design for clients. A cascading of this behavioral framework into their own programs for other leaders would allow for evaluation and

evolution of the initial behavioral model, could guide the successful transfer of learning within their own programming as other leader groups work to adopt the skills they are introduced to through GLISI's facilitation efforts.

Conclusion and Future Study Considerations

Organizations and leaders are increasingly engaging in EDI leadership training efforts, similar to GLISI's own program studied in this process. As these programs become central to leadership development and EDI organizational strategy, it is imperative that such efforts move beyond the awareness-based content focus and begin to incorporate transferable skill development that is more actionable in nature. Doing so will allow this body of important work to remain relevant and meaningful and will reduce the potential for impact to be diminished as a result of the transfer problems that persist in the leadership development and EDI training space.

Further improvement studies and research in the area of the transferability of EDI leadership training should consider the findings of this unique study as well as the important limitations described. Leadership teams and organizations, like GLISI, are grappling with how to best engage in the work of building an equity-focus within their teams and organizations. As such, it is critical that researchers and practitioners continue to develop effective evaluative practices for assessing the quality of the design of these programs, with special consideration for how actionable and transferable each unique training program is for its participants.

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APPENDICES

APPENDIX A: GLISI LTSI RAW DATA

Survey Title	Description!		Start Date		Responses										
GLISI - Equity Training	GLISI - Equity Training		09-25-2020		18										
URL															
http://www.ltsinventory.com/participant/question/EV123															
Participant Response Details															
Q.1	Q.2	Q.3	Q.4	Q.5	Q.6	Q.7	Q.8	Q.9	Q.10	Q.11	Q.12	Q.13	Q.14	Q.15	Q.16
4	4	5	5	3	3	3	4	2	1	1	2	5	1	1	2
3	4	4	4	2	2	2	4	3	2	2	1	4	2	1	1
4	4	4	5	3	3	3	4	4	1	1	1	5	1	1	1
3	2	4	4	2	3	3	3	5	1	2	3	3	3	1	4
4	3	4	4	1	2	1	4	2	1	1	2	5	1	1	1
4	4	4	4	3	3	3	4	4	4	1	1	4	1	1	1
5	3	5	5	3	4	4	5	3	1	1	1	5	1	1	3
1	3	4	4	2	2	2	4	4	1	1	2	5	1	1	2
2	2	4	4	1	2	3	3	2	1	1	2	4	1	1	1
4	4	4	5	2	2	3	5	4	1	1	1	5	1	1	1
3	3	3	3	3	3	3	3	3	3	3	3	3	3	3	3
4	3	4	5	2	3	4	4	5	1	1	3	5	1	3	4
5	4	4	4	1	4	4	5	4	1	1	1	4	1	1	1
2	5	5	5	1	3	3	2	2	2	2	4	4	1	2	2
4	2	4	4	1	3	2	4	1	1	1	2	5	2	1	1
4	2	4	4	1	3	2	4	1	1	1	2	5	2	1	1
4	4	4	5	3	3	3	4	2	1	1	1	5	1	1	1
3	4	5	4	2	3	3	4	2	2	2	2	5	2	2	2

Q.17	Q.18	Q.19	Q.20	Q.21	Q.22	Q.23	Q.24	Q.25	Q.26	Q.27	Q.28	Q.29	Q.30	Q.31	Q.32
4	5	5	5	4	4	1	1	1	4	3	3	3	3	3	3
4	4	4	3	3	3	1	1	1	3	3	4	3	5	4	3
4	5	5	4	3	3	1	1	1	4	4	3	4	4	4	4
5	5	5	5	2	3	1	1	1	3	2	4	2	5	5	3
5	5	2	5	1	1	1	1	1	1	3	3	2	3	2	3
4	4	4	4	2	3	1	1	2	3	3	3	3	4	4	4
5	5	5	5	3	5	1	1	1	5	5	5	5	5	5	5
4	5	5	5	3	3	1	1	4	3	4	3	4	5	4	4
3	4	4	4	1	4	1	1	1	3	4	4	2	2	4	4
5	5	5	5	3	3	1	1	1	3	5	4	4	5	5	5
3	4	4	3	3	3	3	3	3	3	3	3	3	3	3	3
5	5	4	5	3	5	1	1	1	5	5	4	4	5	4	4
4	5	5	5	4	4	1	1	1	3	4	4	4	4	5	5
4	4	5	5	4	3	1	1	1	4	4	3	3	4	4	4
4	4	5	4	4	4	1	1	1	3	2	2	2	2	2	2
4	4	5	4	4	4	1	1	1	3	2	2	2	2	2	2
5	5	5	5	3	3	1	1	1	3	3	4	4	5	5	5
5	5	5	4	3	4	1	1	1	3	3	4	4	4	4	4

Q.33	Q.34	Q.35	Q.36	Q.37	Q.38	Q.39	Q.40	Q.41	Q.42	Q.43	Q.44	Q.45	Q.46	Q.47
4	4	4	4	4	5	3	1	4	2	3	3	4	4	4
3	5	4	4	4	4	3	2	2	3	2	3	4	4	4
4	4	5	3	4	4	1	1	1	1	3	3	4	5	4
3	4	5	5	4	3	3	1	1	1	2	2	5	4	4
5	5	5	2	5	5	1	1	1	2	1	1	3	3	2
4	4	5	4	4	3	3	1	1	2	3	2	4	4	5
5	5	5	5	5	5	4	1	1	1	4	4	5	5	5
5	5	5	4	4	5	3	1	1	1	3	3	5	5	5
4	5	4	3	4	4	3	1	1	1	3	2	4	4	4
5	5	5	3	4	5	2	1	1	1	2	2	2	4	4
3	4	5	3	4	4	3	1	1	1	3	3	4	3	3
5	5	4	5	5	3	3	1	1	1	2	1	4	4	4
5	5	5	5	5	5	3	1	1	1	1	1	4	5	5
5	4	5	4	4	5	3	1	1	1	2	2	2	4	3
5	5	4	2	2	4	2	1	2	2	4	4	5	4	4
5	5	4	2	2	4	2	1	2	2	4	4	5	4	4
5	5	5	3	5	5	2	1	1	1	2	2	5	5	5
5	5	5	3	4	4	3	1	1	1	3	4	3	5	5

Q.48	Q.49	Q.50	Q.51	Q.52	Q.53	Q.54	Q.55	Q.56	Q.57
3	4	4	5	5					
3	4	4	4	4	Male	Monitoring and Evaluation Specialist	1 program	To develop job-related knowledge or skills	26-35
3	5	4	4	4	Male	Leadership Consultant	2 program	To develop job-related knowledge or skills	46-55
1	5	5	4	4	Female	Marketing and Communications Associate	2 program	Required by employer	26-35
1	5	5	5	5	Female	Executive Director	1 program	To develop job-related knowledge or skills	46-55
3	4	4	4	4					
4	5	5	5	5	Female		1 program	To develop job-related knowledge or skills	
3	5	5	5	5	Female	Consultant	1 program	Personal interest or growth	56-65
3	4	4	4	4					
2	5	5	5	5	Female	Performance Consultant	2 program	Personal interest or growth	56-65
3	4	4	4	4	Female	Performance Consultant	1 program	Personal interest or growth	66 years or older
3	5	5	5	5	Female	Organizational Effectiveness Manager	1 program	To develop job-related knowledge or skills	36-45
1	5	5	5	5	Male	VPPDI	2 program	To develop job-related knowledge or skills	36-45
4	4	4	4	4	Female	Performance Coach	3 program	To develop job-related knowledge or skills	66 years or older
4	5	5	5	5					
4	5	5	5	5					
3	5	5	5	5	Male	Consultant	3 program	To develop job-related knowledge or skills	56-65
4	5	5	5	5	Male	Performance Coach	5 program	To develop job-related knowledge or skills	56-65

APPENDIX B: LTSI REPORT

LTSInventory
LEARNING TRANSFER SYSTEM

LTSI REPORT

Event Name:	GLISI - Equity Training
Start Date:	Sep 25, 2020
Trainer:	Melanie Adams

Factor	Average Score	STATE
Ability Scales	3.25	

Content Validity:
Extent to which trainee's judge training content to accurately reflect job requirements.

3.37

This factor is a **BARRIER** because it should score above 4.00

Implication: Content validity is an important and necessary ingredient in training transfer. Weakness here indicates that the knowledge, skills, and abilities taught in training do not adequately match job needs and have limited usefulness for increasing job effectiveness. Motivation to transfer and ultimately the level of transfer are strongly related to the perceived usefulness of training. When content validity is weak so too will be motivation and transfer outcomes. This scale is designed to help us understand how closely training matches job requirements and whether trainees see the training as relevant and useful in their jobs.

Likely Causes of Problems

- Poorly designed training that fails to focus on specific training needs.
- Selection process for training that does not match trainee knowledge or skill needs with training content.
- Failure to base training content on systematic job analysis, competency model, or needs assessment.
- Training programs in which substantial areas of content are not relevant to trainee job performance needs. When only some content in a program is seen as useful but other content is not the latter can often undermine motivation to learn and transfer the former.
- Use of off-the-shelf training programs. These can be notoriously low on content validity, particularly when they are adopted without adequately evaluating their relevance to specific job requirements.
- Assumption of content relevance or reliance on training program curricula that are not regularly reviewed for job relevance.

Possible Action
How can we assure trainees will know they have their supervisors' support for transfer?

- Base training design on quality needs assessment that identifies specific learning needs related to job performance.
- Involve managers, supervisors, and trainees in the needs assessment process. This will insure the training addresses job-relevant, high priority needs.
- Solicit managers and supervisors to examine training design and content in detail before it is finalized.
- Link training content to trainee needs and to key unit, departmental, or organizational goals and priorities. Verifying and communicating this linkage will strengthen the perceived relevance of training content.
- Use subject matter experts who actually do the job to validate ALL course content.
- Use advance orientation sessions with trainees' supervisors to validate training content. This will also enable them to cue trainees about what to expect and how it will be useful.
- Share training course content and material with trainees prior to training and solicit feedback on its job relevance and ideas about how they can use it on the job.
- Share application ideas with trainees so they understand how the content fits their job.
- Build an ongoing communication network with managers, supervisors and previous trainees to keep training up-to-date with operational job changes.
- Have subject matter experts participate in pilot course offerings to refine content.
- Make sure that every course has prioritized behavioral objectives that define job behavior outcomes and learning objectives.
- Follow up with trainees to find out what content is and is not working on the job.
- Break training into separate modules or manageable "chunks" spread over time so the content is "just enough" and it doesn't overwhelm trainees.
- Select trainees carefully. Successful transfer is only

possible if the right people are in training learning the right things.
- Send trainees updated information when content is found not to fit the job.

Transfer Design:

Degree to which 1) training has been designed and delivered to give trainees the ability to transfer learning to the job, and 2) training instructions match job requirements.

3.81

This factor is a **BARRIER** because it should score above 4.00

Implication: Design complements content validity because, although it is critical that training have job-relevant content, it must also be taught in ways that enable trainees to make the transfer to job behaviors. This scale helps us understand the extent to which the training program uses appropriate instructional methods, experiential activities and exercises that build trainees' capacity to apply new knowledge and skills on the job.

Likely Causes of Problems

- Failure to base training content on systematic job analysis, competency model, or needs assessment.
- Inadequate understanding about how the content of training will be used by trainees in their jobs
- Inadequate efforts to verify that training content is useful and appropriate for trainees.
- Poorly designed training that fails to build the knowledge and skills needed to make the transfer leap from training to job performance.
- The use of training materials and activities that do not accurately reflect the resources, conditions, and challenges trainees will face in the workplace to return following training.
- Inadequate attention paid to job application and action planning for transfer during training.
- Failure to develop and communicate behavioral objectives for training. These are different than trainer objectives (what the trainer will do) or learning objectives (what the trainees will know and be able to do at the end of a training session). Behavioral objectives are statements of what the trainee will do with the new learning once they return to their jobs.
- Overuse of passive learning techniques and underuse of active learning techniques.

Possible Action

How can we assure trainees will know they have their supervisors' support for transfer?

- Base training design on careful job analysis or competency model so that the content and activities in training accurately reflect job requirements.
- Have trainers shadow workers on the job before they train so they understand the application environment.
- Use a variety of experiential, application exercises and tasks in training that directly mirror the job and environment trainees will work in.
- Provide individualized feedback (reflecting how well the trainee is doing now) and feed-forward guidance (explaining what the trainee can or should do back on the job) following application exercises.
- Devote as much time during the course to practical application as you do to delivering information and concepts (at least a 50/50 split).
- Match the training materials and exercise with the tools, equipment, and other resources available on the job.
- Evaluate the transfer capability of trainees during training: Create in-basket exercises, case studies, role plays or other activities that require participants to satisfactorily demonstrate skill application before they leave the course.
- Add post-training assignments or projects that trainees can do on the job to strengthen transfer skills.
- Use trainees' real world experiences as much as possible during the training.
- As much as possible, give trainees some experience with the job before they come to training.
- Encourage trainees to create and maintain an "ideas for application" notebook during training.
- Solicit input from previous trainees who are applying the training. Collect application examples from them and use them in training.
- Provide or create job performance aids that will help trainees transfer new learning.

Personal Capacity:

Extent to which individuals have the time, energy and mental space in their work lives to make changes required to transfer learning to the job.

1.41

This factor is a **BARRIER** because it should score HIGH

Implication: Transfer does not magically happen. To be successful, the transfer process must be managed. Part of that management comes in taking steps to assure that trainees find the time and energy in an already busy work life to apply new learning on the job. Trainees stressed by trying to catch up on work they missed because of training attendance, overloaded schedules, or the pressure of tough production schedules will have less energy and opportunity to use new learning. Scores on this factor help us understand the extent to which an individual's workload, schedule, personal energy, and stress-level facilitate or inhibit the application of new learning on-the-job.

Likely Causes of Problems

- Workplace re-entry following training poorly planned or not planned at all.
- Overly optimistic expectations on the part of trainees about transfer success.
- Task-shifting for training absent or ineffective. Many times trainees return from training to find a pile of work on their desk. Catching up may take a week or more. By that time, the knowledge, skills, and motivation gained in training can be lost. Shifting trainees' work tasks to others during training can relieve this pressure and create windows of opportunity for transfer.
- Poorly timed training (e.g., providing training during times of high job stress).
- Supervisors or team members uninformed about or fail to take action to address the transfer-related needs of trainees.

Possible Action

How can we assure trainees will know they have their supervisors' support for transfer?

- Clearly demonstrate during the training how new skills will make trainees' lives easier or better.
- Use task-shifting with co-workers so trainees are not overloaded with "catch-up" work when they return from training.
- Help trainees engage supervisors or team members to plan re-entry. Plans should include identifying opportunities for skill use and how to deal with potential barriers to transfer.
- Help trainees work with supervisors or team members to adjust trainees' workload to allow for slower performance when implementing new skills on the job.
- Work with supervisors or team members to help trainees develop realistic expectations about transfer. Transferring new skills is not easy or linear: There will be starts and stops, ups and downs that trainees should be prepared for.
- Only do training when trainees are NOT in peak periods in their jobs.
- Make sure trainees' job duties allow time for new responsibilities to be added.
- Have supervisors or team leaders coach trainees on how to make appropriate adjustments in their workload so training can be implemented.
- Develop a network of already trained workers who can help new trainees quickly apply their learning.
- Communicate with trainees to remind them how new skills will make their lives easier or better.

Opportunity to Use:

Extent to which trainees are provided with or obtain resources and tasks enabling them to use training on the job.

4.41

This factor is a **CATALYST** because it should score HIGH

Motivation To Transfer

3.89

Motivation to Transfer:

Direction, intensity, and persistence of effort toward utilizing skills and knowledge learned in a work setting.

3.94

This factor is a **WEAK CATALYST** because it should score HIGH

> **Implication:** Motivation is a key regulator of goal-oriented behavior and this scale is designed to help us understand how motivated trainees are to use new learning on the job. Weakness here indicates trainees are not directing their energies with sufficient focus, intensity or persistence to transfer new learning successfully. Because motivation is a key driving force behind behavior, low scores mean that transfer and any performance change as a result of training is threatened.

Likely Causes of Problems

- Missing or inadequate reward systems that effectively reinforce transfer efforts.
- Trainees who do not believe training will improve performance.
- Trainees who do not adequately understand the need for a change in knowledge, skills or job behavior.
- Inadequate resources and support for transfer efforts.
- Past trainee experience that leads to the anticipation of poor transfer support or multiple obstacles to transfer can substantially weaken transfer motivation.
- The absence of visible organization and top management support for training and transfer.
- Trainees who do not understand the training process or objectives and how application of the new learning will benefit them.
- Inadequate engagement of trainees in the needs assessment and training design and delivery process.
- Trainees who are not sufficiently committed to the

Possible Action

How can we assure trainees will know they have their supervisors' support for transfer?

- Make training a strategic priority in the organization and get top management to communicate this publicly.
- Create an incentive, reward or recognition programs for use of training on the job and make it part of the training program.
- Make sure trainees understand the behavioral outcomes of training and how those fit into trainee development plans.
- Sell trainees during the training on the WIIFM ("what's in it for me"?).
- Clearly link training outcomes to important unit, department, or organizational goals. Communicate this to trainees.
- Identify what rewards or recognition would motivate trainees to use their training - and then implement it! Or to offer a cafeteria-style reward plan that would allow

upcoming training.

- trainees to choose from a menu of rewards according to their preferences.
- Publicize transfer successes.
- Use end-of-training action planning and goal setting to identify "stretch" goals for trainees' transfer efforts.
- Partner with supervisors to set high expectations for transfer and communicate those to trainees.
- Use active learning, experiential methods to motivate trainees during training. Job-relevant application exercises such as role plays, case studies, simulations and so on during training help trainees see the value of learning and increases motivation to transfer.
- Involve trainees in program planning so they understand the training goals and are more committed to learn and apply the training.
- Create a post-training "transfer competition" with training cohorts.
- After training, organize ongoing refresher or problem-solving sessions with training cohorts to provide a forum for exchange of ideas, discussion of problems, and to support ongoing motivation to transfer.
- Measure and evaluate transfer. Things that are measured in organizations are those that are valued. Measuring and evaluating transfer sends the message that transfer is important and it makes trainees accountable for transfer. When coupled with an effective reward system, evaluation and measurement can become a powerful motivator for individuals. It can also prove training's value and generate management support.

Learner Readiness:
Extent to which individuals are prepared to enter and participate in training with clear goals and expectations.

3.44

This factor is a **WEAK CATALYST** because it should score HIGH

Implication: The support of supervisors is consistently an important factor in high performing transfer systems. Supervisors play a crucial role because of the unique, profound, and broad capacity they have to improve learning transfer: they control resources, job assignments, set performance expectations, and are key sources of coaching, feedback, and reinforcement. In short, they are able to use fundamental supervisory competencies and apply these to support and improve learning transfer in their organization. This scale helps us understand how effective supervisors are at supporting the learning transfer efforts of their subordinates.

Likely Causes of Problems

- Supervisors don't recognize the value of training (or they don't understand how learning, transfer and performance improvement are linked).
- Supervisors are not sufficiently involved in decisions about what training is needed or who needs training.
- Supervisors don't understand how to use their supervisory/managerial skills to support learning transfer.
- Supervisors fail to use coaching skills to foster transfer.
- Supervisors don't manage job assignments or the work environment in ways that support transfer.
- Supervisors don't effectively use reward power to support transfer.
- Supervisors don't make employees accountable for transfer.
- Supervisors aren't held accountable for the performance outcomes of their trainees after training.

Possible Action
How can we assure trainees will know they have their supervisors' support for transfer?

- Involve supervisors in the needs assessment and training design process so they understand the need for training and how transfer will improve job performance.
- Brief supervisors before training so they fully understand why training is being delivered, what will be learned, and how it will improve job performance.
- Solicit supervisors' endorsement of training content and plans so that their active support is clear to employees.
- Have supervisors work with trainees to set clear goals for the application of training.
- Have supervisors work with trainees BEFORE training to develop a "contract" with employees in which transfer goals, the support needs of the trainee, and the support responsibilities of the supervisor are identified.
- Whenever possible, give supervisors a role during training so their active support is clear. Be sure to provide them with advance notice so they can reserve time.
- Encourage supervisors to set high expectations for transfer, communicate confidence in trainees' ability to meet those expectations, and to reward them when they do so.
- Train supervisors on how to actively support training transfer.
- Make supervisors accountable for effective transfer support and the performance outcomes of their trainees

after training (e.g., build transfer support into supervisory performance standards and appraisals).

Performance Self-Efficacy:
An individual's general belief that they are able to change their performance when they want to.

4.11

This factor is a **CATALYST** because it should score HIGH

Transfer Effort-Performance Expectations:
Expectation that effort devoted to transferring learning will lead to changes in job performance.

4.54

This factor is a **CATALYST** because it should score HIGH

Performance-Outcome Expectations:
Expectation that changes in job performance will lead to valued outcomes.

3.41

This factor is a **WEAK CATALYST** because it should score HIGH

Implication: This scale is designed to assess the strength of a person's belief that efforts made to transfer new learning to the job will result in a positive change in performance. Weakness in this scale suggests that trainees do not believe that trying to transfer new learning will produce a performance improvement. On the other hand, if this expectation is strong, trainees believe that they can transfer new learning in ways that improves performance and they will be more motivated to do so (assuming that other factors are equal). There are a variety of factors that can contribute to a trainee's expectancy beliefs including self-confidence, the presence of strong support systems for transfer, the availability of needed information or resources, previous transfer success, and so on. In short, there are many ways to strengthen a person's expectancy beliefs.

Likely Causes of Problems

- Inadequate past success with transfer efforts that weakens transfer effort-performance expectations and undermines confidence and motivation.
- Inadequate support for transfer from supervisors, subordinates, or co-workers.
- Inadequate information or material resources to support successful transfer efforts.
- Work overload that undermines beliefs that trainees will have opportunities to use new learning following training.
- Poorly designed training that does not meet job demands or is delivered in ways that make transfer difficult (e.g., lecturing about coaching when experiential methods such as modeling and role plays would better develop those skills and enhance trainees expectations that transfer will improve performance in those areas).
- Trainees do not understand the link between transfer of learning and improved job performance. As a result, the perceived probability of improving job performance through their transfer efforts is low.

Possible Action

How can we assure trainees will know they have their supervisors' support for transfer?

- Before training begins have supervisors or team leaders clarify the positive changes in performance the trainee will experience from using training on the job.
- Help trainees develop realistic expectations about how much effort will be required to excel at new skills.
- Work with supervisors or team members to get trainees assigned to training-related tasks related to the training in which they can have early success. Make initial transfer efforts both challenging and successful.
- Help trainees unlearn old habits and ways of doing things.
- Work with supervisors to create workplace transfer conditions that are favorable and conducive to success. The right staff, resources and equipment needed for transfer must be in place and the trainee must perceive that it is so.
- Make sure employees understand the performance problem (why they are in training) and how training will help them overcome the problem.
- Develop and share success stories, cases, or examples of trainees overcoming obstacles to transfer training in ways that improved performance.
- Show trainees the history of positive outcomes from successful application of training.
- Help trainees anticipate obstacles to transfer and plan for actions to overcome them.
- Create a "transfer support group" that can provide encouragement and support as trainees struggle to apply new learning. Trainees who meet regularly with or know they can call on peers or training cohorts for assistance with transfer problems will enhance expectancy perceptions.
- Use active learning, experiential methods to motivate trainees during training. Job-relevant application exercises such as role plays, case studies, simulations and so on during training can enhance expectations that transfer will improve performance.
- Work with supervisors and team members to reward effort toward transfer and skill growth.

Work Environment — 2.44

Supervisor Support:
Extent to which supervisors/managers support and reinforce use of training on the job.

3.22

This factor is a **WEAK CATALYST** because it should score HIGH

Implication: This scale and the Transfer Effort - Performance Expectations scale work together to increase transfer motivation. That is, motivation is maximized when individuals perceive both a connection between their transfer efforts and performance improvement and between performance improvement and desirable outcomes. This scale helps us understand the strength of an individual's belief that the application of skills and knowledge learned in training will lead to an outcome they value, be it public recognition, self-satisfaction, improved performance, material rewards, and so on.

Likely Causes of Problems

- Trainees do not clearly perceive the linkages between development, performance, and desirable outcomes.
- Past success with training and transfer efforts that did not generate desirable performance outcomes.
- Inadequate support for transfer from supervisors, subordinates, or co-workers making the realization of desired outcomes difficult.
- Inadequate information or material resources to support successful transfer efforts.
- Work overload that undermines efforts to realize desirable outcomes from transfer.
- Poorly designed training that does not meet job demands or is delivered in ways that make transfer difficult (e.g., lecturing about coaching when experiential methods such as modeling and role plays would better develop those skills and enhance trainees expectations that transfer will improve performance in those areas).
- Failure to tie rewards for transfer to performance.

Possible Action

How can we assure trainees will know they have their supervisors' support for transfer?

- Before training begins have supervisors clarify the positive outcomes the trainee could receive.
- Tie rewards for transfer to performance (as opposed to chance or some other factor), make sure trainees perceive the connection, and take steps to assure the rewards are seen as equitable (e.g., make fair distinctions when rewarding high and low transfer performers).
- Measure and evaluate transfer. Things that are measured in organizations are those that are valued. Measuring and evaluating transfer sends the message that transfer is important and it makes trainees accountable for transfer. When coupled with an effective reward system, evaluation and measurement can become a powerful motivator for individuals. It can also prove training's value and generate management support.
- Document and share cases or histories of positive job and career outcomes from successful application of training.
- Help trainees understand how the training will help move them along their desired career path.
- Make individual development plans part of the performance evaluation process.
- Develop clear career paths for employees build upon a progression of training programs and job skill development.
- Show trainees the history of positive outcomes from successful application of training.
- Work with supervisors and team members to reward effort toward transfer and skill growth.

Supervisor Sanctions:
Extent to which individuals perceive negative responses from supervisors/managers when applying skills learned in training.

1.19

This factor is a **CATALYST** because it should score LOW

Peer Support:
Extent to which peers reinforce and support use of learning on the job.

4.54

This factor is a **CATALYST** because it should score HIGH

Personal Outcomes - Positive:
Degree to which applying training on the job leads to outcomes that are positive for the individual.

2.56

This factor is a **BARRIER** because it should score HIGH

Implication: The social context of organizations can be a powerful influence on behavior. In the case of transfer, for example, the presence or absence of interpersonal support can be the deciding factor: High levels of interpersonal support helps create a "culture of transfer" essential to successful and ongoing transfer. Although support from both supervisors and peers is important, it is also possible that peer or co-worker support will be far more important in certain situations (e.g., in team-oriented work settings). Effective peer support is seen when peers, co-workers or team members expect and support transfer effort, help identify and "catch" opportunities to apply new skills, are patient with efforts to overcome transfer difficulties, and demonstrate appreciation for the use of new skills. This scale helps us better understand how effective the peers, co-workers and team members are in supporting learning transfer.

Likely Causes of Problems

Possible Action

- Peers, co-workers or team members don't understand the content or goals of training and how it can or should be used to improve performance.
- Peers, co-workers or team members don't understand how to effectively support learning transfer.
- Peers, co-workers or team members don't provide effective coaching or feedback to foster transfer.
- Peers, co-workers or team members don't manage job assignments or the work environment in ways that support transfer.
- Team or work group reward systems are not structured to support transfer.
- Peers, co-workers or team members are not held accountable for transfer.

How can we assure trainees will know they have their supervisors' support for transfer?

- Involve peers, co-workers or team members in the needs assessment and training design process so they understand the need for training and how transfer will improve job performance.
- Train peers, co-workers or team members together so the entire group buys-in to the new skills and techniques.
- Discuss performance outcomes in team or work group meetings so everyone understands that training is good for the entire team or work group.
- If everyone cannot be trained together, make sure everyone on the team or work group understands what is taught in training and how it should benefit job performance.
- Brief peers, co-workers or team members before training so they fully understand why training is being delivered, what will be learned, and how it will improve job performance.
- Develop group or team recognition programs that reward groups or teams that successfully use the new skills and techniques taught in training.
- Facilitate peer, co-worker or team meetings to set clear goals for the application of training.
- Facilitate peer, co-worker or team meetings to identify ways in which team or group members can work together to apply training.
- Create a transfer "buddy system" that puts trainees together in pairs or small groups so they can exchange transfer ideas and give one another feedback on transfer efforts.
- Develop a social network of "users" who are applying or have successfully applied training so they can share best practices and support each other. This network can exchange information informally (e.g., through email or social media) or in more formal, structured sessions facilitated by trainers or subject matter experts.
- Build transfer-support skills and strategies into team training programs.
- Make teams accountable for effective transfer support and the performance outcomes of the team members (e.g., build transfer support into team performance standards and appraisals).

Personal Outcomes – Negative:
Extent to which individuals believe that not applying skills and knowledge learned in training will lead to negative personal outcomes.

1.67

This factor is a **BARRIER** because it should score HIGH

Implication: The consequences of behavior have long been seen as important factors in motivating and shaping the workplace behavior. For example, organizations often provide positive consequences (or outcomes) for behaviors they want to sustain and increase. Receiving positive outcomes (rewards) for transfer efforts and successes can help to increase the likelihood that individuals will apply new learning on the job. This scale helps us understand the extent to which positive outcomes such as increased productivity and work effectiveness, increased personal satisfaction, additional respect, a salary increase, a more desirable job assignment, the opportunity to further career development plans, and so on accompany successful transfer.

Likely Causes of Problems

- Ineffective or missing reward/recognition system that supports learning transfer.
- Trainees do not clearly perceive the linkages between training transfer, performance, and desirable outcomes.
- Trainees do not have a clear picture of the personal (intrinsic) benefits of transfer.

Possible Action
How can we assure trainees will know they have their supervisors' support for transfer?

- Create incentive, reward or recognition programs for transfer and make it part of the training program.
- Sell trainees during the training on the WIIFM ("what's in it for me"?).
- Clearly link training outcomes to important unit, department, or organizational goals. Communicate these to trainees.
- Identify what rewards or recognition would motivate trainees to use their training - and then implement them! Or, offer a cafeteria-style reward plan that would allow

- trainees to choose from a menu of rewards according to their preferences.
- Make sure trainees understand the behavioral outcomes of training and how those fit into trainee development plans.
- Tie rewards for transfer to performance (as opposed to chance or some other factor), make sure trainees perceive the connection, and take steps to assure the rewards are seen as equitable (e.g., make fair distinctions when rewarding high and low transfer performers).
- Publicize transfer successes.

Performance Coaching:

The extent to which individuals receive feedback and coaching to improve their job performance.

2.69

This factor is a **BARRIER** because it should score HIGH

Implication: This is the other side of the reinforcement coin: when negative consequences do not follow unwanted behavior the tendency to engage in that behavior continues. In the context of transfer, it's like saying, "Since there is no penalty for not taking the time and energy to try to use new learning in my work, I will make life easier and continue not to do it". This scale helps us understand the extent to which negative outcomes such as reprimands, penalties, peer resentment, or the likelihood of not getting a raise are perceived as likely consequences of a failure to transfer.

Likely Causes of Problems

- Ineffective or missing performance monitoring system that supports learning transfer.
- Trainees are not held accountable for transfer following training.
- Weak management and workplace support for the application of new learning.
- Trainees do not clearly perceive the linkages between training transfer, performance, and desirable outcomes.

Possible Action
How can we assure trainees will know they have their supervisors' support for transfer?

- Include transfer effort and outcomes in trainee performance monitoring or performance appraisal systems.
- Make trainees accountable for the expected performance outcomes of training.
- Re-train employees who are not applying training.
- Get management to agree that there will be consequences for not using training.
- Make sure trainees understand the consequences of not using their training.
- Meet with trainees who are not applying their training and their supervisors to develop a corrective action plan.
- Monitor performance metrics after training to assess individual transfer effectiveness.
- Make sure trainees clearly perceive the linkages between training transfer, performance, and desirable outcomes.

Resistance to Change:

Extent to which prevailing group norms are perceived by individuals to resist or discourage the use of skills and knowledge acquired in training.

1.26

This factor is a **CATALYST** because it should score LOW

APPENDIX C: LTSI SURVEY

LEARNING TRANSFER SYSTEM

Please circle the number (1, 2, 3, 4 or 5) to the right of each item that most closely reflects your opinion about training.

| 1 - Strongly disagree | 2 - Disagree | 3 - Neither agree nor disagree |
| 4 - Agree | 5 - Strongly agree | |

For the following items, please think about THIS SPECIFIC TRAINING PROGRAM :

#	Item	1	2	3	4	5
1.	Prior to this training, I knew how the program was supposed to affect my performance.	1	2	3	4	5
2.	This training will increase my personal productivity.	1	2	3	4	5
3.	When I leave this training, I can't wait to get back to work to try what I learned.	1	2	3	4	5
4.	I believe this training will help me do my current job better.	1	2	3	4	5
5.	Successfully using this training will help me get a salary increase.	1	2	3	4	5
6.	If I use this training I am more likely to be rewarded.	1	2	3	4	5
7.	I am likely to receive some recognition if I use my newly learned skills on the job.	1	2	3	4	5
8.	Before this training, I had a good understanding of how it would fit my job-related development.	1	2	3	4	5
9.	I knew what to expect from this training before it began.	1	2	3	4	5
10.	I don't have time to try to use this training on my job.	1	2	3	4	5
11.	Trying to use this training will take too much energy away from my other work.	1	2	3	4	5
12.	Employees in this organization will be penalized for not using what they have learned in this training.	1	2	3	4	5
13.	I will be able to try out this training on my job.	1	2	3	4	5
14.	There is too much happening at work right now for me to try to use this training.	1	2	3	4	5
15.	If I do not use new techniques taught in this training I will be reprimanded.	1	2	3	4	5
16.	If I do not utilize this training I will be cautioned about it.	1	2	3	4	5

| | 1 - Strongly disagree   2 - Disagree   3 - Neither agree nor disagree |
| | 4 - Agree   5 - Strongly agree |

17.	The resources needed to use what I learned in this training will be available to me.	1	2	3	4	5
18.	My colleagues will appreciate my using the new skills I learned in this training.	1	2	3	4	5
19.	My colleagues will encourage me to use the skills I have learned in this training	1	2	3	4	5
20.	At work, my colleagues will expect me to use what I learned in this training.	1	2	3	4	5
21.	My supervisor will meet with me regularly to work on problems I may be having in trying to use this training.	1	2	3	4	5
22.	My supervisor will meet with me to discuss ways to apply this training on the job.	1	2	3	4	5
23.	My supervisor will oppose the use of techniques I learned in this training.	1	2	3	4	5
24.	My supervisor will think I am being less effective when I use the techniques taught in this training.	1	2	3	4	5
25.	My supervisor will probably criticize this training when I get back to the job.	1	2	3	4	5
26.	My supervisor will help me set realistic goals for job performance based on my training.	1	2	3	4	5
27.	The instructional aids (equipment, illustrations, etc.) used in this training are very similar to real things I use on the job.	1	2	3	4	5
28.	The methods used in this training are very similar to how we do it on the job.	1	2	3	4	5
29.	I like the way this training seems so much like my job.	1	2	3	4	5
30.	It is clear to me that the people conducting this training understand how I will use what I learn.	1	2	3	4	5
31.	The trainer(s) used lots of examples that showed me how I could use my learning on the job.	1	2	3	4	5
32.	The way the trainer(s) taught the material made me feel more confident I could apply it in my job.	1	2	3	4	5
33.	I will get opportunities to use this training on my job.	1	2	3	4	5

1 - Strongly disagree	2 - Disagree	3 - Neither agree nor disagree
4 - Agree	5 - Strongly agree	

For the following items, please <u>THINK ABOUT TRAINING IN GENERAL</u> in your organization.

34.	My job performance improves when I use new things that I have learned.	1	2	3	4	5
35.	The harder I work at learning, the better I do my job.	1	2	3	4	5
36.	For the most part, the people who get rewarded around here are the ones that do something to deserve it.	1	2	3	4	5
37.	When I do things to improve my performance, good things happen to me.	1	2	3	4	5
38.	The more training I apply on my job, the better I do my job.	1	2	3	4	5
39.	My job is ideal for someone who likes to get rewarded when they do something really good.	1	2	3	4	5
40.	Experienced employees in my group ridicule others when they use techniques they learn in training.	1	2	3	4	5
41.	People in my group are not willing to put in the effort to change the way things are done.	1	2	3	4	5
42.	My workgroup is reluctant to try new ways of doing things.	1	2	3	4	5
43.	People often make suggestions about how I can improve my job performance.	1	2	3	4	5
44.	I get a lot of advice from others about how to do my job better.	1	2	3	4	5
45.	I never doubt my ability to use newly learned skills on the job.	1	2	3	4	5
46.	I am sure I can overcome obstacles on the job that hinder my use of new skills or knowledge.	1	2	3	4	5
47.	At work, I feel very confident using what I learned in training even in the face of difficult or taxing situations.	1	2	3	4	5
48.	People often tell me things to help me improve my job performance.	1	2	3	4	5

APPENDIX D: IRB MATERIALS

ADAMSML404072020111414
PI: Adams, Melanie L
Understanding and Harnessing Catalysts for Personal and Organizational Transformation: A Study of Transfer of Learning in a Social-Emotional Leadership Development Program Design

IRB #200655
Last updated: 4/9/2020

Study Type and Performance Site Information

Type of study:

[ ] Standard or Expedited
[ ] Exempt
[ ] Umbrella Review for funds release
[ ] Comparative Effectiveness Research
[ ] Non-Human Subject Determination
[x] **Quality Improvement/Non-Research Determination**
[ ] Request review by another IRB
[ ] Coordinating Center ONLY

Please indicate which Committee is most appropriate to review your project:

[x] **Social and Behavioral Sciences**
[ ] Health Sciences

Are there any international sites involved in this study in which the PI is responsible?

[ ] Yes
[x] **No**

Is this project cancer-related?

[ ] Yes
[x] **No**

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Study Purpose and Description

Provide a brief abstract of the study in lay language. The IRB Committees are comprised of scientists with varied backgrounds, non-scientists, and community members.

This capstone project seeks to understand to what extent instances of learning transfer can be recognized, documented, and ideally replicated for future participants of a leadership focused social-emotional learning program. Leadership development program designers and facilitators, both in education and corporate leadership development fields, grapple with the challenge of accurately measuring and communicating instances of transferable skill usage as a direct result of program participation (Snoek & Volman, 2014; Burke & Collins, 2005; Johnson, Garrison, Hernez-Broome, Fleenor, & Steed, 2012; Gilpin-Jackson & Bushe, 2007). Because organizations often cite culture change as a primary intention in leadership development programs, there exists a concerted interest by practitioners to have ability to report program impact that moves beyond personal transfer of learning to that of organizational impact (Ray & Goppelt, 2011; Crawley-Low, 2013; Vitello-Cicciu, Weatherford, Gemme, Glass, & Seymour-Route, 2014; Peters, Baum, & Stephens, 2011). Understanding and articulating how the investments made in individual and group skill development are translating to organization-wide impacts is the shared problem of practice for practitioners in this field.

The Georgia Leadership Institute for School Improvement (GLISI) is an independent, nonprofit organization of educators, leadership and education experts that work to support education leaders through cohort model leadership programs as well as in-district customized training. The mission of GLISI, to "uplift school leaders, transform mindsets and action, create vibrant cultures of innovation, and build excellent and equitable schools," is translated for participants of their programs into skill development in key leadership areas, in an effort to equip teachers and leaders to be able to "work together to create thriving school cultures for students and adults alike" (www.glisi.org, 2017). One such program, launched in 2019-2020 has been designed to specifically expand the social-emotional learning (SEL) skill sets for participants. This program is intended to encourage not only individual skill expansion but to also develop a Culture of Belonging and Learning Together, or COBALT, as it is known to its participants. The COBALT program curriculum includes focus on the following six competencies:
• Practicing actionable self-reflection
• Developing generative relationships
• Cultivating trustworthiness
• Facilitating meaningful conversations
• Thinking systematically
• Developing equity consciousness
(www.glisi.org, 2019)
The COBALT program is currently in pilot phase with two school districts in the state of Georgia: Carroll County School System and Clayton County Public Schools.

As the mission of both GLISI and the COBALT program is to provide transformational organizational culture change through growth of individual awareness and behavior change, there exists a critical need to evaluate how this program is influencing at both a personal and organizational impact level. As GLISI works to expand the implementation of their SEL framework and COBALT program curriculum, a key program challenge is to identify, document, and build upon factors that influence the transfer of learning and thus reflect the return on investment of time and resources of school districts that participate in the program. For GLISI, this will be a key differentiator and partnership factor to leverage with potential districts in the future if evaluative measures indicate transferable impacts. Such data would support GLISI and COBALT's ability to provide not only engaging experiential learning events, but more importantly to provide learning experiences that are transferable and create personal change and that begin to impact the culture of the organizations they serve. In this pilot phase, the ability to design post-program evaluative measures that allow for the capture of data that might indicate transfer of learning has the potential to aid GLISI program designers in replicating and reproducing both shared and unique factors of influence for future cohorts at the individual (participant) level, program content and facilitation level, and ideally even the organization/environment level.

Capturing experiences indicative of transfer of learning is paramount in the field of learning psychology, where scholars

have long-considered the transfer of learning to be the most important topic in their field (Leberman, McDonald, & Doyle, 2006). Studied primarily at an individual level, transfer of learning occurs when participants are able to demonstrate skills gained in a learning program with effectiveness and continued application in their roles and responsibilities (Foley & Kaiser, 2013).

The foundational framework for understanding the impact of COBALT participation relative to how participants perceive their transfer of key concepts from the SEL curriculum included in the program design in both personal and organizational contexts will be the conceptual model of learning transfer, developed by Holton (Holton III, Bates, & Ruona, 2000; Kirwan & Birchall, 2006). This model is based on the theory that learning outcomes and indeed the transfer of learning is cultivated through influences of personal, program, and organizational factors.
As this framework was developed and tested, the Learning Transfer System Inventory (LTSI) was developed by Holton and his team in order to further understand 16 unique training-factors (see below) that are defined across personal, programmatic, and organizational levels, and that ideally facilitate the transfer of new learning (Kim & Callahan, 2013). Holton's framework thereby can inform the work of practitioners and program designers (such as those at GLISI) who are working to ensure competencies being developed in a learning space will have impact on personal and organizational behavior outside the program participation experience.

This program study will primarily focus on the impact of the participants' COBALT experience relative to transferable SEL skills into both personal and organizational contexts. Using a mixed methods approach, this study will be designed to gather both high-level quantitative data that indicates learning transfer factors of influence as well as more in-depth qualitative data that in aggregate will have the potential to inform future iterations of the COBALT program at a design level as well as a participant-practice level. This focus will ideally capture instances of transfer that can be replicated or more intentionally designed for future cohorts, as well as generate best practices for GLISI as they work to provide continued support beyond the initial COBALT program for the districts they serve.

Using the LTSI conceptual model of learning transfer factors and referencing both the LTSI questionnaire and later interpretations of the concepts therein, a unique survey instrument will be created for the purpose of this study that measures participants' perceptions of learning transfer (Deller, 2019). This survey will be administered to either one or both participant groups, depending on ability to work with one or both districts in this research.

Semi-structured interviews will also be designed and administered with select program participants, program designers, and program facilitators. Again using the learning transfer constructs provided by the LTSI framework, this process is intended to capture self-reported instances of transferred learning at individual and group levels, as well as perceptions of how these levels of transferred learning are impacting the organization's culture. In concert with the survey approach, this qualitative step will provide additional contextual insights that will serve as the basis for continued program improvements as well as for continued understanding of the impact of building leaders' SEL competencies included in the COBALT program on the culture of organizations.

Is this a quality improvement initiative where the only intent is to: (a) implement a practice to improve the quality of patient care, and/or (b) collect patient or provider data about the implementation of the practice for clinical, practical, or administrative purposes (e.g., measuring or reporting provider performance data)?

[ ] Yes
[x] **No**

ADAMSML404072020111414   IRB #200655
PI: **Adams, Melanie L**   Last updated: 4/9/2020
Understanding and Harnessing Catalysts for Personal and Organizational Transformation: A Study of Transfer of Learning in a Social-Emotional Leadership Development Program Design

Is the intent of the data/specimen collection for the purpose of contributing to generalizable knowledge and of which there is a hypothesis?

[ ] Yes
[x] No

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ADAMSML404072020111414

PI: Adams, Melanie L

Understanding and Harnessing Catalysts for Personal and Organizational Transformation: A Study of Transfer of Learning in a Social-Emotional Leadership Development Program Design

Conflict of Interest Disclosure

Is there a potential conflict of interest for the Principal Investigator or key personnel? • The PI is responsible for assuring that no arrangement has been entered into where the value of the ownership interests will be affected by the outcome of the research and no arrangement has been entered into where the amount of compensation will be affected by the outcome of the research. • Assessment should include anyone listed as Principal Investigator, or other research personnel on page 1 of this application. Please note that ownership described below apply to the aggregate ownership of an individual investigator, his/her spouse, domestic partner and dependent children). Do not consider the combined ownership of all investigators.

[ ] Yes
[x] No

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Human Research Protections Program – HRPP
Supporting the work of the IRB and Providing HRPP Oversight

VANDERBILT

RE: IRB #200655 "Understanding and Harnessing Catalysts for Personal and Organizational Transformation: A Study of Transfer of Learning in a Social-Emotional Leadership Development Program Design"

Dear Melanie L Adams:

A designee of the Institutional Review Board reviewed the research study identified above. The designee determined the project does not qualify as "research" per 45 CFR §46.102(l).

(l) Research means a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge. Activities which meet this definition constitute research for purposes of this policy, whether or not they are conducted or supported under a program which is considered research for other purposes.

This capstone project seeks to understand to what extent instances of learning transfer can be recognized, documented, and ideally replicated for future participants of a leadership focused social-emotional learning COBALT program within the Georgia Leadership Institute for School of Improvement (GLISI).

As this does not meet the "criteria for research" as described in 45 CFR §46.102(l), IRB approval is not required.

Please note: Any changes to this proposal that may alter its "non-research" status should be presented to the IRB for approval prior to implementation of the changes. In accordance with IRB Policy III.J, amendments will be accepted up to one year from the date of approval. If such changes are requested beyond this time frame, submission of a new proposal is required.

Sincerely,

Kevin D Abner
Institutional Review Board
Behavioral Sciences Committee

Electronic Signature: Kevin D Abner/VUMC/Vanderbilt : (6784027a8de27172e022986056479686)
Signed On: 04/10/2020 2:36:50 PM CDT

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