

2019

A Qualitative Approach to Transfer of Training for Managers in Leadership Development

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Walden University

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Walden University

College of Education

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Debra D. Severan

has been found to be complete and satisfactory in all respects,
and that any and all revisions required by
the review committee have been made.

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The Office of the Provost

Walden University

2019

Abstract

A Qualitative Approach to Transfer of Training for Managers in Leadership

Development

by

Debra D. Severan

MBA, University of Louisiana, 1980

BS, University of Louisiana, 1975

Project Study Submitted in Partial Fulfillment

of the Requirements for the Degree of

Doctor of Education

Walden University

December 2019

Abstract

Learning and development (L&D) professionals in a Fortune 500 company were unable to determine whether managers who completed leadership development courses were transferring what they learned to their work practices. The purpose of this qualitative single instrumental case study was to uncover the factors that accelerated or impeded the transfer of training for employees in the workplace. The conceptual framework was social cognitive learning theory with emphasis on the triadic reciprocal causation model. Guiding questions were used to explore 2 areas: (a) how managers described their preparedness to transfer the training to their jobs, and (b) how managers described their perceptions of the transfer of training from the concepts learned in class to practical job application. Data were collected through one-on-one online interviews with 12 managers who had completed a leadership development course. Data analysis included organizing the data; reading them multiple times; developing codes, categories, and themes; and interpreting the findings. Over 90% of the participants stated that they felt prepared to implement the training after the class. However, only half reported a moderate to high level of confidence incorporating the training into their work. A 3-day professional development project was designed to heighten awareness of the benefits of advancing the transference and application of training with a strong focus on driving social change in the workplace through improved interpersonal skills between managers and their direct reports.

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Dedication

I dedicate the completion of this work to my husband, George L. Severan, who made tremendous sacrifices during our marriage to allow me to finish this journey. I want you to know how much I appreciate the enormous number of meals you cooked over the years in addition to working on other household chores to give me the time I needed to achieve this goal I set for myself. Thank you, honey, for the sacrifices you made and for loving me enough to let me fulfill my dream. To my son, Joseph Devillier, thank you for being my cheerleader and constant inspiration.

I also dedicate this work to my deceased grandparents, Preston and Kizy Devillier, who raised me from an infant. Grandpa, thank you for rescuing me at the tender age of two and know that I will never forget you. To my grandmother, who lived long enough to see me obtain my bachelor's and master's degrees; thank you, Mom, for the sacrifices you made to help me elevate myself in life. Finally, I dedicate this work to my deceased aunt, Ella Mae Bowers; thank you for being a strong presence in my life and instrumental in raising me from childhood to adulthood. I owe my life to the three of you. I love you always!!!

Acknowledgments

I would like to thank all faculty and residency advisors who helped me to accomplish this lifelong goal. To my committee members, Dr. Debbie S. Beebe and Dr. Sydney M. Parent, who served as my first chairs, and Dr. Carole E. Pearce, who was my second committee member, and Dr. Elizabeth F. Warren, who served as my university research reviewer, you were an extraordinary team, and I am honored to have had the privilege of working with you. To my enrollment advisor, Aaron Thomas, your genuine concern was the factor that helped me decide to join Walden University. Thank you for the consistent phone calls and encouragement. To my academic advisor, Chue Vang, thank you for keeping me on track with your great advice as I navigated the many phases of this journey.

I acknowledge with heartfelt thanks and gratitude to my wonderful husband, George, my son, Joseph, and my Aunt Dot. You were my advocates and champions throughout my doctoral journey. To my extended family, Ms. Mildred, Sarah C, Eman, and Ezra, thank you for your constant love and support. To my friends and peers, I am truly grateful and honored to have you in my life. Pamela T, thank you for the great advice you gave me as soon as you learned that I was going to work on my doctorate. Kathy and Teri (my colleagues), thank you for the many laughs and for always being there for me; you will always have special places in my heart. Barbara, Jeannie, Lori, Mike, Natalie, Pamela U, Randi, Rita, Sarah J, Shirley F, Shirley T, and Todd, thank you for being participants in my assignments, test subjects, and sounding boards; I love you always. Finally, to my leadership (Devonna, Laraine, and Patty), many thanks to you for providing your support whenever needed throughout this process.

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Section 1: The Problem

Transfer of training for adult learners in the workplace was the focal point for this study. An international Fortune 500 company was the site used to discover how leaders transferred training from a leadership development program to their work environments after completing the learning event. Constraints such as time, budget, job demands, and geographic locations can impair a person's ability to concentrate and participate in learning sessions (Noe, Clarke, & Klein, 2014). Interferences of this nature tend to limit the amount of training transfer to a person's job. Researchers have studied participant traits, instructional and program design, and work climate to determine their correlations to transfer of training (Baldwin, Ford, & Blume, 2017; Bell, Tannenbaum, Ford, Noe, & Kraiger, 2017; Rock, 2014). Despite the research on training transfer, there was still more for scholars to learn about this topic.

The intent of this study was to uncover the underlying factors that accelerate or impede the transfer of training for adult learners in work settings to determine how best to increase transfer from future learning events to job performance. Using a single instrumental case study, I interviewed managers who had completed the course, The 4 Disciplines of Execution (4DX). The objective was not to conduct a program evaluation of the course but to use it as a vehicle to understand how the transfer of training was enhanced or hindered for employees who work in the Fortune 500 corporation. Throughout this study, I refer to the study site as Company BLU.

Definition of the Problem

Transfer of training can be difficult to recognize as tangible results. Practitioners and scholars in learning and development (L&D) defined the transfer of training as the ability of participants to apply what they learn in class directly to their jobs to improve work performance (Goldman, Wesner, Plack, Manikoth, & Haywood, 2014; Hall, Smith, & Dare, 2014; Noe et al., 2014). However, proof that transfer of training occurred can be elusive for L&D, particularly with soft skills training (Baldwin et al., 2017; Charoensap-Kelly, Broussard, Lindsly, & Troy, 2016). The transfer of technical or hard skills training (e.g., learning how to operate a forklift) is easier to measure and is often provided just-in-time (Charoensap-Kelly et al., 2016). Conversely, the transfer of training for soft skills training or leadership development programs (e.g., communication, conflict management, problem-solving, or team-building skills) is not easily measured to determine course effectiveness (Charoensap-Kelly et al., 2016). Without knowing what influences or impedes the transfer of training in the contextual setting of Company BLU, L&D finds it difficult to determine whether managers can transfer training obtained in leadership development courses and apply what they learned to improve their job performances.

Problem at the Local Level

A problem that persisted in L&D at Company BLU was gaining access to and insights from detailed information regarding whether participants who completed soft skills classes were able to transfer what they learned to their work practices (L&D Manager, personal communication, October 28, 2016; Vice-President L&D, personal communication, June 5, 2017). Ascertaining factors that influence the successes or

failures of transfer of training is vital to improve employee performance (Baldwin et al., 2017; Hall et al., 2014; Homklin, Takahashi, & Techakanont, 2014). Managerial support, participants' self-efficacy, and organizational climate are a few of the common factors explored in research to address the concern of adult learners transferring their training to the workplace (Bell et al., 2017; Charoensap-Kelly et al., 2016; Godinez & Leslie, 2015; Schindler & Burkholder, 2016). However, the L&D department at Company BLU did not have a clear view of what factors promoted successes or created barriers for employees to transfer what is learned in class to their jobs to enhance behavioral change and improve work performance.

The focus of this study was to explore the successes and barriers that leaders (i.e., managers and supervisors) encounter with the transfer of training from their learnings in the leadership development course, The 4DX, to their respective areas of job responsibility. The 4DX has four steps that managers use to guide their teams through a linear process to obtain the departmental goals they want to achieve by a certain deadline. To implement 4DX appropriately, managers must lead their teams through the process in a linear manner to obtain the desired results (McChesney, Covey, & Huling, 2012). Because of this rule, teams must work together to “focus on a wildly important goal (WIG), act on the lead measures, keep a compelling scoreboard, and create a cadence of accountability” (McChesney et al., 2012, p. 23). The 4DX course was selected because it is directly aligned with the company's focus to drive performance through learning outcomes amid constant economic, political, and social change.

Transfer of training is integral to the success of employees and the organization. Baldwin et al. (2017) asserted that the success of companies is dependent on how quickly employees transition learning from theory to practice. To address the local problem, the Vice President of Leadership Development and the L&D leader were interested in knowing about the participants' experiences with the transfer of training and learning outcomes with leadership development courses. The 4DX course was chosen to serve as the instrument to gain a deeper understanding of the following: (a) how managers describe their preparedness to transfer the training of the 4DX concepts and skills taught in class to their jobs, and (b) how managers describe their transfer of training from the 4DX concepts and skills taught in class to practical job application in their work environments. Understanding what supported or hindered transfer of training for adult learners at the study site was of primary concern to the stakeholders (L&D Manager, personal communication, October 28, 2016; Vice-President L&D, personal communication, June 5, 2017).

Problem at the Broader Level

At the broader level, the transfer of training is of national and global concern. Researchers have conducted studies on the transfer of training in global settings including the United Kingdom, China, India, and Vietnam (Prince, Burns, Lu, & Winsor, 2015). Regardless of region, the amount of money spent on training is a topic of concern. Beer, Finnström, and Schrader (2016) stated that corporations worldwide invested \$356 billion in employee training. The Association for Talent Development (as cited in Wuestewald, 2016) revealed that the United States spent \$156 billion on training in 2011. By 2015, the

United States had increased expenditures on training each year by \$1 billion–\$160 billion (Beer et al., 2016). Sørensen (2017) reported that Denmark allocated a significant portion of its \$4.5 billion budget, which was set aside for adults to participate in continuing education, to leadership development training. Organizations across the globe are willing to invest money and time in employees to strengthen their workforces for the future. However, workforce leaders, question whether training adult learners in the workplace is producing managers with improved leadership skills (Kaiser & Curphy, 2013).

Despite company investments, workers often do not transfer what they learned in class on their jobs. For this reason, companies have begun to question the value of training from a time and cost standpoint (Hall et al., 2014; Homklin et al., 2014; Goldman et al., 2014). Kim and Callahan (2013) warned readers that the lack of transfer could impact the overall performance of employees and the credibility of L&D professionals. At Company BLU, L&D is concerned on both accounts. Hall et al. (2014) suggested that companies increase their focus on learning and training transfer during the strategic planning process as they determine how best to strengthen the workforce; often training is provided, but the trainees are left to their own devices to transfer training to their jobs. Homklin et al. (2014) agreed and explained that organizations run the risk of creating incompetent workforces lacking in the knowledge, skills, and abilities required to maintain a competitive and sustainable advantage. Because of the concerns and risks mentioned by Hall et al. and Homklin et al., combined with internal feedback from L&D constituents, the leaders of L&D saw the value in supporting research that helped them understand the successes and barriers to the transfer of training in Company BLU (L&D

Manager, personal communication, October 28, 2016; Vice-President L&D, personal communication, June 5, 2017).

Rationale

Not unlike other fields of practice or disciplines, in L&D the transfer of training is an expected outcome following the delivery of a leadership development program. Larsen-Freeman (2013) asserted that a key motivation for conducting a training event is that students will transfer what they learned to a setting outside of the learning environment. However, the amount of transfer of training that takes place from the classroom to the job is unaligned with the expectations of those (i.e., company leadership and L&D professionals) providing the training (Beer et al., 2016). Executives who allocate dollars and time for the individual to attend classes may anticipate a certain percentage or level of performance on the job indicating that the transfer of training occurred (Beer et al., 2016).

From the 1980s through the 2010s, researchers provided little evidence that transfer of training is occurring at the rate anticipated by L&D constituents and sponsors (Baldwin & Ford, 1988; Baldwin et al., 2017; Grossman & Burke-Smalley, 2017). Lack of evidence makes it difficult to justify the value of leadership training (Phillips, Ray, & Phillips, 2016). The lack of evidence is a major catalyst for the L&D team to gain an understanding of the quality of training transfer that is taking place in the contextual settings of the study site.

Headquartered in the western region of the United States, the leader of the L&D department at Company BLU developed a leadership portfolio of courses designed for

managers who have direct reports. Leadership and L&D expected that managers would transfer what they learned in the classes back on their jobs (L&D Manager, personal communication, October 28, 2016; Vice-President L&D, personal communication, June 5, 2017). Despite positive feedback from the participants' evaluations regarding the applicability of the leadership development content to their work environments, L&D had little insight into (a) how managers described their preparedness to transfer the training of the 4DX concepts and skills taught in class to their jobs, and (b) how managers described their transfer of training from the 4DX concepts and skills taught in class to practical job application in their work environments. This lack of insight prevented L&D from modifying or revising courses to increase the transfer of training; it also prevented L&D from designing or purchasing the right learning programs to support the transfer of training.

The leadership for L&D selected the 4DX course as a focal point to understand how managers are applying what they learned and what performance outcomes they are achieving based on the application of the course (L&D Manager, personal communication, October 28, 2016). For example, leadership wondered whether managers, as class participants, were seeing a positive change in employee engagement scores, interpersonal skills, or team effectiveness skills. The objective was to emphasize outcomes that would be focused on the adult learner and not on predictors of the bottom line.

The purpose of this study was to explore the successes and barriers that leaders experience when they transfer or attempt to transfer training from what they learned in

the leadership development course, 4DX, to their respective areas of responsibilities. The 4DX course was used to focus on how the transfer of training is occurring in the study site. I conducted a qualitative single instrumental case study to increase understanding of the transfer of training at Company BLU by examining the following areas: (a) how managers described their preparedness to transfer the training of the 4DX concepts and skills taught in class to their jobs, and (b) how managers described their transfer of training from the 4DX concepts and skills taught in class to practical job application in their work environments. Obtaining this information provided L&D with an increased understanding of how the employment and transfer of training manifested at the study site. Also, this information provided the evidence L&D needed to discern the factors that support or obstruct the transfer of training based on the application of the 4DX concepts in the organizational setting.

Definition of Terms

Application of learning: Applying what is learned in a training class to the actual work environment, synonymous with transfer of learning (Dinsmore, Baggetta, Doyle, & Loughlin, 2014).

Cadence of accountability: Regularly scheduled meetings to discuss members' progress toward weekly commitments (McChesney et al., 2012).

Executive development: Training courses or programs that are usually nondegree and pursued by adult learners at the executive level in the workplace (Wuestewald, 2016).

Far transfer: A higher level of complexity or thinking required to transfer learning from one context to another, such as transitioning from speaking English to speaking other languages (Dinsmore et al., 2014; Gordon & Doyle, 2015).

Hard skills training: Training that is technical and job specific (Charoensap-Kelly et al., 2016).

Lead measures: Specific actions that are taken by members of a team in the workplace to achieve a goal that was established by the group and its leader (McChesney et al., 2012).

Leadership development: A term synonymous with professional development and executive development in that they are usually nondegree training programs (Wuestewald, 2016).

Learning and development (L&D): An industry term used to recognize a group of professionals representing a segment of talent management within an organization; they continually assess the developmental and training needs of employees in the workplace (Society for Industrial Organizational and Psychology, 2017).

Learning transfer: From a cognitive psychological perspective, learning is the degree to which a person can apply what is learned about one task to another task. From a training perspective, the term refers to people's ability to transfer what they learn in class to their jobs (Salas, Tannenbaum, Kraiger, & Smith-Jentsch, 2012); this term is synonymous with *transfer of learning*.

Near transfer: The ease with which learning can be transferred from one situation to a similar situation, such as transitioning from driving a van to driving a bus (Devet, 2015; Dinsmore et al., 2014).

Scoreboard: A graphical display created by a group of individuals in the workplace who work together as a team. The display can be a chart, poster, or anything that will help the manager and his or her team of direct reports keep track of their progress (McChesney et al., 2012).

Soft skills training: Training that is essential for the job, nontechnical in nature, and useable in various work situations, synonymous with executive and professional development training (Charoensap-Kelly et al., 2016).

The 4 Disciplines of Execution (4DX): A course that offers a systematic process for leaders to guide their teams to achieve business goals (McChesney et al., 2012).

Transfer of learning: Individuals using what they learned in class back in their work environments (Salas et al., 2012); this term is synonymous with *learning transfer*.

Transfer of training: The ability of students to apply what they learned in class directly to their jobs, synonymous with application of learning and transfer of learning (Dinsmore et al., 2014); this term is synonymous with *training transfer*.

Training transfer: The ability of students to transition the knowledge and skills learned in class to improve job performance (Sitzmann & Weinhardt, 2015); this term is synonymous with *transfer of training*.

Wildly important goal (WIG): A goal established by a work team to close a performance gap in the workplace (McChesney et al., 2012).

Significance of the Study

Significance of the Local Problem

In Company BLU's local environment, different approaches to increase the transfer of training have occurred. Action planning, e-mail reminders, access to electronic portals, and training refreshers are examples of the types of approaches used in the past (L&D Manager, personal communication, October 28, 2016). Beer et al. (2016) emphasized the fallacy of trying to fix the problem of transfer of training by focusing on the individuals without examining the distinctions of their working environments. L&D practitioners at Company BLU had not examined the contextual settings of participants with emphasis on the transfer of training, or the influence of the surroundings on adult learning in the workplace (L&D Manager, personal communication, October 28, 2016). Leaders and managers in this company demonstrate leadership according to five guiding principles: encouragement, influence, execution, growth, and development (L&D Manager, personal communication, October 28, 2016). Because execution is a core principle, 4DX as defined by McChesney et al. (2012) was selected to examine its linkage to the transfer of training and application of the concepts learned in class to job performance.

The results obtained from this study offered original contributions to addressing the local problem by benefiting managers and leaders of teams in several ways. First, the findings from the data analysis augmented L&D's understanding of the leaders' preparedness to transfer what they learned in the 4DX class to their work environments. Second, the study's results provided insight into how managers were employing their

training and the degree to which the transfer was taking place. Third, as a form of social change, findings from the study heightened awareness about the benefits of continually advancing the transfer and application of training with a strong focus on driving adult learning in the workplace to improve interpersonal skills between managers and their direct reports. Finally, findings from the study added to the body of practice for L&D professionals who seek to gain a deeper understanding of the impact of the transfer of training on social change.

Significance of the Gap in Practice

Scholars and practitioners have researched the transfer of training extensively. However, it remains a topic of concern for researchers as they contemplate what to do to solve the problem (Baldwin et al., 2017; Beer et al., 2016). Sørensen (2017) explained that when the solution chosen to address a work issue is a leadership development program, practitioners often omit the practice of the training transfer from the planning process. Baldwin et al. (2017) and Sørensen agreed that not enough data exist in the body of research on transfer of training to inform practitioners how to prepare and deliver learning events. Baldwin et al. emphasized the recognition of the transfer of training as a vital area of inquiry for the field of adult education. Therefore, at the local level, this study provided additional awareness regarding the elements that create successes or barriers to the transfer of training for adult learners in a corporate environment.

In Company BLU, surveys were administered by the L&D professionals to gather information from class participants regarding the transfer of training 90 days after completing a learning event (L&D Manager, personal communication, July 28, 2017).

The surveys were developed in-house and administered as self-reported assessments of the managers' perceptions of the transfer of training to their jobs. These surveys served as the primary vehicle for obtaining insight into the transfer of training at the study site. However, in-depth individual or group discussions had not taken place to solicit feedback from managers regarding what drives the transfer of training from their points of view. To address this gap, I conducted this study to develop a better understanding of the successes and barriers to training transfer from the participants' perspectives. Findings may lead to the implementation of new training transfer practices that have not been employed at Company BLU and may result in the augmentation or enhancement of existing transfer techniques.

Significance for Social Change

Organizational leadership should not ignore the responsibility of creating social change in the workplace. Manuti, Pastore, Scardigno, Giancaspro, and Morciano (2015) asserted that workplace learning must include consideration of the social contexts and economic frameworks that prepare employees for jobs of the future, and not solely for the current positions they hold. As an organization must consider the ramifications of excluding L&D from the strategic planning process, L&D must examine their products and services from multiple social and economic perspectives to discern the effect on employees who are leaders and managers (Manuti et al., 2015). Garrin (2014) addressed the significance of individuals' internal motivations to impact social change. Some students are motivated by their involvements in social interactions, while personal volitions drive others to succeed (Garrin, 2014). At Company BLU, the L&D group

recognized that failure to focus on the transfer of training from individual and collective viewpoints prevented adult learners from realizing their leadership potential to influence behavioral and social change in the workplace and the community.

At the local level, findings from this study provided information that assisted L&D in constructing meaning and understanding the effects of the transfer of training and its potential to impact social change in the workplace. The findings helped L&D leverage practices that create successes and remove barriers that impede the transfer of training for the adult worker. Additionally, focusing on the regular practice of transfer of training served to position, prepare, and strengthen the abilities of adult workers to manage, lead, or supervise their direct reports more efficiently. From a broader educational viewpoint, the findings may influence L&D to implement adult learning programs at Company BLU for employees nationally and internationally with an increased focus on the transfer of training in a manner that proliferates social change that could affect the global culture within the organization.

Research Questions

Employees learn best and transfer skills to the workplace faster when they are actively engaged in learning and understanding how the training is relevant to what they do on their jobs (Knowles, Holton, & Swanson, 2015; Miller & Maellaro, 2016). In this study, I used the guiding research questions to explore the managers' perceptions about how prepared they feel to transfer the training from the 4DX concepts and skills taught in class to their respective job milieus. Also, I asked the managers to describe their transfer of training from the 4DX concepts and skills taught in class to practical job application in

their work environments. The interview questions were constructed to align with each guiding research question:

RQ1: How do managers describe their preparedness to transfer the training of the 4DX concepts and skills taught in class to their jobs?

RQ2: How do managers describe their perceptions of the transfer of training from the 4DX concepts taught in class to practical job application in their work environments?

Review of the Literature

The purpose of this study was to explore the successes and barriers that leaders experience at Company BLU when they transfer or attempt to transfer training from a leadership development course, 4DX, to their jobs. The literature review for this study was conducted using multiple databases from the Walden library including ABI/INFORM, Academic Search Complete, Business Source Complete, ERIC, Education Source, ProQuest Central, PsychINFO, Sage Premier, SocIndex, and Taylor and Francis. The key search terms used consistently across all databases were *learning transfer, executive development, leadership development, professional development, soft-skills training, transfer of learning, transfer of training, training transfer, the four disciplines of execution (4DX), and workplace learning*. Sections of this review include the conceptual framework along with its logical connections and alignment to the study, followed by a review of the broader literature.

Conceptual Framework

In this section, I describe the following: (a) the conceptual framework of the social cognitive learning theory using the triadic reciprocal causation model; (b) the

phenomenon that justifies this study; (c) the logical associations among the elements of the triadic reciprocal causation model; and (d) how the framework aligns with the study's approach, research questions, data collection, and data analysis.

Triadic Reciprocal Causation Model

The triadic reciprocal causation model, which is a foundation of the social cognitive learning theory, was the conceptual framework selected for this study. The triadic reciprocal causation model is a viable framework to examine adult education and higher learning because the complementary dynamics occur when the personal, behavioral, and environmental elements interact with one another, each having the ability to influence the other two components in either direction (Bandura, 1986, 1991, 1999, 2002). For example, participants may form a variety of personal reactions to their learning experiences in class. Reflecting on their experiences can lead them to demonstrate various types of behaviors (positive or negative) in the workplace. As employees observe these behaviors, they can form opinions about the learning culture and other aspects of the work environment for adult learners. Consequently, understanding participants' perceptions through the lenses of the personal, behavioral, and environmental factors of the social cognitive learning theory provided a comprehensive view of adult learning and transfer of training at Company BLU.

Phenomenon of Transfer of Training in the Workplace

At Company BLU, there is a belief by L&D and key human resources stakeholders that managers increase job performance when they transfer training back to the workplace (L&D Manager, personal communication, October 28, 2016; Vice-

President L&D, personal communication, June 5, 2017). Due to this belief, the L&D team and other constituents want to develop a deeper understanding of the successes and barriers to transfer of training at the study site. The triadic reciprocal causation model is a viable framework to examine how adult learners transfer training from a specific leadership development course (4DX) to their jobs. Following is the justification for the logical connections between the three components of the social cognitive theory: personal, behavioral, and environmental.

Logical Connections of the Triadic Reciprocal Causation Model

Personal factors. Cognitive and personal factors of the social cognitive learning theory can affect the reactions of the behavioral and environmental aspects of the triadic reciprocal causation model (Bandura, 1986, 1991, 1999, 2002). Self-confidence and self-efficacy are personal components of the social cognitive theory; their connections can function as underpinnings for assessing the adult learner's view of achieving success in various situations (Bandura, 1991; Litzler, Samuelson, & Lorah, 2014). Managers who complete the 4DX course may experience the personal factors of self-confidence and self-efficacy as they attempt to transfer the training taught and learned in class to their jobs.

Research conducted by the CEB Learning and Development Leadership Council (2017) indicated that only 55% of managers surveyed expressed confidence in providing their people with the skills needed to perform at a higher level. If managers are not providing their direct reports with the knowledge and skills they need to develop at work, transfer of training is not likely to occur. When participants experience a lack of self-

confidence and self-efficacy coupled with personal beliefs that they do not possess the right knowledge and skills to do their jobs, their behaviors in the workplace will be out of sync with participants who have a different mode of operation.

Behavioral factors. Behavioral factors of the social cognitive learning theory can incite actions that affect the personal and environmental aspects of the triadic reciprocal causation model (Bandura, 1986, 1991, 1999, 2002). As individuals exercise their sense of agency, they may exhibit certain behaviors based on the situations they encountered and the complexity of the tasks involved (Bandura, 1999). These actions can trigger negative, neutral, or positive stimuli on one or both domains—personal and environmental (Bandura, 1991).

Adult learners with a propensity to conquer new challenges can exhibit behaviors that model high self-efficacy and confidence in their ability to transfer what they learned in the 4DX class by leading their teams through the disciplines (Sitzmann & Weinhardt, 2015). Conversely, learners who prefer to avoid complex challenges tend to display behaviors indicative of low self-efficacy and confidence impairing their abilities to lead teams using the disciplines of 4DX. In either case, the actions employees model through their employment of 4DX are a function of the personal beliefs (i.e., self-efficacy) participants have about their abilities or inabilities to lead (Bandura, 1986, 1991, 1999, 2002; Litzler et al., 2014; Merriam, Caffarella, & Baumgartner, 2007). Behavioral factors can impact both personal and environmental factors in either direction, thereby influencing the learning experience of others positively or negatively (Bandura, 1986, 1991, 1999, 2002).

Environmental factors. Environmental factors of the social cognitive learning theory can affect the reactions of the behavioral and personal segments of the triadic reciprocal causation model (Bandura, 1986, 1991, 1999, 2002). Practitioners who have studied the transfer of training refer to previous research often pointing to the environment as a component of influence for the adult learner (Baldwin & Ford, 1988; Burke & Hutchins, 2007; Homklin et al., 2014; Litzler et al., 2014; Tonhäuser & Bükler, 2016). The learning environment can serve as a derivative or byproduct of the personal and behavioral interactions among workers (Bandura, 1999). For example, the practice of instructional scaffolding in the classroom can facilitate a person's beliefs about his or her ability to learn and transfer training (Burke & Hutchins, 2007) from the 4DX course. A positive transfer of training may induce positive behaviors in the workplace, which may influence the adult learner's experience in the work environment. Conversely, contrary beliefs by the person can lead to a minimal transfer of training, provoking negative behaviors that can impact the learning and environments in adverse ways.

Alignment of Framework

To address this concern of understanding how the transfer of training takes place at Company BLU, I used the single instrumental case study approach as a means of allowing interviewees to share their experiences based on their personal beliefs, behavioral observations, and contextual settings. This structure was in direct alignment with the elements of the triadic reciprocal causation model (Bandura, 1986, 1991, 1999, 2002). Moreover, I followed an interview protocol with the participants by asking subquestions related to the guiding research questions. Subquestions associated with each

guiding question were asked to explore the participants' perceptions of their confidence and self-efficacy (personal factors), behaviors, and work environments associated with the implementation of 4DX concepts and skills on the job after completing the training event.

Review of the Broader Problem

To illustrate the review of transfer of training from a broader perspective, I included the following: (a) an explanation of terminology associated with the transfer of training, (b) a view of transfer of training in the workplace, (c) an overview of transfer of training revealed from the literature based on historical and current research, (d) a critical review of the broader problem, and (e) a critical analysis of the body of literature. Information extracted from at least 25 current peer-reviewed sources and other pertinent data form the basis for this section.

Transfer of Training Terminology

The discipline of adult education has a language related to training and the transfer of training. For instance, the L&D title has synonyms such as *executive development*, *leadership development*, or *professional development* (Hall et al., 2014; Richard, Holton, & Katsioloudes, 2014; Wuestewald, 2016). According to my personal knowledge of Company BLU's practices, executive development training is a collection of learning programs targeted for the chief executive officer and his or her direct reports. The leadership development training programs consist of courses identified for managers (the focal point for this study) and professional development classes (e.g., time management and communications skills) that are accessible to employees at all levels.

The discussion related to transfer of training also requires clarity of definitions, as several terms are used synonymously (e.g., learning transfer, transfer of learning, knowledge transfer, and transfer) (Devet, 2015; Homklin et al., 2014; Prince et al., 2015; Sørensen, 2017; Tonhäuser & Büker, 2016). Devet (2015) cautioned readers to understand the distinctions between knowledge transfer and transfer of learning. Knowledge transfer refers primarily to the exchange of information (Devet, 2015). Transfer of learning relates to the application or transfer of learning from the classroom to the workplace (Devet, 2015; Nafukho, Alfred, Chakraborty, Johnson, & Cherrstrom, 2017; Yelon, Ford, & Bhatia, 2014). When the terms are used synonymously, the variation can be confusing for the layperson.

Transfer of training and transfer of learning are often used to mean the same thing. However, some scholars argue that training must produce learning before transfer can occur (Salas et al., 2012; Sørensen, 2017). When participants learn the information presented in the training event, it is possible for the learning to be transferred to the job. From a different point of view, Salas et al. (2012) explained that learning might not happen in the classroom but can materialize in situations outside of training events. For this reason, some may prefer the terms *transfer of learning* or *learning transfer* over *transfer of training* or *training transfer*. Based on this distinction, Sørensen (2017) decided to use the term *transfer*. Because the transfer of training or training transfer are the general frames of reference used at Company BLU, I used these two terms synonymously throughout this study. For additional clarity on the various types of training transfer and their definitions (refer to Table 1).

Table 1

Transfer of Training Terminology

Type	Definition	Source
Application	Transferring what is learned in one situation to another	Devet (2015)
Context	Transfer is based on certain situations	Devet (2015)
Far	Transfer happens in dissimilar situations or tasks	Devet (2015), Dinsmore et al. (2014)
Near	Transfer happens in similar situations or tasks	Devet (2015), Dinsmore et al. (2014)
Positive	Training is transferred to the job setting and is maintained over time	Baldwin & Ford (1988), Friedman & Ronen (2015)
Negative	Training is not transferred to the contextual setting on the job	Bell et al. (2017)
Lateral	“Transfer occurs when a skill spreads over a broad set of situations at the same level of complexity or difficulty”	Blume, Ford, Baldwin, & Huang (2010, p. 3)
Vertical	Transfer happens “when a skill affects the acquisition of a more complex or subordinate skill”	Blume et al. (2010, p. 3)

Transfer of Training in the Workplace

In the field of L&D, the transfer of training from the classroom to the workplace is an area that continues to require focus. When a student successfully processes and applies the information learned in class to his or her work environment, transfer of training has occurred (Yelon et al., 2014). Gordon and Doyle (2015) affirmed that the transfer of training had been a topic of intense discussion in the past, indicated by the seminal work of Baldwin and Ford (1988), and is still under scrutiny by scholars as described in Baldwin et al. (2017). Continued interest in the topic is due to the minimal transfer of training reported as a contributor to increased or improved job performance in the workplace.

In the early 1980s, directors of training estimated 10% of the content from a training class is transferred by employees to improve job performance (Georgenson, 1982). In subsequent literature, scholars continued to reference this 10% estimate by Georgenson (Austin, Weisner, Schrandt, Glezos-Bell, & Murtaza, 2006; Schindler & Burkholder, 2016; Tonhäuser & Büker, 2016). If the 10% estimate is still relevant, L&D risks losing 90% of its training budget in attempts to provide learning opportunities relevant to employee needs (Schindler & Burkholder, 2016).

Participants who learn from the use of technology and other nontraditional classroom methods have a higher rate of transfer. Researchers who studied this audience found that individuals who learn in digital milieus transfer 37% of what is learned in class back to their work environments (CEB Learning and Development Leadership Council, 2016). Although this is a 27% increase from researchers who quote Georgenson

(1982), 63% of no transfer leaves room for more improvement in this area. Because of these low percentages, the topic of the transfer of training remains relevant at Company BLU. Therefore, L&D's leadership wants to understand in more detail how adult learners perceive the transfer of training in the workplace.

Historical Background

Studies on transfer in the field of educational psychology date back to the early 1900s (Devet, 2015). Edward Thorndike and Robert S. Woodworth explored how a person's mind functions to transfer learning in various situations (Devet, 2015). In the 1920s and 1930s, the curiosity about transfer emerged, and scholars began to study the concept in laboratories (Bell et al., 2017). During the 1940-1950 era, studies were conducted at Ohio State University (OSU) on the behavioral aspects of leadership (Beer et al., 2016). Scholars of the OSU studies revealed that the transfer of training appeared to occur related to changes in attitudes and management styles of the participants (Beer et al., 2016). However, most of the leaders eventually returned to their original modes of operation (Beer et al., 2016). Similarly, in 1953 Edwin Fleishman ran a study on supervisors in a truck plant who attended a leadership development course (Saks, Salas, & Lewis, 2014). The results also showed little to no increase in a permanent change of behaviors or attitudes in the workplace (Saks et al., 2014). These are examples of studies that revealed results that may have prompted scholars and practitioners to request additional research on the transfer of training. The next two sections outline past and current research and an analysis of the literature.

Previous Research

Beyond the 1950s, Bell et al. (2017) outlined seminal works conducted by scholars who added to the body of literature on the phenomenon of training transfer. The researchers brought forth elements that influenced the practice in different ways (Bell et al., 2017). Bell et al. reported that various training interventions and theories were the points of focus during the 1960s and 1970s (e.g., Latham & Saari, 1979; Schwartz & Haskell, 1966). However, the shift to the transfer of training became prevalent in the 1980s; Georgenson (1982) proclaimed that only 10% of content learned in class transferred back to the job. Baldwin and Ford (1988) proposed a framework of three factors, trainee characteristics, training design, and environmental characteristics. Scholars continue to cite and use this framework in their studies (Blume et al., 2010; Burke & Hutchins, 2007; Chakraborty & Rajaram, 2016; Homklin et al., 2014; Nafukho et al., 2017; Renta-Davids, Jiménez-González, Fandos-Garrido, & González-Soto, 2014; Rock, 2014; Sitzmann & Weinhardt, 2015) as the foundation from which they base their works.

From the 1990s to the 2010s, the issue of training transfer continued to evolve as a field of interest to explore (Blume et al., 2010). Practitioners continued to put forth research to help identify what factors influenced or prevented adults from transitioning the skills learned in training to their work areas (Blume et al., 2010; Tonhäuser & Büker, 2016). Some researchers chose to maintain their foci on commonly explored factors such as organizational climate, or instruments to measure transfer, or training design (e.g., Holton, Bates, Seyler, & Carvalho, 1997; Kodwani, 2017; Nafukho et al., 2017; Tracey,

Tannenbaum, & Kavanagh, 1995). Other researchers engaged different lenses to determine if relapse training techniques could enhance participant transfer after a learning event (Baldwin et al., 2017; Burke, 1997; Burke & Baldwin, 1999). Nonetheless, more research is needed to provide solutions that will increase the application of what employees learn and transfer back to their jobs.

Current Research and Factors That Influence Transfer of Training

To understand the complexities of the transfer of training, scholars continued to approach the topic from multiple angles. Grohmann, Beller, and Kauffeld (2014) tested relationships between training transfer and the motivations of adult students to learn and apply what they learned. Saks and Burke-Smalley (2014) analyzed how an organization's performance can have a positive influence on the transfer of training for employees. Homklin et al. (2014) scrutinized the effects of social support, indicating that peers had more significant impacts on transfer of training than managerial or organizational assistance. Culpin, Eichenberg, Hayward, and Abraham (2014) interpreted the connections between the intention of an individual to transfer knowledge versus the actual application of the training. Saks et al. (2014) summarized the works of these scholars as confirmation that multiple factors can influence learning transfer and the effects they have on one another. Baldwin et al. (2017) completed a review of the topic by providing insights into the current state of studies. Following is a selection of the primary factors of the transfer of training highlighted in the literature within the last two to three years.

Environmental support. In the literature, practitioners discussed managerial, organizational, and peer support as components of environmental support that influence the transfer of training. Workplaces, where adult learners experience the assistance of managers and peers in their companies, tend to exhibit higher levels of positive transfer of training (Nafukho et al., 2017; Sitzmann & Weinhardt, 2015). Organizations benefit when employees perceive that leaders and managers are taking an interest in their careers; job satisfaction leads to increased transfer of training (Schindler & Burkholder, 2016). However, the transfer can vary depending on the competency and motivational levels of the students (Futris, Schramm, Richardson, & Lee, 2015).

Futris et al. (2015) studied child welfare professionals finding that manager, peer, and organizational support was not as influential in cases where the participants displayed higher levels of competency and motivation to apply what they learned. The abilities and drives of some individuals were enough to transfer training to an actual application on the job (Futris et al., 2015). The opposite occurred for individuals with lower learning impacts; these students exhibited a desire to apply learned content when they perceived the presence of organizational support (Futris et al., 2015). Therefore, work climates with managerial, corporate, and peer support are poised to impact the positive or negative transfer of training.

Training design. The design of training content is a common factor appearing in the literature on the transfer of training. Baldwin et al. (2017) stated that the transfer of training remained a critical issue for practitioners and supported the call for additional research addressing program design as an area to improve training effectiveness. J. L.

Huang, Ford, and Ryan (2017) agreed and recommended the adoption of a comprehensive approach to the design of training interventions (i.e., pre, during, and posttraining interventions). When L&D professionals work toward the implementation of total learning solutions and lasting behavioral change, the positive training transfer is more likely to occur (J. L. Huang et al., 2017).

Facilitator or trainer characteristics. Another factor explored by scholars is the characteristics of facilitators or trainers. Researchers explained that the style of a trainer (e.g., animation, delivery style, intonation, rate of speech, etc.) is an essential element to consider when focused on influencing increased transfer (Alvelos, Ferreira, & Bates, 2015; Rangel et al., 2015). Chukwu (2016) agreed by sharing that the temperament of individuals who provide facilitation or training services, coupled with their abilities to incorporate group activities, create positive group interactions. Also, people provide examples or stories that reflect real-life experiences viewed as valuable traits to foster positive transfer (Chukwu, 2016). Therefore, the facilitation styles of trainers are often evaluated by participants as a form of support and an integral component of the employees' abilities and motivations to transfer training back to their jobs.

Trainee characteristics. The characteristics of class participants are factors of magnitude within the research on transfer of training. Discussions around adult learners' cognitive abilities, self-efficacies, and motivations are fundamental spheres of explorations to assist researchers in understanding the role of participants in the transfer of training process (Baldwin et al., 2017; Dinsmore et al., 2014). Baldwin et al. offered the concept of acknowledging learners as integral partners and owners of their transfer.

Dinsmore et al. studied students' abilities to create meaning from patterns and other elements and transfer that information to their surroundings.

Rock (2014) completed a study where employees provided nontraditional factors to support their transfer of training (e.g., lifelong learning, understanding limitations, persistence). Similarly, Cilliers and Tekian (2016) performed a study on faculty development. The authors encouraged designers of training to ruminate on participants' workloads as they create learning events to meet the learners' development needs (Cilliers & Tekian, 2016). The researchers also suggested that transfer of training is contingent on the learner's individual capacity to function (Cilliers & Tekian, 2016). The results from studies on trainee characteristics lead the practitioner to acknowledge the criticality of considering this component when composing learning events (Cilliers & Tekian, 2016; Rock, 2014).

Critical Review of the Broader Problem

The transfer of training in the workplace is of national and international concern. Scholars from India explored the transfer of training in a manufacturing organization by examining the supervisor's role combined with training design and the associations of peer and supervisor support (Chauhan, Ghosh, Rai, & Kapoor, 2017; Chauhan, Ghosh, Rai, & Shukla, 2016). Academics in Spain studied factors related to motivation, trainee characteristics, training efficiencies, and relevance to assist in the comprehension of professional development training as it relates to transfer (Renta-Davids et al., 2014). Ellström and Ellström (2014) from Sweden assessed the transfer and learning outcomes of elder care workers in front line managerial positions. Comparable to research

published in the United States, these international scholars explored workplace transfer of training through similar lenses by testing various combinations of the influential factors identified in the seminal works of Baldwin and Ford (1988).

International researchers offer different contextual viewpoints of transfer of training determinants. In China, researchers studied the cross-cultural aspects of training transfer in the retail industry by exploring the topic in multiple regions of the country (Wei Tian, Cordery, & Gamble, 2016). The authors reported that peer and supervisor support has positive effects on training transfer, but the results varied by region (Wei Tian et al., 2016). Ibrahim, Boerhannoeddin, and Bakare (2017) surveyed over 200 Malaysian employees across multiple companies to check the existence of a relationship between soft skills training and a training methodology. Associates of this study concluded that an accepted method used by facilitators to deliver soft skills training programs could improve participants' training transfer to the job (Ibrahim et al., 2017). One set of researchers emphasized the regional implications of the retail industry (Wei Tian et al., 2016) and different scholars focused on training practices across industries (Ibrahim et al., 2017). Transferring training from the classroom to the job is a global concern for adult educators interested in creating social change via executive development, leadership development, or professional development training.

Critical Analysis of the Body of Literature

Since the beginning of the 20th century, researchers have worked to identify what influences the transfer of training (Devet, 2015). The dialogue on the transfer of training ran the gamut as practitioners performed studies on instruments such as the Learning

Transfer System Inventory (LTSI) (Holton, Bates, & Ruona, 2000), influential factors and models (Baldwin & Ford, 1988; Grossman & Burke-Smalley, 2017), and types of transfer (e.g., near or far, positive or negative) (Larsen-Freeman, 2013). Other scholars looked at the implications of training transfer on soft skills versus hard skills courses (Ibrahim et al., 2017), and learning interventions, such as relapse training (Baldwin et al., 2017; Burke, 1997; Burke & Baldwin, 1999; Marx, 1982). Despite efforts to close the gap in research, L&D professionals and scholars continue to engage in discourse on the subject in search of answers to strengthen employees' abilities to transfer training (Grossman & Burke-Smalley, 2017). When individuals apply their training to the job, it enhances work performance, behavioral changes, and social interactions (Grossman & Burke-Smalley, 2017).

There are agreements and disagreements in the scholarly discourse on training transfer. Researchers agree that companies invest billions of dollars in the United States annually to provide development opportunities for employees in the workplace, but there is growing concern about the amount of training transfer that improves employee performance (Baldwin et al., 2017; Beer et al., 2016; Nafukho et al., 2017). There is also agreement in the research community that the seminal work of Baldwin and Ford (1988) advanced the body of research on common factors (e.g., environmental support, organization climate, trainee characteristics, etc.) that influenced the transfer of training (Bell et al., 2017; Homklin et al., 2014; Rock, 2014; Salas et al., 2012; Tonhäuser & Bükler, 2016); they also agreed that Baldwin and Ford's research served as the foundation for subsequent works. However, Tonhäuser and Bükler suggested more research is

warranted in the learning field and organizational areas to delineate what creates a positive transfer.

Scholars have examined the topic of transfer of training from different angles. Rangel et al. (2015) placed foci on the delivery styles of trainers and the motivations of students. Grossman and Burke-Smalley (2017) stressed understanding how trainers prefer to learn about transfer and apply that learning in the facilitation of classes. Ghosh, Chauhan, and Rai (2015) urged L&D professionals to contemplate providing learning opportunities that offer tools and techniques to support their participants through all phases of the training process (i.e., before, during, and after). Bell et al. (2017) agreed and proposed the usage of a systems approach when designing training development solutions. Bell et al. stated three elements compose the system: training design, trainee characteristics, and the work environment. Therefore, educators and practitioners should consider all facets of the training process to influence the transfer of training (Bell et al., 2017).

Scholars also expressed different points of view on the rates of the transfer of training that occur in the workplace. A case of misinterpretation cited in the literature is the amount of learning transferred back to the job. Scholars of current literature have quoted Georgenson's estimate correctly, referencing 10% of learned content, not expenditures or investments (Schindler & Burkholder, 2016; Tonhäuser & Büker, 2016). Different scholars have misquoted and misinterpreted Georgenson's (1982) statement insisting that he suggested 10% of training expenditures or investments, not content, had an impact on training transfer (Baldwin & Ford, 1988; Cheng & Ho, 2001; Elangovan &

Karakowsky, 1999). Acknowledging this incongruence may persuade other researchers to cite the real context of Georgenson's statement.

While some scholars continue to draw from Georgenson (1982) regarding the 10% rate of training transfer, others have reported different results. In a study of 150 organizations, the authors stated that people transfer 62% of their training to the job, provided the application takes place immediately (Saks & Belcourt, 2006; Tonhäuser & Büker, 2016). Otherwise, the transfer is less than 45% after six months and below 35% after a year (Saks & Belcourt, 2006; Tonhäuser & Büker, 2016). Although 62% is a significant increase, 38% of the training transfer is lost. The more time passes before participants apply what they learn, the potential for loss of transfer is higher. For instance, participants lose approximately 55% of the training after six months, and 66% after 12 months (Saks & Belcourt, 2006; Tonhäuser & Büker, 2016). However, the CEB Learning and Development Leadership Council (2016) reported 37% of training transfer takes place among digital learners. Tonhäuser and Büker pointed out that researchers attribute the variation in results to a variety of factors and situations that occur over time.

Despite the differences reported regarding how much training employees transfer back to the job, or the different angles researchers have taken to determine what increases the transfer of training, there is not enough evidence presented in research regarding the conditions or techniques that can improve the amount of training transfer. Providing additional context on the topic may satisfy the expectations of facilitators who deliver training and stakeholders who pay for training opportunities; both of whom have interests in seeing an increase in the transfer of training.

A final point worthy to note in the literature is the global attention placed on the topic of the transfer of training. Many scholars have conducted studies through international lenses (Ellström & Ellström, 2014; Friedman & Ronen, 2015; Homklin et al., 2014; Ibrahim et al., 2017; Kodwani, 2017; Prince et al., 2015; Renta-Davids et al., 2014; Sørensen, 2017; Wei Tian et al., 2016). There are several items of interest to gather from the international perspective. First, the transfer of learning is not a local or national issue, but an international one (see Ibrahim et al., 2017; Wei Tian et al., 2016). Second, the focus is similar in all domains, which is to identify the factors that increase the potential for transfer of training. Scholars and practitioners want to know what keeps students from transferring concepts and skills learned in class back to the job. And third, there is the potential to discover different approaches to the transfer of training in one region of the world that scholars have not tried in other areas. Different contextual settings and cultures can learn from each other, thereby creating the potential to unlock the phenomenon of the transfer of training to generate social change.

Implications

Regardless of the amount of research conducted so far, the objective of this study was to identify how adult learners perceive the transfer of training in the contextual space of Company BLU. While trainee characteristics, program design, and the work environment have similar attributes, differences exist among these factors based on the contextual setting (Rock, 2014). The intention was not only to identify the factors that influence or hinder transfer, but through the discovery of this information, develop an understanding of what conditions caused the elements to occur. These data were used to

create a final project (see Appendix A) that recommended actions to take that could increase the consistency and rate of training transfer for employees at Company BLU. Therefore, I developed a 3-day professional development program to assist L&D professionals and stakeholders in implementing coaching practices and leadership engagement techniques to increase the transfer of training at Company BLU.

Summary

The topic of the transfer of training in the workplace continues to be relevant to discourse among scholarly practitioners. In Section 1, I explained the problem, rationale, definition of terms, and significance of the study. I also included the research questions, a literature review, and study implications. In Section 2, I provided details of the study's research design and approach, participants and the protocol established to protect their rights and safety, and the procedures for data collection and data analysis. In Section 3, I described the project, including its goals and objectives. Section 3 is composed of an introduction, rationale, literature review, project description, project evaluation plan, and project implications. In Section 4, I explained the strengths and limitations of the project, recommendations for alternative approaches to this study, and an assessment of the scholarship, project development, and leadership and change aspects of my personal growth during this process. Afterward, I reflected on the importance of the work and reported the implications, applications, directions for future research, and conclusions of this study.

Section 2: The Methodology

Research Design and Approach

Qualitative Study Justification

Quantitative, qualitative, and mixed-method studies are three standard approaches used to conduct research. Quantitative researchers seek to find facts that lead to definitive truths (Barnham, 2015). Findings from quantitative studies help researchers to explain how much or to what extent a phenomenon happens, but they do not provide the rationale behind the numbers (Goertzen, 2017). Researchers who look for in-depth meanings and multiple truths to a phenomenon based on human experiences tend to engage in qualitative studies (Barnham, 2015). The results of qualitative studies are reported in a narrative form depicting the details of the participants' experiences. A third approach is to combine quantitative and qualitative methods, which permits the researcher to explore a phenomenon from both angles—definitive truths versus multiple meanings; this is known as the mixed-methods approach (Creswell, 2014).

The methodological design for this doctoral study was a qualitative approach to increase understanding of the successes and barriers that emerge from the transfer of training at the study site. The purpose of this study was not to quantify the transfer of training of 4DX but to gain greater insight into the perceptions and experiences of the participants who implemented or tried to implement the 4DX model. The qualitative method was appropriate because, from a social constructivist's standpoint, the process allowed participants to express their views and exercise their abilities to construct multiple meanings of their experiences (see Lodico, Spaulding, & Voegtler, 2010). The

qualitative method was selected over other research approaches because it would lead to rich, thick descriptions and themes (see Creswell, 2012, 2014; Lodico et al., 2010) of what influences the transfer and application of 4DX training at Company BLU.

Case Study Justification

There are six designs to choose from when conducting a qualitative study: case study, ethnography, grounded theory, program evaluation, phenomenology, and narrative inquiry (Creswell & Poth, 2018; Lodico et al., 2010; Merriam, 2009; Patton, 2015).

Ethnographic studies focus on phenomena related to issues that impact various types of cultures (Creswell & Poth, 2018; Lodico et al., 2010; Merriam, 2009; Patton, 2015). A study of the customs and norms of aboriginal women or men of Australia would qualify as an ethnographic study. However, ethnography was not an appropriate design to study how managers apply 4DX to their jobs.

The grounded theory design is used to perform research with the primary intent of developing a theory or theories that currently do not exist to address the problem or participants under study (Creswell, 2012, 2014; Creswell & Poth, 2018). The examination of how managers transfer training from the 4DX class was not being studied to develop a theory but to gain an in-depth understanding of what influences the transfer. Program evaluation is used to assess the effectiveness of training programs and the feasibility of continuing to deliver their content (Lodico et al., 2010). The effectiveness of the 4DX program was not in question by the leadership at Company BLU. The purpose of this study was to find out what supported or hindered managers in their transfer of 4DX training to their jobs.

A phenomenological study focuses on the experiences that an individual or group of individuals encounters in their lives (Creswell, 2012, 2014; Creswell & Poth, 2018). The study of one person or family who survived Hurricane Harvey, Irma, or Maria against the odds and fought to rebuild their lives would meet the criteria for a phenomenological study. Narrative inquiry supports the idea of researching to create a story. Lodico et al. (2010) described narrative inquiry as a two-step process. First, the researcher captures the information as told by the participant or participants involved in the story (Lodico et al., 2010). Second, the researcher retells the story in chronological order by analyzing the data and creating linkages between thoughts (Lodico et al., 2010). Based on these descriptions, I concluded that neither a phenomenological design nor a narrative design was appropriate for the study of managers who completed the 4DX course.

The case study design was chosen over other types of qualitative designs because it supports detailed probing of a concern or issue and is best suited to explore a phenomenon in its contextual setting (see Yin, 2014). In this study, the 4DX course offered to managers at Company BLU from 2015 to 2018 was the case. Based on a researcher's conceptual interests, a case study supports opportunities to gather information about the social interactions of participants in familiar surroundings (Yin, 2014). The guiding research questions for this study aligned with the case study design because they supported the exploration of the managers' perceptions of their personal, behavioral, and environmental experiences with the transfer of training from the 4DX class. For this reason, I concluded that the case study design would enable me to uncover

solutions previously missed or overlooked to address the lingering issue of the transfer of training. In the following section, I explain the rationale for using a single instrumental case study design.

Single Instrumental Case Study Justification

The single instrumental case study was the best design to explore the transfer of training at Company BLU. To select the appropriate design for a research project, researchers must make several decisions. One decision is to determine whether to use a single or collective (or multiple) case study design. A single case study is used to examine routine circumstances under common conditions (Yin, 2014). The single case study is defined as looking at one “group, individual, setting, or process” (Lodico et al., 2010, p. 157). Collective (or multiple) case study designs are used by researchers who want to explore their research topic in different settings or with various groups to get a variety of perspectives (Creswell & Poth, 2018; Yin, 2014). The 4DX course was the only case that served as the instrument to investigate how the transfer of training occurs in a unit of analysis or bounded system composed of 12 managers who completed the class and had applied or attempted to apply the concepts and skills in their work areas (see Lodico et al., 2010; Merriam, 2009; Patton, 2015; Yin, 2014). Therefore, I concluded that a single case study was an appropriate design for this study.

Another decision is to select the type of case study to employ. There are three types of case studies to consider: collective (or multiple), intrinsic, and instrumental (Lodico et al., 2010; Merriam, 2009; Patton, 2015). Lodico et al. (2010), Merriam (2009), and Patton (2015) explained that a collective case study is used when multiple cases are

involved in the research, whereas an intrinsic case study is employed when the people conducting the work have personal interests in the cases. Intrinsic cases are described as unusual or uncommon, for instance the study of a rare disease (Lodico et al., 2010; Merriam, 2009; Patton, 2015). Researchers who use an instrumental case study have little curiosity, if any, about the case itself (Lodico et al., 2010; Merriam, 2009; Patton, 2015; Stake, 2005). The primary purpose of examining the 4DX case was to provide insight into the phenomenon under study (transfer of training), participants involved in the scenario, and their specific surroundings (Lodico et al., 2010; Stake, 2005). Consequently, I decided that an instrumental case study was the best design. These factors led to the selection of the single instrumental case study as the research design.

Participants

Criteria for Selecting Participants

Based on the qualitative single instrumental case study tradition, purposeful sampling was used to recruit 12 managers to participate in this study (see Creswell, 2012; Lodico et al., 2010; Merriam, 2009). At Company BLU, the criteria for selecting participants were as follows: (a) managers with direct reports, (b) managers who attended 4DX classes that I did not facilitate between 2015 and 2018, and (c) managers who implemented or attempted to implement 4DX with their teams.

Justification for Number of Participants

Unlike quantitative studies that include large numbers of participants to test a hypothesis, qualitative studies are usually composed of a small sample of participants, allowing for in-depth inquiry (Creswell & Poth, 2018; Lodico et al., 2010; Patton, 2015).

I conducted 12 one-on-one interviews online via WebEx to give managers the opportunity to express personal feelings and perceptions about their experiences with specific events, interests, or situations related to the application of the 4DX disciplines (see Lodico et al., 2010).

Procedures for Gaining Access to Participants

Gatekeepers provide valuable services to the research process. Access to gatekeepers expedites entrance to study sites and a researcher's ability to obtain permission to perform the research (Bogdan & Biklen, 2007; Creswell, 2012; Lodico et al., 2010). Gatekeepers also assist with the identification of participants and, if necessary, aid in locating a research site (Bogdan & Biklen, 2007; Creswell, 2012; Lodico et al., 2010). Gaining access to a gatekeeper before the study can expedite the process. For this study, the manager of L&D served as the primary gatekeeper to enable my access to the information in the learning management system (LMS).

Participants' names were extracted from an LMS that housed information related to course attendance and completions. A phone request was made to the L&D manager to extract reports from the LMS listing participants who attended a 4DX class between 2015 and 2018. This information assisted me in determining which managers completed 4DX classes between 2015 and 2018, which managers attended a 4DX session facilitated by an instructor other than myself, and which managers were still employed by Company BLU. I had no direct or indirect line of reporting authority over the potential participants. Also, to enhance the credibility of the study, I interviewed participants who did not attend 4DX classes that I had taught.

Researcher-Participant Working Relationship

Establishing a comfortable researcher-participant working relationship makes the interview process more comfortable for both parties. To develop a viable researcher-participant working relationship, I began each session with an introduction and a brief background of who I am, followed by an explanation of what the interview process entailed and how long it would last. Furthermore, I offered each participant the opportunity to share any concerns they had about the process and ask questions before the interview began. I reminded each participant of his or her right to withdraw from the study at any time. Then, I started the interviews with icebreaker questions (see Creswell, 2014) followed by substantive interview questions.

Rights of Participants

Ethical considerations are essential in scholarly research. Researchers are expected to follow traditional protocol to protect the rights and safety of participants (Creswell, 2014; Patton, 2015). To ensure proper procedures were implemented and aligned with Walden's institutional review board's (IRB) policies, I completed an online course, Protecting Human Research Rights, offered by the National Institutes of Health (see Appendix B). Providers of this course emphasized the importance of understanding the rights of participants and their classifications as minors, economically disadvantaged, elderly, or any other type of protected group. Each protected class of individuals that could have participated in the study was identified in the IRB application (04-28-18-0531710).

To further protect the rights of participants, I obtained permission via a letter of cooperation (see Appendix C) to access the site before the study began. Consent forms were distributed to participants to explain the purpose of the study and to communicate how the information would be used (see Lodico et al., 2010). Managers at Company BLU who elected to participate were asked to sign the consent form signifying their permission to engage in the study.

Researchers must consider different areas of concern that might occur during the study and develop contingency plans to manage these concerns (Creswell & Poth, 2018). One central area of concern is protecting the confidentiality of participants. Because individual one-on-one interviews were used to collect the data, I had access to the participants' names, eliminating the potential for anonymity (see Ryan, Coughlan, & Cronin, 2007). When reporting the results, I protected participants' confidentiality by not using their names and by assigning numbers to their responses. Creswell and Poth (2018) recommended the use of protocols to guide the interview process. I followed these steps when preparing for and conducting the interviews:

- establish an agreed-upon date and time to hold the interview;
- inform participants that the interview would last approximately 60 minutes;
- record the interviewer's name, the interviewees' numbers (numbers were used instead of names to ensure the protection of participant confidentiality), and the interviewees' position titles;
- provide a brief background and description of the study;
- request permission to record the interview;

- ask open-ended questions during the interview; and
- extend a sincere thank you to interviewees for their willingness to participate in the interview process.

Before starting the interview, I ensured that participants understood that they had the right to exit the interview process at any time and to ask any questions they had at that time.

Participant Incentives

Soliciting people to participate in a research study can be taxing (Kelly, Margolis, McCormack, LeBaron, & Chowdhury, 2017). Providing incentives to encourage participation in research is a practice that yields results greater than offering no inducements (Kelly et al., 2017). As a token of appreciation, I presented a \$10 gift card to individuals who participated in one-on-one interviews. I shared this information with participants during the overview of the study.

Data Collection

Semistructured Interviews

There are several procedures for collecting data in qualitative studies. Some of the common data sources are audiovisuals, documents, interviews, and observations (Creswell, 2012; Creswell & Poth, 2018). Additional forms of data collection are photographs, journals, and videos (Creswell & Poth, 2018). Researchers are expected to consider the types of data they want to collect and select the best medium to gather information (Creswell, 2012; Creswell & Poth, 2018). For this study, the best strategy to capture in-depth perceptions and experiences of the 4DX participants was to conduct

individual semistructured interviews (see Lodico et al., 2010). The semistructured protocol provided me with the flexibility to ask probing questions to obtain thoughts or feelings that participants were not readily articulating (see Creswell, 2012). Twelve one-on-one semistructured interviews were conducted online via WebEx to ask open-ended questions that would capture the participants' views and perceptions of their preparedness and confidence to transfer training from the 4DX class to their jobs.

Instrumentation

Conducting semistructured interviews is a conventional technique used to collect research data. To provide some level of structure, researchers often develop protocol sheets to guide them through the interview process in qualitative studies (Creswell, 2012; Patton, 2015). I utilized a self-prepared interview protocol sheet (see Appendix D) to hold semistructured one-on-one interviews with the participants of the 4DX course. I used the protocol sheet to guide the interview process. I asked the participant's permission to record the session. I reviewed how I would handle confidentiality, and I explained their right to stop or exit the interview at any time. Then I proceeded to ask the interview questions.

Sufficiency of the Data Collection Instrument

Data collection instruments that are developed by the researcher should be piloted before implementation (Lodico et al., 2010). To ensure the sufficiency of the self-developed interview device, I solicited feedback from committee members, peers, and colleagues before conducting the interviews. Using the self-developed instrument, I conducted a pilot of one-on-one interviews online with two managers; these managers

were not included in the study. Information from the pilot helped me to determine if the instrument would obtain useful information. Based on the comments and suggestions provided, I made revisions as necessary. Once I completed the pilot, I revised the device and held semistructured interviews with 12 managers who agreed to join the study.

Processes for Generating, Gathering, and Recording Data

With the consent of L&D leadership, I obtained access to participants via a gatekeeper to request the generation of a report that lists employees' registration completion records housed in the LMS. I used purposeful sampling to invite managers who completed the 4DX course with facilitators other than myself between 2015 and 2018. Records of the semistructured interviews were maintained using electronic files, reflective journal notes, and a tape-recorder. All participants agreed to be taped, so, I used the recording feature in WebEx to capture responses. The information was transcribed after each interview to strengthen data accuracy. Information obtained via WebEx was stored in electronic files on my laptop with password protection invoked.

Systems for Tracking and Storing Data

Researchers need to maintain systems for tracking and storing information pertinent to their research work. A computer-assisted qualitative data analysis software (CAQDAS) package was utilized to gather and organize the data collected in this study. To facilitate data tracking procedures, I arranged transcriptions along with their corresponding reflective journal notes by the date and time of the interviews. Cope (2014) suggested keeping audit trails to keep track of decisions made and processes used during the research process. I maintained an audit trail of all data and process decisions

such as how I generated codes, categories, and themes; I placed this information in electronic and physical folders. I stored electronic folders on my school laptop, which has password protection. I put physical folders in a locked storage container in my home office. After 5 years, I will shred and destroy all data related to this study.

Data Collection Timeline

Maintaining a schedule was critical for the completion of the data collection process. Company BLU does not require the submission of an IRB application. Upon approval of Walden's IRB application (04-28-18-0531710), the forecasted timeframe to collect the data for this study was 10 weeks. During that time, I held semistructured one-on-one interviews and transcribed the discussions after each event. Refer to Table 2 for the itemized collection activities proposed for this process.

Table 2

Data Collection Timeline

Step	Activity	Dates
1	Extract managers' names from the LMS	Week 1
2	Send e-mail invitations to managers	Week 1
3	Send e-mails of acceptance to participants	Week 2
4	Collect consent forms	Weeks 2-3
5	Conduct interviews	Weeks 4-9
6	Transcribe data	Weeks 4-9
7	Conduct member checks	Weeks 9-10

Gaining Access to the Participants

Qualitative data collected was used to understand how participants at Company BLU construct meaning about the transfer of training. Experienced researchers suggested the use of small sample sizes in qualitative research (Creswell & Poth, 2018; Lodico et al., 2010; Patton, 2015). I developed the sample population from a report produced by the LMS; this report contained the names of managers who had completed 4DX between 2015 and 2018. Therefore, I invited managers on the LMS report to participate in the study via e-mail (see Appendix E). The first 12 managers who agreed to the terms in the consent form were notified via e-mail of their acceptance to participate in the study (see Appendix F).

Role of the Researcher

At Company BLU, I served in the roles of performance consultant, contractor, and corporate leadership trainer. I provided leadership and professional development classes on various topics across the organization. As a remote employee, personal contact with the participants was minimal. The extent of my contact with the participants was through the delivery of course sessions. I also functioned as a coach when participants requested help outside of the classroom. Requests for additional guidance were rare and did not occur often. Because I was not the 4DX facilitator for participants who took part in this study, there was no impact on the data collection process.

The establishment of relationships, or lack of, might create concerns for individuals who want to participate in research studies. For example, at Company BLU relationships between facilitators and adult students of professional development courses

are formed based on social interactions during class sessions and breaks. Facilitators' abilities to connect with their audiences can influence the teacher/student relationship (Rangel et al., 2015). When positive relationships are formed, participants may be willing to engage in activities (i.e., a research study) requested by facilitators because they had a good experience. However, students might feel obligated to participate in the study because they do not want to offend the instructor and risk damaging the relationship.

Students may also have concerns about participating in the research due to less than favorable experiences with the researcher. I mitigated the concerns of employees about participating in this study by selecting participants who attended the 4DX class with instructors other than myself. This action neutralized the potential for participants to feel the need to volunteer based on a sense of fear or obligation.

Data Analysis

Procedures for Data Analysis

Researchers conduct data analysis to portray accurate representations of the data to readers. Analyzing qualitative data requires repetitive actions to ensure comprehensiveness and truthfulness (Tong & Dew, 2016). Tong and Dew (2016) emphasized the importance of achieving credibility through precise and thorough descriptions of the data so that employees who participated in the study can see themselves represented in the story. After collection, the data were prepared and organized by transcribing the material verbatim and reading it multiple times (see Lodico et al., 2010).

Coding is a standard procedure often used in qualitative research to organize data based on like characteristics (e.g., participant work locations) and supports the arrangement of findings by categories and themes (Creswell, 2014; Creswell & Poth, 2018; Patton, 2015). I applied the coding technique to identify categories, patterns, relationships, and themes present in the data for Company BLU. Because coding data manually with a high degree of accuracy can be time intensive, I used a software application to assist with this process (Creswell, 2012; Creswell, 2014; Lodico et al., 2010; Merriam, 2009). To manage the volume of data anticipated from the one-on-one interviews, I used HyperRESEARCH to construct codes, categories, and themes to simplify the extraction of rich, thick descriptions for reporting purposes (see Lodico et al., 2010; Merriam, 2009; Ryan et al., 2007). However, I conducted a manual review and analysis of the categories and themes to validate the information generated from the software. Then, I used the categories and themes to highlight the participants' experiences and perceptions of the transfer of training at Company BLU.

Evidence of Quality

Qualitative researchers must conduct themselves with integrity in the analysis and reporting of a study's results. Levitt, Motulsky, Wertz, Morrow, and Ponterotto (2017) introduced the idea of exercising fidelity in qualitative work. The authors defined *fidelity* as the researcher's ability to form a close relationship with the phenomenon (Levitt et al., 2017). Consequently, I acknowledged and managed my viewpoints and examined the data to make sure they were making contributions that were aligned with the study's goal. I also ensured that the data supported my interpretations

and reporting of the findings, and I determined if the results were consistent with the participants' meanings (see Levitt et al., 2017).

Qualitative researchers must acknowledge and take ownership of their biases and assumptions. Based on personal experience as an L&D professional, an assumption that can be made about the transfer of learning at Company BLU is that managers are too busy to use what they learn, causing the rate of training transfer to be minimal at best. Hall et al. (2014) reported a 10-30% effectiveness rate of training transfer when participants are left to figure out how to apply what they learn on their own. One might attribute the managers' lack of training transfer to the absence of deliberate practice because they are busy, resulting in lost opportunities to apply what they learned on the job. Additional assumptions that could be made about the transfer of training at Company BLU are: (a) substantial workloads tend to leave small windows of opportunities for practice and application of what participants learn, (b) there are little to no consequences for employees who do not transfer training, and (c) the transfer of training is not socialized expectation across the organization.

Some researchers infuse personal biases into the interpretation of their study's findings. Biases, as well as assumptions, can influence the objectivity of researchers based on the level of accuracy they exhibit in reporting the results of their work (Creswell, 2014). To monitor personal biases and assumptions, after the interviews I conducted member checks with each participant (see Appendix G) and held peer debriefings with colleagues to increase the credibility of this study (Creswell, 2012; Creswell & Poth, 2018; Lodico et al., 2010; Merriam, 2009; Tong & Dew, 2016). The

purpose of member checks was to provide participants an opportunity to verify and add clarity to the preliminary findings of the study as interpreted by the researcher. The use of peer debriefings was to ensure that my assumptions and biases were not showing up in the reporting of the study's results. After completing the member checks and peer debriefings, I read and reread field notes, practiced reflexivity, and journaled personal perceptions and thoughts (Creswell, 2014).

Procedures for Discrepant Cases

Communicating discrepant cases adds to the credibility of a research study. Discrepant cases occur when there are contradictory perspectives or views present in the findings that are different from current themes or patterns, and perhaps, different from what the researcher initially anticipated (Creswell, 2012; Merriam, 2009). To further demonstrate the credibility of the study, I managed discrepant cases by performing multiple reviews of the data. Also, peer debriefings were held with two trusted colleagues to obtain their perspectives on the alleged conflicting results. Finally, I adhered to the practice of transparent reporting of information that is disparate or incongruent with other information in the dataset.

Summary

In Section 1, I addressed all items related to the problem. In Section 2, I provided details about this study's research design and approach, participants and the protocol established to protect their rights and safety, and procedures for collecting and analyzing the data. Upon completing the data analysis, I added the results of the study to Section 2. In Section 3, I covered information relevant to the project, and in Section 4, I reflected on

my personal experiences and development as a direct result of this process. Finally, I summarized the implications, applications, directions for future research, and the conclusions of this study.

Data Analysis Results

At company BLU, leadership was concerned about the transfer of training from leadership development courses back to the workplace. The problem persisted due to a lack of information as to whether participants who completed soft skills courses were transferring training to the workplace. The focal point of this study was to identify the successes and barriers that leaders in a corporate environment experience as they attempt to transfer what they learned in class to their jobs. In this section, I provide a review of the data collection process, the data analysis process, and the overall findings relative to the research questions.

Semistructured Interviews

During the data collection process, I conducted semistructured interviews with 12 managers who attended the 4DX course between the years 2015 and 2018. I extracted a report from the LMS to obtain a list of potential participants. I invited over 400 leaders listed on the report to participate in the study. I accepted the first 12 individuals who met the criteria: (a) managers with direct reports, (b) managers who did not attend a 4DX session with me, and (c) managers who implemented or attempted to implement 4DX with their teams. I also asked participants if they were willing to participate in a one-on-one interview. After receiving participants' consents, I conducted the interviews using a self-

developed interview instrument and piloted it with my peers and colleagues, as suggested by Creswell (2012) and Patton (2015).

Using the self-developed interview instrument, I interviewed 12 managers online via WebEx. I asked open-ended questions and probing questions to uncover thoughts and feelings about the transfer of training at the study site that needed further clarification. I recorded the interviews and transcribed them from the recordings. I began data analysis by loading the transcripts into a CAQDAS application, which I explained in the next section.

Data Analysis Process

The process of analyzing qualitative data can be comprehensive, daunting, and extensive (Richards & Hemphill, 2018). I used the CAQDAS application, HyperResearch, to assist with data organization, coding, and reporting. I loaded the transcripts into HyperResearch and performed an iterative process by reading and re-reading the transcripts while assigning open codes to identify patterns that emerged across the datasets regarding the transfer of training (Richards & Hemphill, 2018). Axial coding is the process of establishing relationships from open codes (Creswell & Poth, 2018). After several iterations of open coding, I developed axial codes to highlight emerging categories and themes relative to the transfer of training at the study site. In Table 3, samples of open and axial codes appear along with related themes.

Table 3

Examples of Open and Axial Codes

Open Codes	Axial Codes	Themes
Manager support, peer support, team support	Working together is key	Social support needed from all levels
Course materials, class exercises, facilitator, reading the book, real-life situations	4DX class components	The 4DX course is a positive experience
Accountability, cadence, clear plan, transparency	Discipline is key	Commit to the process

Development of Patterns, Relationships, and Themes

A qualitative study affords the researcher opportunities to develop patterns, relationships, and themes (Lodico et al., 2010). Patterns are data frequencies I grouped into categories or themes per recommendations by Merriam (2009). As I analyzed the data, five categories surfaced: (a) preparedness to implement 4DX, (b) confidence to implement 4DX, (c) barriers and factors that hinder 4DX transfer, (d) successes and factors that support 4DX transfer, and (e) suggestions to increase the transfer of 4DX. For each category, I searched for patterns based on the frequency of similar responses. Next, I examined the data for relationships and themes within and across categories. Third, I looked for alignment with the study's framework, Bandura's triadic reciprocal causation model (see Bandura, 1986). Figure 1 is an example of patterns and relationships within the preparedness category and its alignment with Bandura's (1986) framework. Figure 2 is an example of exploring patterns, relationships, and themes across categories.

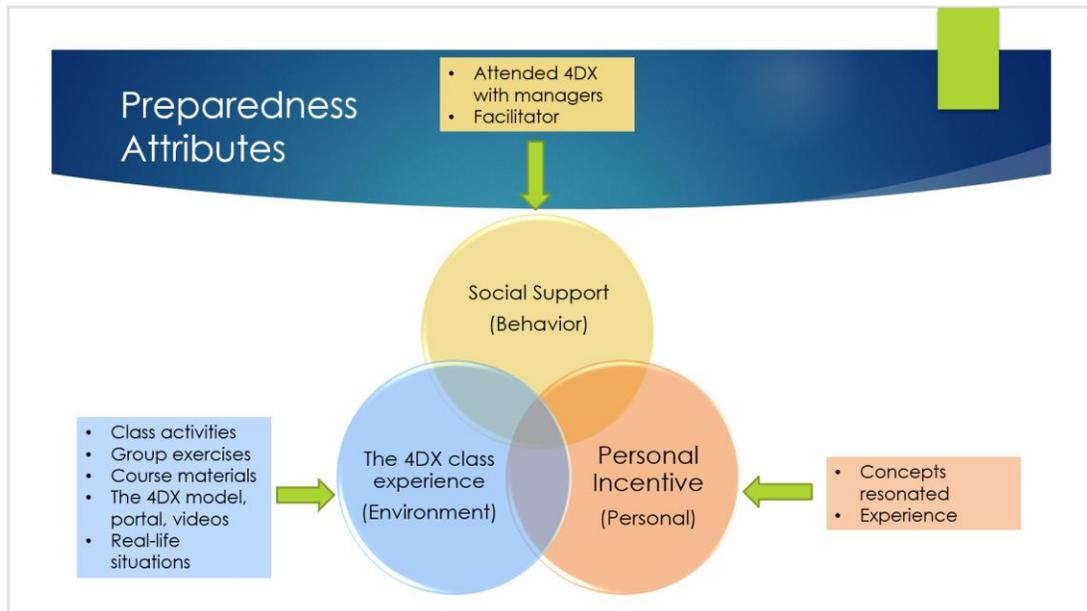


Figure 1. An illustration of the codes affiliated with 4DX preparedness and their alignment with Bandura's components of the triadic reciprocal causation model.

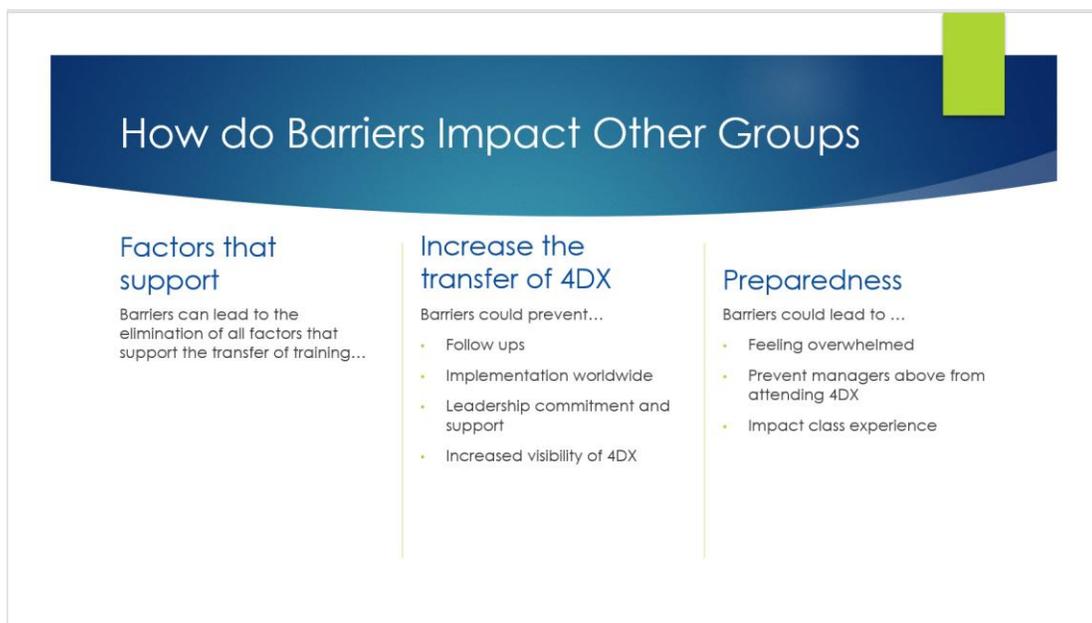


Figure 2. An illustration of the impact of barriers on other categories identified in the study.

Findings from the Study

The objective of this study was to identify barriers that could hinder the transfer of training and successes that support the transfer of training in a corporate setting. Two guiding research questions functioned as the foundation to uncover the perceptions of leaders who completed the 4DX course. Following are the questions and descriptions of how they aligned with the information collected.

Research Question 1

How do managers describe their preparedness to transfer the training of 4DX concepts and skills taught in class to their jobs? Responses to the interview questions to support RQ1 revealed how prepared participants felt after attending the class regarding applying the concepts of skills of 4DX to their jobs. Refer to Table 4 for examples of why participants felt ready to implement 4DX. Instead of using their names, I assigned each participant a code (e.g., P01 represents Participant 1). I provided an explanation of the primary theme relative to RQ1 after Table 4.

Table 4

Attributes for Preparedness

Source	Response	Attribute(s)
P01	“So, I think the team...the whole leadership team felt confident...”	“...my directs first read the book and tried to figure out if we could implement this on our own.”
P05	“So, on a scale of 0 to 10, a 10. I felt pretty prepared.”	“The class was very concise, it was well developed, it was relevant, it was interactive, and it had a lot of hands on experience.”
P06	“I mean when I left the class, I felt like I understood exactly what 4DX was about and what it took to implement it. So, I felt completely prepared to implement 4DX.”	“...I just remember light bulbs coming on as we went through the exercises... and while I’m not very specific to everything we learned, I would attribute it to the class and the lessons that we went through...”

Upon completion of the class, 92% (11 out of 12) participants felt prepared to implement 4DX in their work areas. P01 is an example of how some participants equated preparedness to confidence, while others made a distinction between the two. P01 attributed their preparedness to reading the book in advance, which instructors submitted as part of the class prework. P03 provided a brief evaluation of the class, and P06 based preparedness on the information taught in the class.

Theme for Preparedness: The 4DX Course Experience

The main theme for preparedness is centered around the 4DX course. Attributes of preparedness evolved into the categories of class activities and group exercises, course

materials, including the 4DX portal and videos, and real-life situations. I interpreted these data as components that could add to or detract from the class experience. Refer to Table 5 for the participants' perceptions of their confidence. Again, I used codes instead of names for each participant (e.g., P07 represents Participant 7). In Table 5, I captured the responses and attributes for confidence.

Table 5

Attributes for Confidence

Source	Response	Attribute(s)
P02	"Again, I felt very confident...I think the biggest thing for me was the fact that I had something tangible that I can go back and reference."	"I think it's a combination of prior experiences, learning through mistakes, and then also the reference materials."
P03	"Very."	"...having the regular cadence. You've got to follow up. You've got to through to this process weekly..."
P07	"Not very confident...I didn't feel confident with my project and the difficulty was how do I use some of those in my day-to-day work."	"I still had a difficult understanding of what was an actual lead measure compared to a lag measure."
P09	"I did feel I was prepared, my competence to actually do it was less."	"That was probably more a 5 or 6 because I didn't have the safety net of the classroom... once it was completed and I was kind of out there on my own, I did not feel competent."

I asked employees taking part in the study to describe how confident they felt attempting to apply what they learned in class to their jobs. Participants' responses in this

area produced mixed results. After the class, 50% (6 out of 12) participants felt confident compared to over 90% (11 out of 12) feeling prepared. Thirty-three percent (4 out of 12) felt somewhat confident, and 8% (1 out of 12) did not feel confident and did not attempt to apply 4DX. Following is an overview of the themes that evolved for confidence.

Themes for Confidence

During data analysis, I uncovered four themes associated with confidence in order of response frequencies: (a) social support is needed at all levels, (b) the 4DX course is well designed, (c) commitment to the process, and (d) confidence versus lack of confidence.

Theme 1: Social support needed from all levels. Approximately 50% of the participants attributed their confidence to the ideals of embracing support from their managers, attending the 4DX class as a team, and leveraging team support. P09 stated, “When you have a very interactive group that you are in, you tend to feed off of each other after the training is over.” I associated statements like these with a strong need for social support, not only from leaders but from colleagues and peers alike.

Theme 2: The 4DX course is well designed. Once again, participants’ accolades for the course were evident. Forty-two percent of the students felt that because the course materials were helpful, this increased their confidence because they had information to refer to once they were back on the job. P04 shared, “I think the material was really good and then having also the book to refer to once we were leaving class.” I interpreted comments of this nature as an indication that there is no need to consider the redesign of

the course, but perhaps examine different factors such as those identified for social support.

Theme 3: Commitment to the process. Developers of 4DX encourage implementers of the process to practice consistent behavior as they apply the principles (McChesney et al., 2012). Several participants (33%) confirmed that confidence increased by executing 4DX with a regular cadence. Refer to P03's statements in Table 5.

Theme 4: Confidence versus lack of confidence. In Table 5, P02 and P03 submitted comments representative of 50% of the individuals who asserted, after the class, they were confident in their abilities to implement 4DX. To the contrary, P07 and P09 talked about their lack of confidence. P09 contrasted their feelings about preparedness versus confidence. While preparedness can impact confidence, the relationship between the two does not parallel each other in all instances. For P09, a high level of preparedness did not transition to a high level of confidence. Because of this, it stands to reason why half of the interviewees felt a strong sense of confidence to implement 4DX, and the other half varied from some level of confidence to none.

Research Question 2

How do managers describe their perceptions of the transfer of training from the 4DX concepts taught in class to practical job application in their work environments? I used probing questions to support RQ2 and asked participants to share their perceptions in three key areas: (a) the barriers to implementing 4DX at Company BLU, (b) the successes achieved implementing 4DX at Company BLU, and (c) suggestions to increase

the transfer of 4DX to the workplace at Company BLU. Listed in Tables 6-8 are samples of the participants' perceptions of these categories, followed by their respective themes.

Table 6

Barriers to Implementing 4DX

Source	Barrier	Attribute(s)
P04	"I really think that the biggest one is that the environment is changing so fast at [Company BLU] right now."	"...we're not able to really spend that additional time planning how we would like to execute this because we get back to our desk and we have the fires that immediately have to be put..."
P08	"For the barriers, I would say getting started. That was our biggest barrier...first identifying the WIG."	"So, I think we did lose some time in the beginning, because we as leaders were kind of unclear about what the WIG was."
P08	"And then also I think there is a little bit of "I don't want to my stuff on there. You know I'm going to get in trouble. They're gonna see how behind I am."	"...what is this going to say about me if I show my hand and I let the team know that I'm behind on these action items."
P09	"I believe that once you leave that classroom, you almost leave the training completely..."	"...Because once you get back into your whirlworld [whirlwind] you get so caught up with the busyness of your core responsibilities..."

I employed a multipronged approach to identify barriers to implementing 4DX. I explored the participants' perceptions of barriers, attributes to barriers, and factors that support barriers to implementing 4DX. Barriers are obstacles that can prevent the transfer of training, and attributes and the factors that support barriers are potential catalysts that

lead to barriers. As I performed constant comparative analyses, I noticed that some barriers, attributes, and factors overlapped. For example, P04 emphasized rapid changes taking place in the work environment. A changing work environment can be the cross-pollination of a barrier, an attribute, and a factor in stifling the implementation of the 4DX process.

Themes for Barriers Implementing 4DX

Barriers are events that could impair individuals' abilities and motivations to achieve their goals. Obstacles in the workplace function as impediments to participants transferring what they learned in class to their jobs. I found three themes in the data related to barriers: (a) some participants had challenges managing the whirlwind, (b) some participants were overwhelmed at work, and (c) some participants had trouble getting started. Also, I examined the relationships between the attributes and factors that create barriers to the successful transfer of 4DX.

Theme 1: Challenges managing the whirlwind. The whirlwind is comprised of routine activities that are a part of a worker's job (McChesney et al., 2012). The disciplines of 4DX must be executed regardless of the whirlwind's presence (McChesney et al., 2012). Roughly half of the interviewees referred to the whirlwind as a barrier and a factor that creates roadblocks to implementing 4DX after the class. Refer to P09 in Table 6. A person might interpret such assertions as signals for help in this area.

Theme 2: 4DX participants are overwhelmed. Forty-two percent of the 12 participants spoke of being understaffed, having direct reports working at capacity, or dealing with heavy workloads. Refer to P04's statements in Table 6. P08 spoke of

concerns about the added dimensions of accountability and visibility, and the perceived adverse outcomes that could occur. If participants are feeling overwhelmed, they are less likely to implement 4DX for two reasons. First, 4DX may be sensed as extra work and second, taking on extra work with a heavy workload could lead to failure.

Theme 3: Trouble getting started. Forty-two percent of the interviewees cited multiple problems for not getting started with 4DX. For instance, some participants experienced difficulties understanding the concepts, identifying the WIG, and being left on their own after class to implement 4DX without further support. In Table 6, P08 cited that a problem getting started with the 4DX process was due to a lack of clarity on the part of leaders.

While most participants focused on barriers during this segment of the interview, others talked about how they overcame their issues. P01 stated that their most significant obstacle was working with a remote team, but quickly shared "...the teams did really good with using either facetime or using their cameras on their laptop to have a meeting versus just doing a conference call where you just have a voice." Refer to Table 7 for responses to what created successes with 4DX and what was perceived as attributes to their ability to succeed with 4DX.

Factors That Create Barriers

Factors that create barriers may or may not exist at the study site; they are only recognized as potential detractors from the effective use of 4DX. During the interview, I asked participants for their perceptions about what factors in general they felt might contribute to the creation of barriers for 4DX transfer. Based on their responses, three

categories emerged, lack of support from upper management (33%), lack of ample resources (33%), and the whirlwind and workload combined (58%). I compared these items to the themes for barriers to determine if relationships between the two existed. I uncovered relationships between attributes and barriers for competing methodologies, lack of follow-up after the class, leadership accountability and support, and the whirlwind. Therefore, some participants confirmed the presence of these elements at Company BLU and believed that they are factors capable of creating barriers to transfer of 4DX training.

Table 7

Successes with Implementing 4DX

Source	Response	Attribute(s)
P01	“...it’s important at every level that everybody comes out and everybody [forms] the same level of energy for it and that’s what makes the difference as well. It’s an all-in approach really from the analyst to the vice president level, my level...to get it done.”	“I had my leadership engaged with for us going to do this, and they were excited to see the numbers change. Our president would say that clients would stop him in the middle of a presentation to say I don’t know what you’ve done different in support, but it’s amazing.”
P03	“We have used it every year since I have had the training to track against our sales goals, and every year the team has successfully exceeded its number.”	“one of the things was having those regular touch points for the team to be held accountable, for this is what you said you were going to do the last time we met...how did you end the previous week and what are you committing to this week?”
P05	“One of the biggest successes that we that had was creating transparency on our measurable milestone for org readiness projects.”	“...polling what’s working well, what’s not working well, and how can we hold ourselves accountable for hitting these major milestones are our most important attributes to success.”
P12	“So, our exact WIG was something to the effect of, you know, we wanted to reduce turnover, involuntary and voluntary...and we wanted to reduce that 5% by the end of June of 2016.”	“...we actually decreased it by 7% as opposed to the 5% that we had set up to do.”

While exploring successes with the implementation of 4DX, I assessed the data by looking at the successes, the attributes (things that caused participants to be successful), and the factors (matters that support the use of 4DX in the workplace). Of the 12 participants in the study, 66% applied 4DX to completion, 17% attempted to apply 4DX but did not complete the process, and 17% wanted to apply 4DX but struggled getting started, causing them to abort their attempt. Through constant comparative analysis, I observed overlaps between attributes and factors that support success employing 4DX with their teams. As an example, in Table 7, P03 stressed their team's consistent use of the 4DX process every year. The consistent use of 4DX can serve as an attribute and a factor that leads to success.

Themes for Successes Implementing 4DX

Successes executing 4DX occurred when a team consistently followed and completed the four disciplines: (a) focus on a wildly important goal (WIG), (b) act on the lead measures, (c) keep a compelling scoreboard, and (d) create a cadence of accountability” (McChesney et al., 2012). Success themes that I extracted from the data are (a) the 4DX course experience, (b) trust in the team process, and (c) engaged leadership commitment. Additionally, I examined the relationships between the attributes and factors for success.

Theme 1: The 4DX course experience. Nearly 60% (7 out of 12) of the participants attributed the 4DX course for their success. P05 shared, “The class was very concise, it was well developed, it was relevant, it was interactive, and it had a lot of

hands-on experience. I think hearing, seeing, and kinesthetic learning all help to pull it together”.

Theme 2: Trust in the team process. Trust in the team to follow the process and provide each other support rose to the top for 50% (6 out of 12) of the participants. P01 described how their team felt empowered to function on their own:

Every team had a scorecard, and I had an overall scorecard, and when I would send those out weekly, and the teams would see that what they're doing potentially isn't moving the dial for them or pushing it forward like they thought, they...we didn't have to ask them to huddle and come together and figure out why the WIG that they chose for their team to contribute to...wasn't working, they would just do it themselves and to go figure out what they could tweak to figure out how to make that change.

P03 credited their team for success applying 4DX, “I have a lot of self-motivated people that I work with, so, it hasn't been hard to implement the program”. Also, P12 added, “I think overall is the commitment from the team. I think the fact that they committed to what we set out to do, and did it with passion, is what made a difference”.

Theme 3: Leadership engagement. In Table 7, P01 highlighted the importance of leadership and the value of having all levels involved in the process. Aside from the comment in Table 7, P03 stressed the significance of leadership involvement as a primary reason for success implementing 4DX, stating, “leadership commitment...promoting it to their teams and assigning it to their teams”. In total, 42% (5 out of 12) of the participants

shared similar thoughts. Refer to Table 8 for participants' responses when asked for suggestions to increase the transfer of 4DX training back to the workplace.

Factors That Support Successes for 4DX Transfer

Like barriers, factors that support successes for 4DX transfer also may or may not exist at the study site. I described success factors to the participants as conditions that could create successful outcomes for managers who execute 4DX as intended. Therefore, I asked participants for their perceptions about what factors, in general, did they feel would contribute to the success of 4DX application to their jobs. Three categories emerged, leadership accountability and commitment (67%), post-class coaching and follow up (42%), and intact team engagement (42%). Again, I compared these items to the themes for successes to determine if there were relationships between them. I uncovered relationships between attributes and successes for commitment to the process, leadership accountability and engagement, and trust in the team. Therefore, again, some participants confirmed the presence of these elements at Company BLU and believed them to be factors capable of creating the successful transfer and application of 4DX training. Next, comments in Table 8 provide suggestion to increase the transfer of 4DX.

Table 8

Suggestions to Increase the Transfer of 4DX

Source	Response
P02	“I think that it would be good for a follow-up and refresher...and what I mean by that is once I have taken this course earlier in the year, I have tools, I have resources, I have strived and attempted to execute what I learned in this course, but then there is really no follow-up. There’s not a check-in. So, in my opinion, I think that helps further increase and helps promote that training that we’ve learned in this course. So that way, it’s not a...learning in vain, if you will.”
P03	“Leadership commitment and getting...promoting it to their teams and assigning it to their teams, and being excited about it and getting that buy-in.”
P07	“I think one thing is to be a little bit more understanding of the training by those above us. So, I think the more that my supervisor knew about 4DX or any training that I have been sent to, the better.”
P09	“I also think that if the level up from the mid-level managers that tend to take these courses took them and did a bit of a better of job of enforcing it or following up or if we put that on our goals...that they check us. “Hey, I see you took the class, but how are you using that class?” ...so some more accountability I think from management would really support success.”
P10	“I think the managers above me probably would benefit that you have a continuous chain of understanding of what the tools are that are available, etc.”.
P11	“So one thing that would be an improvement, and I don’t know how feasible this is because I am sure you guys are pretty busy doing what you do to, but it would have been nice to have a little more follow-up shortly after the class, or some type of regular for the next two or three months...”

To solicit ideas on how to increase the transfer of 4DX training, I asked the interviewees for opinions. Although there were numerous suggestions informing consumers of this study how to improve the transfer of training from the 4DX course, in Table 8, I highlighted several individuals who recommended the need for improvements in a few essential areas.

Themes to Increase Transfer of 4DX

As a reminder, the purpose of this study was to identify underlying factors that accelerate or impede the transfer of training for employees in the workplace. Participants' ideas to increase the transfer of 4DX skills and concepts to the workplace ran the gamut. However, I noticed two recurring themes: (a) the desire for more follow-up and (b) leadership engagement.

Theme 1: Post-class coaching. Students clearly expressed a desire for additional follow-up after the class. In Table 8, P02 represented approximately 50% of the study population who, indicated the need for more follow-up after the course. Although some acknowledged the existence of follow-up through recordings or refresher labs, others felt they needed more to strengthen their success for transfer. P11 further discussed their experience with post-class follow-ups:

I remember having quite a few...but there were a number of questions and the instructor at the time followed up with me over the next few days or week or so, and then later as time had passed on, maybe a month or so I didn't remember as much. I was kind of flowing through the book, the workbook, and had some questions, and she was trying to be responsive, but it would have been nice to just

have some kind of a cadence of, whether I needed it or not, a regular check-in for a little while to reinforce some of that information.

Theme 2: Leadership engagement. Like the theme, post-class coaching, nearly 50% of the interviewees were adamant about dedicated leadership engagement during the 4DX process. P03 suggested leadership commitment, and 33% more (4 out of 12) of the participants agreed. As part of the leadership engagement, 25% of the group (3 out of 12) emphasized the importance for leaders above them to fully understand the 4DX process as expressed by P07 and P10. P09 suggested the same. However, they inserted another caveat, accountability. Therefore, engaged leaders must not only understand the 4DX process but should be prepared to commit and support their teams as needed from inception to completion.

Discrepant Cases

During the data analysis process, discrepant data reported by some participants may be inconsistent with information shared by other participants. Some researchers who engaged in studies from a social constructivist viewpoint were open to occurrences of such incongruent data (Lodico et al., 2010). In this study, 92% (11 out of 12) of participants reported feeling prepared to implement 4DX after completing the course. However, 8% (1 out of 12) of the participants indicated they did not feel ready to employ 4DX after class. Upon further investigation of the incongruent response, I learned the participant was experiencing extenuating circumstances beyond their control and the control of the facilitator, therefore, emerging as an outlier. Beyond this, I did not find further evidence of discrepancies.

Evidence of Quality

Reporting personal assumptions and biases influences the credibility of a study (Creswell, 2014). To manage my assumptions and biases, I used in-depth iterative analysis of the data to ensure the accuracy of data interpretations and reporting. Based on professional experience in L&D, I shared assumptions and biases about the lack of 4DX transfer at Company BLU. I made assumptions that managers were too busy, managers had heavy workloads, managers did not experience consequences for lack of transfer, and the 4DX process was not socialized across the organization. Extensive examination of the data revealed that managers are concerned about their workloads. P09 said, “I believe that our overall workload is a barrier. Everything seems to take a priority because our general workload has its own deadlines and urgencies. So, I think that we don’t set the time aside to apply what we’ve learned.” There was no specific mention of the lack of consequences. Instead, P09 pointed out the need to hold participants accountable for applying 4DX (refer to Table 8). Also, there was no mention of the lack of socialization across the company, but there were suggestions offered regarding the need for accountability and the implementation of 4DX across the company.

Member checks are recommended for qualitative researchers to maintain the integrity of their study (Creswell, 2012; Creswell & Poth, 2018; Lodico et al., 2010; Merriam, 2009; Tong & Dew, 2016). Participants play a vital role in member checks when they are involved in the review of transcriptions or the preliminary findings uncovered by the researcher (Lodico et al., 2010). By administering member checks, each participant in the study was allowed to validate or invalidate the accuracy of the

information captured. I provided each person the opportunity to review, add, change, or delete any data from their transcripts that were deemed inaccurate by their standards. I also conducted peer debriefings to ensure that my assumptions and biases were omitted from the study's findings. After completing the member checks and peer debriefings, I read and reread field notes, practiced reflexivity, and journaled personal perceptions and thoughts.

Summary of Findings

In this section, I summarize the findings as they relate to the problem and the research questions. The problem is centered on the transfer of training from leadership classes to the workplace, and the 4DX course is the class targeted to explore the successes and barriers that leaders experience when transferring 4DX principles and skills to their jobs. I outline the research questions and the findings related to each below.

Research Question 1

How do managers describe their preparedness to transfer the training of 4DX concepts and skills taught in class to their jobs? I used interview questions for RQ1 to address the preparedness and the confidence of participants when implementing 4DX on their jobs. I asked the participants how prepared they felt after the class to apply 4DX. Additionally, I asked each person how confident they felt after the class to implement 4DX. Preparedness in the minds of some may equate to confidence. However, the data revealed information to the contrary. Overall, 92% stated they felt prepared and attributed their readiness to the 4DX course and its materials, reading the book, and class activities presented as real-life situations. Only 8% stated experience and attending the class with

their managers as their primary reasons for preparedness. While 92% of the participants felt prepared, only 50% felt the same level of confidence. Leaders who felt confident implementing 4DX cited the course, class materials, and team support as the contributing factors. The remaining 50% credited the inability to apply 4DX immediately and feelings of being left on their own as a rationale for their lack of confidence.

Research Question 2

How do managers describe their perceptions of the transfer of training from the 4DX concepts taught in class to practical job application in their work environments? In support of RQ2, I asked interview questions that explored the leaders' perceptions of barriers and successes associated with the implementation of 4DX. Furthermore, I solicited suggestions from the individuals on how to increase the transfer of 4DX concepts and skills to their respective workplaces. For barriers, 42% of the participants proclaimed it was a challenge to get started, and almost 50% blamed the whirlwind (day to day work tasks) for their inability to make progress with the 4DX process. For successes, roughly 60% of the participants cited the 4DX course experience, 50% declared trust in the team process, and 42% credited engaged leadership. Accountability and commitment emerged as factors for success by 67% of the participants, but there was no mention of them as success attributes. Lastly, participants submitted the following suggestions to improve the transfer of 4DX at Company BLU: (a) increase leadership engagement (50%) and (b) provide post-class coaching preferably driven by the course facilitator (50%). Additional suggestions included continuing to use real-life situations in

class (25%) and helping leaders above direct reports understand 4DX as well or better than their direct reports (25%).

Other ideas submitted by participants to increase the transfer of 4DX training, were to allow non-managers to attend the course (i.e., their direct reports), build 4DX into the core competencies of the organization, determine how to use 4DX in the company, offer different versions of 4DX to different levels, implement 4DX enterprise-wide, and make 4DX training mandatory. Although these suggestions were submitted by individual participants and not by a group of workers, the ideas are not without merit and should be given serious consideration.

Description of Project Deliverable

Based on the results of the data analyses, I selected the professional development genre as the model for this project study. The target audience is leaders with direct reports and a business need(s) to implement the four disciplines to help them achieve their goals. The objective is to provide a 3-day training course to help leaders increase their confidence and ability to handle barriers they may encounter during the 4DX process. One goal is to help leaders incorporate actions and strategies to improve the transfer of 4DX to the workplace. Another goal is to provide consistent follow-up and support for the leaders throughout the completion of their first 4DX project. I have detailed the components of the project deliverable in Section 3.

Conclusion

In Section 2, I outlined the methodology for this qualitative study on the transfer of training for managers in leadership development. I presented justification for selecting

a single instrumental case study for this project. I described the criteria and reasoning for recruiting 12 managers to participate in the study. I detailed the procedures for gaining access to the participants, specified the researcher-participant relationship, informed readers of participants' rights, and reported the use of incentives for recruitment purposes. Next, in Section 2, I outlined the data collection process, and the data collection instrument used to conduct online one-on-one semistructured interviews. I explained the procedures for generating, gathering, and recording data. I also discussed the systems for storing and tracking data, a data collection timeline, and my role as the researcher. Finally, I analyzed the data, presented the information segmented by themes and categories, summarized the findings, and concluded that a professional development program is the best genre for this project. In Section 3, I outlined the specifics of the project for this study.

Section 3: The Project

The project for this study was developed to address the transfer of learning in a corporate setting for leaders who complete professional development courses. I interviewed 12 managers at the study site and asked them to share their perceptions of things that impeded their transfer of learning. I then asked for their perspectives about factors that supported the application of information learned to their workplaces. Semistructured interviews were used to capture the data. I used the results from the data analysis process to determine the type of product to create for this study, which was a professional development course. The intent of the project was to develop a pool of 4DX coaches who help leaders create strategies and support systems to address barriers that prevent the transfer of learning and strengthen the elements that produce successes for 4DX training transfer. In Section 3, I specify the purpose, learners, scope, and sequence of learning activities or events. Next, I describe the materials, units, and lessons including a PowerPoint presentation, implementation plan, and evaluation plan. Finally, I outline the events of a 3-day professional development training program.

Rationale

As I studied the results from the data analysis, I gained insight into several areas to improve the transfer of learning from 4DX classes to the job. Over 90% of the participants stated that they felt prepared to implement 4DX after the course. However, only half reported a moderate to a high level of confidence incorporating the disciplines into their work. If this trend persists, roughly half of the managers who attend 4DX classes will leave and never attempt to apply 4DX or attempt and fail. This information

combined with participants' suggestions for increased leadership engagement and post-class coaching led to the selection of a professional development workshop as the best project to increase the transfer of 4DX training from the classroom to the workplace.

According to the study's results, additional support is needed after the class to increase the 4DX transfer of training (i.e., post-class coaching). Learning practitioners look to professional development programs as key initiatives to assist employees with the skills needed to transfer training to their jobs (W. L. Cheng, 2016). Students are expected to apply the knowledge and skills obtained from professional development classes to the workplace (De Rijdt, Stes, Van der Vleuten, & Dochy, 2013; Snoek & Volman, 2014). However, adult students are empowered and can decide how, when, and where to use lessons learned, or not to use them at all (E. W. Cheng, Sanders, & Hampson, 2015). Participants must be willing to employ the competencies and skills acquired and adapt them for application to their specific work situations (Snoek & Volman, 2014), which could require continued learning beyond the classroom.

For this project study, I designed the professional development training course to bridge the gap between application and nonapplication of 4DX via post-class coaching. At major company locations within Company BLU, HR business partners (HRBPs), business leaders, or peers will nominate individuals to function as a support system to serve three categories of participants: (a) managers who completed the course and want to use the disciplines but are not sure how to get started, (b) managers who completed 4DX and made the attempt to implement but were not successful, and (c) managers who completed the course and never made an attempt to use 4DX but would like to apply the

process now. The 3-day course was crafted to provide the 4DX coaches with tools and techniques (e.g., a roadmap) to support the managers they coach and to guide their communications and interactions with prospective 4DX leaders throughout the coaching relationship.

Literature Review

Findings from the data analysis indicated a need for post-class coaching and heightened leadership engagement to increase the usage of 4DX at the study site. The literature review was conducted using research databases from the Walden library, which included ABI/INFORM, Academic Search Complete, Business Source Complete, ERIC, Education Source, ProQuest Central, PsychINFO, Sage Premier, SocIndex, and Taylor and Francis. The key search terms used across all databases were *coaching in the workplace*, *learning in the workplace*, *engaged leadership*, *leadership engagement*, *professional development*, and *workplace learning*. This review of the literature includes a critical analysis of how the research and conceptual framework support the content of the project. I also highlight discussions on professional development, coaching in the workplace, and leadership engagement.

Professional Development

In education, practitioners deem professional development as a requirement to keep educators and vocational learners abreast of emerging trends in their field (Broad, 2016; Zhao & Ko, 2018). Egloffstein and Ifenthaler (2017) cited constant changes in employees' roles and responsibilities catapulted by sudden changes in business practices as a catalyst for the rise in professional development. In a corporate setting, professional

development is viewed by employees as a means of remaining marketable, thereby positioning them for advancement and growth in their careers (Haemer, Borges-Andrade, & Cassiano, 2017). Despite the domain (educational or organizational), the goal of professional development is to achieve behavioral change that leads to increased employee performance and productivity on the job (Goldstein, 1980; Govaerts, Kyndt, & Dochy, 2018; Hurt, 2016; Latham, 1988; Mansour, Naji, & Leclerc, 2017; Salas et al., 2012).

There are different dimensions of professional development. Leadership development and workplace learning are common facets noted in research. Formal and informal learning emerged as topics of discussions related to professional development, and scholars have studied the distinctions between the two (Becker & Bish, 2017; Billett, 2002; Borko, 2004; Eraut, 2004; Voogt et al., 2015). Following is a discussion about the various aspects of professional development and a critical analysis of how theory and research support the genre and content of the project.

Leadership development. Professional development includes leaders and nonleaders. Some scholars described leadership development as a system of training programs developed to enhance the skills of executives, leaders, and managers (Holten, Bøllingtoft, & Wilms, 2015; Kaiser & Curphy, 2013; Lacerenza, Reyes, Marlow, Joseph, & Salas, 2017). Employees who hold leadership roles and titles receive professional development training, which means excluding learning opportunities for those designated by management as individual contributors. Other scholars agreed to a certain extent and noted the importance of distinguishing leader development from leadership development

(Ardichvili, Natt och Dag, & Manderscheid, 2016; Carter, DeChurch, Braun, & Contractor, 2015; Cullen-Lester, Maupin, & Carter, 2017; Day, Fleenor, Atwater, Sturm, & McKee, 2014; Uhl-Bien & Arena, 2018; Uhl-Bien, Riggio, Lowe, & Carsten, 2014).

Leader development is for people who lead others, and leadership development is for those who demonstrate a desire and potential for leadership (Ardichvili et al., 2016; Carter et al., 2015; Cullen-Lester et al., 2017; Day et al., 2014; Uhl-Bien & Arena, 2018; Uhl-Bien et al., 2014). Researchers further explained that leadership development is about cultivating multiple relationships not only with people in leadership roles but also among peers and team members (Ardichvili et al., 2016; Carter et al., 2015; Cullen-Lester et al., 2017; Day et al., 2014; Iles & Preece, 2006; Lacerenza et al., 2017; Riggio, 2008; Uhl-Bien & Arena, 2018; Uhl-Bien et al., 2014). Ardichvili et al. (2016), Carter et al. (2015), Cullen-Lester et al. (2017), Lacerenza et al. (2017), and Uhl-Bien and Arena (2018) argued that leadership development is a form of professional development that is inclusive of both leaders and followers.

Workplace learning. Scholarly practitioners have referred to the acquisition of knowledge and skills on the job as workplace learning (Ten Cate et al., 2015; Zhao & Ko, 2018). Some researchers emphasized the significance of looking at each word separately in the term *workplace learning* (Cairns & Malloch, 2011; Zhao & Ko, 2018). *Work* is related to the function that a person performs in the work setting, *place* is the physical environment in which a person consumes knowledge, and *learning* is the act of acquiring knowledge and engaging in the activities associated with the educational event (Cairns & Malloch, 2011; Zhao & Ko, 2018).

A belief that workplace learning happens only in a place of work is a limited view with restricted boundaries. Zhao and Ko (2018) explained that a narrow view of workplace learning is limited to obtaining knowledge in the place where a person works. However, Broad (2016) and Zhao and Ko (2018) embraced the seminal work of Nespor (1994), which indicated that learning impacts the type of work an individual does as fluid and spatial and can happen anywhere and anytime. Accessing a class or learning vignette on a mobile device while commuting from work or at home are examples of workplace learning happening in unconventional ways. Workplace learning is not confined to the work environment (Broad, 2016; Nespor, 1994; Zhao & Ko, 2018), and is composed of both formal and informal learning (Janssens, Smet, Onghena, & Kyndt, 2017).

Formal and informal learning. A probe into workplace learning as professional development warranted acknowledgment of the formal and informal aspects of learning. Formal learning is considered the act of studying in a classroom-bound educational institution, combined with structured lecture and activities (Becker & Bish, 2017; Cunningham & Hillier, 2013; Janssens et al., 2017; Rowold & Kauffeld, 2009). Formal learning is leveraged best when students take the initiative to make learning happen and apply it to their workplaces (Sparr, Knipfer, & Willems, 2017). For instance, when students decide to obtain a formal degree to advance their career, they are more likely to seek work and perform in their concentration of study than not.

In contrast, informal learning is viewed as knowledge gathering outside of structured brick-and-mortar or online educational establishments and lacking in tutelage from skilled professors (Janssens et al., 2017; Kyndt, Gijbels, Grosemans, & Donche,

2016; Van der Heijden, Boon, Van der Klink, & Meijs, 2009). Scholars asserted that informal learning could also occur at work via social encounters that create opportunities for employees to obtain information from others (Janssens et al., 2017; Kyndt et al., 2016; Van der Heijden et al., 2009). Van der Heijden et al. (2009) asserted that “informal learning includes incidental learning, i.e., learning that occurs as a byproduct of some other activity, and which occurs, even though employees are not always conscious of it, and which is not always intentionally searched for” (p. 21). The person may not apply the learning to anything because it was acquired without the intention of use.

Eraut (2004) prompted critical discussion from scholars with the suggestion that learning in the workplace is without structure and does not adhere to pedagogical practices, thereby rendering it informal (Zhao & Ko, 2018). Eraut supported the idea of a workplace as formal education but clarified that although the work environment might be structured, often the learning is not. Other practitioners disagreed pointing out that workplace learning is often guided by a mission, values, and principles that create the pedagogical structure for workplace learning (Becker & Bish, 2017; Billett, 2002; Zhao & Ko, 2018). People are influenced by frameworks that create contextual foundations for learning in both educational institutions and workplaces.

Coaching in the Workplace

Coaching is a form of professional development that can be used to improve work performance. Coaching is often used as a vehicle to elevate individual or team skills by providing knowledge and information to enhance employee performance in the workplace (Fine & Merrill, 2010; Poluka & Kaifi, 2015). However, coaching cannot be

explained simply as a demonstration of specific practices because there are other factors to consider (J. T. Huang & Hsieh, 2015; Lawrence, 2017). Meta-analyses conducted by researchers showed that coaching enables employees to realize benefits such as how to manage their emotions, how to manage their abilities to self-regulate, and how to articulate their viewpoints (Jones, Woods, & Guillaume, 2016; Theeboom, Beersma, & Van Vianen, 2014). Employees at Company BLU could leverage post-class coaching to obtain the benefits shared by Jones et al. (2016) and Theeboom et al. (2014), especially the ability to self-regulate and consistently apply the disciplines of 4DX.

Coaching as a post-class event to increase the use of 4DX is aligned with Bandura's triadic reciprocal causation model. One of the findings from the data analysis in the current study indicated that employees at Company BLU could benefit from additional coaching after the 4DX class. Figure 3 is an illustration of coaching and its potential influence on the elements of the triadic reciprocal causation model (Bandura, 1986, 1991, 1999, 2002, 2012). The three components of the triadic reciprocal causation model interact with each other in any direction (Bandura, 1986, 1991, 1999, 2002, 2012). For instance, post-class coaching for participants can lead to a reciprocal effect on the personal, behavioral, and environmental aspects of Bandura's framework.

The most critical responsibility for post-class coaches is to help managers and leaders interpret how to apply 4DX to their work environments. Starting at the top of Figure 3 moving clockwise, appointing coaches to assist participants in their workspaces can influence the employees' agency to think critically and interpret how they might transfer 4DX to their specific work area. Once the participants identify a prospective

application, they are positioned to transfer knowledge and skills to execute 4DX; such results are contingent on positive experiences with the coaches.

Another finding from the data analysis was that only half of the participants felt confident applying 4DX after the class. Lack of confidence reflected an element in the personal component of the triadic reciprocal causation model: self-efficacy. Self-efficacy is related to how successful people may feel when they have the necessary knowledge and skills to perform (Bandura, 1986, 1991, 1999, 2002, 2012; Clayton, Thomas, Singh, & Winkel, 2015). Self-efficacy is not stable when people believe they are not equipped or ready to take on and master the task at hand (Bandura, 1986, 1991, 1999, 2002, 2012; Clayton et al., 2015). Figure 3 points to post-class coaching as a method to facilitate a renewed sense of self-confidence to transfer of 4DX to the workplace. A 3-day professional development workshop was designed to train individuals on how to provide post-class coaching in the participants' work environments. The objective was to provide a pool of subject-matter coaches for leaders to access when they need help with 4DX.

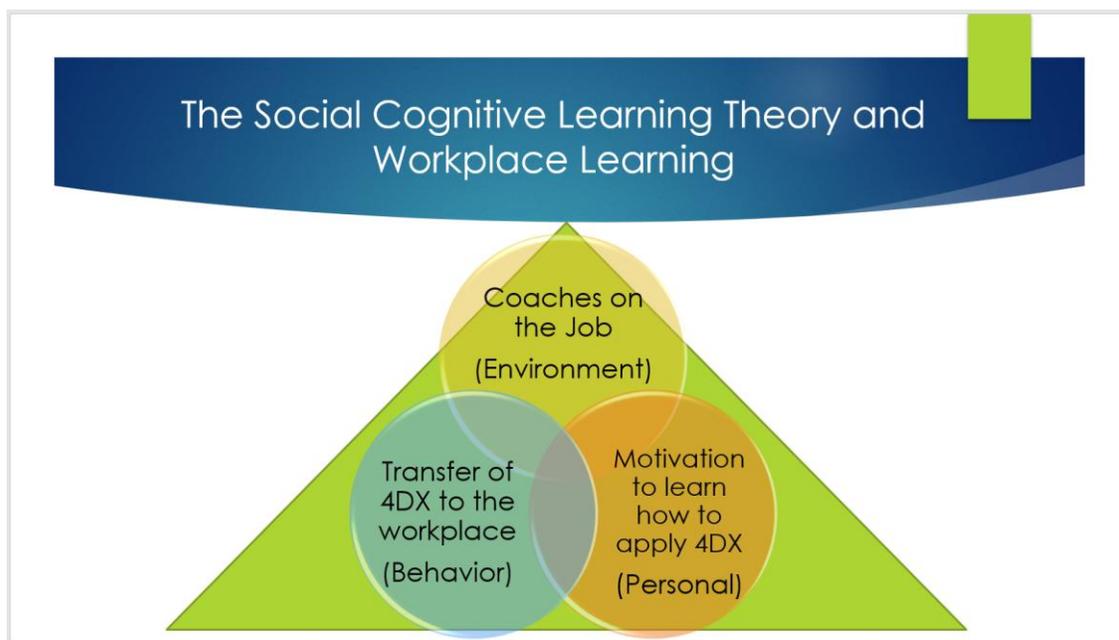


Figure 3. An illustration of post-class coaching and its alignment to Bandura’s triadic reciprocal causation model of behavioral, environmental, and personal factors.

Leadership Engagement

Leadership engagement is another category or theme that emerged from the data analysis process. For contextual clarity, leadership engagement at Company BLU encompasses top executive, managerial, and supervisor support, and the term is synonymous with leadership accountability, commitment, or support. Study participants indicated the need for leadership accountability and involvement in the 4DX process, especially from top executives such as vice presidents and directors.

Scholars have collected voluminous data that showed leadership support to be one of the primary environmental mechanisms to help employees increase transfer of training (Baldwin & Ford, 1988; Blume et al., 2010; Burke & Hutchins, 2007; Cromwell & Kolb, 2004; Govaerts et al., 2018; Hurt, 2016; Saks & Belcourt, 2006; Zumrah & Boyle, 2015). However, research focused on upper management’s ownership for learning transfer in the

organization where they provide strategic direction is minimal (Facteau, Dobbins, Russell, Ladd, & Kudisch, 1995; Hurt, 2016). Lack of focused attention on top management's commitment and accountability for training initiatives could explain why employees want more from them.

There are several strategies top executives and their teams can use to increase leadership engagement to demonstrate support for learning events. Scholars urged senior leaders to do the following: (a) tell employees why the training is essential and how it fits into the strategic plan, (b) provide employees with the necessary resources, (c) permit employees to attend training free from work interruptions, and (d) allow trainees to utilize the skills and hold them accountable for using what they learn at work (Facteau et al., 1995; Hurt, 2016; O'Reilly, Caldwell, Chatman, Lapiz, & Self, 2010). Moreover, executives must hold their direct reports accountable for communicating the value of training. Direct reports of executives are responsible for exhibiting the same behavior expected from their leaders, with their teams (Facteau et al., 1995; Hurt, 2016; O'Reilly et al., 2010).

Comparable to post-class coaching, Figure 4 illustrates the potential influence of leadership engagement on the personal, behavioral and environmental aspects of the triadic reciprocal causation model (Bandura, 1986, 1991, 1999, 2002, 2012). Moving clockwise, leaders who show interest in achieving success with 4DX can strengthen the motivations of their workers to perform at higher levels. When employees perform well, executives reap the benefits of their investment by getting the performance results they want from their employees (Baldwin & Ford, 1988; Cromwell & Kolb, 2004; Hurt, 2016;

O'Reilly et al., 2010). When top management gets involved by providing support and resources, this elevates the employees' perceptions of the workplace, which influences their agency and work behaviors. For this reason, a module on leadership engagement was included in the program.

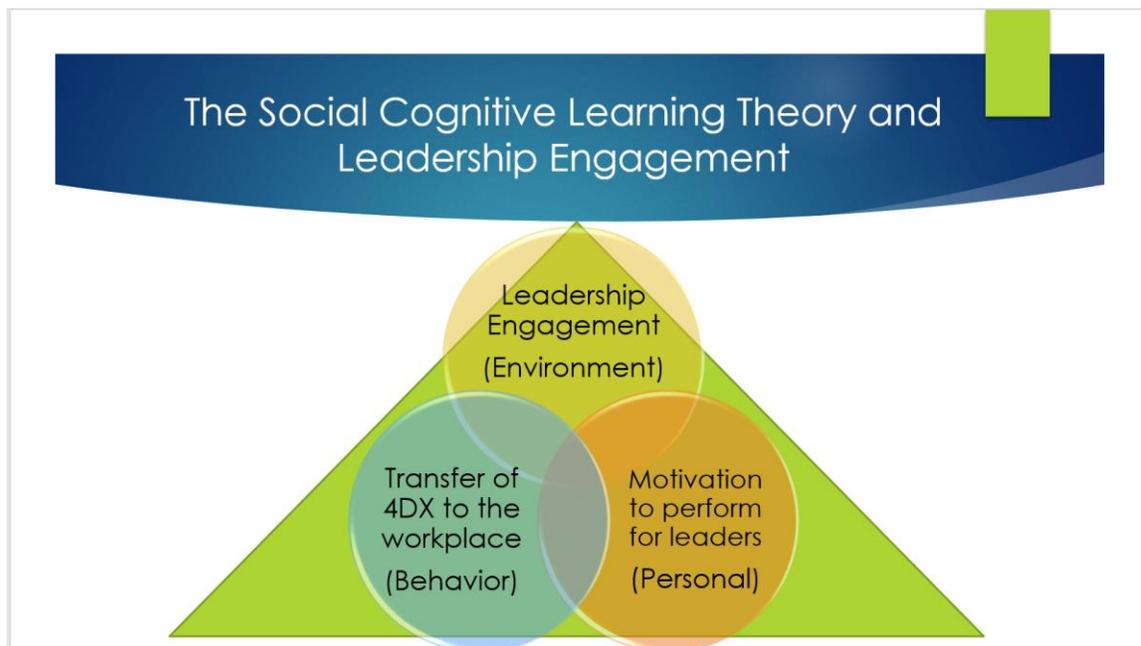


Figure 4. An illustration of leadership engagement and its alignment to Bandura's triadic reciprocal causation model of behavioral, environmental, and personal factors.

Critical Analysis of Project Content

Professional development programs should be centered on the adult learner and designed to meet their needs. Participants of the study submitted many suggestions to increase the transfer and application of 4DX at Company BLU. However, over half of the participants requested follow-up coaching and additional support from leaders after the class. Therefore, the content for the 3-day professional development program is based on

two principal findings from the study, post-class coaching and increased leadership engagement.

Post-class coaching. Grant (2017) described coaching in the workplace as an informal technique used to help leaders improve performance and meet targeted business objectives. Although I designed the formal delivery of a professional development course, the act of coaching takes place in an informal setting. In the work environment, coaches can observe how team members interact and how they obtain and process information with each other (Janssens et al., 2017; Kyndt et al., 2016). Built on the conceptual underpinnings of the triadic reciprocal causation model developed by Bandura (1986, 1991, 1999, 2002, 2012), observing personal agencies and behaviors in the workplace permits coaches to understand the teams' actual use of 4DX. Coaches can then identify which disciplines to focus on and use the techniques learned in the professional development course to ask the right questions and provide sound feedback. Asking questions and giving feedback help employees increase their confidence (i.e., personal agent) and the ability to implement actions (i.e., behaviors) that augment the transfer of 4DX to the job.

Leadership engagement. Support from leaders is an essential element to increase the application of training on the job (Govaerts et al., 2018; Hurt, 2016; Zumrah & Boyle, 2015). In keeping with the study's findings, participants identified lack of leadership engagement as a barrier or factor that impedes the transfer of 4DX to their jobs. Therefore, leadership engagement is the second component of the professional

development course and aligns with Bandura's (1986, 1991, 1999, 2002, 2012) triadic reciprocal causation model of the social cognitive learning theory.

The environmental segment of the triadic reciprocal causation model influences the personal and behavioral components thereby invoking the motions of all three elements (Bandura, 1986, 1991, 1999, 2002, 2012). Increased visibility of leaders involved in the professional development of employees tends to influence workers' perceptions of the work environment positively. Positive impressions minimize feelings of being imposed upon to perform under conditions of low support to no support from leaders (Bandura, 2012). Strong environmental support of 4DX by executives could impact an employee's self-efficacy, self-regulation, and their behavioral patterns with the 4DX process in a positive manner.

The objective of the course content on leadership engagement was to equip 4DX coaches with forethought and techniques to ensure that employees are not only prepared to use 4DX but are confident in their abilities to do so (i.e., self-efficacy and self-regulation). Hence, the increase in employees' agencies awakens their motivation to exhibit the behaviors necessary to produce results that create positive outcomes in the work environment via the application of the 4DX process.

Project Description

Analysis of the findings from this study led to the development of a 3-day professional development program. I selected a face-to-face format for onsite delivery (see Appendix A). The program includes preparation guidelines and class materials to assist facilitators with the delivery of the content. This section contains information that

outlines the needed resources, existing support, potential barriers, and possible solutions to obstacles. Also, I include the proposal for the implementation of the program and a timetable depicting the amount of time necessary to deliver the course components. Finally, I explain the roles and responsibilities of all constituents involved, inclusive of learning and development staff and class participants.

Resources and Supports

Resources needed for the 3-day program fall into three domains, human, material, and financial. Human resources required include the VP of Leadership Development, Manager of L&D, dedicated facilitators, facilities management. The Vice-President of L&D and the Manager of L&D are the support personnel for this program; their responsibility is to promote increased leadership engagement to anyone who leads attendees of the training course. Equally important are the facilitators who are responsible for delivering the program's content and working with the facility's management team in advance to reserve and set up the designated training space.

Material resources required are a dedicated training room, presentation laptop, screen projector, and speakers (provided they are not already built into the projector). Other materials include facilitator guides, handouts, four flipcharts, and markers for each, participants workbooks, PowerPoint presentation decks, evaluations, and certificates of completion. Financials are minimal because most of the materials already exist, a copier service is onsite, and facilitators are on the L&D staff. The only purchases necessary are breakfast items and lunch.

Potential Barriers and Solutions

In today's fast-paced work environment, time away from the job is a significant factor. A potential barrier might be that I designed the session for three full days. A possible solution to this barrier is to propose offering the training sessions one day per week spread over three consecutive weeks. The 3-week approach affords participants the flexibility of balancing work with job responsibilities. It also gives them a week to practice applying what they learned in between sessions.

Another potential barrier is travel; some departments have restricted budgets that may prevent opportunities for employees to travel to different locations. A probable solution is to provide alternative training platforms such as web conferencing, WebEx, Adobe Connect, or other collaborative technologies.

Program Implementation

Before implementing professional development programs, it is a best practice to pilot the training class first to obtain constructive feedback. At Company BLU, such pilots are presented to HRBPs, managers, and a sample of individual contributors. After receiving input from the various groups, modifications are made to increase the success of program delivery. Following this protocol, I would establish dates to pilot the program with HRBPs, managers, and individual contributors. Upon completion of the pilots, I would submit a proposed timeline for the actual rollout of the course. Also, I would detail information outlining roles and responsibilities for managers and individual contributors before, during, and after the training sessions. Refer to the section that outlines roles and

responsibilities. A proposed timetable is in Table 9 detailing dates, target audiences, and objectives.

Table 9

Timetable for Pilot and Course Rollout in 2020

Date	Target Audience	Objective
February 4	Senior Leaders	Discuss purpose of the class, leadership engagement, and solicit feedback.
February 11-13	HRBPs	Discuss purpose of the class, leadership engagement, and solicit feedback.
February 18-20	Leaders, Managers, Facilitators	Present class and solicit feedback.
February 25-27	Sample set of 4DX coaches	Present class and solicit feedback.
March 2-13	N/A	Per feedback from the various groups, the facilitator revises program content.
March 17-19	Official set of 4DX coaches	Present “Transformational Coaching for 4DX”.

Feedback will be collected from various groups to improve program content and presentation. As the initial facilitator, I would continue to collect feedback after each session. After receiving positive feedback from three consecutive classes, I would train other facilitators to deliver the content.

Roles and Responsibilities

Role clarity and responsibilities are essential elements for a successful launch of the professional development program. As the researcher and content developer, I am responsible for communicating and presenting the completion of this work to L&D leadership within Company BLU. Additional role clarity and responsibilities belong to the facilitators, leaders/managers, and participants.

Facilitators. As the initial facilitator, my role is to develop professional and substantive content materials for participants and future facilitators. I am also responsible for collaborating with anyone essential to the successful launch of the pilot and the initial rollout of the course (e.g., facilities management, L&D administration, and L&D leadership). Being responsible for these actions does not mean that I do everything; it means I find the right people who can provide the right services. Therefore, I must monitor the timetable and execute according to plan.

Leaders/managers. Both leaders and managers are responsible for increasing their level of involvement (i.e., leadership engagement) with participants who attend professional development courses. Increased engagement means scheduling time before the class to discuss how their direct reports intend to apply 4DX on the job. Leaders and managers must support their direct reports in the following ways: (a) help direct reports think through their application of 4DX, (b) dialogue with 4DX coaches to understand where direct reports are in the process and (c) identify what direct reports need to complete their 4DX project. Hence, leaders and managers must communicate with direct reports and 4DX coaches.

Participants. A certain level of engagement is required for participants before, during, and after the professional development program. Before the class, attendees must complete all assigned pre-work. During the course, individuals are expected to network, listen attentively, participate in group activities and discussions, share ideas and suggestions, reflect on exercises, and provide feedback on the course experience. After the class, participants are required to apply the coaching skills learned by practicing with a partner or potential client. Participants must follow the guidelines in the roadmap (see Appendix A) to assist in various situations, such as coaching the leader or manager versus coaching the person who is implementing the 4DX process..

Program Evaluation Plan

The longevity of professional development programs depends mainly on feedback received during and after training sessions. Caffarella and Daffron (2013) defined program evaluations as “a process to determine whether the design and delivery of a program were effective and whether the proposed outcomes were met” (p. 233). At Company BLU, it is a standard practice to conduct evaluations during pilots and actual programs. Caffarella and Daffron suggested using formative evaluations to determine if adjustments are needed while the program is in session or summative evaluations after completion of the learning event. I will use formative evaluations at the end of the first two days. The goal is to identify if participants are connecting with the course content and if there is a need for revisions (see Cafferella & Daffron, 2013). Then I will administer a summative evaluation on the last day of the program. The goal is to gain collective feedback on the overall effectiveness of the course over the three days (see

Cafferella & Daffron, 2013). I inserted a sample of each type in Appendix A. Evaluation results will be distributed in a report to key stakeholders.

The goal of this project is to increase the application of 4DX and leadership engagement in the workplace. Evaluations function as moral compasses to hold decision-makers and program developers accountable for delivering effective learning products (J. D. Kirkpatrick & W. K. Kirkpatrick, 2016; Lacerenza et al., 2017). D. Kirkpatrick's (1996) evaluation method of measuring four levels (i.e., reactions, learning, behavior, and results) is the standard practice used at Company BLU to measure the effectiveness of training programs (J. D. Kirkpatrick & W. K. Kirkpatrick, 2016; Lacerenza et al., 2017). Level 1 data (reactions) are collected to indicate whether or not participants perceive the program's content relatable and relevant for their needs (Lacerenza et al., 2017). Level 2 data (learners) provide insight into the extent to which learning occurred for the participants (Lacerenza et al., 2017). Levels 1 and 2 are the two components used to begin the decision-making process regarding the merit and value of the 3-day professional development course.

Levels 3 and 4 respectively capture data on behavioral change and intangible results (J. D. Kirkpatrick & W. K. Kirkpatrick, 2016). Each type of evaluation requires time to apply the learning and assess the effects. Therefore, 60-90 days after the session, another survey will be sent electronically to the participants. The objective of this evaluation is to determine the extent of participant application and transfer of 4DX. (see Appendix A). Phillips and Phillips (2007) built on the seminal works of D. Kirkpatrick (1996) and added a fifth dimension to the model, return on investment (ROI). A positive

ROI means the program paid for itself and produced financial results beyond the original investment. Unless a request is made by leadership for this metric, I will not capture ROI for the initial launch of this program. However, it possible that leaders might request this metric for subsequent offerings of this program.

Project Implications

Findings from the study indicated that the majority of participants who completed the 4DX course felt prepared to implement 4DX, but half did not feel confident in their abilities to do so. Participants felt the need for more coaching after the class and wanted more involvement from managers and leaders. From the agentic perspective of the triadic reciprocal causation model, lack of confidence and engagement from leadership may affect a person's agency, which leads to lack of action, and lack of action leads to lack of results (Bandura, 2012). The 3-day professional development program was designed to promote post-class coaching and leadership engagement by creating a group of coaches to provide on-going support after the class for leaders and managers who want to leverage the 4DX process.

Professional development is a form of social change (Germain & Grenier, 2015). The role of the coaches is to act as agents of social change by providing one-on-one support to managers to close the gap between prepared versus confident participants. Social change implications from one-on-one coaching outside of the classroom, combined with increased leadership engagement could lead to the transformational change, which leads to the transfer, application, and execution of 4DX. Consequently, behavioral change occurs and could lead to social change, if maintained over time.

At the local level, stakeholders can use the information from this study to construct a deeper meaning and understanding of the overall effects of the transfer of training, and its potential to impact social change in the workplace. Findings from this study may prompt L&D constituents to serve as catalysts for social change by leveraging new approaches and practices that create successes and remove potential barriers that negatively influence the transfer of training for employees. From a broader context, L&D leadership could use the data from this study to test the results across the enterprise. Consequently, these findings may influence L&D to implement additional professional development programs that address post-class coaching and leadership engagement for other courses as appropriate. Focusing on the consistent practice of the transfer of 4DX training, with leadership support, stands to strengthen the self-efficacy of adult workers, thereby improving social interactions in the workplace. Improved social interactions inspire positive social change.

Conclusion

In Section 3, I identified a professional development program as the appropriate genre of the project for this study (see Appendix A). I presented the rationale and the literature to support the creation of a professional development course to establish a pool of coaches for 4DX outside of the classroom. Based on the findings from the data analysis, also included in the course is a segment on leadership engagement. Following that, I conducted a critical analysis of the program content connecting it to research and theory and completed Section 3 with details on resources, barriers, implementation requirements, roles and responsibilities, program evaluation, and project implications. In

Section 4, I reflected on the project's strengths and limitations, provided recommendations for alternative approaches, and described what I learned about the processes. Finally, I reflected on the importance of the project and summarized the implications, applications, directions for future research, and conclusions of this study.

Section 4: Reflections and Conclusions

The project developed for this study was a 3-day professional development course. The objective of the training was to increase the use and application of 4DX by equipping a pool of change coaches with techniques to support students after class. Individuals who complete the course are expected to serve as coaches to bridge the gap between in-class learning and post-class application of knowledge and skills in the workplace. Coaches may also intervene to increase leadership engagement or support. In this section, I describe the project's strengths and limitations, recommendations for alternative approaches, and knowledge acquired from the processes. Also, I reflect on the significance of the project and its effect on social change, along with implications, applications, and directions for future research.

Project Strengths and Limitations

The project was conducted in response to the research findings, which indicated that at least half of the students who completed 4DX classes often require additional support after the class. Participants in the study also reported the need for reliable support from their leaders. A primary strength of the 3-day professional development course was its focus on the needs of the participants, which were post-class coaching and leadership engagement. A second strength was the interactive course design, which enabled facilitators to present opportunities for practical application during the class through activities, case studies, and real work scenarios. A third strength was my knowledge of the study site, which allowed me to prepare the course content and materials relevant to the contextual setting of the stakeholders and learning environment.

Although this study revealed information about transfer and training for professional development, there were limitations that merit acknowledgment. A limitation of the project was the design of an on-site 3-day course. Employees are struggling to maintain work obligations in fast-paced global and remote work settings. Attending class for this length of time may not be conducive for individuals who cannot participate in face-to-face classes and could benefit from other types of delivery modalities, such as live virtual sessions. Another limitation was I developed the project from my vantage point lacking input from others who are more proficient in instructional design and development.

Recommendations for Alternative Approaches

There are multiple ways to conduct a project study. From a qualitative standpoint, focus groups could have been used to collect data for this study. Using focus groups might have permitted further exploration of the transfer of training segmented by job functions (e.g., leader of leaders, leaders of individual contributors, or team leaders). Another approach might have been to use focus groups with distribution or operations center leaders rather than office leaders (e.g., finance, human resources, or sales). Capturing and analyzing data from different work groups might have produced information that led to an indication for policy change instead of a professional development program.

Although I interviewed managers from various parts of the company, I limited the study to one corporate setting. Findings cannot be generalized across genres of people, departments, companies, or industries. An empirical approach would have required

different types of inquiry. First, quantitative methodology would have broadened the spectrum of participants and work areas within the company. Second, quantitative methodology would have enabled me to explore the transfer of training across multiple corporate sites and industries. A third option could have been the use of control groups to determine whether post-class coaching and leadership engagement were effective agents of change. Lastly, quantitative methodology would have allowed me to examine different variables and their correlations to each other (i.e., facilitator support, peer support, trainee abilities, and motivation).

Alternative definitions and solutions to the problem are worthy of further exploration. One approach might be narrowing the focus on the environment. The research question could be the following: How might the company's environment support or hinder the transfer of training from professional development courses? Another definition of the problem might be centered on leadership or managerial support through the following question: How is leadership or managerial support impacting the transfer of training from professional development courses? Examining the problem from these angles might have produced alternate solutions to the problem. Findings from studies of this nature may have led to the realization of requirements for after action reviews, communities of practice, or policy changes.

Scholarship, Project Development, and Leadership and Change

The road to research has been a journey into the world of scholarship. While navigating the process of completing a doctoral study, I have acquired an appreciation for the facets of scholarly writing. Scholarly language is recognized as a person's ability to

articulate written discussions and findings from previous research in an ethical manner (Roberts, 2010). Employing the practice of writing arguments composed of main topics, evidence, analyses, and lead or transition statements facilitated my development and practice of scholarly thinking and writing. Using scholarly speech, I have learned to monitor my writing for assumptions and biases that previously would have remained unnoticed. Often researchers think they know the solutions to problems before the studies begin and engage in research with a specific outcome in mind. However, I have learned that the authenticity of research rests on the scholar's ability to let the data guide the project development process, and not the project development process guide the data.

Researchers are responsible for accurately reporting data that represents the actions, beliefs, and thoughts of participants in the study (Lodico et al., 2010). Developing a project that is aligned with findings from the research increases the integrity and acceptability of the recommended program. As I created the professional development course, my thought processes were centered on information collected from the study's participants and future learners of the course content. I designed a learning solution with goals and objectives that would encompass the intention and purpose of the program as well as the projected outcomes (see Caffarella & Daffron, 2013). Also, I constructed content and materials predicated on adult learning theories, specifically the social cognitive learning theory. Finally, by designing this project, I learned about the intricacies of developing facilitator instructions, scripts, roadmaps, workbooks, and evaluation plans.

Leadership and change are interrelated. Morrison (2013) described leadership as the vehicle that drives organizational success. Kotter (as cited in Morrison, 2018) declared that an essential component of leadership is the leader's ability to handle change. Strong leaders are people who can recognize and call out the need for change. These are the leaders required to steer the vehicle (i.e., organization) in the right direction to bring forth the change needed to sustain success (Morrison, 2013). Effective leaders drive organizational success by supporting the development of learning programs that meet the needs of the employees and the companies they serve.

Leaders must be willing to recognize and call out the necessary change. Researchers indicated that students are often left to their own devices to transfer training after class without additional support from others (Baldwin et al., 2017; Hall et al., 2014). Participants in the current study asked for further assistance after 4DX classes to make the transfer of training happen. As a leader, I have learned the significance of identifying change and applying action to bring it forth. I recognized the need to call out the transfer of training as a practice that should take place at a higher level. I also designed a professional development program to create 4DX change coaches to move the change forward in the company.

Analysis of Self as Scholar

Obtaining a doctorate has been a challenging yet fulfilling journey. Roberts (2010) challenged readers to determine whether they have what it takes to achieve the highest degree in the nation. As an emerging scholar, I accepted the challenge to complete this study and fulfill my lifelong goal. Roberts stated that working on a degree

of this nature is a transformative experience. I can attest that Roberts's assessment of the process is accurate as I have transformed in many ways. Working through this process has helped me to develop researching skills, exercise critical thinking skills, and find my scholarly voice. I have also learned the value of giving other scholars and practitioners credit for their work by carefully interpreting their work and recognizing their accomplishments through proper citations. Lastly, I have learned to appreciate the nuances of quantitative, qualitative, and mixed-methods research.

Analysis of Self as Practitioner

As an individual who transferred from a career in information technology to one in L&D, I identify more as a practitioner than a scholar. For this reason, I chose to work on a doctorate in adult education. As an experienced L&D professional, I have an ingrained understanding of the practices and approaches to course development, design, delivery, and evaluation (see Caffarella & Merriam, 2013). However, as an emerging researcher, I was not aware of the standards and procedures used to plan, coordinate, and conduct research. I discerned the distinctions between having an etic view (objective) versus an emic view (subjective) of research (see Larsen-Freeman, 2013; Noe et al., 2014). I also learned the different types of qualitative inquiry (case study, ethnography, grounded theory, narrative, phenomenology) and when to use each for research projects (see Creswell & Poth, 2018; Merriam, 2009). I will apply this knowledge in every educational opportunity presented to me.

Analysis as Project Developer

As a project developer offering a solution to a problem, I decided to create a 3-day professional development program to facilitate the transfer of training for participants who completed a 4DX class. Although there were three other project genres to choose from (evaluation report, curriculum plan, or policy paper), the development program was the best fit for this project. Companies concerned with employee development provide training programs that facilitate connection to business goals and effective transfer of knowledge to the workplace (Holt, Hall, & Gilley, 2018). Adult students learn differently; therefore, courses should be designed to accommodate their development needs and learning styles (Hall et al., 2014; Holt et al., 2018). While composing the program content, materials, and evaluations, I remained cognizant of the 4DX coaches, the leaders they would coach, and their contextual settings.

As a project developer on a journey to experience scholarly research, I learned the importance of planning and making decisions at every point in the process. Conceptual or theoretical frameworks, research designs, sample populations, participants and their rights, data collection instruments, data storage, and data analyses are critical considerations for the successful completion of a project (Creswell, 2014; Lodico et al., 2010; Patton, 2015). I have acquired new skills in each area and can now conduct future research with the confidence and competence to make substantive contributions to the body of knowledge in adult education.

Reflection on the Importance of the Work

In this study, I examined the transfer of training for leaders and managers in a corporate setting. Transferring knowledge and applying skills back on the job is a typical expectation of sponsors of leadership development programs (Holt et al., 2018). Although a significant body of research exists on the transfer of training, dating as far back as the 1900s, the topic warrants further research (Bell et al., 2017). Most of today's leaders and employees are functioning in fast-paced global work settings in which they are bombarded with change initiatives (Morrison, 2018) requiring a rapid transfer of knowledge and skills to the job.

Leadership in Company BLU was interested in understanding what fostered training transfer and what did not, and leaders in other organizations may have similar concerns. This study added to the body of literature by highlighting the factors that support and hinder the transfer of training for workers who are consumed and overwhelmed with competing priorities. The study project contributed to field coaching and leadership engagement techniques that are not currently standard practice in professional development programs.

Implications, Applications, and Directions for Future Research

Educators who deliver professional development programs aim to instill knowledge and skills to evoke changes in behavior for the betterment of the employees and their workplaces (Kirkpatrick, 1996; Mosteo, Batista-Foguet, Mckeever, & Serlavós, 2016). Looking at the data results through the lenses of Bandura's (1986, 1991, 1999, 2002, 2012) triadic reciprocal causation model, I concluded that the 3-day program would

instill knowledge and skills to impact social change for leaders and managers at Company BLU. The overall goal was to help people successfully implement 4DX amid constant changes in employees' roles, job functions, and regulatory procedures (see Holmberg, Larsson, & Bäckström, 2016; Holt et al., 2018) that can affect the personal, behavioral, and environmental aspects of their work.

Implications from the study included three areas of concern: (a) participants felt prepared after the class but wanted and needed additional support in their workspaces, (b) participants felt overwhelmed and confused about the significance of 4DX to their work, and (c) participants felt leadership engagement or lack of it influenced employee engagement. Applications for higher levels of social change could emerge when (a) participants receive the help they need in salient spaces, (b) participants feel prepared and confident in their abilities to execute 4DX, and (c) employees perceive genuine interest and involvement from the leaders during the 4DX process. These applications may promote faster rates of 4DX training transfer.

In keeping with qualitative research protocol, small sample populations work best to obtain meaning and insight regarding the phenomenon under study (Lodico et al., 2010). I interviewed 12 participants at one study site. A greater number of interviewees might have produced different or additional focal points aside from post-class coaching and leadership engagement, which might have taken the design of the project in a different direction (e.g., a policy paper). Future researchers could explore other factors influencing performance in the workplace. Different motivational factors, such as

learning goal orientation, self-efficacy, and intention to transfer, could be analyzed to determine their effects on job performance at this site.

Examining demographic characteristics such as participants' jobs (e.g., marketing versus supply chain) from multiple regions of the company may help L&D practitioners determine whether the needs of international participants attending professional development training are the same as those of domestic employees (see Lodico et al., 2010). Correlating and triangulating data from multiple sources (i.e., different types of organizations and professional development courses) may help researchers determine other positive effects on the transfer of training in the workplace (see Creswell & Poth, 2018; Lodico et al., 2010). Finally, researchers could explore different cultural contexts to compare their findings to the results from the current study.

Conclusion

This study was pursued to explore a gap in the transfer of training by managers and leaders in a business environment. Cultures are varied in their social structures and systemic practices (Bandura, 2002); the same applies to qualitative research as it is a culture in and of itself. I selected the triadic reciprocal causation model component of the social cognitive learning theory as the conceptual framework to explore the transfer of training in a more comprehensive manner (Bandura, 1986, 1991, 1999, 2002, 2012). However, it is left up to the reader to decide if the participants' responses illuminated the personal, behavioral, and environmental aspects of Bandura's model and discern how the three elements were able to influence the other components in either direction.

Findings from the study validated that participants needed and wanted additional support after a class to transition learning from theory to actual practice and application. In some instances, the study's results also showed the same factors that supported or hindered the transfer of training at Company BLU were present for some participants and nonexistent for others (e.g., leadership engagement). For example, a few of the interviewees felt that having their leaders involved every step of the way added to their probability of success with 4DX. Others felt that lack of involvement on their leaders' parts added to employees' inabilities to implement 4DX. Appeals for additional coaching and leadership engagement were catalysts for reminding leaders about their responsibilities to drive personal, environmental, and behavioral change.

In response to the participants' requests, a three-day professional development program was constructed to encourage substantive social change by impressing the values of collaboration and commitment (Garrin, 2014). Therefore, post-class coaching and leadership engagement were designed to increase the successful transfer of 4DX. However, additional qualitative research projects are needed to obtain a more substantial meaning and understanding about training transfer from specific leadership development courses through the lenses of the learners in this and other corporate settings.

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Appendix A: The Project

Project: Transformational Coaching for 4DX Champions

This project was in response to the research findings from a qualitative study investigating the successes and barriers for the transfer of training from a leadership development course (4DX). Components of the project include PowerPoint slides, a schedule, an outline, a facilitator's guide, a participant workbook, handouts, a roadmap, and an evaluation for the first day. Due to large file sizes, the facilitator's guide and evaluations were included only for day one.

Purpose: Coaching in real time and promoting leadership engagement were the dominant underpinnings identified for a successful transfer of 4DX. Therefore, the purpose of the three-day program was to develop a pool of coaches to help managers and leaders develop their skills as they work through obstacles applying 4DX on the job.

Development: The design of the program was developed with post-class coaching and leadership engagement as the foundational settings for skill development. Each day participants are presented with concepts, techniques, and group activities to enhance their practice of the four disciplines. Additionally, on the final day, participants are exposed to strategy development techniques to promote leadership engagement and develop solutions for anticipated problems functioning as coaches in real time.

Goals: The goals for this program are listed as follows:

1. Equip 4DX coaches with tools and techniques to use when coaching leaders on the four disciplines.
2. Provide coaches with tools and techniques to promote leadership engagement.

Learning Objectives:**At the end of day one, participants will be able to:**

Understand findings from the study that prompted development of the course.

Understand the implications of being emotionally available.

Understand transformational change and how to coach for 4DX transformation.

Apply tools and techniques when coaching for Discipline 1.

At the end of day two, participants will be able to:

Identify the types of coaching for 4DX.

Understand the significance of sharing constructive feedback.

Apply tools and techniques when coaching for Discipline 2.

Understand how to coach for accountability.

At the end of day three, participants will be able to:

Apply tools and techniques when coaching for Discipline 3.

Apply tools and techniques when coaching for Discipline 4.

Understand the value of leadership engagement.

Develop strategies for perceived obstacles coaching 4DX.

Course Components: The following materials were developed for the program:

- Agendas
- Facilitator Outlines
- Facilitator Guide
- * PowerPoint Deck
- Handouts
- Participant Roadmap
- Evaluations
- * Participant Workbook

***Note:** The PowerPoint and participant workbook were not included due to file sizes.

Transformational Coaching Workshop Budget:

Item	Price Per Day	Number of Days	Extended Costs
Breakfast	\$150	3	\$ 450
Lunch	200	3	600
Celebration Dinner	500	1	500
Materials	300	N/A	300
Facilitator	0	N/A	0
Facility	0	N/A	0
Total			\$1,850

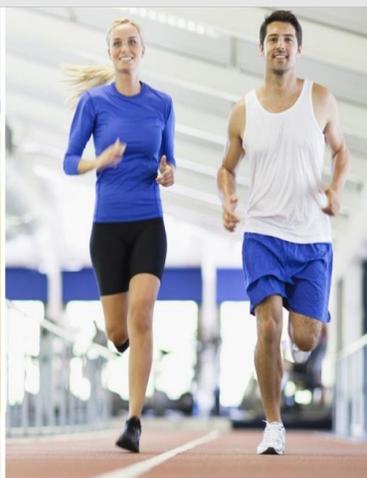
TRANSFORMATIONAL COACHING FOR 4DX CHANGE CHAMPIONS

Discipline 1

Discipline 2

Discipline 3

Discipline 4



TRANSFORMATIONAL COACHING FOR 4DX

DEBRA D. SEVERAN

Transformational Coaching for 4DX Change Champions

Agenda - Day One

Date:		
Timing AM	Content	Minutes
08:30 – 08:50	BREAKFAST AND NETWORKING	20
08:50 – 09:15	Welcome Agenda – Day One Introductions	25
09:15 – 10:00	Coaching and You Emotionally Available	45
10:00 – 10:15	BREAK	15
10:15 – 10:30	Overview of 4DX: 4DX in a Nutshell Benefits of 4DX Coaching	15
10:30 – 11:30	A Qualitative Approach to Transfer of Training Project Study Framework Project Study Results	60
11:30 – 12:00	Transformational Change	30
12:00 – 1:00	LUNCH	60
Timing PM	Content	Minutes
1:00 – 1:30	Coaching for 4DX Transformation	30
1:30 – 2:30	Coaching for Discipline 1 Discipline 1 - Case Study Demonstration Discipline 1 - Case Study 1 Discipline 1 - Practice: Case Study 1	60
2:30 – 2:45	BREAK	15
2:45 – 3:15	Discipline 1 - Debrief: Case Study 1 Discipline 1 - Case Study 2 Discipline 1 - Practice: Case Study 2 Discipline 1 - Debrief: Case Study 2	30
3:15 – 3:45	Discipline 1 - Real Work Discipline 1 - Practice: Real Work Discipline 1 - Debrief: Real Work	30
3:45 – 4:15	Reflections	30
4:15 – 4:30	Wrap-Up Evaluation	15
END OF DAY ONE		

Transformational Coaching for 4DX Change Champions

Facilitator Outline - Day One

Date:		
Timing AM	Content	Minutes
8:30 – 8:50	BREAKFAST AND NETWORKING	20
8:50 – 9:00	Presentation: (Slides 1-6) <ul style="list-style-type: none"> • Title Slide • Thought for the Day • Welcome • Disclaimers • Today’s Objectives • Agenda – Day One 	10
9:00 – 9:15	Activity #1 – Introductions (Slide 7) Presentation: (Slides 8-9) <ul style="list-style-type: none"> • Participant materials • Ground Rules 	15
9:15 – 9:45	Activity #2 - Coaching and You (Slide 10-11) Presentation: (Slides 12-13) <ul style="list-style-type: none"> • Coaching is most effective when... • Coaching is least effective when... 	30
9:45 – 10:00	Activity #3 – What does emotionally available mean to you? (Slide 14) Presentation: (Slide 15-16) <ul style="list-style-type: none"> • Emotionally Available – Coach • Emotionally Available - Participant 	15
10:00 – 10:15	BREAK	15
10:15 – 10:30	Overview of 4DX (Slide 18) <ul style="list-style-type: none"> • Video: 4DX in a Nutshell • Participants may take notes as they watch Activity #4 – The Good, Bad, and Ugly (Slide 19) Presentation: (Slide 20) <ul style="list-style-type: none"> • Benefits of 4DX Coaching • Ask: “Can you think of other benefits?” 	15
10:30 – 10:45	Transition: A Qualitative Approach to Transfer... (Slide 21) Presentation: (Slides 22-26) <ul style="list-style-type: none"> • Purpose of Study • Transfer of Training – International Issue • Research Questions • Significance of the Study 	15

	<ul style="list-style-type: none"> • Demographics of Study <p>Transition: Project Study Framework (Slide 27)</p> <p>Presentation: (Slides 28-32)</p> <ul style="list-style-type: none"> • Social Cognitive Learning Theory • Personal • Environment • Behavior • Triadic Reciprocal Causation Model <p>Transition: Project Study Results (Slide 33)</p> <p>Presentation: (Slides 34-39)</p> <ul style="list-style-type: none"> • Preparedness • Comments for Preparedness • Attributes for Preparedness • Confidence • Comments for Confidence • Attributes for Confidence <p>Activity #5 – What Does This Tell Us? (Slide 40)</p>	
10:45 – 11:00	<p>Presentation: (Slides 41-44)</p> <ul style="list-style-type: none"> • 60 Second Energizer: What was the purpose...? • Times When Successful with 4DX • Attributes for Success • Other Factors That Create Successes <p>Activity #6 – What Thoughts do You Have...? (Slide 45)</p>	15
11:00 - 11:15	<p>Presentation: (Slides 46-48)</p> <ul style="list-style-type: none"> • Barriers for Implementing 4DX • Attributes for Barriers • Other Factors That Create Barriers <p>Activity #7 – What Thoughts do You Haves...? (Slide 49)</p>	15
11:15 – 11:30	<p>Presentation: (Slides 50-55)</p> <ul style="list-style-type: none"> • What is Needed to Increase Transfer of 4DX? • Sifting suggestions for increase transfer of 4DX • Formula for Successful Transfer of 4DX • How Can You Help? • Impacts of Coaching for 4DX • What Questions do you Have...? 	15
11:30 – 12:00	<p>Transition: Transformational Change (Slide 56)</p> <p>Activity #8 - What Does Transformation Mean to You? Why? (Slide 57)</p> <p>Presentation: (Slides 58-60)</p>	30

	<ul style="list-style-type: none"> • Synonyms for Transformation Change • Transformation is... • Transformational Change <p>Activity #9 – Think of a Time... (Slide 61) Presentation: (Slides 62-65)</p> <ul style="list-style-type: none"> • How Does This Apply to 4DX? • Why is Transformational Change Important? • Execution of 4DX Leads to Results • What Should 4DX Champions Do? 	
12:00 – 1:00	LUNCH	60

Timing PM	Content	Minutes
1:00 – 1:30	<p>Transition: Coaching for 4DX Transformation (Slide 67) Presentation: (Slides 68-70)</p> <ul style="list-style-type: none"> • 60 Second Energizer: What is the format for a lag measure? • The Lag Measure Format • The Whirlwind <p>Activity #10 – Mentoring is not Coaching (Slide 71) Presentation: (Slides 72-74)</p> <ul style="list-style-type: none"> • Mentoring • Coaching • Tapping into Your Internal Coach 	30
1:30 – 2:00	<p>Transition: Coaching for Discipline 1 (Slide 75) Activity #11 – Key Points About Discipline 1 (Slide 76) Presentation: (Slides 77-82)</p> <ul style="list-style-type: none"> • Where does Discipline 1 Fall? • What Should 4DX Change Champions Do? • Basic Guidelines for Coaching • Discipline 1: Guidelines • Discipline 1: Coaching • Discipline 1: More Coaching 	30
2:00 – 2:15	Activity #12 - Case Study Demonstration (Slide 83)	15
2:15 – 2:30	Activity #13 - Discipline 1 - Case Study 1 (Slide 84) Discipline 1 - Practice: Case Study 1 (Slide 85)	15
2:30 – 2:45	BREAK	15
2:45 – 3:00	<p>Presentation: (Slides 87-88)</p> <ul style="list-style-type: none"> • 60 Second Energizer • The 4DX Formula for Success 	15

	Discipline 1 - Practice Debrief: Case Study 1 (Slide 89)	
3:00 – 3:15	Activity #14 - Discipline 1: Case Study 2 (Slide 90) Discipline 1 - Practice: Case Study 2 (Slide 91) Discipline 1 - Practice Debrief: Case Study 2 (Slide 92)	15
3:15 – 3:45	Activity #15 - Discipline 1- Practice: Real Work (Slide 93) Discipline 1 - Practice Debrief: Real Work (Slide 94)	30
3:45 – 4:15	Transition: (Slide 95) Activity #16 – Reflections (Slide 96)	30
4:15 – 4:30	Wrap-Up (Slides 97-102) <ul style="list-style-type: none"> • Review Today’s Objectives • Review Agenda for Day Two • Preparation for Day Two • Contact Information • Evaluation – Day One • Thought for the Day 	15
	END OF DAY ONE	

Transformational Coaching for 4DX Change Champions

Agenda - Day Two

Date:

Timing AM	Content	Minutes
8:30 – 8:45	BREAKFAST AND NETWORKING	15
8:45 – 9:00	Welcome Back Agenda – Day Two	15
9:00 – 9:30	What Do You Remember?	30
9:30 – 10:00	Types of Coaching	30
10:00 – 10:15	BREAK	15
10:15 – 10:45	Over-Coaching Vs Under-Coaching Find a Balance	30
10:45 – 11:00	Feedback and Coaching	15
11:00 – 11:30	Coaching for Discipline 2 Guidelines for Lead Measures Coaching for Lead Measures	30
11:30 – 12:30	LUNCH	60

Timing PM	Content	Minutes
12:30 – 1:30	Discipline 2 - Case Study Demonstration Discipline 2 - Case Study 1 Discipline 2 - Practice: Case Study 1 Discipline 2 - Debrief: Case Study 1	60
1:30 – 2:00	Discipline 2 - Case Study 2 Discipline 2 - Practice: Case Study 2 Discipline 2 - Debrief: Case Study 2	30
2:00 – 2:15	BREAK	15
2:15 – 3:30	Discipline 2 - Real Work Discipline 2 - Practice: Real Work Discipline 2 - Practice Debrief: Real Work	75
3:30 – 4:00	Reflections	30
4:00 – 4:30	Wrap-Up Evaluation	15

END OF DAY TWO

Transformational Coaching for 4DX Change Champions

Facilitator Outline - Day Two

Date:		
Timing AM	Content	Minutes
8:30 – 8:45	BREAKFAST AND NETWORKING	15
8:45 – 9:00	Presentation: (Slides 1-7) <ul style="list-style-type: none"> • Title Slide • Thought for the Day • Welcome Back • Disclaimers • Review of Day One • Today's Objectives • Agenda – Day Two 	15
9:00 – 9:30	Activity #1 – What Do You Remember? (Slides 8-9)	30
9:30 – 10:00	Transition: Types of Coaching (Slide 10) Presentation: (Slides 11-15) <ul style="list-style-type: none"> • Social Cognitive Learning Theory • What is the formula for the successful transfer of 4DX? • The 4DX Formula for Success (two slides) • Types of Coaching for 4DX Activity #2 - Coaching for Change (Slide 16) Presentation: (Slides 17-18) <ul style="list-style-type: none"> • Coaching for Progress • Coaching for Support Activity #3 – When to Coach for Accountability (Slide 19) Presentation: (Slides 20-22) <ul style="list-style-type: none"> • Coaching for Accountability • Remember: Coaching is Asking Good Questions • Coaching Tactics 	30
10:00 – 10:15	BREAK	15
10:15 – 10:45	Presentation: (Slides 24-25) <ul style="list-style-type: none"> • 60 Second Energizer: What are the four types of coaching for 4DX? • Facilitator reveals answer on next slide Activity #4 – Over-Coaching Vs Under-Coaching (Slide 26) Presentation: (Slide 27) <ul style="list-style-type: none"> • Find a Balance 	30
10:45 – 11:00	Transition: Feedback (Slide 28) Presentation: (Slides 29-34)	15

	<ul style="list-style-type: none"> Feedback and Coaching Reactions to Feedback How is Your Feedback? Demonstration: Feedback can be Overwhelming Share Your Feedback (two slides) 	
11:00 – 11:30	<p>Transition: Coaching for Discipline 2 (Slide 35)</p> <p>Presentation: (Slides 36-37)</p> <ul style="list-style-type: none"> Where Does Discipline 1 Fall? What Should 4DX Change Champions Do? <p>Activity #5 – WIG, Lag, OR Lead Measure (Slides 38-40)</p> <p>Presentation: (Slides 41-44)</p> <ul style="list-style-type: none"> Remember: Coaching is Asking Good Questions Discipline 2: Guidelines for Lead Measures Discipline 2: Coaching for Behavioral Change Discipline 2: Coaching for Lead Measures 	30
11:30 – 12:30	LUNCH	60

Timing PM	Content	Minutes
12:30 – 1:00	<ul style="list-style-type: none"> 60 Second Energizer: What are two key...? (Slides 46-47) <p>Activity #6 – Discipline 2: Case Study Demo (Slides 48-49)</p> <p>Discipline 2: Case Study Demonstration Debrief</p>	30
1:00 – 1:30	<p>Activity #7 – Discipline 2: Case Study 1 (Slide 50-52)</p> <p>Discipline 2 - Practice: Case Study 1</p> <p>Discipline 2 – Practice Debrief: Case Study 1</p>	30
1:30 – 2:00	<p>Activity #8 – Discipline 2: Case Study 2 (Slides 53-55)</p> <p>Discipline 2 - Practice: Case Study 2</p> <p>Discipline 2 – Practice Debrief: Case Study 2</p>	30
2:00 – 2:15	BREAK	
2:15 – 3:30	<p>Practice Continued</p> <ul style="list-style-type: none"> 60 Second Energizer: True or False (Slides 57-58) <p>Activity #9 – Discipline 2: Practice Real Work</p> <p>Discipline 2 – Practice Debrief: Real Work</p>	75
3:30 – 4:00	Activity #10 – Reflections (Slides 61-62)	30
4:00 – 4:30	<p>Wrap-Up (Slides 63-68)</p> <ul style="list-style-type: none"> Review Today’s Objectives Review Agenda for Day Three Preparation for Day Three Contact Information Evaluation- Day Two Thought for the Day 	30
	END OF DAY TWO	

Transformational Coaching for 4DX Change Champions

Agenda - Day Three

Date:

Timing AM	Content	Minutes
8:30 – 8:45	BREAKFAST AND NETWORKING	15
8:45 – 9:00	Welcome Back Agenda – Day Three	15
9:00 – 9:30	Transfer and Application	30
9:30 – 10:00	Coaching for Discipline 3 Discipline 3 - Practice: Real Work Discipline 3 - Practice Debrief: Real Work Discipline 3 - Reflections	30
10:00 – 10:15	BREAK	15
10:15 – 10:45	Coaching for Discipline 4 Discipline 4 - Case Study Practice: Case Study 1 Discipline 4 - Case Study Debrief: Case Study 1	30
10:45 – 12:00	Discipline 4 - Practice: Real Work Discipline 4 - Practice Debrief: Real Work Discipline 4 - Reflections	75
12:00 – 1:00	LUNCH	60
Timing PM	Content	Minutes
1:00 – 2:15	Leadership Engagement Promoting Leadership Engagement Reflections	75
2:15 – 2:30	BREAK	15
2:30 – 3:30	Strategies - Challenges Coaching 4DX Speed Strategizing - Exercise Round 1 Speed Strategizing - Debrief Round 1 Speed Strategizing - Exercise Round 2 Speed Strategizing - Debrief Round 2	60
3:30 – 4:15	Reflections and Action Planning What I liked least/most?	45
4:15 – 4:30	Wrap-Up Evaluation	15
	END OF DAY THREE	

Transformational Coaching for 4DX Change Champions

Facilitator Outline - Day Three

Date:		
Timing AM	Content	Minutes
8:30 – 8:45	BREAKFAST AND NETWORKING	15
8:45 – 9:00	Presentation: (Slides 1-7) <ul style="list-style-type: none"> • Title Slide • Thought for the Day • Welcome Back • Disclaimers • Review of Day Two • Today's Objectives • Agenda – Day Three 	15
9:00 – 9:30	Transition: Transfer and Application (Slide 8) Activity #1 – Think of a Time When You... (Slide 9) Presentation: (Slides 10-15) <ul style="list-style-type: none"> • Transfer and Application • Training Transfer and Application • Lack of Transfer and Application of 4DX • Eliminate the Confusion about 4DX • Benefits of Transfer and Application of 4DX • The 4DX Formula for Success 	30
9:30 – 10:00	Transition: Coaching for Discipline 3 (Slide 16) Presentation: (Slides 17-26) <ul style="list-style-type: none"> • 60 Second Energizer: Criteria for a Scoreboard • Review: Criteria for a Scoreboard • Where Does Discipline 3 Belong Fall? • What Should 4DX Champions Do? • Remember: Coaching is Asking Good Questions • Discipline 3 - Guidelines • Discipline 3 – Coaching for the Scoreboard • Sample Scoreboards – Ask the questions on the next 3 slides Activity #2 - Discipline 3 – Practice: Real Work (Slides 27-28) Discipline 3 – Practice Debrief: Real Work Activity #3 – Reflections (Slide 29)	30
10:00 – 10:15	BREAK	15

10:15 – 10:45	<p>Transition: Coaching for Discipline 4 (Slide 31) Presentation: (Slide 32-41)</p> <ul style="list-style-type: none"> • 60 Second Energizer: What are the Steps to Maintain a Cadence of Accountability • Steps for Cadence of Accountability • Where Does Discipline 4 Fall? • What Should 4DX Change Champions Do? • Discipline 4 – Guidelines • Discipline 4 – Coaching for the Accountability • Discipline 4 – Coaching for Movement • Share Your Feedback • Holding Team Members Accountable • Discipline 4 – Coaching for Three Missed Commitments <p>Activity #4 - Discipline 4: Case Study (Slides 42-44) Discipline 4 – Practice: Case Study Discipline 4 – Practice Debrief: Case Study</p>	30
10:45 – 12:00	<p>Activity #5 - Discipline 4: Practice Real Work (Slides 45-46) Discipline 4 – Practice Debrief: Real Work Activity #6 – Reflections (Slide 47)</p>	75
12:00 – 1:00	LUNCH	60

Timing PM	Content	Minutes
1:00 – 1:45	<p>Transition: Leadership Engagement (Slide 49) Presentation: (Slides 50-53)</p> <ul style="list-style-type: none"> • 60 Second Energizer: How many times ...? • Where does Leadership Engagement Fall? • What Should 4DX Change Champions Do? • The 4DX Formula for Success <p>Activity #7: What Does Leadership Engagement Mean to You? (Slide 54) Presentation: (Slides 55-58)</p> <ul style="list-style-type: none"> • What is Leadership Engagement? • Why Leadership Engagement? (two slides) • What are the Differences? <p>Activity #8: Promoting Leadership Engagement (Slides 59-61) Brainstorming: Promoting Leadership Engagement Gallery Walk: Promoting Leadership Engagement</p>	45
1:45 – 2:15	<p>Presentation: (Slides 62-69)</p> <ul style="list-style-type: none"> • Ask for Help – Promoting Leadership Engagement 	30

	<ul style="list-style-type: none"> • Initial Contact – Promoting Leadership Engagement • Discipline 1 – Promoting Leadership Engagement • Discipline 2 – Promoting Leadership Engagement • Discipline 3 – Promoting Leadership Engagement • Discipline 4 – Promoting Leadership Engagement • The 4DX Formula for Success • What Should 4DX Change Champions Do? Activity #9 – Reflections (Slide 70)	
2:15 – 2:30	BREAK	15
2:30 – 3:00	Transition: Strategies (Slide 72) Activity #10 – Challenges and Strategizing (Slides 73-76) Setup – Speed Strategizing: Round 1 Practice - Speed Strategizing: Round 1 Debrief - Speed Strategizing: Round 1	30
3:00 – 3:30	Activity #11 – Speed Strategizing – Round 2 (Slides 77-79) Setup – Speed Strategizing: Round 2 Practice - Speed Strategizing: Round 2 Debrief - Speed Strategizing: Round 2	30
3:30 – 3:50	Transition: Reflections (Slide 80) Activity #12 – Reflection and Action (Slide 81)	20
3:50 – 4:15	Activity #13 – What I liked least/most? (Slide 82)	25
4:15 – 4:30	Wrap-Up (Slide 83-88) <ul style="list-style-type: none"> • Review Today’s Objectives • Review Transformational Coaching • Contact Information • Evaluation – Day Three • Thought for the Day • Congratulations 	15
	END OF DAY THREE	

~ FACILITATOR'S GUIDE ~ TRANSFORMATIONAL COACHING DAY ONE



TRANSFORMATIONAL COACHING FOR 4DX
DEBRA D. SEVERAN

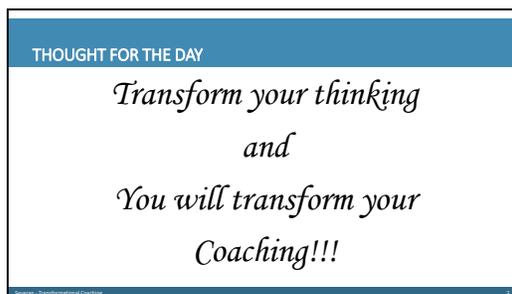
Slide 1



Display slide until class starts.

Optional: Play music

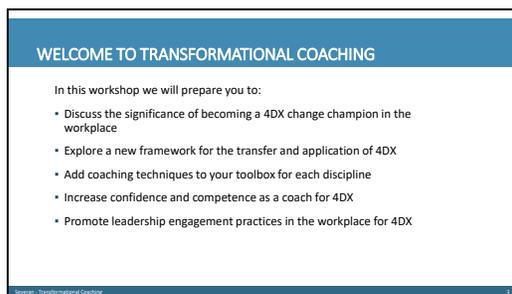
Slide 2



Say: As you work with each other throughout the day, think about the thought for today.

Read slide

Slide 3



Say: Welcome to this session on transformational coaching.

Read the slide

Add any comments you might have

Slide 4

DISCLAIMERS

- This not a class on 4DX
- This is not a class on coaching
- Becoming a 4DX transformational coach
- Becoming a 4DX change champion




General - Transformational Coaching 4

Say: Just to be clear, this course is not a repeat of training for 4DX and this is not a class on coaching. This is a session that helps you become transformational coaches and change champions for 4DX.

Read the slide

Add any comments you might have

Slide 5

TODAY'S OBJECTIVES

- Discuss coaching and being emotionally available
- Review findings from a qualitative study
- Explore transformational change
- Discuss how to coach for 4DX transformation
- Practice coaching for Discipline 1

General - Transformational Coaching 5

Say: The objectives for today's session are:

Read the slide

Add any comments you might have

Slide 6

AGENDA – DAY ONE

TIME	TOPIC
8:30 – 8:50 AM	Breakfast and Networking
8:30 – 10:00 AM	Coaching Effectiveness Benefits of Coaching
10:00 – 10:15 AM	Break
10:15 – 12:00 Noon	Findings from a Qualitative Study Transformational Change The 4DX Formula for Successful Transfer
12:00 – 1:00 PM	Lunch
1:00 – 2:30 PM	Coaching for 4DX Transformation Coaching for Discipline 1
2:30 – 2:45 PM	Break
2:45 – 4:30 PM	Practice: Discipline 1 Reflections on the Day Wrap-Up

General - Transformational Coaching 6

Say: Our agenda for today is...

Review the agenda

Add any comments you might have

Slide 7

INTRODUCTIONS

- What is your name?
- What do you do?
- When did you complete 4DX training?
- How have you used or plan to use 4DX in your life personally or professionally?

(15 min)

Activity #1**Facilitator instructions:**

- **Say:** Let's take the next few minutes to get acquainted with each other. Introduce yourself to as many people as you can within 10 min.
- Read the slide
- Tell them we are here because we see the value of 4DX, the influence it can have, and we want to make a difference.

Slide 8

PARTICIPANT MATERIALS

Coaching Workbook Coaching Roadmap Coaching Worksheets

Say: Each of you should have the following materials:

- A participant workbook
- A participant roadmap
- A coaching pad for each discipline
- Note: Show them an example of each item and tell them where to find the materials

Say: Additional handouts will be distributed as needed for activities, reflections, and evaluations.

Slide 9

GROUND RULES

- Participate
- Return from breaks and lunch on time
- Limit use of mobile devices
- Have fun

Say: As we work together for the next three days, here are the ground rules that will guide us.

Say: Participate fully in class discussions and group activities.

Read the remaining items on the slide
Add any comments you might have

Ask: Are there any ground rules you would like to add? If yes, capture them on a flipchart sheet.

Slide 10

ACTIVITY: 4DX COACHING AND YOU

- Go to your assigned flipchart
- Complete the statement and record answers on the flipchart
- Scribe select a presenter



(10 min)

Activity #2**Facilitator instructions:**

- Prepare 4 charts ahead of time and place them in four different areas in the room.
- Write one statement per chart (these appear on the next slide)
- Assign groups (3 or 4 per group)
- Read the slide
- Advance to the next slide

Slide 11

ACTIVITY: 4DX COACHING AND YOU

As a group complete your assigned statement

- Group 1:
 - I want to coach 4DX in the workplace because...
- Group 2:
 - Coaching is most effective when...
- Group 3:
 - Coaching is least effective when...
- Group 4:
 - Employees in the company will benefit from 4DX coaching because...

(10 min)

Note: Display this slide as participants work in groups.

Facilitator instructions:

- Monitor the time – allow 10 min
- Each group reports out
- Listen and add comments
- Based on what you heard, debrief and summarize activity

Slide 12

4DX COACHING IS MOST EFFECTIVE WHEN...

- The person being coached has a business dilemma
- The person who has the dilemma is open to being coached
- The person being coached trusts the coach
- The coach is skilled and prepared
- The coach is emotionally available

Say: You came up with some great ideas about when coaching is most effective. Here are some things to consider.

Read the slide

Add any comments you might have

Note: Acknowledge any ideas that match ideas they came up with in the exercise.

Slide 13

4DX COACHING IS LEAST EFFECTIVE WHEN...

- The person being coached does not have a real business dilemma
- The dilemma does not meet the criteria for 4DX coaching
- The person does not see the value or is resistant to being coached
- The person who needs the coaching is not emotionally available
- The coach is not emotionally available

Source: Transformational Coaching 13

Say: Again, you came up with some great ideas about when coaching is least effective and when it isn't. Here are some things to consider.

Read the slide

Add any comments you might have

Note: Acknowledge any ideas that match ideas they came up with in the exercise

Slide 14

WHAT DOES EMOTIONALLY AVAILABLE MEAN TO YOU?



(2 min)

Source: Transformational Coaching 14

Activity #3**Facilitator instructions:**

- Ask the question on the slide.
- Participants create their definitions (individually)
- Ask for a volunteer to get the discussion started
- Solicit responses
- Add your comments or thoughts

Slide 15

EMOTIONALLY AVAILABLE - COACH

- Committed to the 4DX process
- Interested in helping others to succeed
- Interacts with those they coach respectfully
- Manages time to minimize distractions
- Offers advice only when asked

Source: Transformational Coaching 15

Say: To be successful as a 4DX change champion, you must be emotionally available to the people you coach. To do that you must:

- Be fully committed to the 4DX process
- Genuinely interested in helping those you coach succeed with 4DX
- Be respectful, no matter what you think of their ideas
- Coach at time when disruptions can be held to a minimum
- Offer advice only when asked.

Slide 16

EMOTIONALLY AVAILABLE - PARTICIPANT

- Interested in and open to receiving help
- Invest time and energy
- Collaborate and problem solve
- Committed to executing all 4 disciplines
- Willing to hold team members accountable

General - Transformational Coaching 16

Say: Participants are responsible for being emotionally available as well.

Read the slide

Add any comments you might have

Slide 17



General - Transformational Coaching 17

Let participants take a break

Optional: Play music

Monitor the time

Start again after 15 min

Slide 18

4DX IN A NUTSHELL



General - Transformational Coaching 18

Say: In this video Chris McChesney provides a quick overview of the four disciplines of execution. Jot down notes as you watch.

Video: (5:47 minutes)

<https://www.youtube.com/watch?v=aEJDliThj7g&t=35s>

Ask: What comments or thoughts might you have? Respond and move on.

Slide 19

ACTIVITY: THE GOOD, THE BAD, THE UGLY

What experiences have you had with the four disciplines?

- Discipline 1 – The Wildly Important Goal (WIG)
- Discipline 2 – The Lead Measures
- Discipline 3 – The Scoreboard
- Discipline 4 – The WIG Sessions

Which discipline caused you to struggle the most? Why?

 (5 min)

Activity #4**Facilitator instructions:**

- **Note:** This slide is animated!
- **Say:** I want to hear the good, the bad, and the ugly
- Ask the question on the slide
- Allow participants to work in pairs
- Solicit responses
- **Click:** Which discipline caused you to struggle the most? Why?
- Listen and add comments as appropriate

Slide 20

BENEFITS OF 4DX COACHING

- Decreased false starts with 4DX
- Increased usage of 4DX in the organization
- Scalability of 4DX usage in the organization
- Increased % of achieving results
- Potential increase to the bottom line

General - Transformational Coaching

Say: Serving as change champions and coaching for 4DX will minimize the struggles encountered when applying 4DX. Here are some of the benefits of coaching. Read the slide.

Ask: Can you think of other benefits?

Slide 21

A QUALITATIVE APPROACH TO TRANSFER OF TRAINING FOR MANAGERS IN LEADERSHIP

Transitions slide

Say: A study was conducted with managers who either implemented 4DX or tried to implement it. So, I would like to share what some of the findings were from the study.

Slide 22

PURPOSE OF STUDY



The purpose of this study was to understand what influences employees to transfer training to their jobs using the 4 Disciplines of Execution (4DX).

Source: Transformational Coaching

Say: The purpose of this study was to understand what influences employees to transfer training to their jobs using the 4 Disciplines of Execution (4DX).

Say: The researcher looked at the transfer of training from two angles, and I will share the data with you shortly.

Slide 23

TRANSFER OF TRAINING – INTERNATIONAL ISSUE



From the 1980s through the 2010s, researchers have shown little evidence that transfer of training is occurring as anticipated by L&D constituents and others who sponsor training (Baldwin & Ford, 1998; Baldwin et al., 2017; Grossman & Burke-Smith, 2017).

Source: Transformational Coaching

Say: The problem of transfer of training has been studied for some time. From the 1980s through the 2010s, researchers have shown little evidence that transfer of training is occurring as anticipated by L&D constituents and others who sponsor training. So, the focus of this study was on transfer of training in one specific corporate setting.

Slide 24

RESEARCH QUESTIONS

- **RQ1** – How do managers describe their preparedness to transfer the training of the 4DX concepts and skills taught in class to their jobs?



- **RQ2** – How do managers describe their perceptions of the transfer of training from the 4DX concepts taught in class to practical job application in their work environments?

Source: Transformational Coaching

Say: Two questions were used in the study. There were guiding questions asked to support the research questions. **Read** the slide

Slide 25

SIGNIFICANCE OF THE STUDY

Studying the transfer of training might be useful to the local educational setting...

- Position, prepare, and strengthen managers to lead direct reports more effectively
- Leverage practices that create successes and remove barriers that impede the transfer of training
- Understand the impact of the transfer of training on social change
- Influence capacity to implement learning programs for employees nationally and internationally

Source: Transformational Coaching

Say: Here are some reasons why the study is important to this corporate setting.

Read the slide

Slide 26

DEMOGRAPHICS OF STUDY

Qualitative Study

Twelve (12) Individual Phone Interviews (30-60 min)



Source: Transformational Coaching

Say: The study was conducted by interviewing 12 leaders/managers. They completed 4DX training in a live session between 2015 and 2018. With one exception, 11 out of the 12 implemented or attempted to implement 4DX. Their experience as leaders ranged from 2 to 35 years.

Slide 27

PROJECT STUDY FRAMEWORK

SOCIAL COGNITIVE LEARNING THEORY

ALBERT A. BANDURA

Transitions slide

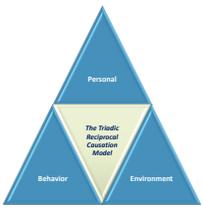
Say: Now I would like to share a bit about the conceptual framework the study was based on.

Slide 28

SOCIAL COGNITIVE LEARNING THEORY

Triadic Reciprocal Causation Model
(Albert A. Bandura)

- May uncover the personal, behavioral, and environmental aspects
- Any component can influence the other two elements in either direction



The diagram shows a large blue triangle with a smaller yellow triangle inside it. The yellow triangle is labeled 'The Triadic Reciprocal Causation Model'. The three vertices of the yellow triangle are labeled 'Personal' (top), 'Behavior' (bottom-left), and 'Environment' (bottom-right). The three vertices of the larger blue triangle are also labeled 'Personal', 'Behavior', and 'Environment'.

Say: Bandura's social cognitive learning theory is the framework for this study. Specifically, the triadic reciprocal causation model was selected from Bandura's work because it allowed exploration of the transfer of training (or lack of) from the personal, behavioral, and environmental aspects of the issue.

Say: Let's look at each component.

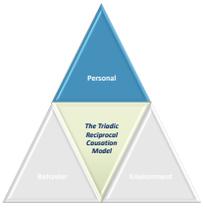
Slide 29

SOCIAL COGNITIVE LEARNING THEORY

Triadic Reciprocal Causation Model
(Albert A. Bandura)

Personal

- Self-efficacy
- Self-regulation



The diagram is the same as in Slide 28, but the 'Personal' component of the inner yellow triangle is highlighted in blue, while the 'Behavior' and 'Environment' components are in grey.

Say: The personal component addresses the self-efficacy and self-regulation of individuals or teams. For example, if someone has a high sense of confidence in their ability to jump from a plane and fully regulate the timing of their landing, they will have a high probability of being successful of landing safely. If not, the reverse is true. This applies to 4DX, high self-efficacy and self-regulation can lead to successful implementation of 4DX.

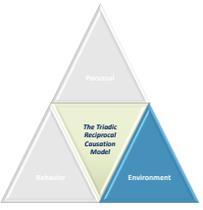
Slide 30

SOCIAL COGNITIVE LEARNING THEORY

Triadic Reciprocal Causation Model
(Albert A. Bandura)

Environment

- Situation
- Roles
- Models
- Relationships

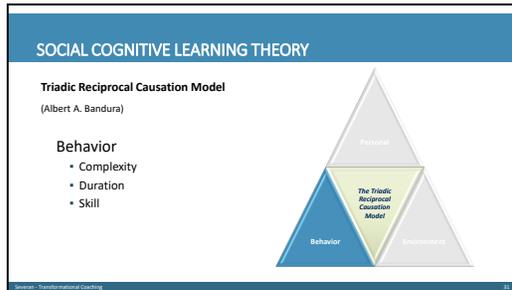


The diagram is the same as in Slide 28, but the 'Environment' component of the inner yellow triangle is highlighted in blue, while the 'Personal' and 'Behavior' components are in grey.

Say: The environmental segment encourages consideration of the situation, the roles people are playing, the models of behaviors observed from others, and the relationships formed in the space they need to apply what they learned.

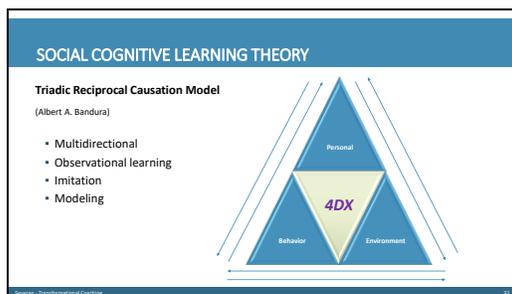
Say: We can also choose to implement 4DX without provocation or we can create an environment where the use of 4DX is a must. In other words, the environment is in a place where change is needed and will not occur without the intervention of a new process or a new way of doing things.

Slide 31



Say: The third element, behavior, is based on the situations a person encounters in the workplace. For instance, how complex is the task, how long it will take, and what skill levels are required to get it done?

Slide 32



Say: The final and most important thing about the triadic reciprocal causation model is that it is multidirectional, and it is fluid; any of the components can influence the other two. For example, if we look at the environment first, we may see things that impact the personal and the behavioral aspects of employees such as a change in dress code or a policy that says all operational departments in the organization, must use 4DX.

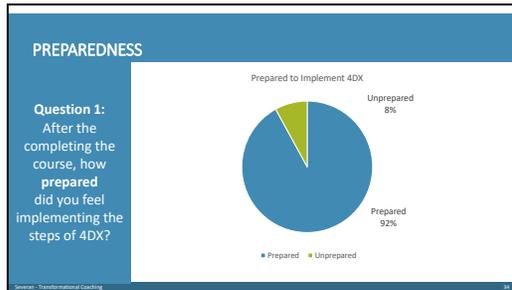
Slide 33



Transition

Say: Now that we've looked at the framework, let's look at the results.

Slide 34



Say: When participants of the study were asked how prepared they felt to implement 4DX after completing the class, 92% said prepared, 8% did not.

In other words, 11 of the participants felt prepared, but 1 of them did not.

So, things look pretty good here.

Slide 35

COMMENTS FOR PREPAREDNESS

Question 1: After the completing the course, how prepared did you feel implementing the steps of 4DX?

- "So, on a scale of 0 to 10, a 10. I felt pretty prepared."
- "I felt extremely prepared. I completely understood the concepts of 4DX."
- "I mean when I took the class, I felt like I understood exactly what 4DX was about and what it took to implement it. So, I felt completely prepared to implement 4DX."

Say: Here are a few of the comments made.

Read the slide

Slide 36

ATTRIBUTES FOR PREPAREDNESS

Question 1: After the completing the course, how prepared did you feel implementing the steps of 4DX?

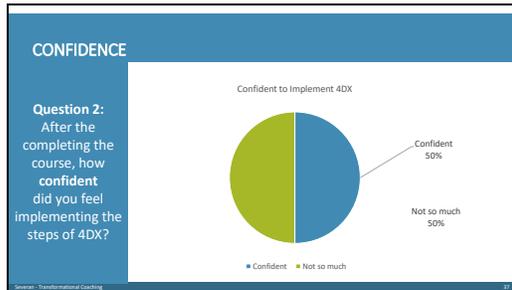
The 4 Disciplines of Execution by Chris McHugh, Sean Covey, Jim Huling

Attributes: Attended class, Group, Concepts, Book, Model, Materials, Courses, Real life, Videos, situations, 4DX, exercises, courses, Reading, Experience, not, Personal, Feedback

Say: Here are the main things they attribute their prepared to.

- First and foremost, the 4DX course
- Facilitator
- Real life situations

Slide 37



Say: When participants of the study were asked how confident they felt in terms of implementing 4DX after completing the class, the responses were 50/50.

In other words, half of them felt confident, and the other half did not.

Interesting, wouldn't you say?

Slide 38

COMMENTS FOR CONFIDENCE

Question 2:
After the completing the course, how **confident** did you feel implementing the steps of 4DX?

"Again, I felt very confident...I think the biggest thing for me was the fact that I had something tangible...I can go back and reference."

"Not very confident...I didn't feel confident with my project and the difficulty was how do I use some of those in my day-to-day work."

"I did feel I was prepared, my competence to actually do it was less."

Source: Transformational Coaching

Say: Here are a few of the comments made.

Read the slide

Slide 39

ATTRIBUTES FOR CONFIDENCE

Question 2:
After the completing the course, how **confident** did you feel implementing the steps of 4DX?

- 4DX new to the organization
- Team Support
- Commitment to the Process
- Accountability Enforced

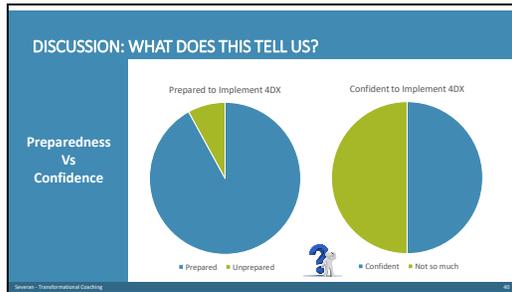
Word cloud terms: Confidence, Reading, materials, follow-up, Clean, Team, support, Course, book, understand, Easy, 4DX, Manager, understanding, Accountability, Difficulty.

Source: Transformational Coaching

Say: Here are the main things they attribute their confidence to.

Read the slide

Slide 40



Activity #5:

Facilitator instructions:

- Ask the participants the question on the slide.
- Listen and summarize the discussion.
- Add any comments or thoughts you might have.

Slide 41

60 SECOND ENERGIZER

What was the purpose of the study on 4DX?

purpose ~
meaning, worth,
intention

The purpose of this study was to understand what influences employees to transfer training to their jobs using the 4 Disciplines of Execution (4DX).

Source: Transformational Coaching

Quick energizer: This slide is animated!

- Click to reveal the question
- Ask the question
- Give participants time to respond
- Click to reveal the answer

Slide 42

TIMES WHEN SUCCESSFUL WITH 4DX

Question 3: Describe a time when you were successful applying 4DX on the job with your team?

"One of the biggest successes that we had was creating transparency on our measurable milestone for org readiness projects."

"We have used it every year since I have had the training to track against our sales goals, and every year the team has successfully exceeded its numbers."

"We wanted to reduce turnover, involuntary and voluntary...and we wanted to reduce that 5% by the end of June of 2016."

"...we actually decreased it by 7% as opposed to the 5% that we had set up to do."

Source: Transformational Coaching

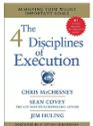
Say: When participants of the study were asked to describe a time when they were successful applying 4DX on the job, they made comments such as:

Read the slide

Slide 43

ATTRIBUTES FOR SUCCESS

Question 4:
What do you attribute your success to?



The Course, Materials, Classroom Experience



Team Support



Leadership Commitment and Support

Source: Transformational Coaching

Say: Here are the main things they attribute their success to.

Read the slide

Other attributes stated were commitment to the team process, dedicated team members, meeting in person, and having previous experience with 4DX.

Slide 44

OTHER FACTORS THAT CREATE SUCCESSES

- Follow-up after class
- Facilitator Support
- Leaders above understanding 4DX
- Accountability



Source: Transformational Coaching

Say: Here are some other factors participants stated as potentials to create successes implementing 4DX.

Read the slide

Say: Some of the participants felt these items were already present, and others felt they were needed. For example, being held accountable was in place for some, but not others.

Slide 45

WHAT THOUGHTS DO YOU HAVE ABOUT SUCCESS WITH 4DX?



[5 min]

Source: Transformational Coaching

Activity #6

Say: In other words, in your opinion, what else could create success with 4DX?

Facilitator instructions:

- Ask the question on the slide
- Allow participants to work in pairs
- Solicit responses
- Record responses on a flipchart

Slide 49

WHAT THOUGHTS DO YOU HAVE ABOUT BARRIERS TO 4DX



(5 min)

Activity #7

Facilitator instructions:

- Ask the question and listen
- **Say:** In other words, in your opinion, what else could create barriers to success with 4DX?
- Solicit responses
- Record responses on a flipchart

Slide 50

WHAT IS NEEDED TO INCREASE TRANSFER OF 4DX?

Question 7:
What is needed to further increase the transfer of training of 4DX?

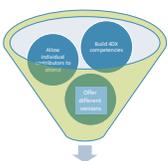


Say: Participants in the study were asked (read the slide) They said...
 Allow non-managers to attend
 More upper management support
 A specific use of 4DX at BLU should be determined
 Different versions of 4DX should be offered to different levels
 More facilitator support after class
 Implement 4DX enterprise-wide

Slide 51

SIFTING SUGGESTIONS FOR INCREASE TRANSFER OF 4DX

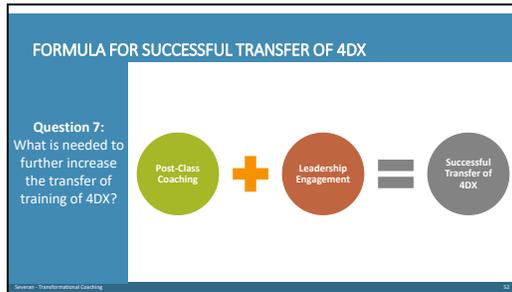
Question 7:
What is needed to further increase the transfer of training of 4DX?



4DX Formula for Success

Say: After looking at all the responses to this question closely and the frequencies of the suggestions, the responses funneled down to two key area...

Slide 52



Say: The two key areas are post-class coaching and leadership engagement, which led to the formula for 4DX success.

Post-class coaching
Provide coaching to participants after the 4DX class to help get them started or how to handle unexpected situations.

Leadership engagement
Participants felt that upper leadership needs to be more involved.

Slide 53



Read the slide

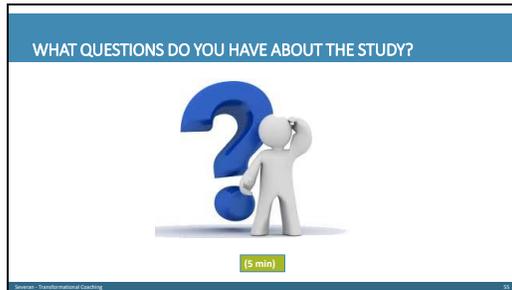
Slide 54

-
- IMPACTS OF COACHING FOR 4DX
- Decreased false starts with 4DX
 - Increased usage of 4DX in the organization
 - Scalability of 4DX usage in the organization
 - Increased % of teams achieving results
 - Potential increase to the bottom line
- Source: Transformational Coaching

Say: Here are some of the impacts coaching can have on the 4DX process.

Decreased false starts
Increased usage of 4DX
Ability to use 4DX all over the company
Increase % of teams getting positive results
Potential increased to the bottom line

Slide 55



Read the slide

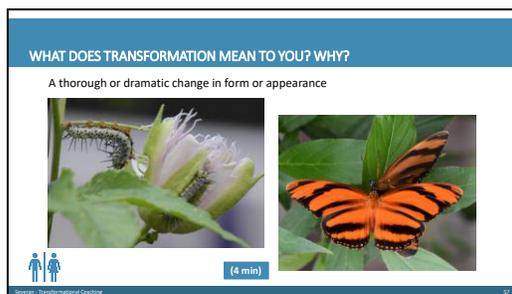
Slide 56



Transition

Say: One of my main reasons for wanting to conduct this study was to identify what might create a transformation for using 4DX. So, for a moment, let's explore the phenomenon of transformational change.

Slide 57

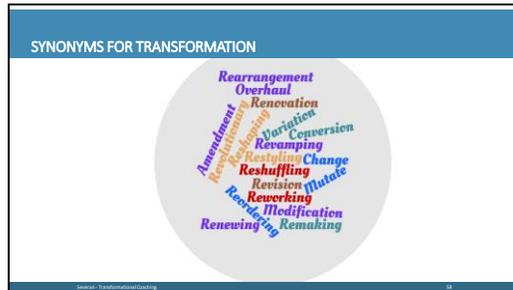


Activity #8

Facilitator instructions:

- **Note:** This slide is animated!
- Ask the questions on the slide
- Allow participants to work in pairs
- Solicit responses
- Reveal the rest of the slide

Slide 58

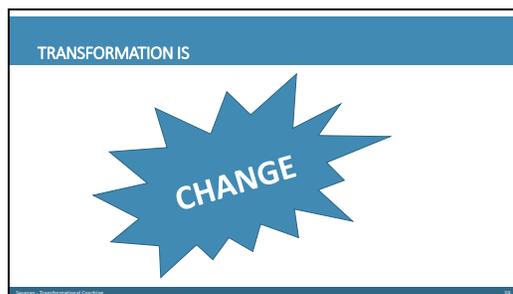


Say: Look at the many synonyms on the slide for transformation.

Ask: What comes to mind when you look at these?

Give them a few minutes to think
Proceed to next slide

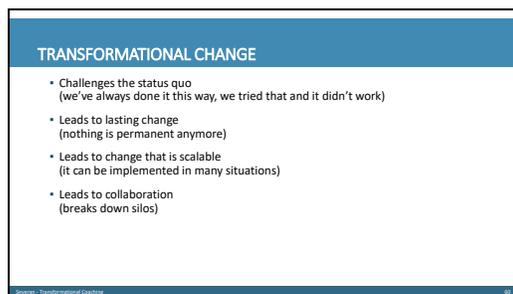
Slide 59



Say: Transformation is change.

Acknowledge anyone who said change and let them know there were on par.
Add any comments you might have

Slide 60



Say: Transformational change...

Read the slide

Share a personal story about a significant change that in the workplace that transformed you in some way.

Ex: My transition from information technology to learning and development

Slide 61

ACTIVITY: THINK OF A TIME...

Think of a time when you learned something that radically changed the way you think, solve problems, or work.

(2 min)

Share with a partner:

What was your change scenario?
What was the catalyst for the change?

(8 min)

Activity # 9**Facilitator instructions:**

- **Note:** This slide is animated!
- Follow the directions on the slide
- **Click:** Participants work individually
- Share a personal story or examples for part one (e.g., getting a promotion, losing a job, changing careers, etc.)
- **Click:** Participants work in pairs
- Solicit responses and summarize
- **Say:** The catalysts served as triggers for transformational change.

Slide 62

HOW DOES THIS APPLY TO 4DX?

Learning from 4DX Training Class

Transformation of 4DX Transfer to Workplace Application

Say: As change champions, you need to help managers you coach find the catalyst for change. Work to understand what is happening in their workspaces that require 4DX. Once you understand what that is, coach the person or team how to take the learning from 4DX training and apply it to their workplaces.

Slide 63

WHY IS TRANSFORMATIONAL CHANGE IMPORTANT?

Coaching using the formula for success leads to transformational change

Transformational change leads to transfer of 4DX

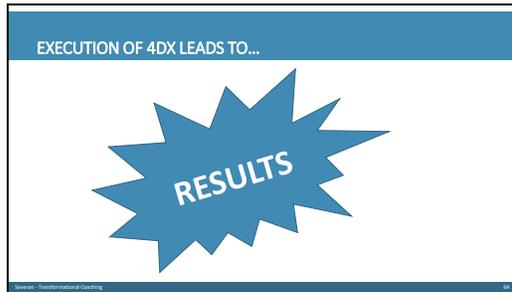
Transfer of 4DX leads to application of 4DX

Application of 4DX leads to execution of 4DX

Say: Coaching using the 4DX formula leads to transformational change

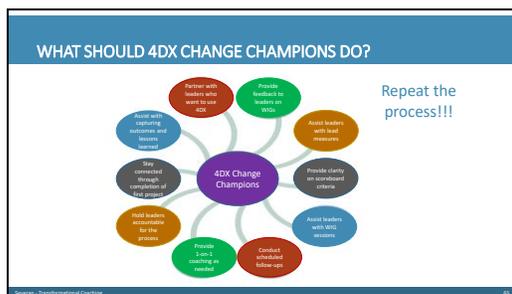
- Transformational change leads to 4DX transfer on the job
- 4DX transfer leads to application on the job
- Application leads to execution on the job
- (Click to advance to the next slide)

Slide 64



Note: This slide completes the last statement from the last slide. Show and move on.

Slide 65



Note: This slide is animated!

Say: Change champions...
Read the slide

Say: This is an ongoing process that will create transformational change with 4DX.

Say: If this is the person's or team's first 4DX project, if possible, stay connected until completion of the project. If this is not a first 4DX project, stay connected based on your coachee's needs.

Slide 66



Take a 60 min break for lunch

Share any information they need in order to be prepared for the afternoon session.

Slide 67

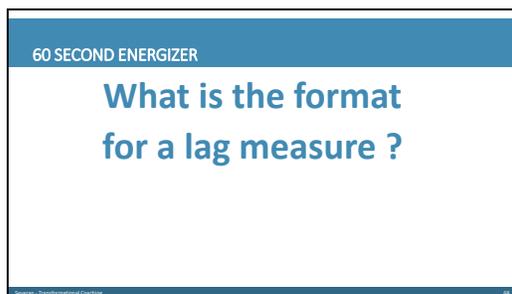


Transition

Say: Welcome back! Before lunch, we ended talking about transformational change. Are there any comments thoughts or questions you would like to share?

Now, let's move on to coaching for 4DX transformation. But before we get into it, it's time for a 60 second energizer.

Slide 68



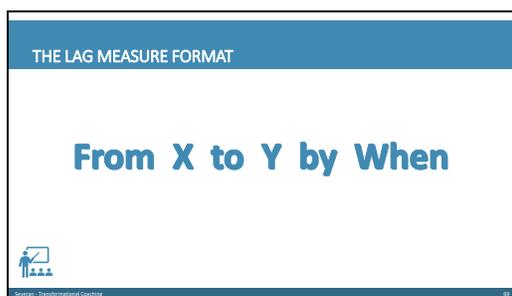
Quick Energizer

Ask the question on the slide

Allow participants time to answer

Show the next slide

Slide 69



Say:

X = Starting Point

Y = End Point

When = Date of completion

Slide 70

THE WHIRLWIND

- The struggle is real
- The struggle is the whirlwind
- We must coach to execute around the whirlwind



Source: Transformational Coaching

Note: Have a little fun with this!

Say: For a moment, let's acknowledge the whirlwind together.

Say: On the count of three let's read the three items on the side together.

Say: That was good, now let's do it one more time.

Note: Make the point, the whirlwind is here to stay so we must coach to execute 4DX around the whirlwind

Slide 71

ACTIVITY: MENTORING IS NOT COACHING

Mentoring	Coaching

(10 min)

Source: Transformational Coaching

Activity 10

Facilitator instructions:

- Prepare 3-4 charts ahead of time
- **Say:** Mentoring is not the same as coaching. So, let's compare them.
- Create groups of 3 or 4
- Assign groups to flipcharts
- Instruct participants to brainstorm the characteristics of mentoring vs coaching
- Participants report out
- Debrief and summarize

Slide 72

MENTORING

- Mentoring is a structured or unstructured relationship between a more experience person and a novice
- The relationship can last an unspecified period of time
- The mentor acts as an advisor providing counsel to the novice
- The mentor advises in personal or professional situations

Source: Transformational Coaching

Say: Based on your contrasts, you seem to have a good handle on the differences between coaching and mentoring. (Say that only if it's true).

Mentoring ...

Read the slide

Add any comments or thoughts you might have

Slide 73

COACHING

- Helps to explore options and possibilities
- Assists in making decisions and taking action
- Provides insights into the current state of things
- Provides constructive feedback as needed
- Elevates a person or situation from one place to another
- Never suggests the coach should have all the answers



COACHING MAKES THINGS HAPPEN

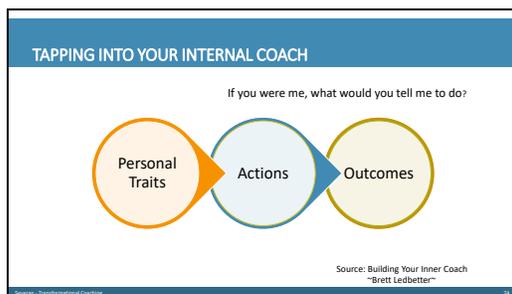
Source: Transformational Coaching

Note: This slide is animated, and the points form the acronym “HAPPEN”.

Say: There is a man and a woman on an escalator. The escalator stops working while they are on it. They stayed there and yell for help. Neither of them had the common sense to walk up or down. Sometimes, people get stuck. Read the bullet points!

Click the slide and **say:** “Coaching makes things happen”.

Slide 74



Note: This slide is animated!

Say: In TedTalks, Brett Ledbetter shared that he uses a technique to help individuals build **their** inner coach. He asks them...

Click: If you were me what would you tell me to do?

Say: When you coach someone to use 4DX, you are getting them to identify the outcomes (WIG) they want and the actions (lead measures) they will take. The personal traits or skill levels needed to get the job done is where the coaching is needed.

Slide 75

COACHING FOR DISCIPLINE 1

FINDING THE WILDLY IMPORTANT GOAL (WIG)

Transition

Say: So, let’s begin the 4DX coaching journey by starting with Discipline 1.

Slide 76

What key points do you remember about Discipline 1?



General - Transformational Coaching 76

Activity # 11

Facilitator instructions

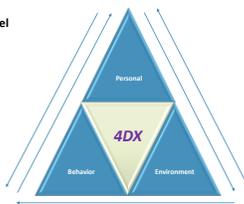
- Write responses on a flipchart
- **Say:** Based on your knowledge or your personal experiences with 4DX...
- Ask the question on the slide
- Post the flipchart in the room so you can refer to it later if you need to

Slide 77

WHERE DOES DISCIPLINE 1 FALL?

Triadic Reciprocal Causation Model
(Albert A. Bandura)

- Multidirectional
- Observational learning
- Imitation
- Modeling



General - Transformational Coaching 77

Say: Thinking about the three components of Bandura’s model, where does Discipline 1 fall?

Note: There are no right or wrong answers. Listen and respond to what you hear.

Say: Establishing a WIG can touch any or all of them. For instance, a person may initiate a WIG with their team on their own (personal), or they may consistently establish WIGs (behavior), or they may influence others to consistently establish WIGs (impacting the environment).

Slide 78

WHAT SHOULD 4DX CHANGE CHAMPIONS DO?



General - Transformational Coaching 78

Note: This slide is animated!

Say: For Discipline 1, change champions need to make sure you are coaching someone who wants to be coached on 4DX. Then be prepared to offer coaching and feedback on the WIGs.

Say: Be sure to...

- Schedule follow-ups
- Hold them accountable for their WIGs.
- Stay connected and keep track of lessons learned along the way (both from your perspective as the coach, as well as the coachee’s perspective).

Slide 79

BASIC GUIDELINES FOR COACHING

- Coaching is not telling
- Coaching is guiding
- Coaching is asking good questions
 - Keep the questions simple
 - Ask relevant questions
 - Ask the question and be quiet
 - Practice active listening
 - Ask "What else?" as needed
- Coaching is sharing constructive feedback

General - Transformational Coaching 79

Say: Here are some basic guideline for coaching in general.

- Coaching is not telling a person what to do from A to Z.
- Coaching is guiding them to develop their own path to action.
- Coaching is asking good questions (Read the slide)

Source: YouTube: How to ask a great question – Michael B. Stanier - Box of Crayons

Slide 80

DISCIPLINE 1 - GUIDELINES

- Focus is on setting the wildly important goal (WIG)
- A WIG is a SMART goal plus a starting point
- To start, keep the focus on 1 goal
- The goal must fill a critical gap in performance
- The goal must support a higher goal
- The goal must be written in lag format

General - Transformational Coaching 80

Say: Here are some basic guidelines for Discipline 1.

Read the slide

You may also want to refer to the flipchart titled "Discipline 1 – Points to Remember" to make additional comments and provoke thought.

Slide 81

DISCIPLINE 1 - COACHING

- If everything else remained in the current state, what is the one area where change would have the greatest impact?
- What is happening now? Why?
- What are the consequences if this change does not happen? What else?
- What are the benefits if the change does happen? What else?
- Where are you now (starting point)?
- Where do you want to go (end point)?
- When do you want to get there (completion date)?

General - Transformational Coaching 81

Say: Here are some questions you can ask during your coaching session.

Read the slide (Choose a few, do not read all of them)

Give them time to read them on their own, then move to the next slide

Slide 82

DISCIPLINE 1 – MORE COACHING

- What is keeping you from making progress?
- If our roles were reversed, what would you tell me to do?
- Are you ready to work with your team to establish a WIG?
- What else do you need to be ready?

Are there other questions you would ask?



Source: Transformational Coaching

Say: Here are a few more questions you can ask for Discipline 1.

Give them time to read them on their own.

Ask: What questions might you have about the questions for Discipline 1?

Ask: Are there other questions you would ask? If they have some...

Record their questions on a flipchart entitled “Questions for Discipline 1”.

Slide 83

DISCIPLINE 1: CASE STUDY DEMONSTRATION:

Joan has just completed the 4DX training class and wants to implement it with her team, but is not confident that she knows how to get the process started. Joan has a team of six customer service reps, and their customer complaint numbers are really high. She thinks she knows what the WIG should be, but does not want to impose it on her team. Joan has come to you for help getting the 4DX process started with her team.

How would you coach Joan through Discipline 1?

THE WIG

Source: Transformational Coaching

Activity # 12**Facilitator instructions:**

- **Note:** This slide is animated!
- **Handout:** Discipline 1: Case Study Demonstration
- **Say:** Let me demonstrate how this looks
- Reads the scenario out loud
- **Click** to reveal the question
- Ask for a volunteer to come to the front of the room. Thank the person for volunteering and tell them you will be the coach
- Use the guidelines and coaching questions
- Distribute handouts

Slide 84

DISCIPLINE 1: CASE STUDY 1

Brian is the leader for the helpdesk team. He has just completed the 4DX training class and wants to implement it with his team of five (5) IT helpdesk associates. Brian's team just installed Windows 10 and the customer complaints are high. Brian wants to decrease the number of customer complaints received from 100 per week by 80%. Brian does not yet have a completion date in mind.

How would you coach Brian or the team through Discipline 1?

THE WIG



Source: Transformational Coaching

Activity #13**Facilitator instructions:**

- **Note:** This slide is animated!
- **Say:** Now it's your turn! Reads the scenario out loud
- **Click** to reveal the question
- Assign pairs
- Tell participants you are going to use the guidelines and coaching questions provided in their workbooks
- Distribute **handouts**

Slide 85

Discipline 1 - Practice: Case Study 1

- Select a partner
- Decide who is partner A and partner B
- Both partners read the scenario
- Partner A will be the coach
 - Initiate the conversation
 - Ask questions for Discipline 1
- Partner B will be the person in the scenario
 - Respond to Partner A's questions
 - Ask questions (optional)

DISCIPLINE 1
PRACTICE CASE STUDY 1
(PAIRS)

[10 min]

Facilitator instructions:

- **Say:** This is how the practice works
- Work with your partner
- Review the instructions on the slide
- **Note:** To help the conversation follow naturally, the person being coached may ask any questions they want to. This is optional.
- **Note:** Keep this slide posted while they practice
- Allow participants 10 min to complete the exercise
- Take a break

Slide 86

[15 min]

Let participants take a break

Optional: Play music

Monitor the time

Start again after 15 min

Slide 87

60 SECOND ENERGIZER

What is the formula for the successful transfer of 4DX?

Quick energizer

Ask the question

Give participants time to respond

Advance to the next slide

Slide 88



Say: Good job – if they got it right!

Read the slide

Slide 89

Discipline 1 – Practice Debrief: Case Study 1

- What went well?
- Where did you have difficulty?
- What changes would you make?

[10 min]

DISCIPLINE 1
PRACTICE DEBRIEF
CASE STUDY 1
(EACH PAIR SHARES)

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Facilitator instructions:

- **Say:** Let's see how your first practice went.
- Ask the questions on the slide one at a time
- Solicit responses from as many pairs as you can
- Allow time for groups to respond before moving on to the next question
- Provide any feedback you have
- **Note:** If you are tight on time, everyone does not have to share.

Slide 90

DISCIPLINE 1: CASE STUDY 2

Randall completed 4DX training six months ago. He was impressed with the 4DX process but felt he did not have the time to implement it. Randall now wants to implement 4DX with his team of four pharmaceutical sales reps. He feels the team needs to increase their prospecting efforts. Randall needs and wants your help.

How would you coach Randall or the team through Discipline 1?

THE WIG

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Activity #14

Facilitator instructions:

- **Note:** This slide is animated!
- **Say:** Let's try a different case
- Read the scenario out loud
- **Click** to reveal the question
- Continue to work on pairs
- Remind about the guidelines and coaching questions provided in their workbooks
- Distribute **handouts**
- Remind participants to record the coachee's responses on the worksheets

Slide 91

Discipline 1 – Practice: Case Study 2

- Stay with your current partner
- Both partners read the scenario
- Partner B will be the coach
 - Initiate the conversation
 - Ask questions for Discipline 1
- Partner A will be the person in the scenario
 - Respond to Partner B's questions
 - Ask questions (optional)

(10 min)

DISCIPLINE 1
PRACTICE CASE STUDY 2
(A FEW PAIRS SHARE)

Facilitator instructions:

- Say:** The instructions are the same
- Review the instructions on the slide
- Ask participants to switch roles
- Allow participants 10 min to complete the exercise
- Debrief using the following slide
- Note:** To help the conversation follow naturally, the person being coached may ask any questions they want to

Slide 92

Discipline 1 – Practice Debrief: Case Study 2

- What went well?
- Where did you have difficulty?
- What changes would you make?

(10 min)

DISCIPLINE 1
PRACTICE DEBRIEF CASE STUDY 2
(A FEW PAIRS SHARE)

Facilitator instructions:

- Say:** Let's see how this practice went. Ask the questions on the slide one at a time. Solicit responses from as many pairs as you can. Allow time for groups to respond before moving on to the next question. Provide any feedback you have.
- Note:** If you are tight on time, everyone does not have to share.

Slide 93

Discipline 1 – Practice: REAL WORK

- Stay with your current partner
- Each partner will share their real work scenario and WIG
- The coach will...
 - Initiate the conversation
 - Ask questions for Discipline 1
- The person being coached will...
 - Respond to coach's questions
 - Ask questions (optional)

(10 min)

DISCIPLINE 1
PRACTICE SCENARIO REAL WORK
(PAIRS)

Activity #15**Facilitator instructions:**

- Say:** Let's shift the focus to real work
- Participants work in pairs
- Each person shares the background of a real-work situation
- They take turns coaching each other using the questions for Discipline 1
- Each person shares the background
- Tell participants to record coachee's responses on their 4DX Transformational Coaching Worksheet

Slide 94

Discipline 1 – Practice Debrief: REAL WORK

- What went well?
- Where did you have difficulty?
- What changes would you make?

(10 min)

DISCIPLINE 1
PRACTICE DEBRIEF
REAL WORK
(EACH PAIR SHARES)

Facilitator instructions:

- Say: Let’s find out about your real work
- Ask the questions on the slide one at a time
- Solicit responses from as many pairs as you can
- Allow time for groups to respond before moving on to the next question
- Provide any feedback you have
- Note: If you are tight on time, everyone does not have to share

Slide 95

REFLECTIONS

Transition

Say: It’s time to reflect on the day

Slide 96

Reflection 1: When I coach Discipline 1, I want to make sure I...

Reflection 2: Today's session helped me...

REFLECTIONS DAY ONE
(INDIVIDUALLY)
(5 MIN)

Open Discussion
(10 min)
Repeat for second reflection

Activity #16**Facilitator instructions:**

- Distribute **Handout:** Reflections worksheet for WIGs
- Ask participants individually to reflect and respond
- “When I coach on Discipline 1, I want to make sure I...”
- “Today’s session helped me...”
- Participants share with a partner for 5-10 min
- Solicits responses from each question and record on flipchart

Slide 97

TODAY'S OBJECTIVE

- ✓ Discussed coaching and being emotionally available
- ✓ Reviewed findings from a qualitative study on 4DX
- ✓ Explored transformational change
- ✓ Discussed how to coach for 4DX transformation
- ✓ Practiced coaching for Discipline 1

Source: Transformational Coaching

Say: Today we discussed...

Read the slide

Slide 98

AGENDA – DAY TWO

TIME	TOPIC
8:30 – 10:00 AM	What do You Remember About 4DX? Types of Coaching for 4DX
10:00 – 10:15 AM	Break
10:15 – 12:00 Noon	Over-coaching vs Under-coaching Feedback Coaching for Discipline 2
12:00 – 1:00 PM	Lunch
1:00 – 2:30 PM	Practice: Case Studies Transfer and Application
2:30 – 2:45 PM	Break
2:45 – 4:30 PM	Practice: Discipline 2 Reflections on the Day Wrap-Up

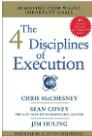
Source: Transformational Coaching

Review tomorrow's agenda

Slide 99

PREPARATION FOR DAY TWO

- Refresh your reading:
 - "What to Expect"
 - Review Discipline 2 (Pages 136-155)
- Create lead measures for your WIG
- Come prepared to coach and be coached on your lead measures



Source: Transformational Coaching

Ask them to prepare by...

Read the slide

Slide 100



MY CONTACT INFORMATION

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Leadership Development Professional
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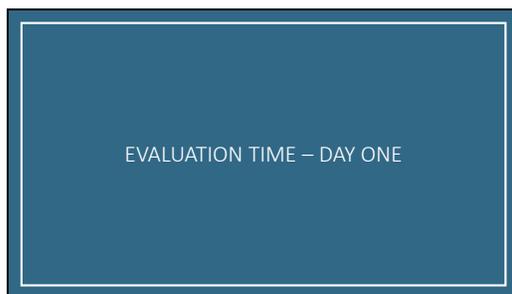
[Complete the Evaluation Form](#)

Severan - Transformational Coaching 100

Share your contact information in case someone needs to get in touch with you before tomorrow's class

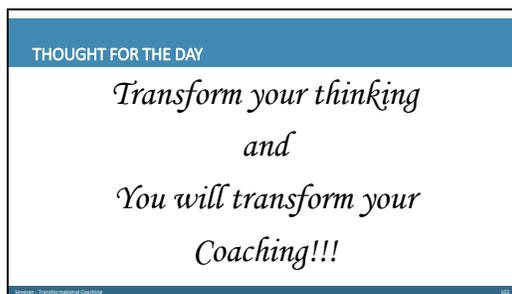
Be sure to complete the evaluation form

Slide 101



EVALUATION TIME – DAY ONE

Slide 102



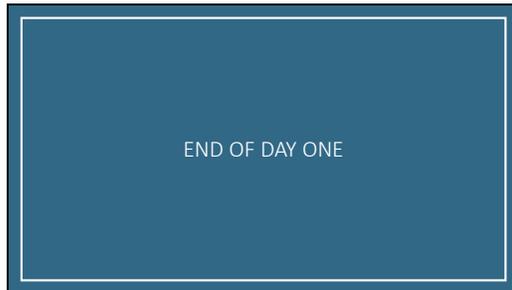
THOUGHT FOR THE DAY

*Transform your thinking
and
You will transform your
Coaching!!!*

Severan - Transformational Coaching 102

Read the slide

Slide 103



Slide 104



Do not show this slide

Note: The participant workbook is in the same format as the facilitator guide. However, instead of facilitator notes, blank lines are provided for note taking. Therefore, the workbook is not included in this document.

~ *HANDOUTS* ~
FOR
4DX CHANGE CHAMPIONS
DAYS 1-3

Discipline 1

Discipline 2

Discipline 3

Discipline 4



TRANSFORMATIONAL COACHING FOR 4DX

DEBRA D. SEVERAN

DISCIPLINE 1: CASE STUDY DEMONSTRATION (HANDOUT - WIG)

Joan has just completed the 4DX training class and wants to implement it with her team, but is not confident that she knows how to get the process started. Joan has a team of six customer service reps, and their customer complaint numbers are really high. She thinks she knows what the WIG should be, but does not want to impose it on her team. Joan has come to you for help getting the 4DX process started with her team.

Guidelines:

Focus is on setting the wildly important goal (WIG)

A WIG is a SMART goal plus a starting point

To start, keep the focus on 1 goal

The goal must fill a critical gap in performance

The goal must support a higher goal

The goal must be written in lag format

Conversation Starter:

Coach: Hello Joan, I hear you want to start using 4DX with your team.

Joan: Yes, that's right, can you help me?

Coach: Yes, I can. We can begin now if you have 15-30 minutes to spare?

Joan: Yes, now is perfect!

Coach: Great, let's get started with Discipline 1. I am going to ask you some questions, and you answer them as best you can, based on what you know.

Note: Use the 4DX Transformational Coaching Worksheet – Coaching for the WIG

DISCIPLINE 1: CASE STUDY 1 (HANDOUT - WIG)

Brian is the leader for the helpdesk team. He has just completed the 4DX training class and wants to implement it with his team of five (5) IT helpdesk associates. Brian's team just installed Windows 10 and the customer complaints are high. Brian wants to decrease the number of customers complaints received from 100 per week by 80%. Brian does not yet have a completion date in mind.



Guidelines:

Focus is on setting the wildly important goal (WIG)

A WIG is a SMART goal plus a starting point

To start, keep the focus on 1 goal

The goal must fill a critical gap in performance

The goal must support a higher goal

The goal must be written in lag format

Conversation Starter:

Coach: Hello Brian, I hear you want to start using 4DX with your team.

Brian: Yes, that's right, can you help me?

Coach: Yes, I can. We can begin now if you have 15-30 minutes to spare?

Brian: Yes, now is perfect!

Coach: Great, let's get started with Discipline 1. I am going to ask you some questions, and you answer them as best you can, based on what you know.

Note: Use the 4DX Transformational Coaching Worksheet – Coaching for the WIG

DISCIPLINE 1: CASE STUDY 2 (HANDOUT - WIG)

Randall completed 4DX training six months ago. He was impressed with the 4DX process but felt he did not have the time to implement it.

Randall now wants to implement 4DX with his team of four pharmaceutical sales reps. He feels the team needs to increase their prospecting efforts. Randall needs and wants your help.



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3

Guidelines:

Focus is on setting the wildly important goal (WIG)

A WIG is a SMART goal plus a starting point

To start, keep the focus on 1 goal

The goal must fill a critical gap in performance

The goal must support a higher goal

The goal must be written in lag format

Conversation Starter:

Coach: Hello Randall, I hear you want to start using 4DX with your team.

Randall: Yes, that's right, can you help me?

Coach: Yes, I can. We can begin now if you have 15-30 minutes to spare?

Randall: Yes, now is perfect!

Coach: Great, let's get started with Discipline 1. I am going to ask you some questions, and you answer them as best you can, based on what you know.

Note: Use the 4DX Transformational Coaching Worksheet – Coaching for the WIG

DISCIPLINE 2: CASE STUDY DEMONSTRATION (HANDOUT – LEAD MEASURES)

Joan has introduced the concepts of 4DX to her team. She developed a presentation to provide an overview of the 4 disciplines. Her team is excited to begin the process and worked to develop their WIG. Joan and her team decided to focus on resolving customer complaints in each department faster.

Guidelines:

Things that can make the goal happen
(predictive)

Actions the team takes to achieve the
outcome (influenceable)

Require behavioral change

The team owns the actions
(Can perform independent of actions
from other teams)

Easier to influence than a lag measure



WIG in LAG Measure Format

Increase client resolutions in each department from 20% to 50% per month by
December 31, 2019.

How would you coach Joan or the team through Discipline 2? (Lead Measures)

Note: Use the 4DX Transformational Coaching Worksheet – Coaching for Lead Measures

DISCIPLINE 2: CASE STUDY 1 (HANDOUT - LEAD MEASURES)

Brian is the leader for the helpdesk team. He has just completed the 4DX training class and wants to implement it with his team of five (5) IT helpdesk associates. Brian's team just installed Windows 10 and the customer complaints are high. Brian wants to decrease the number of customer complaints received from 100 per week by 80%. Brian worked with his team and they agreed on a WIG.

Guidelines:

- Things that can make the goal happen (predictive)
- Actions the team takes to achieve the outcome (influenceable)
 - Require behavioral change
 - The team owns the actions (Can perform independent of actions from other teams)
- Easier to influence than a lag measure



WIG in LAG Measure Format

Decrease weekly customer complaints from 100 to 20 by July 31, 2019.

How would you coach Brian or the team through Discipline 2? (Lead Measures)

Note: Use the 4DX Transformational Coaching Worksheet – Coaching for Lead Measures

DISCIPLINE 2: CASE STUDY 2 (HANDOUT - LEAD MEASURES)

Randall completed 4DX training six months ago. He was impressed with the 4DX process but felt he did not have the time to implement it. Randall now wants to implement 4DX with his team of four pharmaceutical sales reps. You have coached Randall on Discipline 1 and he and his team agreed to focus on increasing revenues from \$2M to \$2.5M.

Guidelines:

Things that can make the goal happen (predictive)

Actions the team takes to achieve the outcome (influenceable)

Require behavioral change

The team owns the actions
(Can perform independent of actions from other teams)

Easier to influence than a lag measure



WIG in LAG Measure Format

Increase sales revenues from \$2M to \$2.5M by December 31, 2019.

How would you coach Randall or the team through Discipline 2? (Lead Measures)

Note: Use the 4DX Transformational Coaching Worksheet – Coaching for Lead Measures

DISCIPLINE 4: CASE STUDY (HANDOUT – MISSED COMMITMENTS)

Remember Joan who has a team of six customer service reps. One of Joan's customer reps, Dean, has missed at least three of his weekly commitments. She wants to help Dean get back on track, but is not sure how to hold this conversation with Dean outside of the WIG sessions. Joan has come to you for coaching in this area.

Guidelines:

- Provide update on previous week's commitments
- Update the scoreboard
- Make a new commitment
- Select one or two things to improve the team's performance

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How would you coach Joan to handle three or more missed commitments?

(Outside of the WIG Session)

Note: Use the 4DX Transformational Coaching Worksheet – Coaching for Missed Commitments

Discipline 1: 4DX Transformational Coaching Worksheet

Coaching for the WIG

What is the one area where change would have the greatest impact?

What is happening now?

What are the consequences if this change does not happen?

What are the benefits If it does happen?

Coaching for the WIG Continued

Where are you now (starting point)? Where do you want to go (end point)? When do you want to get there?

What is keeping you from making progress?

What would you tell me to do?

Are you ready to work with your team to establish a WIG?

Anything else I should know about the WIG?



Discipline 2: 4DX Transformational Coaching Worksheet

Coaching for Behavioral Change

Who needs to change behaviors?

What behaviors are your people exhibiting?

What behaviors should they start doing?

What behaviors should they stop doing?

Coaching for Behavioral Change Continued

What behaviors should they continue doing?

What are the benefits to the team for making the change?

What are the consequences to the team for not making the change?

Anything else I should know about the lead measures?



Discipline 2: 4DX Transformational Coaching Worksheet

Coaching for Lead Measure Format

What is the focus of your lead measure (verb)?

What actions do you think would be predictive of achieving the WIG?

What actions can your team take without help from others?

What level of focus do you need?

Coaching for Lead Measure Format

What level of consistency do you need?

What level of quality do you need?



Discipline 3: 4DX Transformational Coaching Worksheet

Coaching for the Scoreboard

Do team members understand how the scoreboard works? Do team members know how to update the scoreboard? How do you know?

Can all team members access the scoreboard anytime they want to? How do you know?

Do team members understand the metrics for the scoreboard? How do you know?

Can team members tell if the team is winning or losing the game? How do you know?

Anything else I should know about the scoreboard?

Discipline 4: 4DX Transformational Coaching Worksheet

Coaching for the Cadence of Accountability

Are all team members providing timely weekly updates? If not, why not?

Are team members updating the scoreboard? If not, why not?

Are you asking team members to commit to one or two things to improve performance on the scoreboard? If not, why not?

Are team members making timely commitments for the upcoming week?
If not, why not?

Are you holding team members accountable for missed commitments?
If not, why not?

Discipline 4: 4DX Transformational Coaching Worksheet

Coaching for the Movement

Who can influence movement, you as the leader or the team?

If you were coaching me, what would you tell me to do?

What action will you take to move forward, and when?

Who else do you need support from?

What else do I need to know? When should I follow up with you?

Discipline 4: 4DX Transformational Coaching Worksheet

Coaching for Missed Commitments

What keeps your team from making the progress you want?

What else can you do to get back on track?

What paths, if any, do I need to clear?

Who else needs to clear the path for you?

What actions will you take to meet your commitments? What else do I need to know?

Leadership Engagement: 4DX Transformational Coaching Worksheet - Initial Contact with the Leader

Introduce yourself and explain your role as a 4DX leader. Ask the following questions.

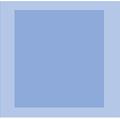
Are you familiar with the project (direct report's name) is working on?

Do you support (direct report's name) in this effort?

How familiar are you with the four disciplines? Would you like a quick overview of the four disciplines?

How do you plan to support (direct report's name) apply 4DX on the job?

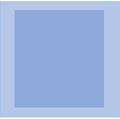
How can I help you to support them in this process?



Discipline 1: Reflections Worksheet WIG

When I coach Discipline 1, I want to make sure I ...

Today's session helped me...

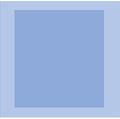


Discipline 2: Reflections Worksheet

Lead Measures

When I coach Discipline 2, I want to make sure I ...

Today's session helped me...

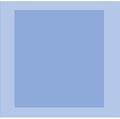


Discipline 3: Reflections Worksheet Scoreboard

When I coach Discipline 3, I want to make sure I ...

Discipline 4: Reflections Worksheet Cadence of Accountability

When I coach Discipline 4, I want to make sure I ...



Reflections Worksheet – Leadership Engagement

When I coach for Leadership Engagement, I want to make sure I ...



Reflections Worksheet – Final Reflections

Today's session helped me...

Overall, what helped me the most is in this workshop was...

My next steps will be to... (Write down 1 to 3 action items you will take)

ACTIVITY: WIG, LAG, OR LEAD MEASURE

- Reduce air emissions 20% by December 31, 2020

- Driving from the east coast to the west coast 10 days from now

- Driving 8 hours per day

- Achieving a GPA of 4.0 by end of school term

- Reduce average monthly cost of sales from \$2M to 1.5M by Dec 31, 2019

- Clear out two refrigerator shelves each week

- Acknowledge each customer with a warm smile and greeting

- Increase client visits to our website 50% in the next six months

~ ROADMAP ~ FOR 4DX CHANGE CHAMPIONS



TRANSFORMATIONAL COACHING FOR 4DX
DEBRA D. SEVERAN

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Coaching Makes Things Happen

- ✦ **H**elps to explore options and possibilities
- ✦ **A**ssists in making decisions and taking action
- ✦ **P**rovides insights into the current state of things
- ✦ **P**rovides constructive feedback as needed
- ✦ **E**levates a person or situation from one place to another
- ✦ **N**ever suggests the coach should have all the answers

Basic Guidelines for Coaching

- ✦ Coaching is not telling
- ✦ Coaching is guiding
- ✦ Coaching is asking good questions
 - Keep the questions simple
 - Ask relevant questions
 - Ask the question and be quiet
 - Practice active listening
 - Ask “What else?” as needed
- ✦ Coaching is sharing constructive feedback

Sharing Feedback

- ✦ **S**hare your intentions
- ✦ **H**ave a calm speaking voice
- ✦ **A**sk for their input first
- ✦ **R**espectfully provide your input
- ✦ **E**xtend an invitation to help

Holding Team Members Accountable

- ✦ Use “SHARE”
- ✦ What keeps you from making the progress you want?
- ✦ What do you need to move forward?
- ✦ What will you do to get back on track?

Coaching for 4DX: Initial Contact with Coachee

Task	Details
✦ Introduce yourself	<ul style="list-style-type: none"> • Briefly share your background • Share your experience with 4DX
✦ Let the person(s) introduce themselves	<ul style="list-style-type: none"> • Ask about their background • Ask about their current role
✦ Determine what the person needs	<ul style="list-style-type: none"> • What are you trying to accomplish with 4DX? • What kind of challenges are you having? • Is this your first time using 4DX? If not, what have you tried so far? • Where do you need help or support the most?
✦ Establish a start date for coaching	<ul style="list-style-type: none"> • Would you like to be coached? • When do you want to get started?

Before Coaching for 4DX

Timing	Task
✦ 1 week in advance	<ul style="list-style-type: none"> • Review all information in this guide
✦ 2 – 3 days before	<ul style="list-style-type: none"> • Confirm coaching appointment with the coachee • Review any notes from the initial contact
✦ 1 day before	<ul style="list-style-type: none"> • Organize coaching materials • If needed, practice opening the session with a partner

During Coaching for 4DX

Topic	Objectives	Coaching Questions
Setting the stage 5 min	<ul style="list-style-type: none"> Tell them how the session will work 	<ul style="list-style-type: none"> What questions do you have about the flow of this session?
Starting the session 5 min	<ul style="list-style-type: none"> Review purpose of the session Discuss desired outcomes Ensure alignment on expectations Identify which disciplines they need coaching on and proceed to the appropriate discipline section. 	<ul style="list-style-type: none"> Do we need to focus on all four of the disciplines or just one or two? With that in mind, what do you want to accomplish in our session today? <p>Note: If they need to work on more than one discipline, you may need to schedule a follow-up session (s).</p>
Coaching for Discipline 1 “(WIG) / Lag Measure” 15 min Guidelines: <ul style="list-style-type: none"> ✦ Focus is on setting the wildly important goal (WIG) ✦ A WIG is a SMART goal plus a starting point ✦ To start, keep the focus on 1 goal ✦ The goal must fill a critical gap in performance ✦ The goal must support a higher goal ✦ The goal must be written in lag format 	<ul style="list-style-type: none"> Establish a wildly important goal or determine if the WIG they have is what they need Ensure the WIG is written in lag measure format 	<ul style="list-style-type: none"> What is the one area where change would have the greatest impact? What is happening now? What are the consequences if this change does not happen? What are the benefits if it does happen? Where are you now (starting point)? Where do you want to go (end point)? When do you want to get there? What is keeping you from making progress? What would you tell me to do? Are you ready to establish a WIG? Anything else WIG?

During Coaching for 4DX (continued)

Topic	Objectives	Coaching Questions
<p>Coaching for Discipline 2 “Lead Measures”</p> <p>15 min</p> <p>Guidelines:</p> <ul style="list-style-type: none"> ✦ Things that can make the goal happen (predictive) ✦ Actions the team takes to achieve the outcome (influenceable) ✦ Require behavioral change ✦ The team owns the actions (Can perform independent of actions from other teams) ✦ Easier to influence than a lag measure 	<ul style="list-style-type: none"> • Address the need for behavioral change • Develop lead measures or determine if the lead measures they have is what they need 	<p>Coach for Behavioral Change:</p> <ul style="list-style-type: none"> ▪ Who needs to change behaviors? ▪ What behaviors are your people exhibiting? ▪ What behaviors should they start doing? ▪ What behaviors should they stop doing? ▪ What behaviors should they continue doing? ▪ What are the benefits to the team for making the change? ▪ What are the consequences to the team for not making the change? ▪ Anything else I should know about the lead measures?
<p>Coaching for Discipline 2 “Lead Measures”</p> <p>15 min</p>	<ul style="list-style-type: none"> • Ensure that lead measures are specific and contains a verb, focus, consistency, and quality 	<p>Coach for Lead Measure Formats:</p> <ul style="list-style-type: none"> ▪ What is the focus of your lead measure (verb)? ▪ What actions do you think would be predictive of achieving the WIG? ▪ What actions can your team take without help from others? ▪ What level of focus do you need? ▪ What level of consistency do you need? ▪ What level of quality do you need?

During Coaching for 4DX (continued)

Topic	Objectives	Coaching Questions
<p>Coaching for Discipline 3 “The Scoreboard”</p> <p>10 min</p> <p>Guidelines:</p> <ul style="list-style-type: none"> ✦ Keep the scoreboard simple ✦ Make the scoreboard visible ✦ Make sure metrics are in place ✦ The team can tell if it’s winning or losing 	<ul style="list-style-type: none"> • Ensure that a scoreboard is in place and team members know how to read it. 	<ul style="list-style-type: none"> ▪ Do team members understand how the scoreboard works? ▪ Do team members know how to update the scoreboard? ▪ Can all team members access the scoreboard anytime they want to? ▪ Do team members understand the metrics for the scoreboard? ▪ Can team members tell if the team is winning or losing the game? ▪ Anything else I should know about the scoreboard?
<p>Coaching for Discipline 4 “WIG Sessions”</p> <p>15 min</p> <p>Guideline:</p> <ul style="list-style-type: none"> ✦ Provide update on previous week’s commitments ✦ Update the scoreboard ✦ Make a new commitment ✦ Select one or two things to improve the team’s performance 	<ul style="list-style-type: none"> • Ensure that WIG sessions are being held consistently • Ensure team members are being held accountable 	<p>Coach for Accountability:</p> <ul style="list-style-type: none"> ▪ Are all team members providing timely weekly updates? ▪ Are team members updating the scoreboard? ▪ Are you asking team members to commit to one or two things to improve performance on the scoreboard? ▪ Are team members making timely commitments for the upcoming week? ▪ Are you holding team members accountable for missed commitments? ▪ Anything else I should know about the WIG sessions? <p>Note: If the answer is “No” to any of these questions, follow up with “Why not”?</p>

During Coaching for 4DX (continued)

Topic	Objectives	Coaching Questions
<p>Coaching for Discipline 4 “WIG Sessions”</p> <p>10 min</p>	<ul style="list-style-type: none"> Determine who can create movement and clear the pathway 	<p>Coach for Movement:</p> <ul style="list-style-type: none"> Who can influence movement, you as the leader or the team? If you were coaching me, what would you tell me to do? What action will you take to move forward, and when? Who else do you need support from? When should I follow up with you? What else do I need to know? <p>Note: Record the coachee’s actions and follow-up date.</p>
<p>Coaching for Discipline 4 “WIG Sessions”</p> <p>10 min</p>	<ul style="list-style-type: none"> Ensure that missed commitments are not permitted to continue Identify actions to get back on track 	<p>Coach for Missed Commitments:</p> <ul style="list-style-type: none"> What keeps your team from making the progress you want? What else can you do to get back on track? What paths, if any, do I need to clear? Who else needs to clear the path for you? What actions will you take to meet your commitments? What else do I need to know? <p>Note: Continue to monitor progress during the WIG sessions. If needed, repeat the coaching session again.</p>

After the Coaching Session

Timing	Task
<ul style="list-style-type: none"> • 1 – days after 	<ul style="list-style-type: none"> • E-mail coachee with key points and action items from the last coaching session
<ul style="list-style-type: none"> • 10 – 14 days after 	<ul style="list-style-type: none"> • Follow up with a check-in E-mail or phone call to see if the coachee needs additional help
<ul style="list-style-type: none"> • Monthly until the project is completed 	<ul style="list-style-type: none"> • Follow up with coachee • Record outcomes and lessons learned as appropriate
<p>Note: Reference next chart for more details on monthly support</p>	

Coaching for Leadership Engagement

Topic	Objectives	Coaching Approaches
<p>Support from key constituents</p>	<ul style="list-style-type: none"> • Obtain support from HR and leaders to conduct the coaching sessions • Obtain support from HR business partner to establish contact with the coachee's leader • Ensure that all parties involved are informed <p>Note: Refer to sample E-mails</p>	<ul style="list-style-type: none"> ▪ Find out who the HR business partner (HRBP) is for your coachee ▪ Schedule time to meet with the HRBP ▪ Introduce yourself and explain your role as a 4DX coach ▪ Ask them to share what they know about the coachee's leader ▪ If necessary, ask for assistance getting a meeting with the leader
<p>Initial contact with the leader</p> <p>Note: After meeting with the leader, follow up with the coachee and let them know the outcome. If the meeting went well and the leader is willing to support the employee's project, proceed with the coaching process. If the meeting did not go well, meet with the HRBP and the coachee to determine how best to proceed.</p>	<ul style="list-style-type: none"> • Establish a rapport with the coachee's leader • Increase leader's awareness and involvement in the process 	<ul style="list-style-type: none"> ▪ Introduce yourself and explain your role as a 4DX coach ▪ Are you familiar with the project (direct report's name) is working on? ▪ Do you support (direct report's name) in this effort? ▪ How familiar are you with the four disciplines? ▪ Would you like a quick overview of the four disciplines? ▪ How do you plan to support (direct report's name) apply 4DX on the job? ▪ How can I help you to support them in this process?

Coaching for Leadership Engagement (continued)

Topic	Objectives	Coaching Approaches
<p>Leader Engagement Discipline 1</p> <p>WIG</p>	<ul style="list-style-type: none"> Inform leaders of what they need to know and do to increase their support and visibility for 4DX projects 	<p>WHAT LEADERS NEED TO KNOW AND DO...</p> <ul style="list-style-type: none"> Know the WIGs that are being worked on in their departments The starting points (X) The end points (Y) The by when's Periodically check in with direct reports on progress Assist when they encounter obstacles Determine if you need to clear the path
<p>Leader Engagement Discipline 2</p> <p>Lead Measures</p>	<ul style="list-style-type: none"> Inform leaders of what they need to know and do to increase their support and visibility for 4DX projects 	<p>WHAT LEADERS NEED TO KNOW AND DO...</p> <ul style="list-style-type: none"> Know the lead measures for each WIG What actions are they taking? Is the leader (direct report) tracking the actions? Periodically check in with leaders (direct reports) on progress Assist when they encounter obstacles Determine if you need to clear the path
<p>Leader Engagement Discipline 3</p> <p>Scoreboard</p>	<ul style="list-style-type: none"> Inform leaders of what they need to know and do to increase their support and visibility for 4DX projects 	<p>WHAT LEADERS NEED TO KNOW AND DO...</p> <ul style="list-style-type: none"> Be familiar with the scoreboards the 4DX teams are using Support visibility of the scoreboards in the work environment Do not create the scoreboards for them Do not modify their scoreboards

Coaching for Leadership Engagement (continued)

Topic	Objectives	Coaching Approaches
Leader Engagement Discipline 4 WIG Sessions	<ul style="list-style-type: none"> Inform leaders of what they need to know and do to increase their support and visibility for 4DX projects 	WHAT LEADERS NEED TO KNOW AND DO... <ul style="list-style-type: none"> Periodically check in with direct reports Are WIG sessions being held consistently? If the person leading the WIG sessions is out of the office, do they need help? What obstacles, if any, are they experiencing? Assist when their direct reports encounter obstacles Determine if they need to clear the path

Monthly On-going Support of 4DX Implementations

Topic	Objectives
Conduct scheduled monthly follow-up meetings	<ul style="list-style-type: none"> Work with coachee and select dates to connect Place monthly follow-up meetings on the calendar and send calendar invites to your coachee
Provide 1-on-1 coaching as needed	<ul style="list-style-type: none"> At this point, disciplines 2-4 should be in play Determine which discipline needs support and use the appropriate coaching questions (Refer to During Coaching for 4DX) If the issue is related to leadership engagement... (Refer to Coaching for Engagement)
Hold leaders accountable for the process	<ul style="list-style-type: none"> Use the questions for coaching for accountability and missed commitments as appropriate
Stay connected during the completion of the first project	<ul style="list-style-type: none"> Determine what's working Determine what's not working Establish a plan to address the issue(s)
Capture outcomes and lessons learned	<ul style="list-style-type: none"> At the end of each coaching session, make note of any outcomes achieved by the coachee's team. Record any lessons learned
Conduct as assessment of each coaching session	<ul style="list-style-type: none"> At the end of each coaching session, assess how it went Determine if adjustments are needed for future sessions

Sample E-mail: Initial Contact with Coachee

Note: Use this e-mail only if you are unable to speak directly with the coachee

From: [Your Name]

To: [Coachee's Name]

Subject: [Coaching for 4DX Change Champions]

Hello [Coachee's Name],

Thank you for contacting me!

I am very interested in hearing more about your 4DX project. So, I want to schedule time on our calendars to begin our work together. When we meet, be prepared to discuss the following:

- What are you trying to accomplish with 4DX?
- What kind of challenges are you having?
- What experience have you had with 4DX before now?
- Where do you need help or support the most?

If there are other items you would like to discuss, send them to me and I will add them to our agenda.

Let me know of your earliest availability to have an initial 30-minute meeting (or phone call). I respect your time, so if we do not need the full 30 minutes, we can end our meeting sooner. Also, for subsequent meetings we can add more time when needed.

Thank you for this opportunity to work with you on your 4DX project. I look forward to hearing from you soon!

Kind regards,

[Your Name]

[Your Title]

[Your Phone Number]

[Your E-mail Address]

[LinkedIn, Facebook, etc.] (Optional)

Sample E-mail: Initial Contact with HR Business Partner

Note: Use this e-mail only if you are unable to speak directly with the HR Business Partner

From: [Your Name]

To: [HR Business Partner's Name]

Subject: [Coaching for 4DX Change Champions]

Hello [HR Business Partner's Name],

I am one of the coaches for the 4DX Change Champion initiative and have been assigned to work with [Coachee's Name]. As you know, increasing leadership engagement is one of our primary focal points for the successful transfer and usage of 4DX in our company. Ensuring that leaders of participants in the program are aware and involved in the process is vital to the success of 4DX at [Company's Name].

I want to schedule a meeting with [Coachee's Name] leader, [Leader's Name], and I could use your help in advance. I want to gain insight into the leader's current business unit goals, challenges, and leadership style. This information will help me establish a better rapport with [Leader's Name] and use their time wisely.

Please let me know of your earliest availability to have a 30-minute meeting (or phone call) with you. I respect your time as well, so if we do not need the full 30 minutes, we can end our meeting sooner.

Thank you in advance for assisting me with this matter!

Kind regards,

[Your Name]

[Your Title]

[Your Phone Number]

[Your E-mail Address]

[LinkedIn, Facebook, etc.] (Optional)

Sample E-mail: Initial Contact with Leader

Note: Use this e-mail to schedule an initial phone or face-to-face meeting with the leader

From: [Your Name]

To: [Leader's Name]

Subject: [Coaching for 4DX Change Champions]

Hello [Leader's Name],

I am one of the coaches for the 4DX Change Champion initiative and have been assigned to work with [Coachee's Name]. As you know, increasing leadership engagement is one of our primary focal points for the successful transfer and usage of 4DX in our company. Ensuring that leaders of participants in the program are aware and involved in the process is vital to the success of 4DX at [Company's Name].

I want to schedule a meeting with you to discuss the following:

- Information shared by [Coachee's Name] regarding their 4DX project
- How your department can benefit from [Coachee's Name] 4DX project
- How you can support [Coachee's Name] 4DX project

Please let me know of your earliest availability to have a 30-minute meeting (or phone call). I respect your time, so if we do not need the full 30 minutes, we can end our meeting sooner.

Thank you for helping me help [Coachee's Name]!

Kind regards,

[Your Name]

[Your Title]

[Your Phone Number]

[Your E-mail Address]

[LinkedIn, Facebook, etc.] (Optional)

Sample E-mail: Follow-up Sessions with Coachee

Note: Use this e-mail after coaching sessions with the coachee

From: [Your Name]

To: [Coachee's Name]

Subject: [Coaching for 4DX Change Champions]

Hello [Coachee's Name],

It was a pleasure to spend time discussing your 4DX project on [Date of Coaching Session]!

Here is a recap of your action items related to your project:

- [Action Item #1]
- [Action Item #2]
- [Action Item #3]

Here is a recap of my action items related to your project:

- [Action Item #1]
- [Action Item #2]
- [Action Item #3]

Our next coaching session is scheduled on [Date and Time]. However, if you need help before then, contact me and we will establish a time to talk.

As always, thank you for this opportunity to work with you on your 4DX project!

Kind regards,

[Your Name]

[Your Title]

[Your Phone Number]

[Your E-mail Address]

[LinkedIn, Facebook, etc.] (Optional)

Sample Worksheet: Assessment of Coaching Sessions

Note: Use this worksheet after the coaching session to reflect on how the meeting went

Assessment Question	Comments/Actions	
What worked well during the coaching session?	What evidence do you have?	
What could have gone better?	How will you address this?	
What will you do differently in the next session?	What will the changes accomplish?	

~ EVALUATION ~ FOR 4DX CHANGE CHAMPIONS



TRANSFORMATIONAL COACHING FOR 4DX

DEBRA D. SEVERAN

Transformational Coaching for 4DX Day One

Evaluation for

1. Please fill in the following fields:

Course Location: _____ Course ID: _____

Facilitator: _____ Date: _____

2. What overall rating would you give the course for Day One?

Excellent **Very Good** **Good** **Fair** **Poor**

3. **Course Objectives:** How well were the objectives met for Day One?

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
Discussed coaching and being emotionally available	<input type="radio"/>				
Review findings from a qualitative study	<input type="radio"/>				
Explored transformation change	<input type="radio"/>				
Discussed how to coach for 4DX transformation	<input type="radio"/>				
Practice coaching for Discipline 1	<input type="radio"/>				

4. **Course Materials:** How well were the content and materials designed Day One?

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The course materials were clear and well written	<input type="radio"/>				
The activities were effective (discussions, skill practices, etc.)	<input type="radio"/>				
The course content increase my competence as a 4DX coach	<input type="radio"/>				
Increased confidence and competence as a 4DX coach	<input type="radio"/>				
Promoted leadership engagement practices in the workplace for 4DX	<input type="radio"/>				

5. What overall rating would you give the facilitator for Day One?

Excellent **Very Good** **Good** **Fair** **Poor**

6. **Facilitator:** Please select your level of agreement with the following statements:

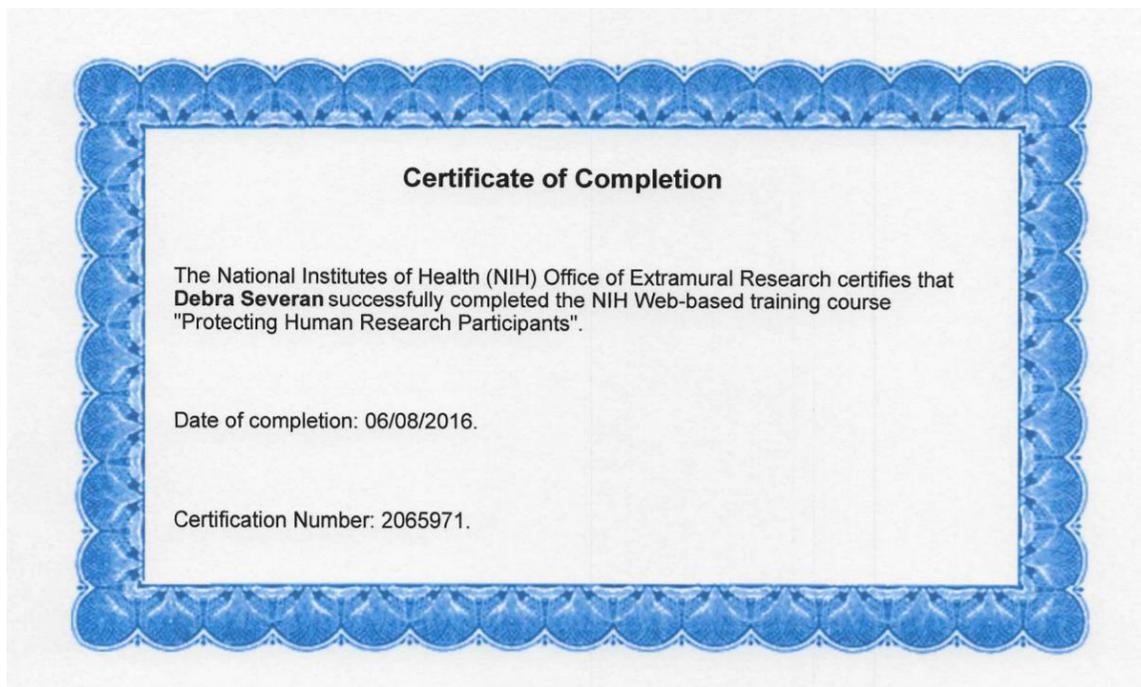
	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
The facilitator demonstrated knowledge of the subject matter	<input type="radio"/>				
The facilitator was effective in communicating the content of the course	<input type="radio"/>				
The facilitator encouraged feedback from the class	<input type="radio"/>				
The facilitator showed genuine concern for the participants	<input type="radio"/>				
The facilitator was enthusiastic about the course	<input type="radio"/>				

Note: Evaluations for the remaining days are similar, however the objectives are different for each day. The summative workshop evaluation is in the same format as well, but again, the objectives are different and the following question was added:

7. Would you recommend this course to others who want to become coaches for 4DX?

Definitely **Probably** **Not Sure** **Probably Not** **Definitely Not**

Appendix B: NIH Certificate of Completion



Appendix C: The Letter of Cooperation

The Letter of Cooperation

Laraine Warner
VP, Leadership Development

October 20, 2017

Dear Debra Severan,

Based on my review of your research proposal, I give permission for you to conduct the study entitled, A Qualitative Approach to Transfer of Training for Managers in Leadership., within [REDACTED] Corporation. As part of this study, I authorize you to recruit volunteers, conduct face-to-face and/or virtual interviews with managers who have completed the course, the 4 Disciplines of Execution, consult with your leaders and peers to maintain the integrity of the study, and report your findings to those who participated in the recruitment, data collection and peer review procedures. Individuals' participation will be voluntary and at their own discretion.

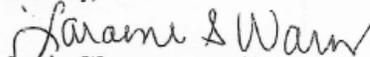
We understand that our organization's responsibilities include involvement by the leader of the [REDACTED] and the Director of the Learning Management System (LMS) to provide a list of participants extracted from the learning management system. We reserve the right to withdraw from the study at any time if our circumstances change.

To protect the confidentiality of the company and its employees, I understand the student will not use the name of our organization, the leadership, or the participants in the doctoral project report that is published in ProQuest. Instead, titles will be used to protect the identify of leaders, and numerical codes will be assigned to each participant.

I confirm that I am authorized to approve research in this setting and that this plan complies with the organization's policies.

I understand that the data collected will remain entirely confidential and may not be provided to anyone outside of the student's supervising faculty/staff without permission from the Walden University IRB.

Sincerely,



Laraine Warner
VP, Leadership Development



Walden University policy on electronic signatures: An electronic signature is just as valid as a written signature as long as both parties have agreed to conduct the transaction electronically. Electronic signatures are regulated by the Uniform Electronic Transactions Act. Electronic signatures are only valid when the signer is either (a) the sender of the email, or (b) copied on the email containing the signed document. Legally an "electronic signature" can be the person's typed name, their email address, or any other identifying marker. Walden University staff verify any electronic signatures that do not originate from a password-protected source (i.e., an email address officially on file with Walden).

Appendix D: The One-on-One Interview Protocol

Interviewer Name:	Date:
Interviewee No:	Interviewee Title:

Hello!

Thank you for joining me today. My name is Debra Severan, and I am a doctoral student working to complete a project study in partial fulfillment of completing my EdD in Adult Education. Thank you for agreeing to participate in this study. Before we begin, I have some things to review with you first.

The purpose of this study is to identify what supports or hinders the transfer of training from leadership development courses offered by the company. In other words, what creates successes or barriers to transferring what is learned in class back to the job. The 4 Disciplines of Execution is the course we will focus on during this interview.

There are 14 questions, but five of them will be quick. The interview will last approximately 60 minutes from the time we start.

Next, I would like your permission to record this interview. Recording it will ensure my accuracy in preparing my report of the findings. If you have concerns about the recording, let me know now and I will take copious notes to make sure I capture your statements accurately. Otherwise, please know that you are under no obligation to continue. You can stop the interview for any reason at any time.

Your responses will be used to provide insight into what supports your transfer of 4DX training from the classroom to your job, and what creates barriers for you in terms of transferring 4DX concepts and skills to your job. This information will be used by the leadership development team to determine how best to support the transfer of 4DX training in the future.

Your responses will be kept confidential, and instead of your name, a number will be assigned to this interview, and your name will not appear in any of the data collected. Interview data will be stored in a locked container in my home office.

As a reminder, you have signed and dated a consent form via e-mail agreeing to participate in this study. As the researcher responsible for this project, A Qualitative Approach to Transfer of Training for Managers in Leadership Development, I have acknowledged your consent form via e-mail to confirm that we both agree to engage in

this process together. However, you are under no obligation to participate; you can exit this interview at your discretion.

If you have not already done so, please print a copy of the consent form for your records. I have printed a copy of the consent form and it will reside in a locked container in my office, separate from your responses.

Finally, I repeat once more; your participation is entirely voluntary. Before we begin, what questions do you have? Then if you are ready, we can proceed.

Appendix D continued - The One-on-One Interview Questions

Demographics:
1. How long have you worked here?
2. How long have you been a manager?
3. How many direct reports do you have?
4. What date did you complete the 4DX course? If you don't know, will you get back to me with the answer by end of day tomorrow?
5. Did you attend the 4DX course in a live session or online?
Guiding Question #1: How do managers describe their preparedness to transfer the training of the 4DX concepts and skills taught in class to their jobs?
1. Based on your personal learning experiences and perceptions, after completing the course, how prepared did you feel in terms of implementing the steps of 4DX to your work role?
2. Based on your personal learning experiences and perceptions, how confident did you feel applying what you learned in the 4DX class to your work role?
Guiding Question #2: How do managers describe the transfer of training from the 4DX concepts taught in class to practical job application in their work environments?
1. Describe a time when you were successful applying 4DX on the job with your team.
2. What do you attribute your success to?

3. What barriers did you encounter with the implementation of 4DX with your team?
4. What do you attribute the barriers to?
5. In your opinion, what conditions or factors support or create successes for the transfer of training at this company?
6. In your opinion, what conditions or factors hinders or creates barriers to the transfer of training at this company?
7. In your opinion, what is needed to further increase the transfer of training of 4DX at this company?

Appendix E: The Participant E-mail Invitation

Hello (participant name),

My name is Debra Severan, and I am a corporate leadership trainer with the leadership development team. I am also a doctoral student at Walden University working on a research project called, *A Qualitative Approach to Transfer of Training for Managers in Leadership Development*. Leaders of the leadership development team are interested in knowing what will help participants, who take the course, the 4 Disciplines of Execution (4DX), increase their transfer of training back to the job. The 4DX course will be the focal point of this study and my role will be separate and apart from that of a corporate leadership trainer. For this study, I will function solely as a doctoral student conducting research to interview managers who completed the 4DX course between 2015-2018 and were not participants in any of the 4DX classes that I facilitated. The intent is to identify what factors support or hinder transfer of training in the participants' work environments.

To conduct the study, I am looking for 12 managers who have direct reports and meet the following criteria: (a) you are a manager with direct reports, (b) you did not attend the class under my instruction, and (c) you implemented or attempted to implement 4DX with your team. If you meet these criteria, I would like to enlist your help to participate in a study to help the leadership development team identify what successes or barriers you encountered when you applied or attempted to apply what you learned in the 4DX class to your work area. I also ask, if you are willing, to please share any documentation, pictures, etc. that you currently have of your WIGs, lead measures,

scoreboards, and WIG sessions. If you would like to participate in this study or know more about it, please contact me within two weeks of receiving this e-mail. The first 12 individuals to respond will be included in the study.

The interviews will take approximately 60 minutes. I will use proper interview protocol and procedures to protect your confidentiality. Therefore, you will be asked to respond to a consent form via e-mail indicating that you volunteer to take part in the study. Should you agree to participate, I will share additional information at the time of the scheduled interview.

Kindest regards,

Debra D. Severan

Appendix F: The Participant Acceptance E-mail

Hello (participant name),

Congratulations! Thank you for being one of the first to volunteer to participate in the study, *A Qualitative Approach to Transfer of Training for Managers in Leadership Development*. Your name has been added to the list, and I will be contacting you shortly to setup a date and time for your interview. The interviews will take approximately 60 minutes from the time we start. As a reminder, I will be using proper interview protocol and procedures to protect your confidentiality and anonymity. I will share additional information at the time your interview is scheduled. If you have questions, please contact me at my e-mail address or phone number below and I will be delighted to answer any questions you might have. Thank you again for participating in this project!

Kindest regards,

Debra D. Severan

Appendix G: Member Checks

Script:

Hello!

Thank you for permitting me to follow up with you. The purpose of today's meeting is to check the accuracy of the information captured in our interview on (enter date of interview). Today, I only have a few questions, so this should take only 15-30 minutes. Do you have any questions before we begin?

Member Checking:
Did you get a chance to review the transcript?
Did you find any discrepancies in the information? If so, what?
Is there anything you would like to change? If so, what?
Is there anything you would like to add? If so, what?