Welcome to the DeVoe School of Business, Doctor of Business Administration program! You are about to begin a demanding and rewarding journey. Whether you aspire to become a scholarly researcher or a professional practitioner, you will find a rigorous and relevant program of study.
that will facilitate growth in business administration, as well as your ability to transform theory into inquiry and practice.

This handbook contains important information about the program and the applied doctoral project. The handbook is a comprehensive guide in that it provides you with important foundational information, steps, and forms for your understanding of how to meet the requirements of both the DeVoe School of Business and the Doctorate of Business Administration program.

The following pages provide you with important policy and procedures that must be adhered. During your doctoral program, you will have the opportunity to learn a tremendous amount from faculty and peers, in class and out, and through engaging in your own real-world problem-based research. A primary goal of the doctoral program is for you to learn how to design, conduct, and evaluate scholarly research, as well as, be a part of a learning community. You will be engaged in problem-based learning and asked to synthesize and generate new ideas which will, in turn, inform and shape your thinking and understanding as well as impact your field of study and/or practice.

Doctoral study is exciting and challenging. It will take dedication and commitment to complete your program. You may experience a wide range of feelings, from frustration to enthusiasm, such as being overwhelmed as you progress through the steps, to elation when you defend your final project. As you are stretched, remember that God is faithful to see you through to finishing the task (Phil. 1:6). Our faculty are here to create an environment for influencing your critical thinking, and further your ability to think philosophically with a biblical worldview.

Our expectations of you are no different from our expectations of ourselves—to offer our best, good-faith effort to influence and be influenced by others as we seek to develop professionally and honor the Lord’s calling. We pray that your experience at Indiana Wesleyan University will enable you to integrate Christian spirituality, and Virtuous Business principles to equip you more fully to impact the world for Christ.

The Graduate Faculty welcomes you to the Doctorate of Business Administration program at IWU and wishes you much success in your doctoral studies.
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Introduction

A Note from the DBA Program Chair:

Welcome to Indiana Wesleyan University, National and Global Campus, the DeVoe School of Business, and the Doctorate of Business Administration. We are delighted to have you join us in this innovative and engaging program. Over the next three years, you will not only study the most recent theories and developments in business administration, you will learn how to apply that knowledge and help real people solve significant real problems thereby becoming a real-world changer. Your doctoral project is your opportunity to not only demonstrate your ability to do doctoral level work but to change the world in which God has placed you. Blessings on you as you complete your coursework and doctoral project.

Dr. Jeffrey Boyce

The Carnegie Foundation suggests that doctoral students are preparing to become stewards of their discipline (Envisioning the Future of Doctoral Education, 2006). The Applied Doctoral Project (ADP) is the ultimate achievement of the doctoral experience; it should therefore contribute to the discipline of business/organizational administration. The ADP allows
the student to demonstrate critical thinking, leadership, and communication skills by identifying a significant organizational challenge faced by a real organization and leading that organization through a problem-solving process. Through this project, the student can demonstrate their ability to change the world into which God has placed them. The primary emphasis of the ADP is to build a foundation of knowledge using research. To develop the ADP, the student first identifies an industry and researches that industry in order to obtain a thorough understanding of it. From that industry, the student then finds a partner organization with an appropriate challenge that warrants investigation. The purpose of the ADP process is to raise questions and discover answers through the application of systematic problem-solving methods. The research methods and procedures used are important to ensure the information gathered comprises relevant evidence for the questions asked and is both valid and reliable.

The ADP process is one that requires a high degree of self-discipline as the student begins a process that requires self-directed learning and inquiry. Students must establish a project plan that includes objectives, key activities, outcomes, and a timetable. The student is the only person that is responsible for implementing and executing this plan. The student is required to be the Principal Investigator (PI) in the research conducted via the plan. In this new academic environment of self-directed learning and independent action, some students falter and fail to complete their doctoral work. In fact, the national average for doctoral students that complete their dissertation is 57 percent (Chronicle of Higher Education, p. A1, July 27, 2007).

The DBA program provides support and advice to students in completing their ADP and DBA degree. The support begins with the assignment of a Research Chair who helps guide the student through the process. It also includes research courses that provide foundational scholarship and research skills such as BADM-702 Foundations of Doctoral Research and BADM-707 Data Analytics and Research. Finally, many core content courses reinforce the DeVoe Problem-Based Learning process, and each residency provides additional support for the student in the activities planned for the next year. Given the level of program support, if you are focused and dedicated, you can successfully complete the DBA.

The Applied Doctoral Project Handbook facilitates the student’s progress through the process and the development of the ADP. This Handbook is appropriate for the following DBA specializations:

- Management
- Accounting
- Healthcare Administration
- Information Systems

Students should direct questions to their Research Chair.

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Academic Conduct and Expectations
Students that begin the doctoral journey at Indiana Wesleyan University (IWU) have been introduced to academic integrity as it applies to plagiarism, but there are additional issues related to academic honesty and integrity that arise when a scholar engages in a research project. Students are expected to abide by the IWU Responsible Conduct of Research policy and the Honesty, Cheating, Plagiarism, and Forgery policy as outlined in the University Catalog. The following text is copied directly from the 2019 - 2020 Catalog. See the most recent University Catalog for more details.

**Honesty, Cheating, Plagiarism, and Forgery**

Academic dishonesty is inconsistent with scholarship and the pursuit of knowledge and Christian character. Thus, Indiana Wesleyan University expects students to be honest in all academic work and with all university records. Incidents of cheating, plagiarism, falsification of any university documents or any other dishonest action will be investigated and judged by the appropriate academic leader. It is the responsibility of each student to be aware of policies regulating academic conduct including definitions of academic dishonesty, the possible sanctions, and the appeals process.

**Coursework**

Students are expected to exhibit honesty in the classroom, in homework and on quizzes and tests. Each instructor should define what constitutes honest work in a specific course. Any deviation from ordinary standards, such as the permitted use of notes for an examination or an “open book” test, should be stated clearly by the instructor. Cheating is defined as the use or attempted use of unauthorized materials or receiving unauthorized assistance or communication during any academic exercise.

Examples of cheating include:
1. Submitting work for academic evaluation that is not the student’s own.
2. Copying answers from another student during an examination.
3. Using prepared notes or materials during an examination.
4. Permitting another student to copy one’s work.
5. Plagiarism – see below for definition
6. Falsification.
7. Other misrepresentations of academic achievement submitted for evaluation or a grade.
8. The submission of papers or other work that one has submitted in a previous class or classes without appropriate citation and/or permission of the instructor.
9. Facilitating the academic dishonesty of others. Examples include, but are not limited to, uploading work to a tutoring website or sharing work with friends, roommates, and classmates.
The Prentice Hall Reference Guide (2006) indicates, “To plagiarize is to include someone else’s writing, information, or idea in a paper and fail to acknowledge what you took by indicating whose work it is” (p. 292). In other words, it is not giving credit where credit is due. Plagiarism is both a moral and ethical offense and sometimes a legal one.

Examples of plagiarism include:
1. Copying another person's actual words without the use of quotation marks, source citation, or footnotes.
2. Presenting another person's ideas or theories in your own words without citing the source.
3. Failing to acknowledge contribution and collaboration from others.
4. Using information that is not common knowledge without citing the source.
5. Submitting downloaded papers or parts of papers, "cutting and pasting," or paraphrasing or copying information from Internet sources without proper acknowledgment of a source.

Sanctions

Because the matter of cheating cumulatively leads to dismissal, faculty are required to report each case to the appropriate university administrators who in turn reports the case to the academic leader of the specific college/school. Evidence must be in hand before any action will be taken to confront and accuse a student of cheating. Any student apprehended and charged with cheating, including plagiarism, during his or her college matriculation, shall receive the following discipline:

1. First incident of cheating: no credit (i.e., no points given) in paper, assignment, or exam.
2. Second incident of cheating: failure in the course involved.
3. Third incident of cheating: dismissal from the university.
4. Students in graduate programs or graduate courses are expected to understand clearly the nature of cheating and are subject to dismissal from the university for any egregious act of academic dishonesty or cheating, without the need to follow the steps listed above.
5. Discovery of any dishonest action for students who have been awarded an IWU degree may result in rescinding of said degree without the need to follow the steps listed above.

A student who is not satisfied with the disciplinary action may follow the grievance and appeal policies of the appropriate academic unit.

University Records: Falsifying or forging any university record or using unauthorized access to any university system is considered a dishonest action and is subject to review and possible sanctions. Incidents of such will be investigated and judged by the appropriate academic leader. It is the responsibility of each student to be aware of policies regulating academic conduct including definitions of academic dishonesty, the possible sanctions, and the appeals process.
Falsification of Academic Records or University Documents: Falsification of academic records or documents includes but is not limited to altering any documents affecting academic records; forging signatures; or falsifying information of an official document such as a grade report, ID card, financial receipt, or any other official university letter or communication. This includes information downloaded (printed) from student information available via Web (online) services.

Unauthorized Access to Computerized Academic or Administrative Records or Systems: Unauthorized access to computerized academic or administrative records or systems means viewing or altering the university's computer records without authorization; copying or modifying the university's computer programs or systems without authorization; releasing or dispensing information gained through unauthorized access; or interfering with the use or availability of computer systems information. Students who are found to have falsified university documents or participated in unauthorized access to computerized academic or administrative records or systems are subject to the following sanctions:

Sanctions:
1. Dismissal from the university for a single incident.
2. Discovery of any dishonest action for students who have been awarded an IWU degree may result in rescinding of said degree.
3. The university may consider legal action for any individual found to have participated in these actions.

A student who is not satisfied with the disciplinary action may follow the grievance and appeal policies of the appropriate academic unit.

Indiana Wesleyan University is committed to the highest level of integrity and ethical behavior in the development, implementation, collection, evaluation, and dissemination of information related to research. IWU is also committed to the avoidance of research misconduct. The University follows the codes established by the Office of Research Integrity (ORI) and the Office of Human Research Protections (OHRP) and provides education to students, personnel, and research affiliates on the codes and practices of RCR and on the consequences of misconduct as per appropriate principal academic unit polices.

Scholars that desire to pursue academic honesty and integrity are sometimes faced with complex decisions that might result in violations of ethical or legal policies. For this reason, a student should consult regularly with their Research Chair about the decisions made regarding
research issues encountered. These decisions include such matters as the recruitment of research participants, protection of research participants, collection of data, processing of data for accuracy, validity and reliability, statistical analysis, and maintenance of data. A good practice to follow is to always consult with your Research Chair when facing a dilemma related to your research. Research Chairs that have concerns about a student’s research should consult with the DBA Department Chair.

There are some practices a Research Chair may ask students to follow in order to ensure a high degree of academic integrity. This may include—but is not limited to—the following practices.

1. Notifying the Research Chair before you begin data collection and providing a written description of the exact procedures that will be followed.
2. Submitting all data collected to the Research Chair and providing access to the data collection tool. This might include but is not limited to voice or video recordings, SPSS data files, qualitative data files, and access to survey administration accounts (i.e. Survey Monkey, Qualtrics, Mind Garden, etc.). It is therefore important that statements regarding confidentiality indicate that data and sources for data will be shared with the Research Chair.
3. Providing the names and contact information of officials in organizations that were instrumental for the student to gain approval for data collection.

The student must consult with their Research Chair to determine the practices to follow. Regardless of the Research Chair’s requirements, the student maintains ultimate responsibility for data storage pertaining to the Applied Doctoral Project and for the responsible conduct of research.

All official documents submitted by students during the ADP Process should be accompanied with the following statement (Certification of Appropriate Academic Conduct). This statement should appear on the title page of each official document that you submit to your Research Chair. The statement will be omitted from the title page on the final draft of your Applied Doctoral Project. However, the student is always responsible for appropriate academic conduct.

Certification of Appropriate Academic Conduct

I have read and understand the IWU policy as outlined in the University Catalog relating to the IWU Honesty, Cheating, Plagiarism, and Forgery policy and the Responsible Conduct of Research policy. By submitting this statement in conjunction with written work for my Applied Doctoral Project, I certify that I have not violated IRB guidelines, I have obtained IRB approval before collecting data, that all data used for the research was collected personally and not by others, and that the data has not been fabricated, falsified, or altered (unless such alterations are noted in the paper). I further certify that I have not cheated or plagiarized in the process of writing the Applied Doctoral Project document and have abided by all other relevant IWU
policies. If it is found that a violation of IWU policies did take place in the preparation and writing of this document, I understand the possible consequences of the act, or acts, could include expulsion from Indiana Wesleyan University or revocation of my degree should academic misconduct be discovered after the degree has been awarded.

1.0 Applied Doctoral Project (ADP)

As a doctoral student, it is critically important for you to demonstrate your ability to conduct systematic investigations and examine significant issues or problems in your field of research. From the start, the Applied Doctoral Project (ADP) functions alongside the course work track in a continuous parallel path in your degree program that allows you to demonstrate pertinent knowledge, skills, research expertise, and practical applications in your discipline. As a requirement for graduation from Indiana Wesleyan University (IWU) with a degree of Doctor of Business Administration (DBA), each student must complete and successfully defend their ADP.

Use this Handbook to help guide you through the ADP process, including:
Since the Handbook outlines an important part of your doctoral journey, we suggest reading it, and all accompanying documents, at the beginning of your program; then, reference them as necessary throughout your studies. If you have any questions, please email them to your Research Chair.

1.1 The Purpose of the ADP

The Applied Doctoral Project is a formal, comprehensive document that details the purpose, background, project approach, project implementation, and conclusions of an applied practitioner-oriented project. Completion and defense of the ADP is a requirement for graduation from Indiana Wesleyan University with a Doctor of Business Administration (DBA).

The ADP is intended to:

- Enhance your understanding of your field of study;
- Provide experience conducting doctoral level research in your field of study;
- Develop your ability to analyze, synthesize, and evaluate data and conclusions in your field of study;
- Make a significant contribution to your field of study and practice;
- Include a thorough review of associated professional literature;
- Critique your ability to plan and implement a problem-based learning solution;
- Demonstrate a clear understanding of basic research principles, techniques, and ethics;
- Evaluate your ability to analyze and synthesize data, as well as draw and evaluate conclusions;
- Assess your ability to bridge the gap between academic research and practitioner implementation;
- Develop skills in project planning, time management, organization, and implementation; and
- Show evidence of a high level of professional competence.

It is important to keep in mind that the ADP is not simply another graduate school assignment. The ADP is intended to help the student develop both personally and professionally. It must be rigorous and of sufficient high quality to be published in both a peer-reviewed journal and industry forum. The Applied Doctoral Project may be cataloged and available to other researchers—seasoned professionals and academics, as well as future students—all over the world.
1.2 Acceptable Types of Research

The ADP can focus on many different areas. The following examples are types of projects that could be carried out in alignment with ADP standards in the DeVoe School of Business. However, this list is not all inclusive, and you are encouraged to consider other ideas that meet the requirements for the ADP.

Management, Business Strategies, and Business Models
- Virtuous Business
- Next Generation Enterprises and Globalization
- Enterprise Agility Business and Government Agility
- Digital Governments and Digital Health
- Policies needed for technologies
- Government models needed for advancing developing countries faster
- Entrepreneurship and How to Finance Your Business
- Business Strategies in a Competitive Environment
- Policy Issues in Modern Settings
- Leadership in the Digital Age
- Agile Project Management
- Large Scale Project Management (Projects of Projects – PoP)
- Managing Integration Projects
- Project Management Office (PMO)

Emerging Technologies and Their Applications
- Mobile Computing Apps
- Cloud Computing Technologies, Models, and Configurations
- Wireless Communications and Next Generation Technologies
- Emerging Web Technologies and Web Services
- ICT for Developing Countries
- Business Games and Simulations
- GIS for Governments
- Government-Business Networks between public and private sectors
- Collaborative Systems (e.g., Sharepoint)
- Telemedicine, Healthcare Information Exchange, and Mobile Health Clinics
- Next Generation of ERP Systems

Economics
- Microeconomic analysis
- Macroeconomic analysis
- Economic policy at local, state, and federal levels
- Trade policy
- Economic forecasting
Strategic Planning, Architectures, and Integration
- Strategic IS Planning in the Digital Age
- Strategic Planning for Mobile Computing
- Enterprise Architectures and Integration in the Digital Age
- B2B trade and interagency information exchange models (e.g., NIEM)
- Migration of legacy systems to SOA

Systems Engineering, Design Approaches, and Decision Support
- User Centered Design
- Intelligent Decision Support for Managers
- IT Quality Management and IT Audits
- Information Security Approaches and Technologies
- Computer aided consulting for developing countries
- Computer aided planning, engineering, and management for eBusiness

Healthcare
- Social determinants of health
- Patient experience
- Risk adjustment
- Population health
- Community-clinical linkages
- Public-private partnerships in healthcare delivery
- Regulatory change
- Disaster preparedness
- Healthcare market disruptors
- Healthcare organization branding
- Integration of physician groups with health systems
- Integration of behavioral health
- Long-term care payment reform
- Shift from payment reform to delivery reform
- Disruptive payment and delivery systems
- Economic evaluation of health policies
- Economic cost of delayed treatment
- Allocation of expenditures
- Provider recruitment and retention
- Price transparency
- Revenue-cycle management
- Pharmaceutical cost
- Value-based care
- Quality of patient care
- Cost of medical errors
- Technology platforms and implementation
• Interoperability
• E-health/M-health
• Remote health monitoring and telehealth
• Data and analytics
• Internet of Things
• Artificial intelligence

**Accounting**
• Accounting automation and its impact
• IT and accounting education
• AI and accounting and biases
• XBRL, Blockchain, and new technologies
• FASB and ISAB congruence
• Changes in accounting disclosures
• Auditing issuing and PCAOB
• Accounting for private companies
• Accounting education and curriculum
• Accounting issues in non-profit organization
• Cybersecurity

The ADP is intended to be the opportunity for the doctoral student to demonstrate their ability to conduct doctoral research and solve problems in the real world.

Students will work with a real-world organization to solve a real-world problem that represents a significant challenge to the organization.

---

**Year One**

Students will identify the industry in which they wish to do their project, identify and study any issues being faced by organizations they may study, and determine the organization with whom they will partner for their research.

**Years Two and Three**

In year two and the first half of year three, the student will work the problem using the DeVoe Problem-Based Learning methodology. In the last half of year three, the student will complete their final report and presentation.
As the listed examples indicate, all project topics require an extensive knowledge of the literature pertaining to the particular subject areas, synthesis and application of this knowledge, and sophistication regarding how a project is developed and presented. Conducting these projects provides students with experiences that create expertise in their focused areas and prepare them to be effective practitioner-scholars.

The following types of research are NOT acceptable:

- Medical research
- Animal research

All proposals must be reviewed and approved by your Research Chair, ADP Review Board, the DBA chair, and potentially the Institutional Review Board (IRB). The ADP Review Board and DBA Chair will evaluate each project for rigor while the IRB will focus on protecting the safety of the participants.

Data Collection

Remember, you may not begin data collection prior to the approval of your proposal by:

1. Your Research Chair
2. The ADP Review Board
3. The Institutional Review Board (IRB) (if applicable)
1.3 ADP Compared to Dissertation

The ADP is the culminating research project for students enrolled in the DBA Program at Indiana Wesleyan University. It is equivalent in research rigor to a traditional dissertation but allows students more flexibility in designing and conducting a research project with an applied focus, which is more in line with the practitioner-scholar philosophy of other practitioner degrees. The differences between an ADP and a dissertation are detailed in the table below.

<table>
<thead>
<tr>
<th>Applied Doctoral Project Compared to Dissertation</th>
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<tbody>
<tr>
<td><strong>Intent</strong></td>
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<tr>
<td>Demonstrates expert knowledge of the literature in a focused area of practice and an ability to conduct independent research</td>
</tr>
<tr>
<td>Demonstrates expert knowledge of the literature in a specific area of interest and an ability to conduct independent research</td>
</tr>
<tr>
<td><strong>Research Focus</strong></td>
</tr>
<tr>
<td>Typically investigates an aspect of applied practice</td>
</tr>
<tr>
<td>Examines a gap in the research literature on a topic within the field of study</td>
</tr>
<tr>
<td><strong>Format</strong></td>
</tr>
<tr>
<td>Varies according to specific type of study and focus</td>
</tr>
<tr>
<td>Traditional five-chapter format: Introduction, Review of Literature, Methods, Results, and Discussion</td>
</tr>
<tr>
<td><strong>Length of Time to Complete</strong></td>
</tr>
<tr>
<td>Varies according to many student and study variables</td>
</tr>
<tr>
<td>Varies according to many student and study variables</td>
</tr>
</tbody>
</table>
2.0 The Applied Doctoral Project Process

This chapter includes an overview of the people and processes involved in completing your ADP. It is important to familiarize yourself with this information from the beginning of your doctoral program. This chapter covers the following:

- Nine phases of the ADP process;
- Required courses, forms, and documents (student completes);
- Roles and responsibilities of individuals and boards involved in the ADP process;
- Step-by-step process to develop an ADP.

2.1 Overview of the ADP Process

The ADP process is comprised of nine phases, during which there are various “Transition Points” to complete and forms to submit. The graphic below provides an overview of these elements and how they relate to each other.
2.1.1 Nine Phases of the ADP Process
The nine main phases of the ADP process are:

<table>
<thead>
<tr>
<th>STEP</th>
<th>Description</th>
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<tbody>
<tr>
<td><strong>STEP 1</strong></td>
<td>Identify and investigate problems and issues at the industry level (select industry).</td>
</tr>
<tr>
<td><strong>STEP 2</strong></td>
<td>Identify potential partner organizations. Evaluate human factor issues and leadership challenges. Complete IRB training.</td>
</tr>
<tr>
<td><strong>STEP 3</strong></td>
<td>Select partner organization. Identify and investigate competitive challenges faced by partner organization.</td>
</tr>
<tr>
<td><strong>STEP 4</strong></td>
<td>Determine problem for ADP. Write a proposal (project plan) for a project-based learning (PBL) approach to the ADP (Chapter 1 of the ADP Final Report).</td>
</tr>
<tr>
<td><strong>STEP 5</strong></td>
<td>Determine knowledge deficiencies (literature review finalized). Explore potential solutions (Chapter 2 of the ADP Final Report).</td>
</tr>
<tr>
<td><strong>STEP 6</strong></td>
<td>Explore potential solutions to the problem (IRB Approval).</td>
</tr>
<tr>
<td><strong>STEP 7</strong></td>
<td>Develop a research plan and test for a solution (Chapter 3 of the ADP Final Report).</td>
</tr>
<tr>
<td><strong>STEP 8</strong></td>
<td>Evaluate research findings and develop a change management plan to implement the solution (Chapter 4 of the ADP Final Report).</td>
</tr>
<tr>
<td><strong>STEP 9</strong></td>
<td>Assess and reflect on the solution and the process (Chapter 5 of the ADP Final Report). Present the project (Defense). Write the academic and industry papers. Complete other required course work.</td>
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2.1.2 Choosing a Project

The following guidelines will assist you in choosing a project for your Applied Doctoral Project.

- Examine a problematic process/issue in your organization that could be improved through the implementation of a planned intervention.
- Identify the specific evidence and/or data that serve to define the need or opportunity and the potential impact if it is not addressed.
- Determine a potential action, intervention, or change that could be implemented to bring about improvement. Consider the life cycle of the intervention, the linkage of the intervention to organizational goals and objectives, stakeholder interest in the intervention, cost, and visibility.
- Review your role in your organization and determine whether you can acquire the appropriate permission(s) to develop your project to address an identified problem.
- Identify other potential organizational barriers to implementing your intervention and conducting the study.
- Plan and design the interventions following the appropriate guidelines in this manual.

2.2 Background and Purpose of the Project

This document provides information about getting started with an ADP, along with suggested books, articles, and links to ADP resources. In addition, an annotated template is included, and its use is suggested to guide both the design and presentation of the ADP. Learners are encouraged to review these documents with their Research Chairs to fully understand the requirements of both the selected project and the report.

This guide includes information applicable to learners in all DBA specializations. However, specializations may have additional guidelines that must be followed and/or suggested resources that are specific to a particular specialization. In addition, learners should consult with their Research Chair early in the decision-making process regarding any specialization-specific instructions and requirements for the ADP.

What is an Action Research Study?

The Applied Doctoral Project is a form of action research. Action research combines action and research to address a problem or opportunity in a local setting. The action is in the form of an intervention undertaken to improve a process, problem, or situation. Learners review theory and best practices in the literature as well as local data and evidence to support the identification and description of the problem or opportunity which then informs the action to
be taken. The research literature reviewed also provides a basis for comparison of the study’s outcomes with previous research. The Applied Doctoral Project is a comprehensive presentation of an action research study conducted by the learner.

**Purpose**

The purpose of the Applied Doctoral Project (ADP) is to demonstrate the learner’s ability to appropriately conduct action research; to situate the findings and new knowledge within existing knowledge and best practice literature; and to distill and communicate the study’s context, problem or opportunity, rationale, methods, implementation, findings, and implications for professional practice to a particular audience. The degree to which each of these components is presented and discussed may vary depending on the intended audience and the purpose of the research itself.

The Action Learning, Action Research Association (ALARA) states in its description of its Action Research that “…studies will contribute to theoretical and practical understanding of action research and action learning in applied settings.” The DBA ADP is consistent with the ALARA statement.

The ADP will, therefore, provide:

- evidence of a well-defined problem or opportunity for improvement supported by data and evidence and informed by current literature;
- actions/interventions undertaken to improve the situation (supported by existing data and/or literature);
- appropriate data collection and analysis;
- discussion of the limitations of the research, as implemented;
- reflection and discussion of results in relation to existing knowledge and literature about the local problem and broader topic;
- well-supported conclusions and implications for future practice, both at the local research site and in terms of broader implications for other organizations with similar problems; and
- recommendations for further research.

**Getting Started**

The table below provides a basic overview of the general planning process for an action research study. However, this guide is not intended to be an action research manual or handbook. As part of the preparation for designing and implementing an action research study, learners are expected to gain an understanding of action research methods and approaches by conducting an independent review of action research literature. In addition, the resources listed in this guide are a rich source of information and guidance.
Learners are also expected to be well informed about the problem or opportunity the study will address as well as the action or intervention that will be implemented. Therefore, ongoing review of literature related to the selected topic and intervention is an important element of the planning process from the very beginning.

Once again, this guide is intended as a general resource that is applicable to all specializations. Learners should check the appendices and consult with their Research Chairs for any additional requirements and/or resources that apply specifically to their specializations.

Basic overview of the basic action research planning process:

<table>
<thead>
<tr>
<th>Basic Action Research Planning Process</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Action</strong></td>
</tr>
<tr>
<td>Examine a problematic process/issue in your organization that could be improved through the implementation of planned intervention. Alternatively, identify an opportunity for continuous improvement.</td>
</tr>
<tr>
<td>Identify the specific evidence and/or data that serve to define the problem or opportunity and the potential impact if it is not addressed.</td>
</tr>
<tr>
<td>Determine a potential action, intervention, or change that could be implemented to bring about improvement.</td>
</tr>
</tbody>
</table>
Determine feasibility of implementing the intervention and conducting an action research study. Review your role in your organization and determine whether you can acquire the appropriate permission(s) to conduct an action research study at your site. You must have the authority to implement the intervention in order to conduct the study. Identify other potential organizational barriers to implementing your intervention and conducting the study.

Plan and design the action research study following the appropriate milestone instructions.

Review the literature related to conducting research in your own organization. Discuss the potential project with your supervisor and those with authority to grant permission for the study to determine feasibility. Discuss possible ways to address organizational barriers. Continue review of the literature on action research methods.

Continue review of the literature on action research methods. Review literature about ethical considerations when conducting research.

### Action Research Resources

What follows is a selection of online and hardcopy literature and resources about action research and related approaches including appreciative inquiry, action learning, and action science. Older resources represent seminal works or the most recent editions of significant resources. The latest editions of texts appear here, but earlier editions may be useful as well. The journals and journal articles listed can be found in the OCLS Library. In addition, many of the books are available through OCLS as e-books.

The list is not exhaustive! Note that many more resources are available in the IWU/OCLS Library.

### Action Research Resources

<table>
<thead>
<tr>
<th>Books and Journal Articles</th>
</tr>
</thead>
<tbody>
<tr>
<td>Resource</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>

**Journals**

- Action Research: Refereed journal, published quarterly by Sage Publications
- Educational Action Research: Academic, peer reviewed journal published by Routledge
## Courses, Forms, and Documents

As part of the ADP process, you will enroll in specific ADP-related courses and submit specific forms and documents. A list of these is provided below.

<table>
<thead>
<tr>
<th>Journal (available online)</th>
<th>i.e.: Inquiry in Education: Online, peer reviewed journal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Websites</td>
<td>Action Learning, Action Research Association (ALARA)</td>
</tr>
<tr>
<td></td>
<td>Action Research Paradigm Protocol (ARPP)</td>
</tr>
<tr>
<td></td>
<td>Action Research Resources</td>
</tr>
<tr>
<td></td>
<td>American Educational Research Association</td>
</tr>
<tr>
<td></td>
<td>Special Interest Group (SIG) Action Research</td>
</tr>
<tr>
<td></td>
<td>Association for Supervision and Curriculum Development</td>
</tr>
<tr>
<td></td>
<td>Center for Collaborative Action Research</td>
</tr>
<tr>
<td></td>
<td>Center for Practitioner Research: Improving Education and Learning</td>
</tr>
</tbody>
</table>

DeVoe School of Business, Doctorate of Business Administration Handbook — Effective April, 2020
BADM-751 ADP 1 Industry Selection

In this course, the student will identify the industry in which the student intends to do their project. Students will describe their own professional experience and academic training that will assist in this process. Examples of problems facing the industry will be presented. See Appendix A for the Industry Selection form.

BADM-752 ADP 2 Industry Analysis

The industry analysis reviews the industry in terms of its labor relations, changing demographics, labor costs, political, economic, social, or technological changes, or any other factors that affect the supply and demand of people within the industry. The Industry Analysis form will be reviewed and approved by the Research Chair. In addition, students will complete their IRB training and submit a copy of their completion certificate. See Appendix A for the Industry Analysis form.

BADM-753 ADP 3 Partner Selection

Students will select their own partner organization for the doctoral project. Students will conduct a Porter’s five forces analysis and a SWOT analysis on their selected organization. The Partner selection form will be completed and submitted by the end of the class. See Appendix A for the Partner Selection form.

BADM-754 ADP 4 Identify Problem
The Chapter One Project Proposal of the Applied Doctoral Project serves as the introduction to the project. Chapter One identifies the organization in which the student will conduct their Applied Doctoral Project. In addition, Chapter One describes the problem that will be the focus of the project. The student shall explain what is known about the problem and why the problem is significant to the host organization while also demonstrating a degree of difficulty appropriate for a Doctoral Program. The Chapter One Project Proposal will be reviewed and approved by the Applied Doctoral Project Review Board. Students may not proceed further into the program without the approval of the board. The template for the Chapter One Project Proposal is in Appendix A.

**BADM-755 ADP 5 Explore Potential Solutions**

In this phase, the student will determine what is known about the problem, identify the stakeholders, and review existing research and data related to the problem and how the problem has been addressed. The student will review recent research, literature, and theories that form the conceptual foundation (framework) for potential solutions. The student will also describe both the stakeholders and participants to be included in the study.

Students will submit the Chapter Two Literature Review to the Research Chair. See template for Chapter Two Literature Review in Appendix A.

**BADM-756 ADP 6 Research and Analysis I**

Students will identify the knowledge deficiencies in the existing data and determine an appropriate research plan to remove those deficiencies. The Research Chair shall review and approve the research plan. Once the plan has been approved, the student will begin active research.

Students will submit the research plan and the IRB proposal for approval. See the template for the research plan form in Appendix A. The IRB information is contained in Appendix B.

**BADM-757 ADP 7 Research and Analysis II**

Students will conduct research as identified by the approved research plan. Students will analyze results from the perspective of solving the problem and make a recommendation regarding implementation of the proposed solution.

Students will submit the Chapter Three Research and Analysis Report for approval. See the template for the Chapter Three Research and Analysis Report in Appendix A.

**BADM-758 ADP 8 Change Management Plan**
Students will create a change management plan to implement the proposed solution. The change management plan will be sufficiently detailed to allow each student’s partner organization to implement the proposed solution regardless of the participation of the student in that implementation. See the template for the Chapter Four Change Management Plan in Appendix A.

**XXXX-790 ADP 9 Assess and Reflect**

Students will present the Applied Doctoral Project and prepare both academic and industry journal articles for publication. See the templates for the Chapter Five Assess and Reflect section and the Final Report Template in Appendix A. The deliverables for this phase will be reviewed and approved by the Applied Doctoral Project Review Board.

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**Applied Doctoral Project Report**

*Administrative Process*

This section describes the administrative process DBA students follow to write their Applied Doctoral Project Report.

**Action Steps**

The following table summarizes key steps in the administrative process students follow to successfully complete their Applied Doctoral Project Report. Each one is unique, and students may complete some steps more slowly or more quickly than noted in the table. Specific details for some action steps are explained in the syllabi for courses related to the action step.

<table>
<thead>
<tr>
<th>Action Steps</th>
<th>Student Actions and Deliverables</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Complete BADM-751 – Year 1, Semester 1</td>
<td>Deliverable – Form 1: Industry Selection</td>
</tr>
<tr>
<td></td>
<td>Course and Year</td>
</tr>
<tr>
<td>---</td>
<td>-----------------</td>
</tr>
<tr>
<td>2.</td>
<td>Complete BADM-752 – Year 1, Semester 2</td>
</tr>
<tr>
<td>3.</td>
<td>Complete BADM-753 – Year 1, Semester 3</td>
</tr>
<tr>
<td>4.</td>
<td>Complete BADM-754 – Year 2, Semester 1</td>
</tr>
<tr>
<td>5.</td>
<td>Complete BADM-755 – Year 2, Semester 2</td>
</tr>
<tr>
<td>6.</td>
<td>Complete BADM-756 – Year 2, Semester 3</td>
</tr>
<tr>
<td>7.</td>
<td>Complete BADM-757 – Year 3, Semester 1</td>
</tr>
<tr>
<td>8.</td>
<td>Complete BADM-758 – Year 3, Semester 2</td>
</tr>
<tr>
<td>9.</td>
<td>Complete XXXX790 – Year 3, Semester 3 (MGMT/HCAD/ACCT)</td>
</tr>
</tbody>
</table>

**Applied Doctoral Courses**
The DBA is a 60-credit program of which 12 hours are doctoral project courses. These courses are BADM-751 – 758 and MGMT-790, HCAD-790, or ACCT-790. All students are required to complete the Applied Doctoral Project in order to graduate. The Applied Doctoral Project needs to solve a rigorous problem faced by a real-world organization. The Applied Doctoral Project should show the application of theory to the problem-solving process resulting in a unique solution for the organization.

The student shall complete the ADP by presenting and defending a recommended solution to the selected problem and then documenting it through writing two articles – one for academic publication and one for practitioner publication. The ADP is suitable only for non-trivial problems that require new application of theory or a generation of new theory.

九 Credit Hours of Applied Doctoral Project Credit

Students are expected to complete the Applied Doctoral Project within the three-year window in which they are taking courses. Students will not be permitted to pass the two gateways (BADM-753 and BADM-756) until requirements of those courses have been met. A continuation course (BADM-759) for students who need additional time for their research is available upon approval of the Research Chair and DBA Chair.

Six-Year Rule

The ADP must be completed within six years subsequent to the beginning of the program. A student who fails to remain continuously enrolled in BADM-759 will be terminated from the DBA program. A student that has not completed the ADP within this six-year time period will be terminated from the DBA program. Students nearing the end of the six-year period may be provided a schedule of benchmark tasks required to be able to complete the project before the six-year deadline expires. Students who fail to meet those benchmark tasks on schedule may be terminated from the DBA program due to insufficient time remaining to meet requirements.

Required Progress

The following is a list of expectations for students enrolled in an ADP course.

1. A student is required to consult with their Research Chair at least once every two weeks to report on the progress that has been made and discuss plans for continuing the work required to make satisfactory progress.
2. The Research Chair may require more frequent interactions with the student each term as a condition of satisfactory progress.
3. Failure by the student to inform the Research Chair about their progress, adhere to the required communication schedule, or achieve objectives previously determined by the Research Chair will result in the student failing the course.
4. Per IWU Standard Policy, students that fail a course are placed on Academic Probation. Students that fail the same course twice will be removed from the program.

Roles and Responsibilities

Research Chair Responsibilities

1. Research Chairs will make a three-year commitment with the intention of providing students with Research Chair continuity throughout their program. In the event a Research Chair is unable to fulfill the three-year commitment, a new Research Chair will be appointed by the DBA Chair.
2. Research Chairs will complete required training in Problem-Based Learning and the Applied Doctoral Project before beginning their role.
3. Guides the student throughout the ADP Process.
4. Serves as a mediator of communication between the Department, student, and school.
5. Serves as an advisor throughout the program.
6. Provides spiritual leadership and counseling to the student.
7. Convenes and leads the public Applied Doctoral Project presentation where the student defends the proposal.
8. Coordinates suggested revisions to help the student arrive at an ADP Draft that is defensible.
9. Monitors the student’s submission of a finished copy of the Applied Doctoral Project that complies with all suggestions resulting from the presentation.
10. Monitors the student’s submission of approved Presentation and articles for publication.
11. Completes sign off (need deliverable verification form by be signed off as it goes along - part of the student’s record).

Research Chair Requirements

A Research Chair will typically meet the following criteria:

1. Possess experience in the discipline in which the student’s project will occur.
2. Possess familiarity with the research method the student proposes to use in examining the problem.
3. Be committed to helping the student complete the ADP process regardless of personal circumstances. Research Chairs shall be doctorally-prepared scholar-practitioners familiar with the DBA and the Applied Doctoral Project. The DBA Chair will appoint Research Chairs as each class is launched.
4. All Research Chairs will complete required training before being assigned Research Chair responsibility.
5. The DBA Chair will appoint Research Chairs as needed.
Research Chair Relationship to Mentee

The role of Research Chair is one that needs to be explained to those unfamiliar with the academic culture. The Research Chair agrees to invest a significant amount of time and effort to guide, research chair, and direct a student through the process of conducting a research project and writing an Applied Doctoral Project Report about the research. The Research Chair engages in teaching and training a student how academics conduct research and expound on that research by writing a book or article about the research. It is a blend of scholarship and praxis because the student must engage in the literature to understand how other experts in their field of knowledge have studied a specific concept and then apply this scholarship to the practice of research to investigate a research question that emerges from the literature review. In other words, the student engages in scholarship to become a researcher.

The work of a Research Chair consists of research chairing, advising, coaching, instructing, and training a student. There are three significant investments a Research Chair makes in the life of a student.

1. The Research Chair makes an investment of time that encompasses about 100 – 150 hours over nine courses, meeting and conversing with the student, guiding their research methods and techniques, answering questions about research difficulties, reading written submissions, correcting content, making editorial changes, discussing the rationale for suggested revisions, advising how to analyze and interpret the data, and reviewing and coordinating the work of committee members as they also review the student’s work. The time involved in working with a student on an Applied Doctoral Project Report goes far beyond the time for which the faculty member receives monetary compensation from the university.

2. The Research Chair makes an emotional investment in the student and supports the student during the frustrations, life challenges, joy of discovery, and satisfaction that occur during a student’s doctoral journey.

3. The Research Chair makes a reputational investment that results from the student’s published work being evaluated and judged by the broader academic community. A doctoral student’s work may be published in the ProQuest database of Dissertations and Theses. Scholars at other universities appraise the academic quality of a student’s university, department, and Research Chair by the quality of that student’s submission.

Students should understand and respect the investments made by their Research Chairs to be in agreement. Occasions will exist when Research Chairs and students disagree about the interpretation of scholarship in the literature, research methods and procedures, data analysis, and the interpretation of data. It is incumbent on the students to ultimately accept the decision of the Research Chairs about how to resolve these differences of opinion. Research Chairs
typically rely on their knowledge and experience, which is far more extensive than the students’ experience, and consultation with other academics to make these decisions.

Before overruling a student’s research preferences, Research Chairs typically consult the literature in their field of knowledge, colleagues in their department, the Applied Doctoral Project Review Board, and, in some cases, colleagues at other universities. Students should respect the final decision of their Research Chair and realize the final approval of an Applied Doctoral Project requires the signature of the Research Chair. It is not in the best interest of a student to insist they be able to conduct the research or write the Applied Doctoral Project in a manner not approved by the Research Chair. The Research Chair is not required to approve an Applied Doctoral Project. When a Research Chair determines an Applied Doctoral Project lacks academic quality or fails to demonstrate a level of work expected from a graduate of a doctoral program, the Applied Doctoral Project will not be approved. In other words, approval of the Applied Doctoral Project and subsequent conferral of a DBA degree is dependent on the approval of the Research Chair. A student that is uncooperative and unresponsive to their Research Chair’s guidance and direction is unlikely to graduate from the program.

Students should strive to develop and retain a good relationship with their Research Chair. However, if the student or Research Chair decides they have an untenable relationship that cannot be rectified, the person may approach the Department Chair and request another Research Chair be assigned. However, it is not the responsibility of the Department Chair to approve the student’s request or assign another Research Chair. A student is only guaranteed the assignment of the initial Research Chair. Should a request for a subsequent Research Chair be tendered by a student, the Department Chair would only announce to faculty members that a student is seeking another Research Chair. Another faculty member may or may not agree to serve as a replacement Research Chair. A faculty member is not required to accept a student as an advisee, and many faculty members are reluctant to engage with an advisee that has had conflicts with another faculty member. Thus, students are discouraged from requesting a new Research Chair, and this action should only be taken in cases where the student considers the relationship with the Research Chair to be untenable. A change in the Research Chair may result in a student having to refocus their research problem and restart their research at the direction of the new Research Chair. Should no other faculty member agree to serve as a replacement Research Chair, the student must resume their work with the original Research Chair but only if the original Research Chair consents to continue in the role.

Partner organizations are a valuable part of the DBA program as they provide the real-world problems required for the ADP. Partner organizations gain what is essentially free doctoral-level consulting in exchange for the following agreements:

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Partner Organization

Partner organizations are a valuable part of the DBA program as they provide the real-world problems required for the ADP. Partner organizations gain what is essentially free doctoral-level consulting in exchange for the following agreements:
1. Partner organizations make a commitment to provide access for the doctoral learner to those parts of the organization required to solve the problem that has been selected by both the learner and the organization.
2. Partner organizations will appoint a sponsor who shall be the point of contact for the learner within the organization.
3. Partner organizations have the right to request confidentiality of identity in any work published by the learner but agree to allow the learner to use the data gathered in the course of the project to meet the academic requirements of the program.

Applied Doctoral Project Review Board

1. The review board is chaired by the DBA Program Chair. Four other faculty members selected by the Dean of the DeVoe School of Business will serve on the board. Faculty members will serve a two-year term with two new members being added each year as two existing members rotate off.
2. Faculty members may be dismissed from the ADP Review Board by the DBA Chair with the concurrence of the Dean.
3. Replacement members of the Board may be appointed by the DBA Chair to fill open positions with the concurrence of the Dean.
4. The ADP Review Board shall review deliverables from BADM-753 and BADM-756. The Board shall supply one member to each ADP presentation.

Applied Doctoral Project Review Board

1. Reviews and approves the ADP Project Proposal.
2. Comments in a timely manner on student’s written materials for the development of the final Applied Doctoral Project Report.
3. Participates in the Applied Doctoral Project defense and resulting decision. Attends the gowning and graduation ceremony for the student.

DBA Department Chair and DBA Coordinator

The DBA Department Chair is responsible for the DBA program. An important responsibility of the Department Chair is to ensure that the academic integrity, rigor, and
quality of student Applied Doctoral Projects rise to a level consistent with the expectations of IWU administrators and faculty as well as academia (doctoral-level scholars and professors at institutions worldwide). Because there are a large number of students working on Applied Doctoral Projects at any one point in time, the Department Chair is assisted in this task by the Applied Doctoral Project Coordinator. The primary role of the Coordinator is to assist faculty in their roles as Research Chairs and/or Review Board members.

Data Collection and Research Involving Human Subjects

All research projects involving human subjects must be approved by the Institutional Review Board (IRB). To receive approval, students must submit all documents in accordance with the IRB Manual.

Students are required to download the most recent Institutional Review Board Manual at IWU. The link is [https://www.indwes.edu/academics/scholarship/irb-manual-2019-final.pdf](https://www.indwes.edu/academics/scholarship/irb-manual-2019-final.pdf). They will have an option to download an IRB Manual. Students must complete the IRB Proposal as required by the IWU IRB.

Special attention should be given to the sections dealing with informed consent. These sections require the preparation of a statement concerning the protection of prospective research participants. The information required in an Informed Consent Form includes study dates, purpose, assurances that failure to participate will result in no penalties, right to withdraw, intended uses of the data, etc.

Students must also submit with the IRB Proposal a copy of the certificate of completion certifying they have finished the online web-based course, the CITI Program’s “IRB Members-Basic/Refresher-Basic Course” (all included modules). The course can be accessed at [https://www.citiprogram.org/index.cfm?pageID=14](https://www.citiprogram.org/index.cfm?pageID=14).

During the IRB approval process, the student should work with the Research Chair to develop a plan for collecting data and storing data collection instruments, interview transcripts, observation notes, and other data collection tools or artifacts. All data from the study must be maintained by students for a minimum of three years subsequent to conferment of the Ph.D. degree on the student. The student will receive an email confirmation from the IWU IRB regarding approval of the application.

**Failure to apply for and receive IRB approval before collecting data from research participants can have severe consequences.** The student may be expelled from the DBA program or other appropriate action will be taken to ensure a reasonable remedy guaranteeing the protection of human subjects has been exercised by the University. Instructions for completing the application must be followed explicitly.
The task of evaluating an Applied Doctoral Project falls upon the members of the candidate’s Applied Doctoral Project Review Board. Board members are expected to respond to written drafts within a reasonable period of time. Likewise, students are expected to allow a reasonable period of time for review of Applied Doctoral Project drafts, as determined by the Research Chair. The Applied Doctoral Project must conform to the presentation rules described in the current Applied Doctoral Project Handbook, and Board members are expected to respond to documents within 30 days. All written documents for the Applied Doctoral Project will comply with APA Publication Manual 6th edition standards.

The following criteria will be used to evaluate the Applied Doctoral Project:

1. Represents original and significant contribution to the advancement of knowledge related to business administration.
2. Demonstrates the student’s ability to conduct doctoral level autonomous research.
3. Demonstrates validity of design and methodology, quality of logic and reasoning, critical evaluation of sources used, and quality of references.
4. Shows ability to articulate research findings, suggestions for improvement, recommendations for further research, and conclusions.


Appendix A

Applied Doctoral Project Report Forms

Form 1 Industry Selection
Form 2 Industry Analysis

Form 3 Partner Selection

Form 4 Identify the Problem – Chapter One Project Proposal Template

Form 5 Explore Potential Solutions – Chapter Two Literature Review Template

Form 6 Research Plan Template

Form 7 Research and Analysis Report – Chapter Three Template

Form 8 Change Management Plan – Chapter Four Template

Form 9 Assess and Reflect – Chapter Five Template

Form 10 Assess and Reflect – Final Report Template
Form 1: Industry Selection

Complete the following form.

**Identify the industry in which the project will take place:**

Identify three to four examples of organizations that occupy this segment of the marketplace.

<table>
<thead>
<tr>
<th>Significance of study area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide a list of at least five benefits to society gained when the indicated industry is operating properly.</td>
</tr>
</tbody>
</table>

| Provide a list of at least five hindrances to society that occur when the indicated industry is not operating properly. |

**References:** A minimum of 5 references for the last two sections are expected at this time. References shall be cited per APA (6th edition).
Form 2: Industry Analysis

Complete the following form.

Identify at least three organizations that might be potential partners for your doctoral project.

<table>
<thead>
<tr>
<th>Background information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify any human relations/demographics issues faced by your selected industry and your potential partners.</td>
</tr>
<tr>
<td>Identify any political issues faced by your selected industry and your potential partners.</td>
</tr>
<tr>
<td>Identify any environmental issues faced by your selected industry and your potential partners.</td>
</tr>
<tr>
<td>Identify any social issues faced by your selected industry and your potential partners.</td>
</tr>
<tr>
<td>Identify any technological issues faced by your selected industry and your potential partners.</td>
</tr>
</tbody>
</table>

**References:** A minimum of 3 references for each section in the background information are required. References shall be cited per APA (6th edition).
Form 3: Partner Selection

Complete the following form.

<table>
<thead>
<tr>
<th>Background information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify the organization that will serve as your partner for your doctoral project. Provide the name and contact information for whomever will be your primary contact within the partner organization.</td>
</tr>
</tbody>
</table>

| Conduct a Porter’s Five Forces Analysis on your selected organization. |

| Conduct a SWOT analysis on your selected organization. |

| References: A minimum of 3 references for each section in the background information are required. References shall be cited per APA (6th edition). |
Form 4: Identify the Problem
Chapter One Project Proposal Template

1. Title Page

2. Introduction

Introduce the ADP by providing a brief overview of the study (no more than 2 – 3 paragraphs). The introduction orients the reader to the study, including that it is an action research study, and provides important context so that the sections that follow can be more easily understood. The overview should include a brief description of:

- the organization (e.g., type, size),
- the problem that will be addressed,
- the significance of the problem,
- the stakeholders and other affected people and groups of people, and
- the purpose or goal of the study.

3. Statement of the Problem

The purpose of this section is to provide the audience with a clear understanding of the local problem/opportunity that the ADP was designed to address. The description should be precise, concise, and complete. Include the following:

- State the problem in one sentence: “The problem is that…”
- Describe how the problem or opportunity manifests itself at the local research site.
- Provide sufficient and relevant data and evidence to support your claims about the problem.
- Explain the scope and significance of the problem.
- Explain with whom and how you collaborated in identifying and defining the problem.
- Explain why it is important to address the problem, including potential consequences if it is not addressed.
- Explain why the problem rises to the level of a doctoral action research study.

4. Organizational Context

The purpose of this section is to provide a rich description of the organization and context for the study. Organizational context describes the environment within which the problem is situated and the contextual factors that are pertinent to the problem situation at the site. Provide sufficient contextual and background information about the organization and its processes for the reader to understand the intervention, implementation plan, and action research methods.
Use the language of systems thinking as appropriate. Support your statements with facts, information, evidence, and/or data.

Include descriptions/analysis of:
- the forces or circumstances (e.g., political, economic, social, cultural, ethical) that cause, amplify, or moderate the problem as it exists in the organization (site),
- the history of the problem at the site and its causes,
- how the problem was addressed in the past and the effectiveness of prior solutions, and
- factors that were supportive of the study and those that posed barriers or challenges.

5. Alignment with the Virtual Business Model
   Describe how the Virtual Business Model helps prioritize potential problems and solutions for the project.

6. Expected Outcomes
   State your expected outcomes. What will define a successful project?

7. Conclusion
   Summarize the key facts of the project and why the project should be beneficial to both the organization and society in general.
Form 5: Explore Potential Solutions  
Chapter Two Literature Review Template

1. Purpose Statement

This brief section explains why you conducted the study. State the purpose in one sentence: “The purpose of the study was to address the problem through the implementation of [insert intervention] in order to…….[improve]…”

2. State your expected outcomes.

3. Review of the Literature

The literature review section includes an introduction and conclusion. Use sub-headings as appropriate.

Your review should include:
   a) recent research, literature, and theories related to the problem and to how the problem has been addressed;
   b) recent research, literature, and theories that form the conceptual foundation (framework) for the solution; and
   c) a discussion of systems theory and change theory and their relevance to your study.

4. Participants and Stakeholders

In this section, describe both the stakeholders and participants in your study. Specify the role(s) of key stakeholders in the organization and why they would be impacted by your study.)

Students will submit the Chapter Two Literature Review to the Research Chair. See the template in Appendix A.
Form 6: Research Plan Template

1. Introduction

What is the topic of the research? What is the basis of the interest in this topic or focus? What is trying to be learned or understood through this project? What are the overall goals of the program?

What are the specific research questions for this study?

2. Background for the study

What is the background of this topic or focus, and why is that background important to understand? What is the context of previous work that has been done on this topic? To what else does the topic relate? How will this study be situated within related professional literature?

3. Description of the research context

Where will this study be conducted? Where will the data be gathered? What is the specific context in which the study will be conducted (e.g. school, factory population, etc.)? Who will be the participants in this research? How will participants be selected? What is your relationship to the people involved?

Do you need to gain permission ("informed consent") from participants, employers, or parents, guardians, or other "gatekeepers"? If so, how will you gain this? How will you assure participants that they will be protected from harm and that they will not be exposed to risks?

4. Methods for data collection and analysis

What is your general approach to research design (experimental, case study, qualitative, etc.)? How and why did you choose this approach?

What important kinds of data will you explore? What specific methods of data collection will you use (e.g. field notes, teaching journal, interviewing, taping, collecting artifacts, etc.)? What are your tentative plans for data analysis? How do you plan to organize and analyze the data as you collect it? How will you plan for more intensive analysis once the process of data collection has been completed?

How much time do you expect to spend doing which activities? What is your week-by-week research timeline?

5. Importance and potential significance of the study
Whose interests are served by this research? Who benefits? What is the study's potential significance for your partner organization and for society as a whole? Who might care about this study? Where and with whom might you share the findings? Where might a report of this research be published?

6. Conclusion

7. References

Form 7: Research and Analysis Report
Chapter Three Template
1. Introduce this section by describing its content.

2. Insert the Research Plan.

3. Participants and Stakeholders
   In this section, describe both the stakeholders and participants in your study.
   Describe the key stakeholders of your study. (Specify their role(s) in the organization and why they would be impacted by your study.)

   Describe the participants in your study, their roles in the organization, their roles in the study, and how they were selected. What was their inclusion or exclusion criteria? Are your participants a sample of a larger group or population?

   Justify the selection process and the number of participants.

4. Data Sources and Collection Procedures
   In this section:
   • List and describe each data source separately.
   • Explain the purpose of each source of data in relation to the research questions, and identify as process data, outcomes data, or both.
   • Explain when and how data for each data source was collected.

   Show how data align with the research questions. A table (such as the one in your approved proposal) showing how each data source aligns with each research question is an effective way to communicate the relationship between research questions and data collection.

   Recall that expected outcomes are reflected in the research questions. Therefore, expected outcomes, research questions, and data to measure outcomes and answer research questions should all align.

   For each quantitative source of data, be sure to explain why the chosen statistic (descriptive or inferential) was appropriate for the level of measurement of the given variable(s). Appropriate rules of quantitative analysis apply when analyzing quantitative data, and statistical analyses must be legitimate for the type of data collected.

5. Discussions of findings
   Summarize your findings and your recommended solution.

6. Limitations
Describe any limitations of your study. Limitations reflect weaknesses or potential weaknesses in the design and/or methods of the study you conducted. Consider your instruments and data collection strategies, your participants, your analysis plan, or any other aspect of the study for which there might be an inherent or potential weakness. Identify areas of your study that could not be improved and give reasons for not redesigning your plan to address these limitations.

Discuss specific measures you took to maximize the credibility (validity), dependability (reliability), and transferability of your study. How were participants and the organization assured they can trust the study was conducted in a trustworthy manner? What strategies were implemented to assure stakeholders they can trust the results as fair and valid?

Be careful not to confuse limitations with issues of scope. In an action research study, the scope is defined by the local situation you are trying to improve. It is not a limitation that your study doesn’t involve participants outside of the local site.

7. Ethical Issues

Discuss ethical issues (e.g., participant risk, potential coercion, confidentiality, conflict of interest, bias, and intellectual property) that were identified and how they were addressed or mitigated in the study.

8. Conclusion

Form 8: Change Management Plan
Chapter Four Template
The purpose of this document is to provide resources for developing a Change Management Plan (CMP). It is not the definitive resource for everything the reader should know and be able to do to create a CMP – it is only a guide with, as expected, “guidelines.” Extensive work outside this guide will be necessary to complete an Applied Doctoral Project. This guide provides references to resources to assist the learner in getting started with the CMP.

Note: Learners are not asked to implement these plans.

Change management “involves problem solving in a concerted effort to adapt to changing organizational needs” (Van Tiem, Moseley, & Dessinger, 2012, p. 624). Change management planning must be integrated and supported by the entire performance improvement process. This requires knowledge of competencies associated with the role of change manager, approaches for managing change, and the process of developing a proposal to secure approval and support of a change management plan. Knowledge of the issues and dimensions that result in successful change are also essential for those leading and managing change.

A change management plan includes a set of procedures, materials, and organizational actions designed to bring about change in the process whereby an organization meets its objectives.

A change management plan should be designed to:

- demonstrate reasons for the change;
- define the type and scope of change;
- explain the particulars of the change;
- outline the implementation strategies;
- specify change management monitoring requirements; and
- create a communications plan.

1. Introduction
2. Demonstrate the reasons for the change.
   List factors that led to the decision to change, such as performance gaps, new technology, or a shift in the organization's mission.
3. Define the type and scope of the change.
   Briefly describe the expected nature of the change management project. Determine whether this will affect job roles, process changes, policy changes, and/or structural organization. List the departments, workgroups, systems, or other components that may change.
4. Describe stakeholder support.
List all stakeholders affected by the plan, for example, senior management, project manager, project sponsor, end-users, and/or employees affected by the change. For each one, write whether the stakeholder supports the change.

Consider a chart to communicate this clearly and succinctly. One possible template lists Awareness, Degree of Support, and Influence for each stakeholder, rated on a scale of High/Medium/Low. If possible, conduct one-on-one interviews to gauge support.

5. Create a change management team.

This team is responsible for communicating with all stakeholders, listening to concerns, and ensuring that the change goes as smoothly as possible. Choose people with high credibility in the organization and good communication skills. This should include a change sponsor at the senior executive level. Stress that this involves active work promoting the changes, not just a sign-off on the plan.

6. Develop an approach with organization management.

Complete support from organization heavyweights is critical for the success of the change.

Allow each senior staff member to provide feedback on the change, and work with each one to create an active role in demonstrating and championing the changes.

7. Draw up a plan for each stakeholder.

For each stakeholder, including those who support the change, assess the risks and concerns involved. Assign the change management team the task of addressing these concerns.

8. Create a communication plan.

Communication is the most important component of change management. Communicate frequently with every person affected. Reinforce the reasons behind the change and the benefits it will bring. Stakeholders should receive personal, two-way communication. Face to face meetings are essential. Communication should come from the high-level change sponsor, from the direct supervisor of each employee, and from any additional spokespersons the stakeholder trusts. All communication should have a consistent message.

9. Establish a mechanism to track resistance.

There is always resistance to change. This happens on the individual level, so communicate with stakeholders personally to discover the cause. Monitor grievances so the change management team can address them. These concerns commonly include:

a) No motivation to change, or no sense of urgency
b) No understanding of the bigger picture or why the change is necessary
c) Lack of input in the process
d) Uncertainty concerning job security, future role, or future job requirements and skills
e) Failure of management to meet expectations concerning change implementation or communication

10. References

Form 9: Assess and Reflect
Chapter Five Template

Note that Chapter Five is submitted as part of the final document.
In Chapter 5 of the Applied Doctoral Project, you will provide an evaluation of the findings and outcomes of the study. The section includes a discussion of the findings in relation to the research questions and the literature, a reflection on the study in relation to its successes, limitations, and next steps, implications for practice, recommendations, and a conclusion.

1. **Findings**

   In this section, now that both a process analysis and an analysis of each data source have been completed, you will discuss results and outcomes in relation to your research questions.

   List each research question separately and provide a separate discussion in response to each question based on the data analysis you conducted. (Refer to the data you analyzed in Chapter 4.)

   You likely also had at least one outcome question related to the expected improvement. For your discussion, summarize study results and compare with the baseline data and the expected outcomes. How are things different now? What has improved?

   Whether the results of the data analysis are quantitative or qualitative, it should be possible to offer compelling evidence of the extent to which the implementation of the change did or did not make a difference and whether the difference was positive or negative in relation to your problem.

   Compare your findings with findings from the literature. How are your findings similar or different from other research or literature?

2. **Reflections and Critique**

   Provide a discussion of your reflections and critique of the study’s design, implementation, and findings, citing evidence from the study and the literature where appropriate. Include discussions about the study’s findings you may have had with participants and stakeholders, and share their perceptions and reactions. The statements below, though not an exhaustive list, represent a wide range of factors you might consider to guide your thinking as you develop this section.

   Reflect on your study’s outcomes and consider, for example:

   - Whether your study made a difference and, if so, what kind of difference;
   - How your study made a difference;
   - What happened or what changed as a result of your intervention;
   - Which key components of the intervention and its implementation led to improvement (or inhibited improvement);
   - What was learned about the problem and about the intervention.

   Then, reflect on the implementation process and consider, for example:

   - How the implementation was perceived by participants and stakeholders;
• Unexpected occurrences, outcomes, or things that went wrong;
• Whether a different action or intervention would have led to better results;
• Modifications to the study that could or should have been made;
• The limitations of your study;
• Your own actions and behaviors;
• Organizational power dynamics and resultant challenges or tensions;
• How the findings were debriefed among participants.
• How ethical and scholarly standards were followed.
• What you would do differently if the study were to be repeated or you had it to do over.

3. **Implications for Professional Practice**

This section includes a well-crafted discussion of ways the study might alter, impact, or lead to change at the local research site. The study may also have implications for professional practice across organizations similar to yours. Consider how your study added to the body of literature about the problem and/or about the intervention to address the problem.

Ask yourself what the major “takeaways” are from the study and what the implications of those takeaways might be.

Takeaways represent what was learned as a result of the study. An action research study can lead to deeper knowledge about the problem and/or about the intervention that may have implications for further action or change in the organization. You may have learned something about implementing change, about interacting with participants and stakeholders, or about implementing improvement at the site that may affect professional practice in the future.

What are the implications of your new knowledge? What could or should change or be done differently, given your study’s results? For example, there may be implications for how leadership and change are conducted at the site, the study may have exposed a need for systemic change, or an implication may be that the results indicate a need for greater collaboration among stakeholders.

The discussion should emerge from and be supported by specific study findings. Compare your implications for professional practice with research in the literature.

4. **Recommendations**

Improvement is a continuous process. The results of an action research study may suggest a need for further action, for a different type of action, to address a different cause of the problem, or for a series of changes. Based on the study’s findings, the discussion of implications for professional practice, and the literature, discuss questions such as these:

• What are recommended next steps?
• What changes would you recommend at the site?
• What could potentially be a next cycle of action research?
• How do recommended steps reflect the previous learning?

5. Conclusion

Provide a concluding section that briefly recaps the study’s problem or opportunity, the intervention that was implemented to address it, and what was learned as a result of the study. The conclusion should be a short, concise summary of key findings. The purpose is to provide the most impactful conclusions such that the reader could refer to this section for the study’s main findings and implications for professional practice.

6. References (Starts on a new page)

References are formatted using a hanging indent and may be single-spaced. Leave one blank space between entries. Consult the APA Manual 6th ed. and the Doctoral Publication Guidelines for further details. Remove hyperlinks for URLs.
Form 10: Assess and Reflect
Final Report Template

1) Title Page
2) Abstract
3) Acknowledgements
4) Table of Contents
5) List of Tables
6) List of Figures
7) Chapter 1 – Project Proposal
   a) Title Page
   b) Introduction
   c) Statement of the Problem
   d) Organizational Context
   e) Alignment with the Virtual Business Model
   f) Expected Outcomes
   g) Conclusion
8) Chapter 2 – Literature Review
   a) Introduction
   b) Background for the study
   c) Description of the research context
   d) Methods for data collection and analysis
   e) Importance and potential significance of the study
   f) Conclusion
9) Chapter 3 – Research Plan and Results
   a) Participants and Stakeholders
   b) Data Sources and Collection Procedures
   c) Discussions of findings
   d) Limitations
   e) Ethical Issues
   f) Conclusions
10) Chapter 4 – Change Management Plan
    a) Introduction
    b) Demonstrate the reasons for the change
    c) Define the type and scope of the change
    d) Describe stakeholder support
    e) Create a change management teams
    f) Develop an approach with organization management
    g) Draw up a plan for each stakeholder
    h) Create a communication plan
    i) Establish a mechanism to track resistance
11) Chapter 5 – Assessment and Review
    a) Findings
b) Reflections and critique

c) Implications for professional practice

d) Recommendations

e) Conclusion

12) References (Consolidated references from all five chapters)
It is the policy of Indiana Wesleyan University that no activity involving human subjects research be undertaken until those activities have been reviewed and approved by the University's Institutional Review Board (IRB).

Please carefully edit and proofread before submitting the application. Applications that are not filled out completely and/or have any missing or incorrect information will be returned to the Principal Investigator(s).

Proposals must be submitted electronically to IRB@indwes.edu as a Microsoft Word document. The IRB cannot adequately review proposals or supporting documents submitted as PDFs, JPGs, Google Docs, HTML, etc. Principal investigators and faculty advisors (if applicable) must sign applications. To electronically sign, include your IWU email address and IWU ID number at the appropriate location(s).

**Time Frame for Review**

Proposals should be submitted as early as possible prior to the intended date for commencement of research activities. Some proposals may require a Board meeting. Approval can usually be granted within two to three weeks of receipt of the application; however, the IRB does not guarantee approval within a certain period of time from submittal of application. Factors that affect approval time include the level of review, quality of the proposal, complexity of the proposal, the extent and magnitude of comments from the Board and the completeness and timeliness of the response to the Board’s review by the researcher.
REQUIRED TRAINING FOR RESEARCH INVOLVING HUMAN SUBJECTS

Effective July 1, 2017, all investigators, research advisors, and other participants who contribute substantively to the development or execution of a project must successfully complete the CITI Program’s Human Subjects Research course (for most persons this is the “Social & Behavioral-Basic/Refresher” course). A copy of the certification of completion of the training must be included with the proposal (unless one is on file with the IRB).

If you have not yet completed the human subject protection training, the online CITI Human Subjects Research training course can be accessed at the following url: https://www.citiprogram.org. Once you are on the page, click the “Register” button located on the top right of the page and proceed to Step 1. There is no charge for the course. IWU pays an annual subscription fee to cover all IWU community members.

- **Step 0 (Pre-Step):** Click the “REGISTER” button. Do NOT click the “LOG IN THROUGH MY INSTITUTION” button.
- **Step 1:** Select Your Organization Affiliation: Start typing “Indiana Wesleyan University” and the name will appear in the drop-down menu. Click on “Indiana Wesleyan University” and then check the box to AGREE to the “Terms of Service,” etc. Check the “I affirm that I am an affiliate of Indiana Wesleyan University” box. Click the “Continue to create your CITI program Username/Password.” Do NOT agree to the “Independent Learner Registration” in the box below.
- **Step 2:** Enter your “Personal Information” (first and last name, email address). Click on the “Continue to Step 3” button.
- **Step 3:** Create Your Username and Password, and choose a security question and provide an answer to the security question. Click on the “Continue to Step 4” button.
- **Step 4:** Country of Residence: Start typing “United States” and the name will appear in the drop-down menu. Click on “United States” and then click on the “Continue to Step 5” button. answering questions regarding gender, etc.
- **Step 5:** Click on the “No” button for all three questions. Click on the “Continue to Step 6” button.
- **Step 6:** Information: Only three of the blanks have to be filled in: IWU email address, department and role in research (e.g., student researcher – undergraduate, co-investigator, etc.) Click on the “Continue to Step 7” button.
- **Step 7:** Select Curriculum: For most persons completing an IRB proposal or acting as Faculty Advisor, you only need to answer Question 1, “Human Subjects Research.” Under Question 1, choose the “Social and Behavioral Research Investigators” button, scroll to the bottom of the page, and click “Complete Registration.” (You can always add other courses, e.g. Responsible Conduct of Research, Conflict of Interest, etc. at a later date if you so desire.)
▪ Next Step: Click the “Finalize Registration” button. The next screen will say, “Your registration has been completed successfully.” Under “Institutional Courses,” you will see “Indiana Wesleyan University” with a button to the right that says “View Courses.” By clicking on the “View Courses” button, the next screen will show your “Active Courses,” “Courses Ready to Begin,” and “Completed Courses.” Click the “Start Now” button in the “Social & Behavioral Research-Basic/Refresher” box to begin the course. The next screen will be an Assurance Statement. Check the “I agree to the above…” statement and click the “Submit” button. The next screen “Required Modules” lists the 11 required modules. Click on the “Start” button for each module to complete the course. “Supplemental Modules” do not have to be completed unless required by the IRB or your faculty advisor.

▪ Later: If you want to add another course, log in and you will be directed to the “Welcome” page. Under “Institutional Courses,” click the “View Courses” button. The next page, under “Indiana Wesleyan University” shows your “Active Courses,” “Courses Ready to Begin,” and “Completed Courses.” Continue to scroll down to the “Learner Tools for Indiana Wesleyan University” box and click on the “Add a Course” link. This will take you to a page titled “Select Curriculum.” Click the button under the question related to the course you want to register for and then click “Submit” at the bottom of the page. That takes you back to the page that includes your courses including the one that you just added.

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What is IRB Approval?

The Institutional Review Board (IRB) consists of a diversity of faculty members from Indiana Wesleyan University (IWU) and at least one member from the community. The IRB is responsible for ensuring that all IWU research complies with the school's ethical standards as well as federal regulations. IRB approval is required before collection of any data involving living individuals, including pilot data. Approval is typically granted for a period of one year and is renewable.

Who Should Use this IRB Application Form?

This application should be completed by all students and faculty members who are conducting research projects of any scope involving collection or analysis of data from living individuals (whether from surveys, interviews, observation, student or employee work products, or records of any type). The only categories of research that do not need to be submitted for IRB approval
are literature reviews, hypothetical research designs, and faculty projects that are completely independent of IWU resources, participants, and funding (including presentation and publication of results).

Research projects conducted by administrators or staff of IWU or external researchers are also under the control of the IWU IRB, as per federal regulations.
<table>
<thead>
<tr>
<th>Study Title</th>
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<tr>
<td>Date</td>
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**Check One:**

- [ ] Faculty-Staff Research
- [ ] Student Research

**Division(s)/Department(s):**

**Principal Investigator 1:**
- [ ] CITI Certificate (Attached)
- [ ] CITI Certificate (On File with IWU IRB)

**Principal Investigator 2:**
- [ ] CITI Certificate (Attached)
- [ ] CITI Certificate (On File with IWU IRB)

**Principal Investigator 3:**
- [ ] CITI Certificate (Attached)
- [ ] CITI Certificate (On File with IWU IRB)

**Principal Investigator 4:**
- [ ] CITI Certificate (Attached)
- [ ] CITI Certificate (On File with IWU IRB)

**Principal Investigator 5:**
- [ ] CITI Certificate (Attached)
- [ ] CITI Certificate (On File with IWU IRB)

*(Add lines for Additional Investigators)*

**Research Advisor 1:**
- [ ] CITI Certificate (Attached)
- [ ] CITI Certificate (On File with IWU IRB)

**Research Advisor 2:**
- [ ] CITI Certificate (Attached)
- [ ] CITI Certificate (On File with IWU IRB)
# CHECKLIST AND ASSURANCES

IRB Proposal Checklist:

(Mark all items that have been completed. Enter “N/A” where Not Applicable.)

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<tbody>
<tr>
<td>1.</td>
<td>Completed and Signed Proposal Title Page</td>
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<tr>
<td>2.</td>
<td>Detailed Description of the Proposal</td>
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<tr>
<td>3.</td>
<td>All required forms</td>
</tr>
<tr>
<td>a.</td>
<td>Consent form(s)</td>
</tr>
<tr>
<td>b.</td>
<td>Letters of permission (if applicable)</td>
</tr>
<tr>
<td>c.</td>
<td>Copies of all survey instruments to be used</td>
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</table>

By electronically signing this form:

I certify that the information provided in this application is complete and accurate.

I understand that misrepresentation of the research described in this IRB application may constitute non-compliance with federal regulations and/or academic misconduct.

I certify that all known conflicts of interest have been disclosed.

I agree to provide proper surveillance of this project to ensure that the rights and welfare of the human subjects are protected. I will report any problems to the IRB.

I agree that the research will not take place without the receipt of permission from any cooperating institutions, when applicable.

I agree that modifications to the research as submitted will not take place without prior review by the IRB.

I agree to send to the IRB electronic copies of all signed consent forms in one electronic file at the completion of the study.

I agree to retain all other study documents (hard copy or electronic) for a minimum of three years after close of the study.
I agree that all activities will be performed in accordance with all applicable federal, state, and local laws, and Indiana Wesleyan University policies.

**Electronically sign this form by typing in your IWU email address (provides authentication for electronic signature and, thus, must match the IWU email address on file with Indiana Wesleyan University).**

+++++

Principal Investigator 1:

Principal Investigator 2:

Principal Investigator 3:

Principal Investigator 4:

Principal Investigator 5:

(Add lines for Additional Investigators)

**RESEARCH ADVISOR’S* ASSURANCE (REQUIRED FOR STUDENT PROJECTS)**

*The research advisor must be an IWU faculty or staff member. The advisor is considered the responsible party for the ethical performance and regulatory compliance of the research project.

As the Research Advisor, I certify that the student investigator is knowledgeable about the regulations and policies governing research with human participants and has sufficient training and experience to conduct this particular research in accordance with the approved protocol.

I agree to meet with the investigator on a regular basis to monitor research progress.

Should problems arise during the course of research, I agree to be available, personally, to supervise the investigator in solving them.

I will ensure that the investigator will promptly report incidents (including adverse events and unanticipated problems) to the IRB.

If I will be unavailable, for example, on sabbatical leave or vacation, I will arrange for an alternate faculty member to assume responsibility during my absence, and I will advise the IRB by email of such arrangements.

**Electronically sign this form by typing in your IWU email address (provides authentication for electronic signature and, thus, must match the IWU email address on file with Indiana Wesleyan University).**

Research Advisor 1:
Research Advisor 2:

Date:

**Detailed Description of the Proposal**

(Use as much space as necessary to type your information in the space under each box.)

<table>
<thead>
<tr>
<th>Section 1: <strong>Purpose of the Research</strong></th>
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<tbody>
<tr>
<td>This statement should be easily understood by reviewers with no prior knowledge of the area of study. The statement should be brief but long enough for reviewers to understand the purpose of the project. What are you trying to learn from the study? Avoid all jargon.</td>
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<tr>
<th>Section 2: <strong>Methodology</strong></th>
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<tr>
<td>Please describe the steps that will be taken to complete the project. Provide enough detail so that reviewers will understand how the study participants will be involved. Include information about the study population that will be sampled. Explain how the privacy and confidentiality of each participant will be protected. Explain how the data will be stored, e.g. in a locked filing cabinet in a locked office or on a secure server. State that electronic copies of all signed consent forms will be sent to the IRB in one electronic file at the completion of the study. State that all other study documents (hard copy or electronic) will be retained for a minimum of three years after close of the study by the principal investigator. Remember to attach survey instruments if applicable and permission to use copyrighted survey instruments when applicable.</td>
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<tr>
<th>Section 3: <strong>Participant Recruitment Strategy</strong></th>
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<tr>
<td>Discuss in detail how subjects will be approached to participate in the research. What recruitment methods will be used to select subjects? Will all participants be 18 years of age or older?</td>
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</table>
Section 4: **Potential risks involved and methods of minimizing risks, inconveniences, or discomforts**
What risks may participants face? Remember that just because a study is anonymous does not mean that the participants will not face risks. What will be done to alleviate discomforts? Is there someone the participants can speak with if they so desire about discomforts they may experience while being part of the study? What are the costs to participants to be in the study, e.g. loss of time, travel expenses, etc.?

Section 5: **Anticipated benefits and importance of gained knowledge**
Are there any benefits that participants will receive for being in the study? Note: Payments to research subjects for participation in the study are not considered benefits. What does the study add to scholarship and knowledge?

Section 6: **Known Conflicts of Interest**
Does the Principal Investigator, Research Advisor, or anyone else involved in the research, have an equity interest in a company that is a sponsor of the research or owner of products being evaluated in the research. Does anyone involved in the research have a financial interest in a particular outcome of the research? Is there any other circumstance that might cause the investigator(s) to be unduly biased toward a particular outcome of the research? If a conflict of interest is recognized, does the research design adequately protect human subjects and study integrity from bias? If there are no known conflicts of interest, state so in this section.

Section 7: **References**
Please cite the literature that you have used to develop your proposal.
All required attachments:

- Research Participant Consent Form
- Consent for Participation in an Electronic Survey (if applicable)
- Survey instrument(s) / Interview Questions (if applicable)
- Copies of CITI Completion Report(s)
- Consent Form for a Minor to Participate (if applicable, request a template from the IRB)
- Assent Form for a Minor to Participate (if applicable, request a template from the IRB)
RESEARCH PARTICIPANT CONSENT FORM

BACKGROUND INFORMATION

An informed consent is required to provide potential subjects or their legally authorized representatives with the information necessary for them to make a decision about participating in research.

Information in the consent document must be organized to facilitate comprehension. Consent documents should be written in plain language, generally at the 8th grade reading level. The reading level can be higher if the target population tends to have a higher literacy rate than the general population. For child assent documents, the reading level and complexity of the information provided should be appropriate for the age level of the child.

We recommend the use of the following template to create the informed consent document(s) for your study. Please note:

1. New Federal regulations now require that research projects contain a concise and focused presentation of the key information that is most likely to help potential subjects understand why they might or might not want to participate in the study. The key information must be presented first and must include the following:

   a. Identification of the project as a research study and that participation is voluntary
   b. Purpose of the research, duration of participation, and a description of research procedures
   c. Foreseeable risks or discomforts, if any
   d. Expected benefits to subjects or others, if any
   e. Alternative procedures or treatments that might benefit the subject

(Note: applies primarily to clinical research)

Many IRB studies have brief consent documents (2 or 3 pages) that meet the new federal requirement without the need for a separate key information section. However, if your project is complex or involves numerous research procedures, the above-listed summary of key information is required for federally-sponsored projects and strongly recommended for all others.

2. Additional instructions or sample text are provided in boxes.

3. Before you submit your consent document, delete this cover page and boxes. The finished document should reflect what the potential subject will read.
For questions about informed consent, please contact the IRB at irb@indwes.edu. For more information on plain language go to https://www.plainlanguage.gov/
RESEARCH PARTICIPANT CONSENT FORM
Use this informed consent for studies beginning January 21, 2019 or later

Title of Project:_________________________________________________________
Principal Investigator’s Name(s):_________________________________________
Research Advisor’s Name(s):___________________________________________
Academic Division/Department:_________________________________________

Section 1: Purpose of the Research
This statement should be easily understood by individuals with no prior knowledge of the area of study – avoid all jargon. It is best that the first person be used consistently throughout each section of the informed consent document rather than just cutting and pasting from other sections of the proposal. For example, begin sentences with “I understand that...” or “I acknowledge that....” The goal is to make sure the potential human subject completely understands the study and the nature of her or his involvement. Consistently using the first person in the consent form will help comprehension.

Section 2: Specific Procedures to be Used
This should include each step of the procedure the participants would either observe or experience.

Section 3: Duration of Participation
This should inform the potential participants of the amount of time (number of days/hours) they will need to commit to the project (including travel time).

Section 4: Risks to the Individual
Each study has some amount of risk. If the risk is minimal or similar to that of everyday life, state that “the risk is minimal or similar to that of everyday life.” If the respondent is asked to answer personal questions, e.g. about self-concept, emotions, or health
conditions, note that this can cause discomfort. The fact that a study is anonymous does not preclude risk. When applicable, note that if there is a chance you may become privy to information that must be reported, such as child abuse, child neglect, elder abuse or intent to harm self or others, this must be disclosed as a risk to participants.

Section 5: Benefits to the Individual or Others
Benefits refer to direct benefits to the participants. They need to be clearly stated. Not all studies will have direct benefits to the participants and if this is the case, it needs to be stated as so. Compensation is not a benefit.

Section 6: Compensation
If there is compensation, it needs to be listed here; it is not to be considered a benefit. Put N/A in this section if not applicable.

Section 7: Extra Costs to Participate
This may include, but is not limited to, transportation costs for travel to the site of research, costs of medicine, etc. If there is no cost to the participant, state that fact.

Section 8: Injury or Illness
This should explain what the plan is for any medical situation that may occur during the research process. Explain who will be contacted and what the participant’s rights are in terms of medical compensation. A plan for medical care should also be included.

Section 9: Confidentiality
Explain how the privacy and confidentiality of each participant will be protected. Include where, how, and for how long documents related to this study will be kept and how they will be eventually disposed. Explain how the data will be stored, e.g. in a locked filing cabinet in a locked office or on a secure server. State that electronic copies of all signed consent forms will be sent to the IRB in one electronic file at the completion of the study. State that all other study documents (hard copy or electronic) will be retained for a minimum of three years after close of the study by the principal investigator. Include the process of keeping audio/video media confidential (if applicable).

It also needs to be stated if confidentiality is limited. For example, if you are meeting in focus groups, other group members may not keep information confidential even when instructed to do so. Also, there may be some information that is brought to light that you
Section 10: Voluntary Nature of Participation

Explain how a participant would withdraw from participating without any penalty. If there is any circumstance that would make withdrawing difficult, that must be explained. If a participant is an employee who is part of a study related to the participant’s work, include a statement to the effect that willingness to participate or not participate in the study and decision to withdraw from the study will have no effect on the person’s employment. Similarly, if the participant is a student who is part of a study related to his or her education site, include a statement to the effect that “willingness to participate or not participate in the study and my decision to withdraw from the study will have no effect on my standing at the institution of higher education where I am enrolled.” Include the following statement in Section 10 of the consent document.

I do not have to participate in this research project. If I agree to participate, I can withdraw my participation at any time without penalty.

Section 11: Release

All consent forms must include the following release statement.

I participate of my own accord in this research project and release any claim to the collected data, research results, publication in any form including thesis/dissertation, journal article, conference presentation or commercial use of such information or products resulting from the collected information.

Section 12: Contact Information

Insert Investigator’s name(s) and email addresses. Also, for student research, include the research advisor’s name and contact information.

If I have any questions about this research project, I can contact:

If I have concerns about the treatment of research participants, I can contact the Institutional Review Board (IRB) at Indiana Wesleyan University, 4201 South Washington Street, Marion, IN 46953. (765) 677-2090.

I HAVE HAD THE OPPORTUNITY TO READ THIS CONSENT DOCUMENT, ASK QUESTIONS ABOUT THE RESEARCH PROJECT AND AM PREPARED TO PARTICIPATE IN THIS PROJECT.

Participant’s Signature:__________________________________________

Participant’s Name (Type or Print):_______________________________
Date:

Investigator’s Signature:______________________________

Date:______________________________

Note to Investigators: See following pages for additional instructions.
Additional instructions for the Research Participant Consent Form:

You may also need to obtain dated consent for specific activities when those activities are *optional*. Whether an activity is required or optional must be clearly described in the main body of the consent above. Some common optional research activities are included below:

**Consent to be Audio/Video Recorded**
*I agree to be audio/video recorded.*

**YES**________  **NO**________

________________________________________________
Signature  Date

**Consent to Use Data for Future Research**
*I agree that my information may be shared with other researchers for future research studies that may be similar to this study or may be completely different. The information shared with other researchers will not include any information that can directly identify me. Researchers will not contact me for additional permission to use this information. (Note: This separate consent is not necessary if you will only store and share de-identified data.)*

**YES**________  **NO**________

________________________________________________
Signature  Date

**Consent to be Contacted for Participation in Future Research**
*I give the researchers permission to keep my contact information and to contact me for future research projects.*

**YES**________  **NO**________

________________________________________________
Signature  Date

**Participant to Initial and Date All Non-Final Pages**
* Please note that all consent forms that are longer than one page must provide a place for the participant to initial and date all non-final pages. A format such as the following may be added to the bottom of each non-final page:

I have read this page ______ (initials here)
Continue to next page.
Electronic Consent
Some studies allow for electronic consent, e.g. when potential participants are solicited through an email or social media. In that case, the preamble/cover letter/email should include all of the information contained in the above informed consent document template.

Additionally, the following clause or similar wording as befits the proposal shall be included in electronic informed consent documents if participants will take an electronic survey: “The survey is designed not to collect e-mail addresses or Internet protocol (IP) addresses. To further maintain confidentiality of the survey, please do not include your name or any other information by which you can be identified in any of the comment boxes in the survey.”

Under no circumstances shall electronic informed consent be used for studies that include children under the age of 18 years.

An example of an electronic consent preamble template follows. Revise appropriately to fit your study, if applicable.

******************************************************************************
CONSENT FOR PARTICIPATION IN AN ELECTRONIC SURVEY SAMPLE

Hello, we are conducting research about…. If you want to participate, please read the following consent document.

I certify that I am over the age of 18 and am participating in this survey of my own freewill. I recognize that some or all of the questions contained in this survey may be of a sensitive nature and may cause discomfort. I understand all survey answers will be held in strict confidence and may be used by the researchers for future publications.

I understand that the purpose of the research is to …. 

I authorize (PI Names) of the Indiana Wesleyan University College/ School/ Division/ Department of … program and any designated research assistants to gather information regarding my responses to questions asked on this survey. This survey will ask about understanding and perceptions of … and will take approximately … minutes/hours to complete. If I agree to take part in this study, I understand that I will be asked to complete the survey questions listed on the following pages. I understand that my responses will be utilized for research and may become part of a published journal article or scholarly presentation.

I recognize that I will not receive monetary compensation for participating in this survey. Conversely, there are no monetary costs to me for participating.

I certify that my participation in this survey is wholly voluntary and recognize that I may withdraw at any time. I understand that I am free to skip any question I do not feel comfortable answering. There is no obligation for my participation and I may withdraw at any time.
I understand that (PI names) will be available for consultation should I have any additional questions regarding the research being conducted.

I understand that the answers given to this survey will be maintained by the researcher for a period of no less than three years after the close of the study. The researcher will store all paper copies of surveys in a locked and secured filing cabinet. Additionally, paper copies of surveys and release forms may be digitized and stored electronically on a password-protected hard drive.

I release any claim to the collected data, research results, publication of or commercial use of such information or products resulting from the collected information.

If I have any questions or comments about this research project, I can contact:

• PI’s name(s) and contact information, or
• Research Advisor and contact information.

If I have concerns about the treatment of research participants, I can contact the Institutional Review Board (IRB) at Indiana Wesleyan University, 4201 South Washington Street, Marion, IN 46953. (765) 677-2090.

The survey is designed not to collect e-mail addresses or Internet protocol (IP) addresses. To further maintain confidentiality of the survey, please do not include your name or any other information by which you can be identified in any comment boxes that may be included in the survey.

BY CLICKING ON “CONTINUE,” I ACKNOWLEDGE THAT I HAVE HAD THE OPPORTUNITY TO READ THIS CONSENT FORM, ASK QUESTIONS ABOUT THE RESEARCH PROJECT AND AM PREPARED TO CONSENT TO MY PARTICIPATION IN THIS SURVEY.