Manual for the DBA Consulting Capstone

Description

Working directly with an external organization—the client—DBA students bring their learning into practice in this Consulting Capstone option.

As an alternative to traditional doctoral study, the Consulting Capstone is an individual project in which DBA students serve as business consultants to the leaders of a business or nonprofit organization. Scholar-consultants wrap learning around doing by conducting in-depth research for and about their assigned client organization and coaching their clients to improve key work processes, overcome strategic challenges, and increase overall performance. Clients and DBA scholar-consultants collaborate to help these client organizations bring about positive social change.

In addition to connecting their capstone experiences to real-world challenges, scholar-consultants build their résumés for post-graduate employment opportunities. At the same time, client organizations benefit from DBA scholar-consultants’ evidence-based observations and recommendations on opportunities to strengthen overall management frameworks and improve results in all areas of importance.

Students from all DBA specializations may choose this consulting capstone as an alternative to the traditional doctoral study project. The consulting capstone meets the GE quadrant analysis of the ultimate in relevancy and impact readiness for the real world, as well as the Rockman Study litmus test for the following qualities and characteristics: innovative, creative, real world, justified, original, grounded in literature, and amenable to scientific study.

NOTE: DBA students must successfully complete a minimum of five registrations in DDBA 9000/9001 and receive approval of their doctoral studies from Walden University’s chief academic officer.

DBA scholar-consultants are expected to maintain continuous enrollment and the continuity of their relationships with assigned clients through the completion and approval of their doctoral studies at Walden University.

Glossary of Terms

Archival data: For the purpose of this case study design, archival data include any of the following internal operational records that the leadership of the client site deem appropriate to be shared for the doctoral study analysis:

- de-identified personnel records
- meeting minutes
- digital/audio/video recordings created by the partner organization
- training materials
• performance indicators, sales reports, business plans
• protocols, manuals, reports, agreements
• surveys that were collected by the client site leadership
• internal web postings (for which access is limited to staff only)
• other internal documents

Consent form: See Appendix B. A document that supports the informed consent process by explaining the study to a potential participant before that person makes a decision about participating. Consent forms do not necessarily need to be signed. For this case study design, consent is obtained via an e-mail response of “I consent.”

DBA Research Agreement: See Appendix E. For the scholar-consultant selected for the Consulting Capstone option, this Agreement will be signed between Walden and the assigned client site. It outlines the site’s responsibilities and the Walden’s responsibilities regarding the study. Students should not attempt to have this agreement signed because it requires a legal signature on behalf of Walden.

Participant: In this case study design, the interviewees are the only participants.

Partner organization: An organization that will serve in any of the following support roles for a study:
• distributing or displaying a study invitation on the researcher’s behalf
• providing the researcher with access to its internal documents, records, or other data
• letting the researcher recruit participants on site
• providing the researcher with space for data collection
• providing the researcher with contact information for potential participants
• permitting the researcher to use employees' paid time for data collection
• providing funding for the study activities
• permitting the researcher to evaluate/study its operations/services

Senior Leader: Supervisors, managers, directors, business owners, and similar decision-makers are considered “senior leaders” for the purposes of this case study design.

Service Order Agreement: See Appendix D. This document outlines the scope of work (including deliverables, time estimates) as well as ethical and confidentiality terms of the relationship between the doctoral student and the partner organization.

Purpose

The purpose of this alternative doctoral study capstone experience is to provide DBA students with a solid foundation and experience in applying consulting and coaching principles and
practices. Scholar-consultants will develop facility in using a systems-based framework to evaluate the effectiveness and outcomes of client organizations, and to develop and implement strategic interventions and actionable feedback to help ensure clients’ success, now and in the future. Scholar-consultants will articulate a personal code of ethical conduct that aligns with Walden University’s Code of Conduct (2018-2019 Student Handbook, Section 3) and applies to consulting relationships. Students will develop service orders that outline shared expectations with client organizations for project timelines and outcomes. Scholar-consultants will refine competencies in cultural awareness, interpersonal consulting skills, and expertise in bringing about positive personal learning and organizational change.

**Using the Baldrige Excellence Framework**

Thousands of organizations around the world use the Baldrige Excellence Framework and its Criteria for Performance Excellence as a guide to improving performance and achieving enduring results that align with their mission and achievement of strategic objectives. This proven framework for organizational improvement and innovation offers DBA scholar-consultants and their clients an integrated, systems-based approach to exploring key management and leadership areas:

- Leadership
- Strategy
- Customers
- Measurement, Analysis, and Knowledge Management
- Workforce
- Operations
- Results

The Baldrige framework is a holistic management and leadership system. Using the Baldrige framework as a general resource and guide, students will identify a conceptual framework for their capstone study that aligns with the systems-based perspective of the framework.

**Learning Outcomes**

- Write a doctoral study proposal capable and worthy of approval by Walden University doctoral reviewers.
- Effectively analyze data and information about the client organization’s key work processes and results.
- Defend a formally written doctoral study paper in preparation for formal and final University review.
- Maintain strong relationships with the doctoral study chair and committee based on honesty, openness, collaboration, and collegiality.
- Design a set of personal best practices for successfully completing doctoral study
Employ the review processes for the proposal and the doctoral study, as appropriate
Assess the application and potential contribution of your research to society

**Deliverables to the Client and Walden University**

DBA scholar-consultants and the leaders of their respective client organizations will achieve consensus on the suggested 40-week project timeline, milestones, and deliverables. Scholar-consultants will use service order agreements and term plans to manage the doctoral study and deliverables. Project milestones may vary according to client needs and expectations; however, students will use the suggested 40-week project timeline as the basic structure for proposing milestone deadlines and completion of final products. Students must follow guidelines and requirements outlined in the Doctor of Business Administration Doctoral Study Rubric and Research Handbook.

The key deliverable for the consulting capstone is a case study that reflects the scholar-consultant’s selection, collection, and analysis of data and information about the client organization’s key work processes and results. Scholar-consultants will evaluate their respective client organization’s strengths and opportunities for improvement according to the management and leadership areas of the Baldrige Excellence Framework. Scholar-consultants will provide their client organizations with a case study, including an executive summary of key themes, actionable feedback on strengths and opportunities for improvement for each management and leadership area, and a list of vital priority objectives.

Scholar-consultants will submit to Walden University a client-approved version of the case study with all proprietary information removed. This redacted version of the case study will be suitable for publication.

**Suggested Resources and Readings**


**Compliance with Institutional Review Board (IRB) Requirements**

Scholar-consultants pursuing the consulting capstone are covered by a blanket Institutional Review Board (IRB) approval. Students will complete Form A to receive the IRB approval number for their capstone research. To qualify for preapproved status, DBA scholar-consultants will need to confirm on their IRB Form A that they will be using this Manual and that their project will stay within the preapproved parameters (See Appendix A). Students completing a consulting capstone are permitted to collect only interview and archival data, as per the terms of the Service Order and preapproved Consent Form (see Appendix D and Appendix B, respectively). Any scholar-consultants wishing to gather doctoral project data that are outside of these parameters will need to go through the regular IRB process themselves, which will likely add extra time beyond the suggested 40-week timeframe.

**Ethical requirements for IRB compliance.**

A doctoral student completing a consulting capstone is required to adhere to the following ethical requirements:

- The doctoral student must change the name of any partner organizations and generalize the location(s) so that the organizations are not identifiable. It is important that the doctoral student redact any information that will lead a reader to identify an organization’s identity. If the organization itself wishes to publicize the project, that is the organization’s judgment call. However, it is not appropriate for a doctoral student to make the partner’s name known in the doctoral project document. The doctoral student is required to change the name of the organization (i.e., assign a pseudonym) in all materials (including drafts shared with peers and faculty members) to protect the organization’s identity. In some cases, it might be appropriate for the doctoral student to maintain confidentiality by removing key pieces of evidence/data that might give away the organization’s identity. The doctoral student should direct questions to IRB@waldenu.edu when these situations arise. For guidance on masking partner organizations, see https://academicguides.waldenu.edu/researchcenter/orec/documents

- The doctoral student may not survey individuals, conduct in-person observations, create videorecordings, or conduct focus groups for this type of project. If at some point the doctoral student wishes to pursue these types of data collection, s/he will need to follow
the standard Walden University procedures to obtain prior approval from the Walden University IRB. Collecting data from human subjects without appropriate IRB approval can result in invalidation of the data and dismissal from the program.

- The doctoral student is responsible for ensuring that no proprietary, sensitive, or confidential information is disclosed in the doctoral project document.

- The doctoral student is responsible for complying with all of the partner organization’s policies. These policies might include, but are not limited to, use of the organization’s resources (including e-mail addresses, printed materials, etc.) for individual projects. Many organizations have restrictions on the use of company resources for educational projects.

- An interview recording and full transcript can only be shared with that interviewee (upon request). Transcripts with identifiers redacted may be shared with the doctoral student’s university faculty, peer advisors, and site leadership (upon request).

Other student obligations will be outlined in the final page of Form A. Faculty supervision requirements for DBA case studies include the following:

- The supervising faculty member will ensure that the student properly requests any research design changes by emailing IRB@waldenu.edu.

- The supervising faculty member will ensure that the student promptly reports any unexpected or otherwise significant adverse events and general problems within 1 week by emailing IRB@waldenu.edu.

- The supervising faculty member will report any possible noncompliance on the part of the student by emailing IRB@waldenu.edu.

- The supervising faculty member’s supervision role continues as long as the student remains enrolled in the present course with the faculty member.

Evidence-Based Best Practices in Community Partnerships

Beyond meeting and exceeding the learning objectives for the capstone experience, DBA scholar-consultants in the consulting capstone will develop lasting relationships with the client organizations and the members of the client workforce with whom they interact. Scholar-consultants in the consulting capstone will develop and maintain quality relationships by demonstrating integrity, scholarship, and a focus on effecting positive social change in their everyday interactions with their clients.

Walden University’s research on successful community partnerships (Endicott & Sherer, 2016) provides evidence that demonstrates best practices and key factors in students’ positive behaviors leading to lasting relationships with external research partners.
• Students and partners align mission, values, and goals
• Students and partners achieve consensus on ethics, values, and compliance with policies and regulatory requirements
• Students and partners exchange timely and sufficient communications
• Students are well organized and explain steps of the research process
• Students are knowledgeable about the topic of their study
• Students are receptive to partners’ feedback and assistance
• Students are willing to learn from their partners
• Students are disciplined in project management, as well as willing to take the lead from their partners

Student behaviors leading to adverse relationships with external research partners include the following.

• Student’s lack of effective communication skills
• Student’s lack of time management
• Research is not completed within expected timeframe
• Student is overly aggressive
• Student and partner did not discuss sharing results of study during initial meeting

Community of Organizational and Personal Learning

DBA scholar-consultants pursuing the consulting capstone are members of a learning community that is dedicated to continuous improvement and the pursuit of performance excellence. Scholar-consultants, faculty members, and clients share best practices and key learning outcomes throughout the journey of preparing and publishing the consulting capstone project. The Walden University DBA Consulting Capstone provides students the opportunity to transform themselves as scholar–practitioners to effect positive social change.

References:
Appendix A: IRB Preapproved Data Sources for the DBA Consulting Capstone

| Public data: Reports, websites | Media coverage, publicly disseminated reports, public websites, any information that is available to the public |
| Client organization’s internal archival data*: records/documents/artifacts | Client organization’s internal operational records, personnel records, meeting minutes, digital/audio/video recordings created by site, training materials, protocols, manuals, reports, agreements, surveys that were collected by the site leadership, internal web postings (where access is limited to staff only), and other internal documents |

*as the client organization’s leadership deems fit to share with scholar-consultant (as per confidentiality terms in this guide) |

| Literature as Data | Books, peer-reviewed articles, and other bodies of written knowledge that communicate substantive research findings about practices that are relevant to the inquirer’s topic |

| Interviews of Senior Leaders | Using the interview consent form template in this guide, students may conduct face-to-face, phone, or video interviews with senior leaders, either individually or in small groups. No one may be interviewed in the presence of another person who is above or below him or her in the organization (due to confidentiality standards—findings are to be shared but not “who said what”). These interviews can be audio-recorded but not video-recorded. The doctoral student may not use recordings for any purpose other than the consulting capstone. Recordings must be turned over to the interviewee, if requested. |

The table below includes those data tools that do NOT fall under the IRB’s preapproval for the consulting capstone. Anyone wishing to analyze one of the data sources below must go through the standard IRB process to gain formal IRB approval.

| Focus Groups | Informal or formal meetings to problem-solve or find out about perceptions, opinions, and feedback |

(Requires standard IRB review/approval.)
| **Video as Data**  
*Requires standard IRB review/approval.* | Filmed events used for observing behaviors, collecting visual and auditory data, studying environments and processes, or capturing products and/or outcomes |
| **Surveys**  
*Requires standard IRB review/approval.* | Collection of quantitative and qualitative data using questionnaires |
| **In-person observations of specific individuals**  
*Requires standard IRB review/approval.* | When a researcher will be recording observations about individual people, each observed person’s consent is required. Health and mental health appointments are not eligible for observation. Settings involving minors (people 17 and under) are not eligible for observation. |
Appendix B: Consent Form for Senior Leader Interview (edits not permitted)

To be sent to invited interviewee in the body of an e-mail (not as an attachment):

You are invited to take part in a senior leader interview for a business case study that I am conducting as part of my consulting project at your organization.

Interview Procedures:
If you agree to be part of this study, you will be asked to take part in audio-recorded interviews about the organization’s operations. Opportunities for clarifying statements will be available (via a process called member checking). Transcriptions of senior leader interviews will be analyzed as part of the case study, along with any archival data, reports, and documents that the organization’s leadership deems fit to share. Copies of your interview recording and transcript are available from me upon request.

Voluntary Nature of the Study:
This study is voluntary. If you decide to join the study now, you can still change your mind later.

Risks and Benefits of Being in the Study:
Being in this study would not pose any risks beyond those of typical daily life. This case study’s aim is to provide data and insights to support the organization’s success.

Privacy:
Interview recordings and full transcripts will be shared with each interviewee, upon request. Transcripts with identifiers redacted will be shared with my university faculty, peer advisors, and site leadership (upon request). Any reports, presentations, or publications related to this study will share general patterns from the data, without sharing the identities of individual participants or partner organizations. The interview transcripts will be kept for at least 5 years, as required by my university.

Contacts and Questions:
If you want to talk privately about your rights as a participant, you can call Dr. Leilani Endicott. She is the Walden University representative who can discuss this with you. Her phone number is 612-312-1210. Walden University’s approval number for this study is (Student will need to complete Form A to obtain an IRB approval number).

Please share any questions or concerns you might have at this time. If you agree to be interviewed as described above, please reply to this e-mail with the words, “I consent.”
Appendix C: Suggested 40-Week Timeline for the DBA Consulting Capstone

<table>
<thead>
<tr>
<th>Term/Week No.</th>
<th>Activity</th>
<th>Deliverable(s)</th>
<th>Key Performance Indicators/Measures</th>
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<tbody>
<tr>
<td>Term 1/ Wk 1</td>
<td>Contact client</td>
<td>Signed SO that aligns with DBA Research Agreement</td>
<td>List of client’s needs, expectations, and requirements, including understanding of client’s organizational culture, policies, and regulatory compliance requirements</td>
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<td></td>
<td>Identify and agree upon scope of project and deliverables</td>
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<td>Affirmation of/agreement upon project scope, deliverables, and timeline</td>
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<td></td>
<td>Create, submit, and receive client’s signature on Service Order (SO)</td>
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<td>Signed SO</td>
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<td></td>
<td>Client provides orientation to org’s culture, policies and protocols, and regulatory compliance requirements</td>
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<td></td>
<td>Complete <a href="#">Form A</a> to receive the IRB approval number for this case study</td>
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<tr>
<td>Term 1/ Wk 2</td>
<td>Begin data- and information-gathering interviews and research (e.g., client’s website, foundational documents)</td>
<td>Construct template for working draft of client’s Organizational Profile (OP) and outline of key factors (KFs)</td>
<td>Template for documentation of evidence supporting students’ identification of key factors that are of strategic importance to the organization</td>
</tr>
<tr>
<td>Term 1/ Wk 3</td>
<td>Continue gathering data/information through interviews with client’s key leaders, managers, and stakeholders</td>
<td>Complete relevant sections of template</td>
<td>Draft of client’s product offerings and services, business proposition, mission, vision, values</td>
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<tr>
<td>Term 1/ Wk 4</td>
<td>Gather data/information about client’s workforce and customers</td>
<td>Complete relevant sections of template</td>
<td>Draft of client’s workforce profile, including volunteers; table of relevant workforce demographics, requirements, and engagement factors</td>
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<tr>
<td>Term 1/ Wk 5</td>
<td>Gather data/information about client’s key suppliers, partners, and collaborators</td>
<td>Complete relevant sections of template</td>
<td>Draft of client’s key suppliers, partners, and collaborators, including key mechanisms for communication and key supply-chain requirements</td>
</tr>
<tr>
<td>Term 1/ Wk 6</td>
<td>Gather data/information about client’s assets, regulatory requirements, and key competitive changes</td>
<td>Complete relevant sections of template</td>
<td>Draft of client’s assets (facilities, technologies, equipment), regulatory requirements, including occupational health and safety regulations, accreditation, certification, industry standards, and/or product regulations</td>
</tr>
<tr>
<td>Term 1/ Wk 7</td>
<td>Gather data/information about client’s strategic advantages and challenges, and performance improvement system</td>
<td>Complete relevant sections of template</td>
<td>Draft of client’s key strategic challenges and advantages in areas of business, operations, societal responsibilities, and workforce; key elements of client’s performance improvement system</td>
</tr>
<tr>
<td>Term 1/ Wk 8</td>
<td>Draft OP</td>
<td>Completed OP template</td>
<td>Working draft of OP</td>
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</table>

**Process Chapters: Leadership Triad Component of Client Case Study (Leadership, Strategy, Customers)**

<table>
<thead>
<tr>
<th>Term/ Week No.</th>
<th>Activity</th>
<th>Deliverable(s)</th>
<th>Key Performance Indicators/Measures</th>
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| Term 2/ Wk 1  | Leadership 1.1: Gather evidence to describe and evaluate: How do senior leaders lead the organization? | - How do senior leaders set MVV?  
- How do senior leaders’ personal actions demonstrate their commitment to legal and ethical behavior?  
- How do senior leaders communicate with and engage the entire workforce, key partners, and key customers?  
- How do senior leaders create an environment for success now and in the future?  
- How do senior leaders create a focus on action that will achieve the organization’s mission? | Working draft of Leadership 1.1 |
|----------------|-----------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|---------------------------------------------------------------|
| Term 2/ Wk 2  | Leadership 1.2: Gather evidence to describe and evaluate: How do leaders govern the organization and make societal contributions? | - How does client organization ensure responsible governance?  
- How does client organization evaluate the performance of senior leaders and the governance board?  
- How does client organization address current and anticipate future legal, regulatory, and community concerns with its products and operations?  
- How does client organization promote and ensure ethical behavior in all interactions? | Working draft of Leadership 1.2 |
| (Wk 9 of 40-wk plan) | (Wk 10 of 40-wk plan) | | |
| Term 2/ Wk 3 (Wk 11 of 40-wk plan) | **Strategy 2.1:** Gather evidence to describe and evaluate: How does client organization develop strategy? | - How does client organization consider societal well-being and benefit as part of its strategy and daily operations?  
- How does client organization actively support and strengthen its key communities?  
- How does client organization conduct strategic planning?  
- How does strategy development process stimulate and incorporate innovation?  
- How does client organization collect/analyze relevant data and develop information for use in its strategic planning process?  
- How does client organization decide which key processes will be accomplished by its workforce and which by external suppliers, partners, and collaborators? What are client organization’s key work systems?  
- What are client organization’s key strategic objectives and timetable for achieving them?  
- How do strategic objectives achieve appropriate balance among varying/competing organizational needs? | Working draft of Strategy 2.1 |
| Term 2/ Wk 4  (Wk 12 of 40-wk plan) | **Strategy 2.2**: Gather evidence to describe and evaluate: How does client organization implement strategy? | - What are the client organization’s key short- and longer-term action plans?  
- How does client organization deploy action plans?  
- How does client organization ensure that financial and other resources (including HR) are available to support achievement of action plans while meeting current obligations?  
- What are key workforce plans to support short- and longer-term strategic objectives and action plans?  
- What key performance measures or indicators does client organization use to track the achievement/effectiveness of action plans?  
- For these key performance measures/indicators, what are client organization’s performance projections for short- and longer-term planning horizons?  
- How does client organization recognize and respond when circumstances require a shift in action plans and rapid execution of new plans? | Working draft of Strategy 2.2 |
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<tr>
<td>Term 2/ Wk 5  (Wk 13 of 40-wk plan)</td>
<td><strong>Customers 3.1</strong>: How does client organization listen to its customers and determine products and services to meet their needs?</td>
<td>- How does client organization listen to, interact with, and observe customers to obtain actionable information?</td>
<td>Working draft of Customers 3.1</td>
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</table>
| Term 2/ Wk 6 (Wk 14 of 40-wk plan) | **Customers 3.2**: How does client organization build relationships with customers and determine satisfaction and engagement? | - How does client organization listen to potential customers to obtain actionable information?  
- How does client organization determine its customer groups and market segments?  
- How does client organization determine product offerings? | Working draft of Customers 3.2 |
| Term 2/ Wk 7 (Wk 15 of 40-wk plan) | **Analyze/Evaluate information for** Leadership Triad (Leadership, Strategy, Customers) | - How does client organization build and manage customer relationships?  
- How does client organization enable customers to seek information and support?  
- How does client organization manage customer complaints?  
- How does client organization determine customer satisfaction, dissatisfaction, and engagement?  
- How does client organization obtain information on customers’ satisfaction with its organization relative to other organizations?  
- How does client organization use voice-of-the-customer and market data and information? | Working draft of Leadership Triad chapters of Client Case Study, including evidence-based feedback on client’s strengths and opportunities for improvement (OFIs) Milestone 1 |
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<tr>
<th>Term 2/ Wk 8 (Wk 16 of 40-wk plan)</th>
<th>Align and integrate data/information in OP and Leadership Triad (Process categories 1, 2, and 3)</th>
<th>Compile draft document of OP and all process chapters in Leadership Triad (Process categories 1, 2, and 3)</th>
<th>Complete working draft of process chapters of Leadership Triad (Process categories 1, 2, and 3), including evidence-based feedback on client’s strengths and OFIs</th>
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**Process Chapters: Initial Results Triad (Workforce, Operations) and Measurement, Analysis, and Knowledge Management Components of Client Case Study**

<table>
<thead>
<tr>
<th>Week No.</th>
<th>Activity</th>
<th>Deliverable(s)</th>
<th>Key Performance Indicators/Measures</th>
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</table>
| Term 3/ Wk 1 (Wk 17 of 40-wk plan) | **Workforce 5.1**: How does client organization build an effective and supportive workforce environment? | - How does client organization assess its workforce capability and capacity needs?  
- How does client organization recruit, hire, and onboard new workforce members?  
- How does client organization prepare its workforce for changing capability and capacity needs?  
- How does client organization organize and manage its workforce?  
- How does client organization ensure workplace health, security, and accessibility for its workforce?  
- How does client organization support its workforce via services, benefits, and policies? | Working draft of Workforce 5.1 |
| Term 3/ Wk 2 | **Workforce 5.2**: How does client organization engage its workforce for retention and high performance? | - How does client organization determine the key drivers of workforce engagement?  
- How does client organization assess workforce engagement?  
- How does client organization assess workforce engagement?  
- How does client organization foster an organizational culture that is characterized by open communication, high performance, and an engaged workforce?  
- How does client organization’s workforce performance management system support high performance?  
- How does client organization’s learning and development system support the personal development of workforce members and the organization’s needs?  
- How does client organization evaluate the effectiveness and efficiency of its learning and development system?  
- How does client organization manage career development of its workforce and its future leaders? | Working draft of Workforce 5.2 |
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<tr>
<td>Term 3/ Wk 3</td>
<td><strong>Operations 6.1</strong>: How does client organization design, manage, and</td>
<td>- How does client organization determine key product and work process requirements?</td>
<td>Working draft of Operations 6.1</td>
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</table>
| (Wk 19 of 40-wk plan) | improve its key products and work processes? | - What are the client organization’s key work processes?  
- How does client organization design its products and work processes to meet requirements?  
- How does client organization’s day-to-day operation of work processes ensure that they meet key process requirements?  
- How does client organization determine its key support processes?  
- How does client organization improve its work processes and support processes to improve products and process performance, enhance the organization’s core competencies, and reduce variability?  
- How does client organization manage its supply network?  
- How does client organization pursue its opportunities for innovation? |  |
|---|---|---|
| Term 3/ Wk 4  
(Wk 20 of 40-wk plan) | **Operations 6.2**: How does client organization ensure effective management of its operations? | - How does client organization manage the cost, efficiency, and effectiveness of its operations?  
- How does client organization ensure the security and cybersecurity of sensitive or privileged data and information and of key assets? | Working draft of Operations 6.2 |
<table>
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<tr>
<th>Term 3/ Wk 5 (Wk 21 of 40-wk plan)</th>
<th><strong>Measurement, Analysis, and Knowledge Management 4.1</strong>: How does client organization measure, analyze, and then improve organizational performance?</th>
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<tbody>
<tr>
<td></td>
<td>- How does client organization provide a safe operating environment?</td>
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<td>- How does client organization ensure that it is prepared for disasters/emergencies?</td>
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<td></td>
<td>- How does client organization track data and information on daily operations and overall organizational performance?</td>
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<td>- How does client organization select comparative data and information to support fact-based decision making?</td>
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<td>- How does client organization ensure that its performance measurement system can respond to rapid or unexpected organizational or external changes and provide timely data?</td>
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<td>- How does client organization review its performance and capabilities?</td>
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<td>- How does client organization project its future performance?</td>
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<td></td>
<td>- How does client organization use findings from performance reviews to develop priorities for continuous improvement and opportunities for innovation?</td>
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<td>Working draft of Measurement, Analysis, and Knowledge Management 4.1</td>
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<tr>
<td>Term 3/ Wk 6</td>
<td><strong>Measurement, Analysis, and Knowledge Management 4.2</strong>: How does client organization manage its</td>
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<td>- How does client organization verify and ensure the quality of organizational data and information?</td>
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<td></td>
<td>Working draft of Measurement, Analysis, and Knowledge Management 4.2</td>
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</table>
| Term 3/ Wk 7  
(Wk 23 of 40-wk plan) | Analyze/Evaluate information for Initial Results triad (Workforce, Operations) and Measurement, Analysis, and Knowledge Management | Organize, analyze, validate, and confirm data and information for Workforce; Operations; and Measurement, Analysis, and Knowledge Management | Working draft of Initial Results Triad chapters of Client Case Study, including evidence-based feedback on client’s strengths and OFIs |
|---|---|---|---|
| Term 3/ Wk 8  
(Wk 24 of 40-wk plan) | Align and integrate data/information in OP, Leadership Triad, and Initial Results Triad chapters | Compile draft document of OP and all process chapters in Leadership and Initial Results Triad | Complete working draft of process chapters of Client Case Study, including evidence-based feedback on client’s strengths and OFIs  
Milestone 2 |

**Results Chapter: Collection, Analysis, and Preparation of Results**

<table>
<thead>
<tr>
<th>Term/ Week No.</th>
<th>Activity</th>
<th>Deliverable(s)</th>
<th>Key Performance Indicators/Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Term 4/ Wk 1</td>
<td><strong>Results 7.1</strong>: What are the client organization’s product performance and process effectiveness results?</td>
<td>- What are client organization’s results for products and customer service processes?</td>
<td>Working draft of analysis of results reported in 7.1</td>
</tr>
</tbody>
</table>
| Term 4/ Wk 2 | Results 7.2: What are client organization’s customer-focused performance results? | - What are client organization’s process effectiveness/efficiency results?  
- What are client organization’s safety and emergency preparedness results?  
- What are client organization’s supply-network management results? | Working draft of analysis of results reported in 7.2 |
|-------------|-----------------------------------------------------------------|-------------------------------------------------|------------------------------------------------------|
| Term 4/ Wk 3 | Results 7.3: What are client organization’s workforce-focused performance results? | - What are client organization’s customer satisfaction and dissatisfaction results?  
- What are client organization’s customer engagement results? | Working draft of analysis of results reported in 7.3 |
| Term 4/ Wk 4 | Results 7.4: What are client organization’s senior leadership and governance results? | - What are client organization’s results for senior leaders’ communication/engagement with the workforce, partners, and customers?  
- What are client organization’s results for governance accountability? | Working draft of analysis of results reported in 7.4 |
| Term 4/ Wk 5  
(Wk 29 of 40-wk plan) | **Results 7.5:** What are client organization’s results for financial viability and strategy implementation? | - What are client organization’s legal and regulatory results?  
- What are client organization’s results for ethical behavior?  
- What are client organization’s results for societal well-being and support of its key communities?  
- What are client organization’s results for financial viability and strategy implementation?  
- What are client organization’s financial performance results?  
- What are client organization’s marketplace performance results?  
- What are client organization’s results for the achievement of its organizational strategy and action plans?  
Working draft of analysis of results reported in 7.5 |  |
| Term 4/ Wk 6  
(Wk 30 of 40-wk plan) | Compile and verify results for each Results section  
Verify analysis of results levels, trends, and comparisons | Assemble and format Results chapter  
Milestone 3 |  |
| Term 4/ Wk 7  
(Wk 31 of 40-wk plan) | Assemble full draft of Client Case Study  
Align and integrate data/information in all sections of Client Case Study | Full working draft of Client Case Study |  |
<table>
<thead>
<tr>
<th>Term/Week No.</th>
<th>Activity</th>
<th>Deliverable(s)</th>
<th>Key Performance Indicators/Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Term 5/Wk 1</td>
<td>Review full draft of Client Case Study with mentor</td>
<td>Revise and refine full draft of Client Case Study</td>
<td>Full draft of Client Case Study to serve as checking copy for client leader’s review</td>
</tr>
<tr>
<td>Term 5/Wk 2</td>
<td>Schedule client meetings to present full draft of Client Case Study</td>
<td>Revise and refine full draft of Client Case Study to reflect client’s input about errors in fact and suggested edits</td>
<td>Full draft of Client Case Study that has been reviewed by client (and key stakeholders, if appropriate)</td>
</tr>
<tr>
<td>Week/Week</td>
<td>Activity 1</td>
<td>Activity 2</td>
<td>Activity 3</td>
</tr>
<tr>
<td>-----------</td>
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</tr>
<tr>
<td><strong>Term 5/ Wk 6</strong> (Wk 37 of 40-wk plan)</td>
<td>Final review of penultimate draft of Client Case Study with mentor</td>
<td>Revise, refine, format, and prepare presentation copy of Client Case Study</td>
<td>Presentation copy of Client Case Study for delivery to client</td>
</tr>
<tr>
<td><strong>Term 5/ Wk 6</strong> (Wk 38 of 40-wk plan)</td>
<td>Prepare “scrubbed” edition of Client Case Study that is suitable for public presentation/publication</td>
<td>Remove/replace all proper nouns and other identifiers, remove all proprietary and confidential information from Client Case Study</td>
<td>Client’s signed consent to publish redacted version of the case study</td>
</tr>
</tbody>
</table>

- Students must submit this final, publishable version of the case study to clients for review and approval at least 10 days prior to submission to Walden University for publication, presentation, or use.
- Students must receive written approval from the client prior to submitting this version of the case study for publication. This is the ONLY version of the case study that may be submitted for publication.

| **Term 5/ Wk 6** (Wk 39 of 40-wk plan) | Public copy of Client Case Study for presentation/publication |
Appendix D: Service Order Agreement

Project Proposal

This Project Proposal has been drafted by [STUDENT NAME] for [COMPANY NAME] and is dated [DATE].

Scope of Work

- [describe internship expectations and outcomes/deliverables]

<table>
<thead>
<tr>
<th>Work Phase</th>
<th>Estimated Time Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Online interactions:</td>
<td></td>
</tr>
<tr>
<td>Outcomes/Deliverables:</td>
<td></td>
</tr>
<tr>
<td>Additional Services Provided if Requested:</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Services Summary</th>
<th>Length of Engagement</th>
</tr>
</thead>
</table>

Terms of confidentiality and compliance:

In all reports (including drafts shared with peers and faculty members), the student is required to maintain confidentiality by removing names and key pieces of information that might disclose an Institution’s/individual’s identity or inappropriately divulge proprietary details. If the Institution itself wishes to publicize the findings of this project, that is the Institution’s judgment call.

The student will publish the case study in ProQuest as a doctoral capstone (with site and participant identifiers withheld). The case study will be based upon interviews with non-vulnerable adults on the topic of the Institution’s business operations, review of public records, and review of internal records/documents related to the Institution’s operations that the Institution deems appropriate for sharing with the student.

The doctoral student will not use these data for any purpose other than the project outlined in this agreement.
Interview recordings and full transcripts will be shared with any interviewee (upon request), and the doctoral student will provide opportunities for clarifying previous statements. Transcripts with identifiers redacted may be shared with the doctoral student’s university faculty, peer advisors, and site leadership (upon request).

The doctoral student is responsible for understanding and complying with all of the Institution’s policies and regulatory requirements.

**Ethical Conduct in this Consulting Relationship**

The Code of Conduct in the Walden University Student Handbook and the ethical requirements for IRB compliance described in the Manual for the DBA Consulting Capstone bind DBA students in the consulting capstone.

Also, DBA students are required to uphold professional principles in fulfilling their roles as consultants and coaches to client organizations. Beyond the confidentiality requirements outlined above, three principles are key to ensuring ethical conduct in consulting relationships.

**Principle 1: Protect the integrity of Walden University**

- Not representing conflicting or competing interests or positioning themselves such that their interest may be in conflict or may be perceived to be in conflict with the purposes and values of Walden University
- Not intentionally communicating false or misleading information that may compromise the integrity of Walden University and of the consulting capstone experience

**Principle 2: Exhibit professional conduct at all times**

- Respecting the climate, culture, values, and regulatory requirements of client organizations and client workforce members

**Principle 3: Protect the promise of confidentiality**

- Not using or adapting client organization’s data and information after the capstone experience, unless the information has been publically shared by the client
- Not conducting telephone conferences with the client organization in public places where information may be overheard

This Project Proposal has been approved by [NAME]:

__________________________________
SIGNATURE

The terms of this Project Proposal have been agreed to by [STUDENT’S NAME]:

__________________________________
SIGNATURE

Document date: June 2016
Note to doctoral students selected for the consulting capstone option: The University has entered into the following agreement with each site that agrees to host consulting capstone students. As a representative of Walden University, it is important that you review and comply with the terms of this agreement.

IMPORTANT: You are not to obtain signatures for this document. Walden University has already obtained the appropriate signatures for approved consulting sites.

THIS AGREEMENT (the “Agreement”) is made and entered into on this XXX date (the “Effective Date”) by and between WALDEN UNIVERSITY, LLC, located at 100 Washington Avenue South, Suite 900, Minneapolis, MN 55401 ("Walden") and [RESEARCH PARTNER NAME] located at [ADDRESS] ("Institution").

RECITALS

WHEREAS, Walden offers undergraduate and graduate degree programs and seeks to partner with institutions to allow Walden doctoral students (the "Students") to receive academic credit for work on research projects (“Research”).

NOW, THEREFORE, in consideration of the mutual promises and covenants hereinafter set forth it is understood and agreed upon by the parties hereto, as follows:

I. TERM AND TERMINATION

This Agreement shall commence on the Effective Date and shall continue for a period of three (3) years (the “Initial Term”). Upon expiration of the Initial Term of this Agreement, this Agreement and the Term shall renew for successive one (1) year periods (each a “Renewal Term”). Notwithstanding the foregoing, either party may terminate this Agreement for any reason or no reason, upon ninety (90) calendar days’ prior written notice to the other party. In the event of termination or expiration of this Agreement before a participating Student(s) has completed the Research, such Student(s) shall be permitted to complete the Research subject to the applicable terms of this Agreement, which shall survive for such Research until the date of completion.

II. RESEARCH
A. Institution and Walden may, from time-to-time, agree that selected Students, if accepted by Institution, may participate in Research with Institution. Walden shall be responsible for referring Students to the Institution and will instruct Students to provide Institution with a description of the Research. Walden agrees to refer to the Institution only those Students who have completed the required prerequisite course of study as determined by Walden. The parties anticipate that all Research will be done remotely and that Students will not be present at Institution’s facilities.

B. Walden and Institution will conduct their activities hereunder in compliance with their respective policies and all applicable laws and regulations. In the event that any regulatory compliance issues arise, the parties will cooperate in good faith in any review conducted by the other party.

C. Where applicable, the Institution shall provide the Student with an orientation familiarizing student with all applicable State and Federal laws and regulations that pertain to the Research with the Institution, which may include those pertaining to Standards for Privacy of Individually Identifiable Health Information (the "Privacy Rule") issued under the federal Health Insurance Portability and Accountability Act of 1996 ("HIPAA"), which govern the use and/or disclosure of individually identifiable health information.

D. The Institution reserves the right to dismiss at any time any Student whose health condition, conduct or performance is a detriment to the Student’s ability to successfully complete the Research at the Institution or jeopardizes the health, safety or well-being of any patients, clients or employees of the Institution. The Institution shall promptly notify Walden of any problem or difficulty arising with a Student and a discussion shall be held either by telephone or in person to determine the appropriate course of action. The Institution will, however, have final responsibility and authority to dismiss any Student from Institution.

E. The Institution and Walden shall each maintain general liability insurance (or comparable coverage under a program of self-insurance) for itself and its employees with a single limit of no less than One Million Dollars ($1,000,000) per occurrence and Three Million Dollars ($3,000,000) annual aggregate. Each party shall provide the other party with proof of coverage upon request.

III. STUDENT RESPONSIBILITIES

A. The Student shall agree to abide by the rules, regulations, policies and procedures of the Institution as provided to Student by the Institution during their orientation at the Institution and shall abide by the requirements of all applicable laws.
B. If applicable, the Student shall agree to comply with the Standards for Privacy of Individually Identifiable Health Information (the "Privacy Rule") issued under the federal Health Insurance Portability and Accountability Act of 1996 ("HIPAA"), which govern the use and/or disclosure of individually identifiable health information.

C. The Student shall arrange for and provide to Institution any information requested by Institution including, but not limited to, criminal background checks, health information, verification of certification and/or licensure, insurance information and information relating to participation in federally funded insurance programs.

IV. MUTUAL RESPONSIBILITIES

A. FERPA. For purposes of this Agreement, pursuant to the Family Educational Rights and Privacy Act of 1974 ("FERPA"), the parties acknowledge and agree that the Institution has an educational interest in the educational records of the Student participating in the Program and to the extent that access to Student’s records are required by the Institution in order to carry out the Research. Institution and Walden shall only disclose such educational records in compliance with FERPA.

B. HIPAA. The parties agree that, if the Institution is a covered entity under HIPAA:

(1) Where a Student is participating in Research that will require access to Protected Health Information:

   (a) Student shall be considered part of Institution’s workforce for HIPAA compliance purposes in accordance with 45 CFR §160.103, but shall not otherwise be construed to be employees of Institution;

   (b) Student shall receive training by the Institution on, and subject to compliance with, all of Institution’s privacy policies adopted pursuant to HIPAA; and

   (c) Student shall not disclose any Protected Health Information, as that term is defined by 45 CFR §164.105, to which a Student has access through program participation that has not first been de-identified as provided in 45 CFR §164.514(a);
(2) Walden will never access or request to access any Protected Health Information held or collected by or on behalf of the Institution that has not first been de-identified as provided in 45 CFR §164.514(a); and

(3) No services are being provided to the Institution by Walden pursuant to this Agreement and therefore this Agreement does not create a “business associate” relationship as that term is defined in 45 CFR §160.103.

C. Publications. Students and Walden are free to publish, present, or use any results arising out of the Research for their own academic, instructional, research, or publication purposes. Students shall submit a draft of any proposed publication to Institution at least ten (10) business days prior to submission for publication, presentation, or use. To the extent Institution requires that Students enter into nondisclosure or confidentiality agreements, such agreements shall be subject to this Section allowing publication of Research results.

D. Institution and Walden will promote a coordinated effort by evaluating the Research at mutually agreeable times, planning for its continuous improvement, making such changes as are deemed advisable and discussing problems as they arise concerning this affiliation.

E. The parties agree that Students are at all times acting as independent contractors and that Students are not and will not be considered employees of the Institution or any of its subsidiaries or affiliates by virtue of a Student’s participation in the Research and shall not as a result of Student’s participation in the Research, be entitled to compensation, remuneration or benefits of any kind.

F. Institution and Walden agree that Student will have equal access to their respective programs and facilities without regard for gender identity, race, color, sex, age, religion or creed, marital status, disability, national or ethnic origin, socioeconomic status, veteran status, sexual orientation or other legally protected status. Institution and Walden will comply with all applicable non-discrimination laws in providing services hereunder.

G. The terms and conditions of this Agreement may only be amended by written instrument executed by both parties.

H. This Agreement is nonexclusive. The Institution and Walden reserve the right to enter into similar agreements with other institutions.
I. This Agreement shall be governed by the laws of the State of Minnesota.

J. Any notice required hereunder shall be sent by certified or registered mail, return receipt requested and shall be deemed given upon deposit thereof in the U.S. mail (postage prepaid). Notices to Walden shall be sent to Jenny Sherer, Office of Research Ethics and Compliance; 100 Washington Avenue South, Suite 900; Minneapolis MN 55401 with a copy to: Walden University, LLC; Attention: Assistant Divisional Counsel; 650 South Exeter Street; Baltimore, MD 21202.

K. Each party agrees to indemnify, defend, and hold harmless the other from all losses or liabilities resulting from the negligent acts or omissions of the indemnifying party and/or its employees or agents arising out of the performance or the terms and conditions of this Agreement, except to the extent such losses or liabilities are caused by the indemnified party’s negligence or willful misconduct.

L. This Agreement sets forth the entire understanding of the parties hereto and supersedes any and all prior agreements, arrangements and understandings, oral or written, of any nature whatsoever, between the parties with respect to the subject matter hereof. This Agreement and any amendments hereto may be executed in counterparts and all such counterparts taken together shall be deemed to constitute one and the same instrument. The parties agree that delivery of an executed counterpart signature hereof by facsimile transmission, or in “portable document format” (“.pdf”) form, or by any other electronic means intended to preserve the original graphic and pictorial appearance of a document, will have the same effect as physical delivery of the paper document bearing the original signature.

SIGNATURE PAGE FOLLOWS
IN WITNESS WHEREOF, the parties hereto have duly executed this Agreement, effective the date first above written:

WALDEN UNIVERSITY, LLC

By: ____________________________
   (signature)

Name: __________________________
   (Print name)

Title: __________________________

Date: __________________________

INSTITUTION

By: ____________________________
   (signature)

Name: __________________________
   (Print name)

Title: __________________________

Date: __________________________
Appendix F: ProQuest Publications of Approved DBA Consulting Capstone Studies


