



JOHNSON & WALES
UNIVERSITY



JOHNSON & WALES UNIVERSITY
COLLEGE of PROFESSIONAL STUDIES

DOCTOR OF BUSINESS ADMINISTRATION PROGRAM AND DISSERTATION HANDBOOK

Johnson & Wales University
College of Business

August 2022-August 2023

By enrolling at and attending Johnson & Wales University, students agree to abide by all university catalogs, codes of conduct, handbooks, manuals, policies, procedures, regulations, and rules applicable to students. The university may, at any time and without prior notice, add to, amend, change, modify, revise, or supersede any of its university catalogs, codes of conduct, handbooks, manuals, policies, procedures, regulations, and rules and may, at any time and without prior notice, change, modify, revise, supersede, cancel, or postpone any class, course, activity, event, and program.

PREFACE

Welcome to the Doctor of Business Administration Program and Dissertation Handbook.

This Handbook provides a comprehensive resource for DBA students in all phases of their doctoral program. The Handbook includes a program overview, program outcomes and requirements, program policies and procedures, academic writing information, and dissertation standards. A Microsoft Word version of this document will also be available in ulearn (Dissertation Essentials) for access to, and downloading of, appendix items and other useful resources and links.

It is important to note that each annual update to the DBA Dissertation Handbook outlines the policies and academic writing specifications to which DBA students and faculty must adhere for the current academic year. The APA Manual, 7th Edition, remains the final determinant for manuscript and academic writing specifications, except for the doctoral program 'local rules' noted in this Handbook.

[The Johnson & Wales University Student Handbook](#) contains additional information, policies, and procedures.

[Student consumer information](#) is also available.

On behalf of JWU's College of Business and College of Professional Studies faculty and staff, I welcome you to the DBA Program. We wish you all the best as you progress through your academic journey.

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*This document is published on an August-August schedule.

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INTRODUCTION

The Johnson & Wales DBA Program is an intersection of academia and industry. Students take 14 traditional doctoral-level business and research courses with a concentration in Organizational Development. Each course allows students the opportunity to dive deeper into a topic by exploring scholarly literature and applying the information to their work environments. Prior to Year 3, students complete a prospectus to guide them into the proposal phase. Year 3 begins with the first of four dissertation courses and launches the official proposal and dissertation phase of the program.

The dissertation portion of the program primarily consists of individual research, under the supervision of a fully qualified faculty member who brings a broad range of expertise to the student's research topic. Each DBA dissertation should exhibit substantial evidence of original scholarship of high standard and be applicable to practice. Candidates defend their dissertation to their committee and College of Business designees.

Designing and conducting research and preparing the dissertation are complex and difficult tasks that require careful planning, precise execution, persistence, and time. Working within the DBA framework, students are expected to produce a body of research that will improve practice while broadening and deepening the base of knowledge in business. This expectation is consistent with the role of dissertation research, as stated by **The Promise of Business Doctoral Education Setting the pace for innovation, sustainability, relevance, and quality - Report of the AACSB International Doctoral Education Task Force (2013)**:

...the creation of an original, substantive research contribution, as judged by a group of peers, is the defining characteristic that distinguishes a doctoral program from other types of education. The dissertation (or equivalent) often is considered the "measure" of whether many expected knowledge and skill areas (excluding teaching preparation) have been achieved, and thus the dissertation defense serves a critical role in the determination of student success in the program.

Sarros et al. (2005) suggest "it is likely that the emphasis in the DBA [research report] will be more focused on outcomes than methodology. While the ability to conduct doctoral research is necessary, a greater emphasis should be tied to the implications for managers and professional practice." (p. 56)

The purpose of this Program Guide and Dissertation Handbook is two-fold:

- to provide comprehensive program information for DBA doctoral students; and
- to guide students through the dissertation processes (prospectus, proposal, manuscript, and defense).

MISSION, PRINCIPLES, AND OUTCOMES

JWU Mission & Guiding Principles

Johnson & Wales University... an exceptional education that inspires professional success and lifelong personal and intellectual growth.

In support of our mission and recognizing the importance of preserving our unique student-centered culture, we are guided by the following principles:

- Undertake continuous improvement and planning for a sustainable future. Foster an evidence-based teaching and learning environment.
- Support faculty scholarship to advance our status as a teaching and learning institution. Maximize student potential by enriching our academic programs with experiential and work-integrated learning.
- Value our faculty and staff.
- Embrace diversity for a richly inclusive community. Practice ethical citizenship in all aspects of university life.
- Act as a good steward of our resources to support the needs of our students, faculty, and staff.

University Essential Learning Outcomes

- Professional Competence
Graduates will demonstrate the knowledge and skills required to succeed in their chosen profession.
- Foundation for Lifelong Learning
Graduates will demonstrate the knowledge and skills necessary for lifelong learning, including competence in communication, critical and creative thinking, quantitative and scientific reasoning, and the ability to evaluate, integrate and apply knowledge from multiple perspectives when making decisions and solving problems.
- Global and Community Citizenship
Graduates will demonstrate the necessary skills, including an awareness of ethical responsibility and cultural/ global diversity, to live and work collaboratively as contributing members of society.

College of Business and College of Professional Studies Connection

The online Doctor of Business Administration degree program is developed and assessed by the College of Business and delivered through the College of Professional Studies.

College of Business

The College of Business curriculum fully supports JWU outcomes by educating our students through a focused and engaging academic curriculum combined with experiential learning opportunities integrating general education, professional skills and career-focused education. The college carefully links the most current skill requirements of employers with academic programs created and taught by faculty with relevant and continuous industry experience. This

integrated approach serves to prepare students to attain personal and career success in an ever-changing global business environment.

College of Professional Studies

The purpose of the College of Professional Studies is to deliver strategically selected university academic programs in online format to working adult professionals across the U.S., ensuring achievement of the identical programmatic learning outcomes by students in online programs, as well as providing online courses to the university's on-campus students across all campuses. To accomplish its purpose, the school effectively leverages technology and other creative delivery approaches to offer an exceptional education and enhanced professional success for students in alignment with the university's mission.

THE DBA PROGRAM

DBA Program Description

The Doctor of Business Administration program equips senior business practitioners and high-potential individuals with both the applied and research skills needed to become executive-level organizational leaders, industry innovators, consultants, and policy makers. Students ethically address complex and practical business challenges and learn how to transform business practices to create organizational optimization, growth, and sustainability.

Individuals will advance communication, analytical and critical-thinking skills through the study of business theory, core business functions, applied research, and contemporary strategic and operational business challenges. Students prepare to add increased value to their organization or industry through new approaches to the development of strategy, processes, people, and metrics.

Program Structure

The 54-credit online DBA program includes eight core courses, three concentration courses, three research courses and four dissertation courses. A required, no-credit online orientation is the first step in assuring a smooth transition to doctoral study, online learning, and Johnson & Wales University. The DBA is completed in three years but, if necessary, may be extended up to an additional two years for program completion (additional fees apply). Students may transfer up to three courses (nine credits), which are reviewed on an individual basis; dissertation courses are excluded.

Faculty

Johnson & Wales University has a long history of hiring and working with high-quality faculty members with industry experience and who are actively engaged in effective teaching to ensure student learning, as well as in scholarly activities to continually enhance their own knowledge and skills.

The DBA faculty have professional expertise in their field of study, strong academic credentials, and extensive experience in online course development and delivery. They know how to engage with and connect students through our online platforms, providing an enhanced, robust, and encouraging learning environment. Furthermore, they act as faculty advisers, supporting and guiding students through to dissertation completion. Additional dissertation information is available in Applied Research in the DBA.

DBA Program Learning Outcomes

Upon completion of the program, graduates are expected to:

- Design, conduct and present applied research that addresses practical business problems.
- Employ advanced communication skills to share complex information, organizational vision, and actionable guidelines within business environments.
- Apply contemporary business leadership theories, knowledge of core business functions and evidenced-based practice to address issues faced by senior leadership.

Organization Development Concentration:

- Apply organization development theory to improve organizational capacity for strategic change through systematic interventions.

DBA Program Goals

The JWU DBA Program has been expressly designed to meet the following goals:

- Provide business leaders with the research, analytical, critical-thinking and decision-making skills to:
 - Conceptualize, investigate, and solve complex and practical business problems
 - Transform from leader to thought leader and innovator
 - Expand organizational capacity for innovation and change
 - Use new tools, insights and perspectives in strategy development and evidence-based practice
 - Advance knowledge within their industry through a completed dissertation

Advantages of JWU's DBA Program

- Relevant nature of curriculum that is comprehensive and career-focused
- Qualifications, experience, and expertise of the faculty
- Flexibility and convenience of fully online program, no residency requirements
- Cohort model
- Students focus on one course at a time
- Courses are eight weeks, giving students the ability to move quickly through content
- Expected three-year completion
- Lock-step dissertation model designed to guide students through the dissertation process

DBA Program Requirements

To earn the Johnson & Wales DBA degree, each student must successfully fulfill all prescribed requirements:

- Complete 54 credit hours (42 hours of coursework and 12 hours of dissertation work, which forms the basis for the dissertation).
- Earn final grades of B- or higher in each course.
- Maintain a cumulative grade point average of 3.0 or higher.
- Complete all program requirements within five years from initial matriculation.
- The complete [student handbook](#), which contains the rules, policies and codes that DBA students are expected to adhere to, as well as [academic policies](#) including grading and student standing, can be found online.

DOCTOR OF BUSINESS ADMINISTRATION COURSE SEQUENCE

Fall Start

Year	Term	#	Course Number	Course Name	Credits
Year 1	Fall	Fall 1	1 MGMT7000	Organizational Strategy and Design	3
		Fall 2	2 RSCH7110	Research Design	3
	Spring	Spring 1	3 MGMT7010	Organizational Behavior	3
		Spring 2	4 MGMT7030	Innovation and Change	3
	Summer	Summer 1	5 RSCH7130	Quantitative Research Methods	3
		Summer 2	6 RSCH7150	Qualitative Research Methods	3
Year 2	Fall	Fall 1	7 MGMT7050	Contemporary Leadership Issues	3
		Fall 2	8 MGMT7070	Business Analytics and Intelligence	3
	Spring	Spring 1	9 FISV7005	Contemporary Issues in Finance and Accounting	3
		Spring 2	10 MGMT7120	Advanced Strategies in Organization Development	3
	Summer	Summer 1	11 MRKT7100	Problems and Methods in Marketing Management	3
		Summer 2	12 MGMT7090	Executive Decision-Making **	3
Year 3	Fall	Fall 1	13 RSCH8100	Dissertation: Proposal	3
		Fall 2	14 MGMT8120	Organizational Interventions – Disruption and Change	3
	Spring	Spring 1	15 MGMT9120	Leading and Managing Large Scale Transformation **	3
		Spring 2	16 RSCH9000	Dissertation: Problem Statement and Literature Review	3
	Summer	Summer 1	17 RSCH9005	Dissertation: Methodology and Analysis	3
		Summer 2	18 RSCH9010	Dissertation: Discussion and Contribution**	3

** Outcome Capture Course

Summer Start

Year	Term	#	Course Number	Course Name	Credits
Year 1	Summer	Summer 1	1 MGMT7000	Organizational Strategy and Design	3
		Summer 2	2 RSCH7110	Research Design	3
	Fall	Fall 1	3 MGMT7010	Organizational Behavior	3
		Fall 2	4 MGMT7030	Innovation and Change	3
	Spring	Spring 1	5 RSCH7130	Quantitative Research Methods	3
		Spring 2	6 RSCH7150	Qualitative Research Methods	3
Year 2	Summer	Summer 1	7 MGMT7050	Contemporary Leadership Issues	3
		Summer 2	8 MGMT7070	Business Analytics and Intelligence	3
	Fall	Fall 1	9 FISV7005	Contemporary Issues in Finance and Accounting	3
		Fall 2	10 MGMT7120	Advanced Strategies in Organization Development	3
	Spring	Spring 1	11 MRKT7100	Problems and Methods in Marketing Management	3
		Spring 2	12 MGMT7090	Executive Decision-Making **	3
Year 3	Summer	Summer 1	13 RSCH8100	Dissertation: Proposal	3
		Summer 2	14 MGMT8120	Organizational Interventions – Disruption and Change	3
	Fall	Fall 1	15 MGMT9120	Leading and Managing Large Scale Transformation **	3
		Fall 2	16 RSCH9000	Dissertation: Problem Statement and Literature Review	3
	Spring	Spring 1	17 RSCH9005	Dissertation: Methodology and Analysis	3
		Spring 2	18 RSCH9010	Dissertation: Discussion and Contribution**	3

** Outcome Capture Course

Refer to the [Academic Calendar](#) for dates.

DOCTOR OF BUSINESS ADMINISTRATION POLICIES

Student Code of Ethics

Students at Johnson & Wales University are expected to adhere to a [strict code of ethics](#) and academic integrity. DBA students are members of the broader academic community, and they should recognize the importance of showing respect for others and maintain a strong culture of ethics, integrity, trust, and respect to the academic community, both during and after their tenure at JWU.

The complete [student handbook](#), which contains the rules, policies and codes that DBA students are expected to adhere to, as well as [academic policies](#), can be found online.

Academic Integrity

Throughout coursework, students are encouraged to explore dissertation topics through continuous and developing work from course to course; however, students should fulfill each assignment with new and original content. Building on previous work and including previously submitted content on a limited basis when applicable, is appropriate, but using previous work to fulfill an entire assignment is not permitted. Students must also adhere to university [academic integrity](#) standards explained in the Student Handbook.

Email Policies

As a condition of using university technology, all users of university technology agree to comply with the policy as well as with all other applicable laws, rules, policies, and regulations found under [Computers and Technology Use](#) in the Student Handbook.

All University and program-related email correspondence must be conducted via the JWU email system.

Enrollment Policies

The Doctor of Business Administration (DBA) degree is designed to be completed in three years. Continuous enrollment is encouraged to fulfill program requirements in a timely manner and to maintain consistent cohort enrollment. Each student must meet the DBA student requirements within five years after the date when the student is first enrolled as a DBA student at Johnson & Wales University (JWU) and attends the first DBA class.

Doctor of Business Administration (DBA) Student Leave Policy

Students may request a Leave of Absence (LOA) as follows:

Students seeking an LOA should, where at all possible, submit a request to the Program Director prior to the first term of intended leave, stating whether the LOA is medical in nature and identifying an anticipated date of return where possible. The Program Director will work with Student Academic Services (SAS) to develop a plan for re-entry and a schedule for degree completion in accordance with the student's request, subject to the conditions outlined below

for a time limit on degree completion. If the date of return is unknown or changes, a plan and a schedule will be prepared or updated as necessary at time of re-entry, again subject to the conditions outlined below for a time limit on degree completion.

Students seeking a non-medical LOA need only obtain approval from the DBA Program Director. When a non-medical LOA is granted, the program timeclock will continue to progress. Students have a maximum of five years to complete the DBA degree. Students taking an LOA need to consider the timing and availability of outstanding courses and the time necessary to complete the remaining program requirements, including all courses and dissertation work.

Students seeking a medical LOA ([medical leave](#)), will need to obtain approval from the DBA Program Director and Health Services or Counseling Services. In the case of an approved medical LOA, the student may take leave for an approved amount of time. During the approved time, the program timeclock will be paused, therefore extending the time available to the student to complete the program. If a medical leave is not granted, or at the end of a medical leave if a student needs additional time but fails to follow the LOA process and/or does not receive a medical LOA, the leave will revert to a non-medical LOA.

Upon return from leave (medical or other), students may be required to fulfill new or additional program requirements, including re-evaluation of their research topic.

If an LOA is requested during a term at a point after the add/drop period, a [Withdrawal \(W\)](#) or [No Credit \(NC\)](#) will be issued for the current course(s) and corresponding tuition charges will apply. After the student's leave concludes, the student will need to re-register for any courses for which a W or NC is issued.

During an approved LOA, tuition is not charged, but students will not have access to program resources or faculty advising.

Doctor of Business Administration (DBA) Program Time-Extension Policy

Whether due to a Leave of Absence (LOA) or not, students seeking a time extension to complete program requirements, must submit a written request to the Dean of the College of Business. This request must be sufficiently specific to enable the university to determine whether the extension is warranted. Students may request an extension of no more than one year beyond the five-year maximum program clock. An extension will be granted only for sufficient reason. The extension may be renewed for a maximum of one additional year if circumstances warrant.

ROLES OF THE MAJOR ADVISOR AND COMMITTEE MEMBERS

Major Advisor

The major advisor serves as the coordinator for the advising process and the primary contact person for the committee. Furthermore, the major advisor retains the final determination and approval for the prospectus, proposal, and dissertation, including the dissertation manuscript and the research procedures. The major advisor is a JWU faculty member or administrator assigned by the program director at the end of Year 2; student preference is considered.

- All major advisors should be fulltime employees of the university.
- If at any time, a major advisor's full-time status with the university is discontinued, the advising assignment will be terminated.

Second Reader

The second reader is brought onto the committee after the proposal is complete. A qualified second reader holds an earned doctorate in their field of expertise. Often this person has expertise in the problem of practice area or specific methodology. The second reader is selected by the student and may be internal or external to JWU, but must be approved by the major advisor and program director.

DBA Program Methodologist

The DBA Program Methodologist supports students and advisors by guiding methods and aiding in the development of a general research plan that is fully aligned with the theoretical foundations of the projects. A methodologist will review each dissertation to ensure that a proper and consistent methodology structure and representation is employed across the program.

Each member of a dissertation committee is expected to read and to constructively critique drafts of the student's work. The dissertation committee members can complete much of the work individually, however, in some circumstances it may be necessary or desirable to meet as a full committee. The responsibilities of dissertation committee members include, but may not be limited to the following:

- Reviewing and approving dissertation problem of practice and research design.
- Providing guidance in the preparation of the dissertation prospectus and proposal.
- Approving the dissertation proposal.
- Assessing (in a timely fashion) work completed on the dissertation.
- Attending and participating in the dissertation defense.
- Assisting in the final assessment of the dissertation process and product.
- Signing the dissertation signature page to signify approval of the work.

All committee members are expected to review and submit feedback in a timely manner, generally within a two-week timeframe, but often much sooner. The major advisor works with the student to engage committee members who contribute specific expertise, knowledge, or

methodological support to the research project; in some cases, committee members may only be asked to review certain chapters or sections of the manuscript, or to advise the major advisor/student on a particular subject.

Additional Reader – (if requested)

In some instances, an additional reader may be added to the committee. This reader is typically included for a specialized review of specific sections of the dissertation. Candidates may request an additional reader for several of reasons; most often it is done to include someone connected with the candidate's work site (a supervisor, mentor, etc.). Additional readers are not required to sign off on the dissertation manuscript or on the defense assessment; their role represents one of a professional courtesy in support of the student's research, applying their specific content or methodological expertise to the student's topic area.

The additional committee member may be selected from inside or outside the university, provided that the person holds an earned doctorate in their field of expertise, is approved by the major advisor and by the DBA Director, and has expertise in the problem of practice area or methodology. The major advisor and the student consult regarding the selection of the additional committee member.

All external committee members require approval from both the major advisor and program director. Once the major advisor has approved, send name and current resume of external candidate to the program director (copy major advisor), and include a justification for including this person onto your committee.

Central Reader(s)/Program Review – (may be utilized)

The Central Reader is not a member of the dissertation committee. This reader may be deployed by the program director to review dissertation work across a cohort to ensure proper and consistent compliance in:

- Formatting (APA and DBA dissertation-specific)
- DBA guidelines
- Quality, rigor, substance, and scope of research proposal reflecting research objectives
- Relevance of the context for the research problem
- Appropriateness of methods to conduct the study
- Quality of the written work and research

Organizational Reviewer

In addition to readers, students should consider if an organizational reviewer is necessary. Organizational reviewers represent the organization from which data is collected and/or on which the dissertation is at least partially based. They may be consulted to assess the organization's comfort with the level of potentially revealing information included in the dissertation. Organizational reviewers are at the discretion of the organization and review the work strictly from an organizational perspective and do not provide guidance or direction of an academic research nature. They are not members of the dissertation committee. If the

participating organization(s) does not have an IRB, students might refer to the organization's Human Resource department to ensure the person selected as the organizational reviewer has the permission and authority to serve in this role for the specific business entity.

Students should work with the organization early in the proposal process to determine if an organizational reviewer is necessary and keep the reviewer apprised of any areas of potential interest so issues can be uncovered and handled as early as possible. The need for organizational review should be discussed with the dissertation advisor.

It is the student's responsibility to obtain any appropriate review of their dissertation in a timely fashion and in accordance with applicable organizational policy and law governing confidentiality and privacy.

* It is recommended that students also employ a third-party editor to assist with adherence to proper grammatical rules, and APA formatting.

ACADEMIC WRITING GUIDELINES AND DBA PROGRAM LOCAL RULES

Written work submitted in the DBA is generally expected to take the form of scholarly or academic writing, which, for most doctoral students, is a relatively new form. Like anything new, it takes practice. As you increase the scope of your reading to include more scholarly articles, take some time to notice the construction and cadence of the writing. Becoming metacognitive and reflective about the genre will help you to improve over time. Look for and accept feedback!

The *Publication Manual of the American Psychological Association, Seventh Edition* (2020) (APA Manual 7th Ed.) **is the final determinant** of specifications for program work and dissertation preparation with the exception of **local program rules** for the DBA Program noted in this handbook. The [APA Style Guide website](#), provides a summary of changes in the 7th edition for quick reference, however, we encourage students to review the Manual in order to become familiar with the style and format guidelines required for manuscript preparation.

Documents should be submitted in Microsoft Word, which is available to students free of charge through Johnson & Wales by visiting the [Discounts for Students](#) page in JWULink.

Technical Specifications for Dissertation Publication

For ProQuest publication, students must follow the specifications and format requirements to produce an acceptable dissertation. These specifications are primarily in accord with the most recent guidelines from University Microfilms, Inc. (UMI) and the *Publication Manual of the American Psychological Association*. The UMI requirements are endorsed so that students may accurately prepare their dissertations for publication (Appendix M).

Revisions

When submitting revised work, unless otherwise noted, please send a version with track changes showing all revisions and notes, and a clean version with accepted changes if requested.

General Writing

Do not use contractions.

Dissertation work should be written in third-person, not first – this contrasts APA7th ed. p.120.

Spacing

Only one space should follow punctuation at the end of sentences and in the references. In general, all text should be double-spaced (including table of contents, and references); however, listed and bulleted points should be single-spaced with double spaces between points.

Margins

One-inch margins should be used on all sides. Paragraphs should be indented 1/2 inch (.5 is the default tab setting in Word) from the left margin. Additional information can be found in the APA Manual:

Indent the first line of every paragraph 0.5 in. For consistency, use the tab key or the automatic paragraph-formatting function of your word-processing program. The default settings in most word-processing programs are acceptable. Type the remaining lines of the paragraph should be left aligned (Exceptions to these paragraph indentation requirements include: (a) the abstract, (b) block quotations, (c) titles and headings, (d) table titles and notes, (e) figure captions, and (f) reference list). (APA, 2020, p. 45)

Numerals

For numbers presented within writing content, refer to pages 178-181 in the APA manual, 7th ed.; local rules apply for chapter headings. You will see both Arabic and Roman chapter number labeling used through the handbook. Chapter titles should be in all caps (the word CHAPTER is optional), but numbers may be Arabic, upper case Roman numerals, or numbers written out as words (e.g., CHAPTER 2: LITERATURE REVIEW, CHAPTER II: LITERATURE REVIEW, or CHAPTER TWO: LITERATURE REVIEW).

Block Quotation Formats

Direct Quotations:

Refer to APA 7th edition sections 8.25-8.36 (pp. 270-278). However, for block (long) quotations (≥ 40 words) follow APA guidelines with the exception of spacing – single space block quotes.

Accuracy of all quotations is paramount. Check and recheck. When adapting a very long quote to fit in the manuscript, you may remove/omit some of the content by using “three spaced ellipsis points” (APA, 2020, p. 275). If you remove content between two sentences, use four points, to indicate the end of one sentence and the omitted content.

Fonts

Use the same style font for all text and references. Acceptable fonts include:

12-point type Times New Roman

11-point type Calibri, Arial, or Georgia

10-point type Lucida Sans Unicode

* For chapter titles only, increase font by 2-points and use all upper-case letters.

**Within tables, reduced point font size may be used, as necessary.

Use of Copyrighted Material

If copyrighted material in excess of 150-word passages is used, written permission from the copyright owner to include the material in question must be submitted with the dissertation and included as an appendix. This also applies to use of data collection instruments (Appendix E).

Running Head

The APA Manual 7th edition (page 37) indicates that running heads should be used for work that will be published; dissertations will be published in ProQuest, and should include a running head.

Headings

All heading levels follow the APA Manual 7th edition (page 47), but the chapter headings will be formatted in the following manner, and will not count as a heading level:

Center, ALL CAPS, bold, font size increase by 2-points, with Numeral in sequence:

I. CHAPTER TITLE EXAMPLE

For chapter titles only, increase font by 2-points and use centered, bold, all upper-case letters. All headings thereafter should follow appropriate APA guidelines shown below from APA, 7th ed., 2020. pp. 47-49.

Level 1 Heading Example

Text begins with a paragraph.

Level 2 Heading Example

Text begins with a paragraph.

Level 3 Heading Example

Text begins with a paragraph.

Level 4 Heading Example. Text begins here.

Level 5 Heading Example. Text begins here.

Review pages 47-49 of the APA Manual 7th edition for additional examples.

DISSERTATION SEQUENCE

The doctoral dissertation is an integral component of the program and serves as a demonstration of academic excellence and expertise in applying the science of business, with all its expected rigor. The dissertation process focuses on an applied research project, placing value on the relevance of findings to you, the researcher. It is designed to make a positive difference in an organization setting, specific to your employer or industry, but is not intended to just be a typical work project. Your research will address an authentic problem, issue, or concern, based on theory, and supported by appropriate methodological and statistical applications.

The dissertation process for the DBA is comprised of a series of lock-step courses specifically designed to guide you from the proposal stage through chapter completion, which culminates in the dissertation defense. This approach creates a schedule intended to make on-time completion manageable. Your dissertation defense will be facilitated remotely through an online platform. Students may also request an on-campus defense. You will have a three-person dissertation advisement committee comprised of faculty and external professionals (when appropriate). Your major advisor becomes a partner in advising and supporting you. Your second dissertation reader joins the team later in the process and may be selected from internal faculty/administration, or outside individuals with specific expertise (with approval). In addition, a Methodologist will support and guide your research.

Dissertation Work Timeline

This is a general timeline designed to keep students on track for three-year completion, however, the timeline is flexible within the maximum timeframe to best meet student needs.

Please note, the timeline may be altered if cohorts are combined, or students are off track from their original cohort.

YR 2 Term 4	YR 2 Term 5	YR 2 Term 6	YR 3 Term 1	YR 3 Term 2	YR 3 Terms 2-3	YR 3 Term 4	YR 3 Term 5	YR 3 Term 6	Finish Line
Major Advisor Assigned	Advising Begins Prospectus	Prospectus Due Program Review	RSCH9100 Proposal Work/Due	Program Review/ Revisions	IRB Submission Second Reader	RSCH9000 Ch 2 Data Collection Launch	RSCH9005 Ch 3 Wrap Up Data Collection Ch 4	Ch 5 Full Revisions	Defense Finalize Manuscript

Rubrics for prospectus and proposal work can be found in the Appendices B and D. Chapter and full manuscript rubrics can be found in ulearn.

RESEARCH PROSPECTUS

In the last terms of Year 2, you will develop a research prospectus, which acts as an initial plan for conducting a study. The research prospectus should be a thoughtful, reflective paper that presents a balanced view of the proposed study – both its problems and its opportunities. It should serve as a first, solid communication with your major advisor about the kind of thinking you have been doing on an anticipated area of inquiry that will lead your dissertation work. Be sure to consult with your major advisor to assure you have all the information you need complete this phase.

The prospectus is not a detailed research proposal, but in essence a preliminary proposal. The prospectus should be no longer than **5 – 8 pages**. The following should be considered and included:

Introduction

One paragraph overview of what the reader will find in the subsequent sections.

Research Problem and Purpose Statements

What is the research problem you are trying to solve? (A problem is a situation that, left untreated, produces a negative consequence for a group, organization, or individuals.) What makes it a problem? For whom? Who says so (in the literature)? The role of this section is to clearly identify the problem and to provide current, trustworthy evidence by researchers/experts in the field that the problem is worthy of a scholarly research study. Your problem interest might have been sparked by an observation in your organization, industry, or other, but it is only a valid dissertation direction if it is also supported by the literature.

Problem and Purpose statements are different; the problem describes what you will be researching, and the purpose explains what you hope to accomplish through this research. At the end of this section, include a purpose statement that explains why the research is being conducted. To introduce these statements with clarity, it is helpful to use language that says: The problem is...The purpose of this research is...

Assumptions

An assumption is a claim, assertion, or hypothesis that the researcher believes or accepts to be true even though there is not yet available evidence. On what assumptions are you basing your work? Which of them seem to be verifiable in the literature? Which are more speculative?

Theoretical Framework(s)

A theoretical framework is developed to explain a phenomenon; it provides the rationale for your research direction. The framework is a conceptual map that will guide your work. You will draw connections and make predictions based on various concepts and theories found in the literature and variables you choose to explore. Often it is helpful to include a

graphic model to show these connections. Does an existing theoretical framework support your study, or do you need to develop one? Do you take a behavioral view? Social systems view? Are there other theoretical orientations that should be considered in the design of your study?

Literature Review

A literature review is a compilation of relevant information from scholarly works that support your research direction. What, in general, does the literature say about your topic? This need not be an exhaustive review (yet), but you should cite some of the major theories, research, and writers in the field. The purpose of this section is to establish a foundation for your Dissertation Proposal and Dissertation Manuscript Chapter 2, Literature Review.

Research Questions

Your research questions should flow from your purpose and problem statements; what are the research questions you are trying to answer? Why and how will answering these questions contribute to solving the research problem? A research question can only be answered with data or information. Note: Do not include specific interview or survey question/items here. Brief information/explanations may be provided in paragraph form, but RQs and hypotheses if applicable, should be presented in a bulleted format.

Quantitative research questions are followed by a corresponding list of the null and alternative proposed hypotheses. A null hypothesis is a general statement that indicates that the phenomena under investigation are unrelated and/or non-causal. An alternative hypothesis is a version of the null that is an affirmative statement that describes associations between variables in the study. The research questions and hypotheses must be directly answerable, specific, and testable based on the data collected. Typically, quantitative research questions begin with how, what, or why. The DBA Stats Primer (in ulearn) is a helpful resource to guide quantitative methodology and analysis.

Qualitative research questions must be related to the phenomenon stated in the problem statement. Qualitative research questions should be open-ended and reflect the nature of the qualitative design. Typically, qualitative research questions begin with how or what.

General Research Plan

In general, how would you propose to conduct this research study so that it answers your research questions? What kind of data will you gather – in a general sense, what information is important to know to answer your research questions? What type of instrumentation will you use (surveys, observations, interviews, other...or a combination)? From whom or what sources will you gather data? Why them? How will you reduce the data – make sense of it? How will you assure that the data are of high quality? Students should not plan to use JWU as a population sample, etc.

Anticipated Challenges and Pitfalls

What kind of difficulties and pitfalls might you expect in doing a study of this type? Common challenges include bias, population specification, sample frame errors, non-responsive error, and generalizability. What will you do to prevent your anticipated challenges or minimize their effects? What objections might arise considering this proposed study/findings?

Anticipated Benefits

Who will benefit from the fact that this research is undertaken? How? Why? Beyond raising awareness, what implications might there be for future study and the practice of managing?

Prospectus Completion – Next Steps

Once the completed prospectus is approved by the major advisor, it is then submitted for program review. After program approval is granted, students move forward with the proposal.

THE PROPOSAL

Dissertation Research Course One: RSCH8100 The Proposal

This course is the first in a series of four courses designed to support students in the development and completion of their doctoral dissertation. In this course, students will develop and complete their dissertation proposal for approval. The proposal must be approved by the major advisor, program director or designee, and the setting, system, or organization where the research will take place.

Purpose of the Proposal

Preparation of the proposal, which is a plan for engaging in systematic inquiry, is the next required step in the dissertation process. The research proposal presents a comprehensive justification for undertaking the research and the dissertation. The proposal explains the study so that non-experts in the field can understand the rationale for undertaking the research and the justification for using the selected approach. The proposal also provides the dissertation committee with more detail than provided in the prospectus, but still a concise description of the study and a basis on which to render further advice to the student.

Proposals typically address many questions, including but not limited to the following:

- What is already known on this topic?
- What is to be learned from the proposed study?
- Why is the proposed study worth doing?
- Why was the method of investigation selected?
- How valid will the conclusions of the proposed study be?

A complete and thoughtful proposal is often possible only after some preliminary review has begun. The research focus often changes as the study matures, and the content and organization of the conceptual framework within which the project is situated may require redefinition. While a proposal may be construed as an agreement between the student and the dissertation committee, that agreement may have to be amended as the work proceeds. The proposal should be considered as an early draft and plan for the dissertation, with the major advisor assuming the ongoing role of mentor and critic as the study progresses.

Components of the Proposal

The proposal is a detailed overview of dissertation Chapters 2 and 3. After Chapter 5 is complete, it is helpful to tweak and add to your proposal to turn it into Chapter 1, however, it is important to note, that preparation of the proposal differs from preparation of the dissertation with regards to the ***Definition of Terms*** section (included as a separate appendix in the Proposal, but is included within Chapter 1 in the Dissertation), and the use of heading levels differs between the two documents as well.

Proposal Parts

Front Matter

Body Sections

End Matter

Proposal Sections

Title Page

Table of Contents

List of Tables and Figures (if appropriate, and separated by tables then figures)

- I. Introduction
- II. Problem and Purpose Statements
- III. Research Questions and Hypotheses (for Quantitative studies)
- IV. Background of the Study
- V. Methodology
 1. Research Design
 2. Sample/Participants
 3. Instrumentation
 4. Data Collection and Pilot Studies (if applicable)
 5. Data Analysis
 6. Trustworthiness (as applicable)
- VI. Limitations and Delimitations
- VII. Resulting Actions

References

Appendices

Dissertation proposals may not exceed **17 pages** of content, which includes only the body sections; front matter and end matter sections are not included in the page limits. *Note:* Proposals in excess of the page limit may be returned. The following sections, including approximate page lengths, outline the structure of a proposal.

Title page (1 page)

Many computer compiled bibliographies include only the first five words of the title; therefore, the first five words of the selected title should adequately identify the topic. The title page should be dated with the submission date for the proposal; otherwise the same format as dissertation title page should be followed ([see Descriptions of Front Matter Sections](#)), except to add the word Proposal, as in - *Dissertation Proposal*.

Table of Contents

The ToC should follow APA 7th edition formatting. Check out this [site](#) or the JWU CPS Writing Resources [Style Guides](#) for more information. Also Microsoft offers a great [resource page](#) that explains how to easily insert and format a ToC into your work.

List of Tables and Figures

This section is not required, but if included, the list of the tables and figures contains the titles of the included tables and figures, followed by page numbers. The format for this list is similar to that used for the table of contents. All tables should be listed, then all figures.

Introduction (approximately 1-2 pages)

The introduction frames the entire work by providing an overview of the circumstances, issues, and background of the problem the proposed study will address. The introduction includes an explanation of the problem area, and the relationship between the problem area and prior studies. Relevant personal background factors, including biases and motivation, are to be addressed.

Problem and Purpose Statements (approximately 1-2 pages)

The problem statement concisely defines the topic to be studied, describes its origins, and establishes its importance. This section addresses the current state of uncertainty surrounding the problem, the need for change, any relevant cause and effect relationships, and the insufficiency of current knowledge or practice. The problem statement section concludes with a purpose statement, which states the reason for the study and may briefly summarize the research objectives, the target population under study, the methodological approach, and theory/theoretical frameworks, if appropriate.

Research Question (1 paragraph/bullets)

This section lists clearly stated research question or questions, or in some cases hypotheses, to be addressed in the study. Brief information/explanations may be provided in paragraph form, but RQs and hypotheses if applicable, should be presented in a bulleted format.

Quantitative research questions are followed by a corresponding list of the null and alternative proposed hypotheses. A null hypothesis is a general statement that indicates that the phenomena under investigation are unrelated and/or non-causal. An alternative hypothesis is a version of the null that is an affirmative statement that describes associations between variables in the study. The research questions and hypotheses must be directly answerable, specific, and testable based on the data collected. Typically, quantitative research questions begin with how, what, or why. The DBA Stats Primer (in ulearn) is a helpful resource to guide quantitative methodology and analysis.

Qualitative research questions must be related to the phenomenon stated in the problem statement. Qualitative research questions should be open-ended and reflect the nature of the qualitative design. Typically, qualitative research questions begin with how or what.

Background of Study (approximately 6 pages)

The background of the study is a literature review that describes previous research, perspectives, actions, or theoretical frameworks related to the study. This section reviews the literature to establish the body of knowledge on which the study is based and from which it derives its intellectual moorings. The purpose of the review is to ground the study in the theoretical and conceptual frameworks underlying the problem. The discussion includes the status of knowledge on the problem, and notes gaps due to methodological difficulties, lack of studies, or inconclusive results.

The review critically assesses the major contributions of prior research related to the problem and integrates these into a coherent whole. Typically, the literature framing a problem can be divided into domains of inquiry related to the problem. Each domain reads like an essay on that topic. The conclusion pulls together the domains and indicates their relationship to the problem.

The review must use primary sources, not secondary sources, although secondary sources may be used as starting points; must be critical, not merely descriptive, by assessing the strengths and weaknesses of existing knowledge; and must be integrative, not iterative, by synthesizing knowledge into a cohesive whole. While there are different literature review prototypes used in social science research, the DBA promotes the use of the integrative and deficiency model to establish the research gap for the student's study.

Methodology (approximately 4-5 pages)

This section describes the rationale for the research design, the types and origins of the data, and the appropriateness of the methods and procedures proposed for the study. The methodology includes, as appropriate, in marked separate sub-sections in the following order: research design, sample and/or participants, and/or data sources, instrumentation*, data collection and pilot studies** procedures, and data analysis. A section on trustworthiness strategies follows the data analysis section when appropriate (e.g. in studies that are entirely or partially qualitative).

*Students should not plan to use JWU as a population sample, etc.

**Completed instrumentation must be included as an appendix (e.g., survey questions, questionnaires, etc.).

***Pilot studies are only required if the instrument is newly developed by the researcher for the dissertation study, or if the instrument has not been previously validated.

The Methodology section will be of particular interest to the Institutional Review Board (IRB). It would be helpful to review the [IRB FAQs](#) while developing this section.

Limitations/Delimitations (approximately 1 page)

This section describes the threats/challenges of the study that are most likely to affect its internal validity or rigor (limitations) and its external validity and scope of the study (delimitations).

Limitations are influences that the researcher cannot control, but that might affect methodology and conclusions.

Delimitations are choices made by the researcher that impact the scope of the study.

Resulting Actions (approximately .5-1 page)

This section describes the intended impact of the research, and how this will improve policy or practice.

References

The reference list includes all materials cited in the proposal. APA formats are required. (See the *Publication Manual of the American Psychological Association*, 7th Edition.)

Appendices

The appendices begin with the **Definition of Terms**, as Appendix A, which provides the research-based or operational definitions of all key terms used in the proposal. The appendices continue with additional materials pertinent to the study, e.g., drafts of collection instruments and consent forms, research site requests and approvals, database components, and other items helpful in understanding the study. Appendices are ordered by appearance in the text and labeled in sequential order: Appendix A is first, followed by Appendix B, etc.

Required appendices for DBA proposals include:

- Definition of Terms
- Instrumentation (completed draft)
- Permission to use the instrument (if applicable)
- Consent form or language included on instrument
- Research site approval(s)
- Other relevant documents and information as applicable

It is helpful to refer to the [JWU IRB Forms](#) section for the Consent Form Template (Appendix F). The IRB template is approximately six pages. You should condense this information by selecting relevant information and language for the needs of your research. Necessary consent may be achieved in one paragraph or one page depending on the nature and design of the research.

Work Plan

The work plan should be appended to the proposal and placed as the final item in the back matter. Include the following information:

- Major stages of the dissertation work as a proposed timeline
- Any required technology and physical resources needed
- Plan for making interim reports and contact with major advisor, associate advisors, and personnel at research site

A sample work plan is found in Appendix C.

Proposal Completion – Next Steps

Once the completed proposal is approved by the major advisor, it is then submitted for program review. After program approval is granted, IRB applications may be submitted.

Institutional Review Board Application and Assurances Process

IRB applications are submitted only after proposals have been granted program approval, however, it is helpful to consult the IRB guidelines while writing the proposal. Students must comply with the University's Institutional Review Board (IRB) process, which requires an application (Appendix G) and a human subjects and informed consent training (CITI Training).

As stated on the [JWU IRB](#) webpage, the following information outlines the purpose and processes for institutional review of University-sponsored research projects:

In accordance with its mission, guiding principles and strategic plan, Johnson & Wales University (JWU) encourages members of its community to engage in scholarship appropriate to their disciplines and individual aspirations. Such activity may not only lead individuals to fulfill their educational, intellectual, and professional goals and enhance their discipline-specific and pedagogical authority, but also advance the university's reputation and status as a teaching and learning institution overall by

positively influencing related fields of study, contributing to the advancement of various commercial sectors, and bolstering public trust in the institution and its leadership.

JWU strives to support scholars' commitment to maintaining high standards of integrity and intellectual excellence. Research is one of several types of scholarship that members of the JWU community might pursue, and its federally registered institutional review board (IRB) was created to provide such support for research endeavors undertaken under its aegis.

The faculty members and external parties comprising JWU's IRB are responsible for monitoring research activities before and during implementation to ensure their alignment with applicable policies, procedures, regulations, and standards.

[JWU IRB](#) details the policies and procedures that are to be followed by members of the JWU community, inclusive of faculty, staff, and students, who wish to engage in inquiry or research that involves human subjects and/or is intended to be shared with audiences external to JWU.

For more information, please contact institutionalreviewboard@jwu.edu

CITI Program Training

The [Collaborative Institutional Training Initiative \(CITI Program\)](#) provides "high quality, peer reviewed, web-based educational courses in research, ethics, regulatory oversight, responsible conduct of research, research administration, and other topics."

JWU requires principal investigators (PIs) to complete CITI Program training prior to proceeding with their research to help prepare them to conduct research activities according to the highest ethical standards and promote a culture of trust and accountability. Advisors are also required to complete CITI training. You must complete CITI Training before sending your proposal to IRB. Note that this training will take several hours to complete.

After clicking the link above, register using Johnson & Wales University as your organization. Once you are registered, complete the training "Social & Behavioral Research." You will find this module under Johnson & Wales University courses. Full instructions are in the [CITI Program User Guide \(pdf\)](#)

Students and Advisors must complete the following modules:

Human Subjects Research: Social & Behavioral Research Investigators

Responsible Conduct Research: Social and Behavioral Responsible Conduct Research

Data collection may only begin after IRB approval is granted. Students and major advisor should determine an appropriate data collection schedule.

THE DISSERTATION

The Purpose of the Dissertation

The dissertation serves as a published record that the student has attained the expertise needed to design and to conduct research that will improve practice and advance the state of knowledge in business.

Essentially, the dissertation addresses the following questions:

- What was the problem being investigated?
- Why was it investigated?
- How was the investigation conducted?
- What were the results?
- How does this research advance knowledge in the area?
- What action(s) will result from this research and how will this proposed action(s) resolve the problem?

Answering these questions requires a well-defined problem, a thorough review and analysis of the current state of knowledge, a sound research design, a thoughtful interpretation of results, and realistic recommendations for addressing the problem. The DBA dissertation should be between 100-225 **pages**, not including Front Matter and End Matter sections. Page number ranges are provided for each chapter as a guideline.

Components of the Dissertation

Dissertation Parts

Front Matter

Dissertation Sections

Title Page

Signature Page (to be inserted after defense)

Acknowledgements

Copyright Page

Abstract

Table of Contents

List of Tables and Figures (if appropriate, and separated by tables then figures)

Body Sections

- I. Introduction
- II. Literature Review
- III. Methodology
- IV. Findings
- V. Summary, Conclusions, and Recommendations

End Matter

References

Appendices

Descriptions of Front Matter Sections

Title Page

Many computer compiled bibliographies include only the first five words of the title; therefore, the first five words of the selected title should adequately identify the topic. The title page should be dated with the submission date of the final manuscript (see template).

Signature Page

The signature page records the acceptance of the dissertation by the dissertation committee members. A signature page does not need to be included for manuscript submission prior to defense. After a successful defense or revisions, the student provides a single document signature page (Appendix L) and requests the signatures of each committee member. The signed page is then inserted into the final manuscript. The final manuscript with signatures is then uploaded to ulearn, submitted to ProQuest, and sent to all committee members and the program director. Click on the provided link for tips on how to combine PDF files: [How to Combine PDF Files | PCMag](#).

Acknowledgments

The acknowledgments, limited to **no more than 1 page**, permit the author to recognize individuals who contributed to the success of the study; acknowledgments are optional.

Copyright Page

The formal notice of copyright must be included, however, officially registering your copyright is optional. Copyright protection automatically exists from the time the work is created in fixed form and the copyright immediately becomes the property of the author and should be signaled at the beginning of the dissertation. Registration with the United States Copyright Office is not required to secure copyright; it is a legal formality to place on public record the basic facts of a particular copyright. Although not a condition of copyright protection itself, registering the copyright is ordinarily necessary before any infringement suits can be filed in court.

You may authorize ProQuest to file, on your behalf, an application for copyright registration. This option will be presented to you as part of the submission process or you may register your work on your own: [register online](#) or download [printable forms](#). You may also request forms by mail from the Information Section, U.S. Copyright Office, Library of Congress, Washington, D.C. 20559, or contact them by telephone at 202-707-3000.

Abstract

The abstract is a highly condensed, precise summary of the dissertation with an absolute maximum of **350 words**. The abstract addresses the same questions and points covered in the dissertation, but in summarized form. The purpose of an abstract is to summarize all aspects of the study by explaining what problem initiated the research, why the problem

was worthy of investigation, what specific questions were addressed, which methods were used, what was found, and what potential actions might result.

In adherence with DBA local rules, the abstract format is in a three-four-paragraph, single-spaced, block format (left justified) with a space between each paragraph (please note that this format differs from APA 7th edition guidelines for crafting an abstract). In-text citation should be included. Please see Appendix I for the specific guidelines on how to prepare the abstract.

Each of the following elements should be covered in the abstract:

- Problem and background
- Purpose statement, perspectives, or theoretical framework
- Research question(s)
- Research methods: sample, instruments, data collection, data analysis
- Findings and conclusions
- Potential actions stemming from research

NOTE: A separate abstract is required for UMI, but in a format different from DBA Local Rules or from standard APA guidelines (See Section [Electronically Publishing the Dissertation](#)).

Table of Contents

The ToC should follow APA 7th edition formatting. Check out this [site](#) or the JWU CPS Writing Resources [Style Guides](#) for more information. Also Microsoft offers a great [resource page](#) that explains how to easily insert and format a ToC into your work.

List of Tables and Figures

This section is not required, but if included, the list of the tables and figures contains the titles of the included tables and figures, followed by page numbers. The format for this list is similar to that used for the table of contents. All tables should be listed, then all figures.

Description of Chapters Through Corresponding Courses

Dissertation Sequence Course Two: Problem Statement and Literature Review

This course is the second in a series of four courses designed to support students in the development and completion of their doctoral dissertation. As students complete a comprehensive literature review for their area of research, the course will emphasize the skills necessary to critically and thoroughly evaluate the professional literature.

I. Introduction (Approximately 18-25 pages)

With the completion of the proposal, Chapter I is basically written. Often, after completing the proposal, students find it easier to begin dissertation work with Chapter II and come

back to the proposal as Chapter I as the last chapter they prepare, that way any minor changes made along the way are captured in the first chapter, as opposed to having to change it multiple times.

Chapter I begins with a description of the scope of the investigation and how it fits within the research framework, including seminal research to support the argument as a preview to greater discussion in Chapter II. The introduction builds the case for the importance of doing the research and indicates what can be gleaned from the results.

Clearly state the problem of practice under investigation and establish the importance of the problem as a subject of doctoral level study. Enumerate the research goals and describe any background helpful to understanding the problem and the research. Identify the level of uncertainty surrounding the problem, the need for change, the level of dissatisfaction with current knowledge or practice, and the gaps or controversies in existing knowledge that surround scholarly discussion of the problem. Link the problem definition in the specific investigation to relevant areas of research.

Where appropriate, address relevant personal background factors, including biases and motivations, which generated an interest in the problem.

Include the definition of terms used in the study (note that this differs from the proposal).

Prepare a background of the study (abbreviated literature review), typically highlighting the key studies or scholars related to the problem of practice under exploration/investigation. A comprehensive discussion of the extant research in the problem area comprises Chapter II.

Next, as an overview of the methodology, which is described in greater detail in Chapter III, all elements of the methodology are briefly described in Chapter I, consisting of: research design, sampling strategies, instrumentation, data collection, pilot studies, reliability and validity, data analysis and trustworthiness, where appropriate. Limitations, delimitations and resulting actions are also to be included in this section.

Conclude Chapter I by summarizing the problem and its importance, and provide a preview of the remaining contents of the dissertation.

The main sections of Chapter I are as follows:

- Introduction to the problem
- Problem statement and purpose statement
- Definition of terms
- Research questions
- Background of the study
- Methodology
 - Research design (and researcher's positionality, where appropriate)
 - Sampling/Participants/Data Sources
 - Instrumentation
 - Data Collection/Pilot Studies
 - Data Analysis
 - Trustworthiness (where appropriate)
- Limitations and delimitations
- Resulting actions
- Summary

II. Literature Review (Approximately 35-75 pages)

Prior to writing Chapter II, some students find it helpful to use their proposal to outline the chapter, and bring in any relevant language, then put the proposal aside and craft Chapter II. The proposal content can be saved for Chapter I; this reduces complete repetition and additional writing needs for the first chapter.

The literature review establishes that the research is rigorously and comprehensively grounded, and is based on a body of published information, theoretical and empirical, relevant to the study. The literature review should demonstrate a comprehensive grasp of the field and an awareness of important substantive and methodological developments related to the field. The literature review must use primary sources, in addition to relevant, but limited, secondary sources; must be critical, not merely descriptive; and must be integrative, not iterative.

The literature review should cover topics related to all research questions.

Organize the literature review around a set of domains of inquiry germane to the problem of practice. Headings and subheadings should be used that related to the areas of study. Identify the gaps or shortcomings in the current knowledge that justify the research. Summarize the body of existing knowledge and articulate how that knowledge provides an intellectual basis for the research. Conclude the literature review with a summary of how the research is grounded in existing knowledge, flows from that knowledge, and extends that knowledge.

(*Note:* In a qualitative study there may be two reviews of the literature: a macro review to frame the problem and a micro review in Chapter V, against which to compare the present findings. Quantitative studies usually have only one review.)

Dissertation Sequence Course Three: Methodology and Analysis

This course is the third in a series of four courses designed to support students in the development and completion of their doctoral dissertation. In this course, students will design an evidence-based research methodology approach to investigate the problem identified and approved in the Dissertation: Problem Statement and Literature Review course. Students will complete the data collection process, based on previously obtained permission and IRB approval, and ending with data analysis. Dissertation chapters three and four will be completed. The DBA Stats Primer (in ulearn) is a helpful resource to guide quantitative methodology and analysis.

III. Methodology (Approximately 15-25 pages)

Prior to writing Chapter III, some students find it helpful to use their proposal to outline the chapter, and bring in any relevant language, then put the proposal aside and craft Chapter III. The proposal content can be saved for Chapter I; this reduces complete repetition and additional writing needs for the first chapter.

The methodology chapter describes the investigation and/or exploration in sufficient detail to assess the research process and, ideally, to make it possible for other researchers to replicate the study.

Show that the methods used are related to and appropriate for the study's purpose and to answer the research questions. Segregate the investigation into meaningful stages and the steps performed in each stage, including the preparatory stages, such as pilot testing if applicable. Include descriptions of the procedures and techniques used in sampling, instrumentation, data collection, and data analysis.

As appropriate, identify and describe the cautions and limitations associated with the methodology employed. Explain any unusual procedures. Use flow or process diagrams, as appropriate, to explain the process (particularly important in mixed methods designs). If an experimental, or quasi-experimental design is employed, explain exact procedures used for the treatment of the experimental and the comparison groups.

Note: Once approved by IRB, the methodology should not be altered. Any necessary alterations need to be approved by the advisor, DBA Director, and re-submitted to the IRB.

Recommended Subheadings and Sequence of Sections in Chapter III

- Introduction and Purpose
- Research Questions
 - Hypotheses (for QN, MM studies)
- Methodology
 - Research Design
 - Sample/Participants
 - Instrumentation (including validity, reliability for QN, MM studies)
 - Data Collection and Pilot Studies (if applicable)
 - Data Analysis
 - Trustworthiness (for QL and MM studies)
- Limitations/Delimitations
- Resulting Actions**
- Summary

IV. Findings (Approximately 15-30 pages)

The study's findings are presented in Chapter IV. Develop an organizational strategy for presenting the results; often this can be accomplished by responding to each research question, or, in the case of a qualitative study, themes should be discussed based on the emergent findings. Summarize the findings to connect the words and data to the research questions or phenomenon. Discuss any evident patterns or relationships that emerge, and any surprises or anomalies in the data.

The appropriate format for reporting research findings differs according to the study's research design. Each paradigm, and accordingly, each research design, follows a specific format for the findings (qualitative research findings, quantitative research findings, and mixed methods findings). Consult the ulearn site for DBA Dissertation Courses (RSCH9+ > Chapter 4: Findings) for further resources.

Place detailed results, such as extensive data tables, at the end of the section or in an appendix, particularly if the volume of this information interrupts the flow of the text. For mixed methods studies, a connected findings table must be included in Chapter IV, to support the findings that were connected or integrated in the study.

Report and present the key findings generated by the research; however, reserve the interpretations of the findings for Chapter V. Supplemental findings are also included in Chapter IV, but should be limited to 1-2 additional findings that are not directly related to the research question(s) but are sufficiently important to support interpretation and recommendations noted in Chapter V.

Sequence Course Four: Discussion and Contribution

This is the final course in a series of four courses designed to support students in the development and completion of their doctoral dissertation. In this course, students will complete the dissertation process. Students formulate and explain the implications and value of

the research findings for management practice and make specific recommendations to improve management practice. This module concludes with a successful defense and publication of the student's dissertation research.

V. Summary, Conclusions, and Recommendations (Approximately 12-25 pages)

The final chapter places the research findings in context. Interpret and summarize the results with regard to the objectives and the intentions of the research. Contrast and compare the findings with those of previous research and literature, and seek reasons to explain the similarities or differences. This summary leads to the conclusions for the study, which flow from and are consistent with the interpretation of the findings.

Based upon the conclusions, formulate the recommendations for practice, policy, and further research. The recommendations may appear as a list beginning with the principal points and addressing policy and practice, as appropriate. Depending upon the topic, include a detailed action plan for the stakeholders in the research problem of practice.

The format appropriate for reporting research interpretations and implications differs according to the study's research design. Each paradigm, and accordingly, each research design, follows a specific format for the findings (qualitative research findings, quantitative research findings, and mixed methods findings). Consult the ulearn site for DBA Dissertation Courses (RSCH9+ > Chapter 4: Findings and Chapter 5: Summary, Conclusions, and Recommendations) for further resources.

Descriptions of End Matter Sections

References

The reference list includes all materials cited in the proposal. APA formats are required (review the *Publication Manual of the American Psychological Association, 7th Edition*). All in-text citations should be cross-checked to be sure they are included in the reference list, and vice versa; all sources must appear in both places.

Appendices

The appendices include additional information needed to comprehend, support, and evaluate the dissertation. Information is placed in the appendices because the material is otherwise a distraction to the narrative flow of the text.

Include in the appendices all data collection materials, such as interview guides, questionnaires, informed consent forms, and cover letters. List the contents of the appendices and title each appendix item separately. Appendices are ordered by appearance in the text and labeled in sequential order: Appendix A is first, followed by Appendix B, etc.

DISSERTATION DEFENSE

Purpose of the Defense

As the culminating step in the dissertation process, students make an oral presentation to their dissertation committee to present the results of their research. The defense is an academic exercise, and this oral presentation is a formal discussion of the scholarly content of the dissertation. The defense may not commence until the complete dissertation manuscript has been finished, reviewed, and approved by the major advisor, all other members of the dissertation committee, and the program director or designee. If the committee agrees that the student is ready to present their study, the major advisor and program director will consult to schedule the defense.

Prior to the Defense

To schedule a dissertation defense, the major advisor notifies the program director that pending successful review of all five chapters and program approval, the student is ready to defend. Once the defense date is secured, the major advisor submits the *Notice of Dissertation Hearing* (Appendix J) including the student's name, dissertation title, and accompanying abstract to the DBA Director, who posts (shares) the notice with appropriate members of the university community.

At least two (2) weeks prior to the proposed defense date, the student submits the defense manuscript to the committee and all other parties listed on the defense invite distribution list. *This manuscript does not need to be a final version of the dissertation; changes will typically be made to the dissertation manuscript after the defense, based on feedback from the committee and the major advisor.* The distributed defense manuscript will serve as the reference document for committee members during the virtual presentation.

In addition, within 3 days of the defense date, the student should distribute the defense slide deck to the same list of attendees.

Defense Presentation

The dissertation defense will be conducted remotely via an online platform (such as Zoom). The defending student must be present on camera during the introduction and Q&A session and in speaker view during the slide presentation. In place of a remote defense students may request an in-person defense at one of the JWU campuses. Please note, if a student requests to defend in-person, it is likely that one or more committee members/university representatives will not be physically present and will engage remotely.

The dissertation defense is attended by the major advisor and the student's committee; DBA faculty, the DBA Program Director, and other university representatives may also choose to attend. The student may also choose to have other DBA students in attendance and/or invite external guests. The entire defense meeting lasts approximately 60-90 minutes; the focus of the defense rests with the student's oral presentation, which lasts no more than 30 minutes.

The defense session generally follows the sequence outlined below:

- The program director or major advisor opens the defense session with opening remarks and a review of the session sequence of events (1-2 minutes);
- The student presents the results of their research (25-30 minutes, see details below for specific breakdown of defense presentation components);
- The major advisor invites the committee to ask their questions, followed by the major advisor (approximately 15 minutes). All non-committee guests attend the defense presentations as observers and do not ask any questions of the student.
- After the Q&A ends, the committee is placed in a breakout room to deliberate the final grade for the dissertation process and product, including the defense. Once the deliberations are complete, the major advisor shares the results of those deliberations with the student (approximately 5-10 minutes);

The Dissertation Defense Rubric is used to guide the committee's evaluation of the student's work on the dissertation and during the oral presentation (Appendix K).

Oral Presentation Guidelines

During the defense, the student should use personal notes and speak directly to the audience. This is a professional face-to-face scholarly presentation; the emphasis is on the ability of the student to convey the essence of their study.

Therefore, the student should address the key features of the research and note the approximate time allotted for each part of the presentation:

- An overview of the major focus of the research is presented along with the student's personal and professional interest in the specific research problem of practice (up to 2 minutes)
- Next, the student relates the purpose of the study and the research questions (up to 2 minutes)
- The student provides a brief overview of the research method(s): the sample or participants consisted of... the instrument(s) was (were) . . . the data collection process(s) was (were) . . . the data analysis process was . . . (up to 3 minutes)
- The majority of time is spent on presenting and discussing the study's major findings combined with the implications/interpretations (up to 17 minutes)
- Select recommendations for practice and further study are shared (be selective! You only need to share 2-3 from each category) (up to 4 minutes)

- In closing, provide a brief summative closing statement (2 minutes)

The defense presentation by the student should last no longer than 25-30 minutes.

The student should use a slide deck presentation to relay and address the presentation points as appropriate including relevant charts, tables, and other visuals related to the dissertation. After the student completes their presentation, the defense is open for questions, first from dissertation committee members and then from others in attendance (if permitted), and for discussion.

All dissertation committee members participate in the oral defense. Should circumstances prevent participation by committee members, the defense must be rescheduled.

Questions to Consider

Questions that might be asked of the student by committee members include, but are not limited to:

- If you were to conduct this study again, what might you do differently in terms of methods? Subjects?
- Can you explain why you selected the research design and methods for this study? Why were your choices the most appropriate for your problem of practice/focus?
- What are some alternative interpretations of your research findings? Why?
- What was the most challenging aspect of your research? Why?
- What specific aspects of your findings can be applied to the field? To practice? To policy?
- What do you think is the most significant contribution your study can make to the field or profession?
- How will your research change current thinking in your field?
- How will you communicate your findings with other practitioners? Scholars?
- What are your plans to disseminate your findings through presentations? Conferences? Publications?
- How has this program and your dissertation work changed you as an individual? As a scholar? As a practitioner?

Defense Outcomes and Post-Defense

There are three potential outcomes for a defense:

- **Pass:** no revisions are required, student moves straight to post-defense actions
- **Pass with Revisions:** During the oral defense, committee members may determine that additional revisions to the dissertation manuscript are needed. *The major advisor will oversee the modifications and assist the student in making the stipulated changes. After the requested changes have been made, the major advisor authorizes the student to forward the manuscript to the committee for final review and approval.*
- **Fail:** It is always the intent to only move students to a defense when their work is strong enough to pass, however, during the defense, if it becomes apparent that the student is not able to confidently walk through their dissertation and provide accurate and relevant details, then failing the defense is possible. Failing the defense means that the student has not completed the final requirements of RSCh9010 or the program. The student will meet with the major advisor to determine next steps.

Post-Defense/Revisions

Advisors:

- Enter Outcomes Assessments scores into TaskStream.
- Once student submits final manuscript:
 - Confirm ulearn submissions of final slide deck and manuscript.
 - Submit all necessary grade changes to close out student's program work.
 - Notify the program director that the students work is closed out.

Students:

- Prepare single document signature page (Appendix L) and initiate committee signing with major advisor.
- Be sure final defense presentation slide deck is submitted in ulearn.
- Incorporate the final signature page into the manuscript; it should be placed immediately following the title page. How to combine PDF files: [How to Combine PDF Files | PCMag](#)
- Submit final manuscript to ulearn and send a copy to all committee members and the program director.
- Submit final manuscript to ProQuest (Appendix M).

REFERENCES

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<https://about.proquest.com/globalassets/proquest/files/pdf-files/preparing-your-manuscript.pdf>

APPENDICES

All templates and forms are available in MS Word format, in Ulearn, for student downloads and use.

- A. Dissertation Process Flow Checklist
- B. Prospectus Rubric
- C. Sample Work Plan
- D. Proposal Rubric
- E. Content Permission Request Template
- F. Data Collection Consent
- G. Institutional Review Board Application Guide
- H. Response Matrix for Review Committee Feedback
- I. Guidelines for Writing an Abstract
- J. Notice of Dissertation Hearing
- K. Dissertation / Defense Assessment Rubric
- L. Dissertation Signature Page Sample
- M. UMI Publishing Guidelines

Appendix A: Dissertation Process Flow

Research Prospectus, Proposal and Dissertation Task(s) Completion Checklist	<u>Date Initiated</u>	<u>Date Finished</u>
Student completes prospectus		
Advisor provides feedback and guides student to complete prospectus.		
Student submits final proposal for Program Review		
Once prospectus is approved, student completes proposal		
Advisor provides feedback and guides student to complete proposal.		
Student submits final proposal to ulearn (RSCH8100).		
Program review occurs		
Once revisions are complete/approved, student submits IRB application		
Once IRB approval is granted, data collection should be scheduled and started		
Student can use approved proposal to develop an outline for Chapter II.		
Student writes Chapter II while meeting often with the Advisor for feedback and progress checks.		
Advisor provides feedback on "final" draft.		
Advisor forwards "final" draft (Chapter II) to second reader for review and feedback.		
Student completes Chapter III.		
Advisor provides feedback on "final" draft (Chapter III).		
Advisor forwards "final" chapter draft to second reader for review and feedback.		
Data collection should be wrapping up or completed.		
Student conducts data analysis and meets with Dr. Hughes if necessary to be sure analysis is on track.		
Student completes Chapter IV.		
Advisor provides feedback on "final" draft (Chapter IV).		
Advisor forwards "final" chapter draft to second reader for review and feedback.		
While Chapter IV is being reviewed, student should complete Chapters V and I. Reminder: the proposal can now be expanded and tweaked to be used as Chapter I.		
Advisor provides feedback on "final" drafts (Chapters IV and V).		
Advisor forwards "final" chapter drafts to second reader for review and feedback.		
Once all chapters are approved, student should compile work into one manuscript.		
Advisor conducts final review of complete manuscript.		
Advisor forwards "final" manuscript to second reader for review and feedback.		
While second reader is reviewing the manuscript, student should submit the latest version approved by major advisor to ulearn and notify the program director of submission (CC major advisor). This submission can be adjusted if necessary, after second reader review.		
Program review occurs		
Defense is scheduled upon program approval		
Student prepares defense slide deck		
Dissertation defense successfully completed		
Dissertation manuscript uploaded to UMI and approved by Dean of Libraries within 30 days of defense		
*Note that some steps may occur simultaneously or out of order if necessary.		

Appendix B: DBA Dissertation Prospectus Rubric

Criterion	Thorough	Acceptable	Does Not Meet
Introduction <i>Gain the reader's attention while providing context and rationale for the study.</i>	A brief (approximately 150 words), scholarly narrative orienting the reader to the context of the study and provides a rationale for the study. Scholarly evidence is provided to contextualize the topic.	A clear overview of the study is provided. Major points are adequately supported by the literature. Evidence is provided to contextualize the topic.	The study overview is incomplete or unclear. Little to no evidence is provided.
Research Problem <i>What is the research problem you are trying to solve? (A problem is a situation that, left untreated, produces a negative consequence for some group, organization, or individuals.) What makes it a problem? For whom? Who says so?</i>	A clearly articulated problem, aligned with the material in the Introduction, and supported by strong evidence, is identified and clearly discussed. The significance of the problem is clearly discussed and supported by evidence.	An articulated problem is explained and supported by the material in the Introduction, evidence is provided and discussed. The significance of the problem is discussed.	The description of the problem is incomplete or unclear. No evidence is provided indicating the problem exists. Lacks alignment with the material in the Introduction. The significance of the problem is not discussed.
Assumptions <i>On what assumptions are you basing your work? Which of them seem to be verifiable in the literature? Which are more speculative?</i>	Assumptions are clearly stated. Verifiable assumptions are supported by scholarly literature. Speculative assumptions are clearly noted as such and rationale provided.	Assumptions are stated. Verifiable assumptions are generally supported by evidence. Speculative assumptions are noted as such and some rationale is provided.	Assumptions are not stated or some assumptions are missing. Evidence and rationale are minimally or not provided and there is not a distinction between verifiable and speculative assumptions.
Theoretical Issues <i>What theoretical issues arise in your proposed study? Do you take a behavioral view? Social systems view? Are there other theoretical orientations that should be considered in the design of your study?</i>	Theoretical issues are clearly identified and a clear paradigm is provided and supported by scholarly literature.	Theoretical issues are identified and a paradigm is provided. Scholarly literature support is minimal and supplemented with applied literature.	Theoretical issues are superficially identified, but supported by anecdotal research or subjective experience. A paradigm is not identified or identified but superficially supported.
Literature Review <i>What, in general, does the literature say about your topic? This need not be a complete review, but you should cite some of the major theory, research, and writers in the field.</i>	The literature review is clearly written and the narrative flows from general to specific framing the topic under study within the literature. This section is supported by at least five scholarly sources relevant to the theory under	The literature review is acceptably written and the narrative generally flows from general to specific framing the topic under study within the literature. This section is supported by at least two current scholarly sources relevant	The literature review is incomplete or unclear. Key elements are inadequately addressed, all points are not supported in the literature, key concepts lack coherence and clarity.

The majority of resources should have been published w/in last five years, unless they are seminal.	consideration, with at least three from w/in five years.	to the theory under consideration.	
Research Questions <i>Based on your problem, what are the research questions you are trying to answer? Why and how will answering these questions contribute to solving the research problem? A research question can only be answered with data or information.</i>	Research question(s) are directly answerable beyond a yes/no response, are specific, testable, including the population and environments/topics. Research question(s) are directly aligned and support the problem statement. The core concepts (qualitative) and/or operational variables (quantitative) are described clearly and appropriately.	Research question(s) are directly answerable beyond a yes/no response, fairly specific and testable based on the data to be collected. Research question(s) are aligned and support the problem statement. The core concepts (qualitative) and/or operational variables (quantitative) are included.	The research question(s) are incomplete or lack coherence, clarity, not testable, not aligned with the problem statement, or only elicit a simple yes/no response. The core concepts and/or operational variables are missing.
General Research Plan <i>In general, how would you propose to conduct this research study so that it answers your research questions? What kind of data will you gather (specify type, such as surveys, observations, interviews...or some combination of these)? From whom will you gather it? Why them? How will you reduce the data – make sense of it? How will you assure that the data are of high quality?</i>	Explains and justifies how the research method and design are aligned with the study problem and research question(s). Data levels and types are clearly noted. A sampling frame is clearly identified with a strong rationale. Substantiates the appropriateness of the data plan.	Describes how the research method and design are aligned with the study problem and research questions. A sampling frame is generally identified with some rationale. The data plan is described.	There is a lack of alignment among the chosen research method and design and the study's problem and research questions. Superficial or no explanation of the data levels and types. Superficial or no
Anticipated Difficulties and Pitfalls <i>What kind of difficulties and pitfalls might you expect in doing a study of this type? What will you do to prevent them or minimize their effects?</i>	Difficulties and pitfalls are thoroughly identified with thorough explanation of how to mitigate them.	Difficulties and pitfalls are adequately identified with adequate explanation of how to mitigate them.	Difficulties and pitfalls are superficially identified, or omitted, with little or no explanation of how to mitigate them.
Anticipated Benefits <i>Who will benefit from the fact that this research is undertaken? How? Why? Who might be disturbed by this proposed study? How? Why?</i>	Affected stakeholders are thoroughly identified with strong supporting evidence for benefits or detriments of the study.	Affected stakeholders are adequately identified with supporting evidence for benefits or detriments of the study.	Affected stakeholders are superficially identified, or omitted, with little or no supporting evidence for benefits or detriments of the study.

<p>Writing is clear and compelling; required assignment length is met; reflects correct punctuation, grammar, word usage, and APA style guidelines</p>	<p>Student demonstrated strength in all the following areas: a well-developed focus, a logical organization of ideas, integration of readings revealing conceptual knowledge and skills, and inclusion of several scholarly citations to support ideas presented in the Prospectus. The Prospectus meets the length requirement. Student used correct grammar, punctuation, and APA formatting, with no more than one or two errors.</p>	<p>Student mostly demonstrated a well-developed focus, a logical organization of ideas, and exhibited an integration of readings revealing conceptual knowledge and skills. Student used mostly correct grammar, punctuation, and APA formatting, having fewer than five errors.</p>	<p>Student failed to demonstrate a well-developed focus, and there is little evidence of integration of reading material or conceptual knowledge. The Prospectus is longer or shorter than required. Student needs to refine grammar, punctuation, and APA formatting and style because many errors were evident.</p>
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Appendix C: Sample Work Plan

September-October

- Develop dissertation proposal
- Finalize dissertation proposal
- Obtain permission to use/adapt instrumentation from developer(s)
- Obtain permission to conduct research from participating organizations
- Schedule/begin CITI Training

October-mid-December

- Complete Human Consent forms and submit for approval
- Complete IRB application
- Identify and formalize the consent of the remaining members of the dissertation committee
- Complete Proposal Review response matrix and revise proposal, per external review feedback; submit matrix and revised proposal to advisor (if needed)
- Complete CITI Training

End of December-February

- Work on Literature Review

March-Beginning of May

- Complete Problem Statement
- Complete Literature Review
- Draft and distribute invitations to participants for data collection
- Send out survey by end of Spring II (if applicable)
- Schedule focus group data, locations, and secure rooms (if applicable)

End of May-June

- Follow-up participants one week out and the Sunday before the survey closes (if applicable)
- Collect raw data from survey (if applicable)

- Analyze and integrate quantitative data (if applicable)
- Review focus group/interview questions (if applicable)
- Conduct qualitative pilot studies (if applicable)
- Conduct focus groups/interviews (if applicable)
- Analyze and integrate qualitative data (if applicable)
- Conduct mixed methods analysis (if applicable)
- Finalize Chapters III and IV

July-August

- Respond to feedback from advisor, committee regarding dissertation chapters
- Submit Chapter V
- Once entire manuscript has been submitted and reviewed by advisor and committee, a defense date can be scheduled (materials must be completed at least two weeks prior to defense date and invitation)
- Defense invitation and abstract prepared for distribution
- Revise dissertation and submit for final approval to major advisor and committee
- Submit dissertation defense handout to major advisor
- Prepare for dissertation defense (oral)
- Defend dissertation
- Prepare manuscript for binding
- Upload dissertation manuscript

May

- Participate in commencement ceremony

Appendix D: DBA Dissertation Proposal Rubric

Page and length limits stated in each criterion are approximate.

Criterion	Exceeds	Meets	Does Not Meet
Front Matter (title page, table of contents, list of figures and tables)	MET/NOT MET ONLY	All elements for this criterion are present and formatted in the most current APA style.	Elements may be omitted; APA style is out of compliance.
<p>Introduction (1-2 pages)</p> <p><i>The introduction frames the entire work by providing an overview of the circumstances, issues, and background of the problem the proposed study is to address. The introduction includes an explanation of the problem area, and the relationship between the problem area and prior studies. Relevant personal background factors, including biases and motivation, are to be addressed.</i></p>	A well-written, scholarly, and compelling narrative orienting the reader to the context of the study. The narrative flows from general to specific framing the topic under study within the literature. Background information provided to contextualize the topic.	A clear overview of the study is provided. There is a flow from general to specific of the topic. Major points are adequately supported by the literature. Background information provided to contextualize the topic.	The study overview is incomplete or unclear. Key elements are inadequately addressed, all points are not supported in the literature, key concepts lack coherence and clarity.
<p>Problem Statement (1 page)</p> <p><i>The problem statement concisely defines the topic to be studied, describes its origins, and establishes its importance. This section addresses the current state of uncertainty surrounding the problem, the need for change, any relevant cause and effect relationships, and the insufficiency of current knowledge or practice.</i></p>	A clearly articulated problem, aligned with the material in the Introduction, supported by strong evidence is identified and clearly discussed. The significance of the problem is clearly discussed.	A clear problem is explained and supported through the material in the Introduction, strong evidence is provided and discussed.	The description of the problem is incomplete or unclear. No evidence is provided indicating the problem exists. Lacks alignment with the material in the Introduction. The significance of the problem is not discussed.
<p>Purpose Statement (1 page)</p> <p><i>The purpose of the study presents a logical response aligned with the stated problem. This section clearly answers why the research will be conducted. A detailed summary of how and when the study will be conducted is also provided.</i></p>	The purpose of the study is succinctly articulated and is a logical response aligned to the stated problem, a detailed summary of how and when the study will be conducted is provided.	The purpose of the study is described and aligns with the stated problem, a summary of how the study will be conducted is provided.	The purpose of the study is incomplete or unclear. Key elements are inadequately addressed and do not align with the stated problem, study details are not supported, and/or lack coherence and clarity.

<p>Research Questions (1 paragraph/bullets)</p> <p><i>This section lists clearly stated research question or questions, or in some cases hypotheses, to be addressed in the study.</i></p>	<p>Research question(s) are directly answerable beyond a yes/no response, are specific, testable, including the population and environments/topics. Research question(s) are directly aligned and support the problem and purpose. The core concepts (qualitative) and/or operational variables (quantitative) are described clearly and appropriately.</p>	<p>Research question(s) are directly answerable beyond yes/no response, fairly specific and testable based on the data to be collected. Research question(s) are aligned and support the problem and purpose. The core concepts (qualitative) and/or operational variables (quantitative) are included.</p>	<p>The research question(s) are incomplete or lack coherence, clarity, not testable, not aligned with the problem and purpose, or only elicit a simple yes/no response. The core concepts and/or operational variables are missing.</p>
<p>Background of the Study (6 pages)</p> <p><i>The review critically assesses the major contributions of prior research related to the problem and integrates these into a coherent whole. Typically, the literature framing a problem can be divided into domains of inquiry related to the problem. Each domain reads like an essay on that topic. The conclusion pulls together the domains and indicates their relationship to the problem.</i></p>	<p>A well-written, scholarly, and compelling narrative orienting the reader to the context of the study. The narrative flows from general to specific framing the topic under study within the scholarly literature. Background information provided to contextualize the topic.</p>	<p>A clear overview of the study is provided. There is a flow from general to specific of the topic. Major points are adequately supported by the scholarly literature. Background information provided to contextualize the topic.</p>	<p>The study overview is incomplete or unclear. Key elements are inadequately addressed, all points are not supported in the scholarly literature, key concepts lack coherence and clarity.</p>
<p>Methodology (4-5 pages)</p> <p><i>The following three sections describe the research design and the type of data and procedures proposed including, as appropriate, in marked separate sub-sections in the following order: research design, sample or participants, instrumentation, data collection, and data analysis. A section on trustworthiness strategies follow the data analysis section when appropriate (e.g. in studies that are entirely or partially qualitative).</i></p>			
<p>Methodology: Research Design and Sample/Participants</p>	<p>Explains and justifies how the research method and design are aligned with the study problem, purpose, and research question(s). Substantiates the appropriateness of the research method and design and sampling.</p>	<p>Describes how the research method and design are aligned with the study problem, purpose, and research questions. Describes how the design choice is consistent with the research method and design and sampling.</p>	<p>There is a lack of alignment among the chosen research method and design and the study's problem, purpose, research questions. Design choice is inconsistent with the research method and design and sampling. Preceding elements have been omitted or superficially addressed.</p>

Methodology: Instrumentation, Data Collection and Pilot Studies, and Data Analysis	Explains and justifies the instrumentation, including reliability and validity; the data collection process and protection of human subjects, and provides a clear overview of the analysis tools to be employed.	Describes the instrumentation, including reliability and validity; the data collection process and protection of human subjects, and provides an overview of the analysis tools to be employed.	Instrumentation is superficially described and reliability and validity are insufficiently presented, or not at all. Analysis tools are insufficiently described or not provided.
Trustworthiness (for qualitative studies) Trustworthiness, in a qualitative research study, indicates the degree to which "the inquiry's findings are worth paying attention to." This requires a description of how candidates will address the following four aspects of the trustworthiness quality criterion: credibility, transferability, dependability, and confirmability.	Thoroughly explains and justifies the four trustworthiness criteria for qualitative studies.	Adequately explains and justifies the four trustworthiness criteria for qualitative studies.	The four trustworthiness criteria for qualitative studies are insufficiently described or elements are omitted from the manuscript.
Limitations and Delimitations (1 page) <i>This section describes the weaknesses of the study that are most likely to affect its internal validity or rigor (limitations) and its external validity and scope of the study (delimitations).</i>	Study limitations are thoroughly addressed and internal validity and external validity are thoroughly addressed and supported by scholarly literature.	Study limitations are adequately addressed and internal validity and external validity are adequately addressed and supported by scholarly literature.	Study limitations are omitted or insufficiently addressed and internal validity and external validity are omitted or insufficiently addressed and without support from scholarly literature.
Resulting Actions (1 page) <i>This section describes the intended significance of the research, and how this will improve policy or practice.</i>	The intended significance is thoroughly described and the contribution to policy and/or practice is thoroughly discussed.	The intended significance is adequately described and the contribution to policy and/or practice is adequately discussed.	The intended significance has been omitted or is insufficiently described and the contribution to policy and/or practice is missing or insufficiently addressed.

<p>References</p> <p><i>The reference list includes all documents cited in the proposal. APA formats are required.</i></p>	MET/NOT MET ONLY	<p>References are included with proper APA compliance. All citations are listed in the references and no references are listed without being cited in the manuscript.</p>	<p>References are missing or not compliant with current APA guidelines. References are missing cited items or cited items are not included in the references.</p>
<p>Appendices</p> <p><i>The appendices begin with the Definition of Terms, as Appendix A, which provides the research-based or operational definitions of all key terms used in the proposal. The appendices continue with additional materials pertinent to the study, e.g., drafts of collection instruments and consent forms, research site requests and approvals, database components, and other items helpful in understanding the study. Appendices are ordered by appearance in the text.</i></p>	MET/NOT MET ONLY	<p>Appendices are included with proper APA compliance and are labeled and ordered properly.</p>	<p>Appendices are missing or not compliant with current APA guidelines. Appendices may be out of order of presentation in the manuscript.</p>
<p>Work Plan</p> <p><i>The work plan should be appended to the proposal and include this information:</i></p> <ul style="list-style-type: none"> • <i>Major stages of the investigation as a proposed timeline with starting and ending dates for writing the dissertation.</i> • <i>Any required technology and physical resources needed.</i> • <i>Plan for making interim reports and contact with major advisor, associate advisors, and personnel at research site.</i> 	MET/NOT MET ONLY	<p>All elements for this criterion are present.</p>	<p>Elements have been omitted.</p>

Writing is clear and compelling; required assignment length is met; reflects correct punctuation, grammar, word usage, and APA style guidelines	MET/NOT MET ONLY	Student demonstrated strength in all the following areas: a well-developed focus, a logical organization of ideas, integration of readings revealing conceptual knowledge and skills, and inclusion of several scholarly citations to support ideas presented in the assignment. The assignment meets the length requirement. Student used correct grammar, punctuation, and APA formatting, with no more than one or two errors.	Student failed to demonstrate a well-developed focus, and there is little evidence of integration of reading material or conceptual knowledge. The assignment is longer or shorter than required. Student needs to refine grammar, punctuation, and APA formatting and style because many errors were evident.
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Appendix E: Permission Request for Use of Content, Instruments, and other Material - Template

Johnson & Wales University Doctor of Business Administration

Date: **[Enter Date]**

[Enter Full Name of Rightsholder]

[Enter Address of Rightsholder]

Dear **[Enter Name of Rightsholder]** :

I hereby request your permission to reprint the following material (the “Material”):

Title: **[Enter Title of Source Material]**

Author/Editor: **[Enter Name of Author/Editor]**

Volume/Issue: **[Enter Volume/Issue]**

Title of Selection: **[Enter Title of Selection]**

Type of Excerpt: **[Enter Type of Excerpt]**

Excerpt length: **[Enter Excerpt Length]**

This material is to appear in the forthcoming product/dissertation/other: (the “Work”):

Title:

Authored/Edited by:

To be published by:

- Scheduled Publication/Completion Date:
- Estimated Page Length:

I request nonexclusive distribution rights to include the Material in the current and all future editions of the Work, including customized editions and derivative products, password-protected ancillary materials, and promotional use in support of the Work, in all languages and

formats now known or later developed, throughout the world. These rights in no way restrict republication of the Material in any form by you or others authorized by you. If you do not control the rights in the Material in their entirety, please inform me of others to whom I should write.

A credit line with the above information will be included in the Work, unless you specify otherwise.

With appreciation of your time and cooperation,

NAME of author _____

Author's email _____

Author's phone number _____

I hereby affirm that I own or control all rights in the Material described above, and grant permission for the use of the Material as described herein.

Signed _____ Date: _____

Printed Name: _____

Appendix F: Data Collection Consent

Description

The description of the use of human subjects in dissertation research or in field projects must completely address the following points.

Agency Approval. If research is conducted through an agency or organization (e.g., school, college, community agency), provide written documentation of approval/cooperation from the agency with the IRB application.

Confidentiality of Data

Provisions. Describe provisions made to maintain confidentiality of data and identify those who will have access to data.

Data Storage. Describe the data storage techniques and the length of time the data will be stored.

Recorded Data. If audio or video tape recordings are created as part of the research, explain who will have access to the tapes and how long the tapes will be retained.

Informed Consent Process

There are four levels of interaction with subjects that require different forms of consent.

Consent form: Signature of subject or parent is required for research involving risk, and for research where a permanent record of results is retained, either in written, recorded, or taped format.

Consent statements/letters to subjects: Statements read to study subjects or distributed to participants prior to interview or as a cover sheet for a written survey should be modeled after sample consent form, but do not require signature.

No active consent is required for observations of public behavior: However if subjects are photographed, taped, or recorded, the procedure must be reviewed by the DBA Director and written consent must be secured from the subjects.

No active consent is required for review of public records, private records already stripped of identifiers, or research involving pathological specimens that are not identifiable by name or number.

Consent forms should be written in simple declarative sentences. The forms should be jargon-free. Foreign language versions should be prepared for any applicable research. Whenever possible, the consent form, including the signatures, should not exceed one page. Use the template provided to develop a consent form relevant to your research.

THIS IS A TEMPLATE. PLEASE REVISE ACCORDINGLY.

Consent to Participate in a Research Study
Johnson & Wales University

Title of Study: _____

Investigators:

Name: _____ **Dept:** _____ **Phone:** _____

Name: _____ **Dept:** _____ **Phone:** _____

Name: _____ **Dept:** _____ **Phone:** _____

Introduction

- You are being asked to be in a research study of/about *[insert general statement about study]*.
- You were selected as a possible participant because *[explain how subject was identified, include any exclusionary criteria]*.
- Please read this form. You may also request that the form be read to you. The purpose of this form is to give you information about this research study, and if you choose to participate, document that choice.
- You are encouraged to ask any questions that you may have about this study now, during or after the project is complete. You can take as much time as you need to decide whether or not you want to participate.
- Your participation is voluntary; however, you may withdraw at any time.

Why is this study being done? What is the purpose of this study?

- The purpose of the study is *[explain research question and purpose in lay language]*.
- Ultimately, this research may be *[published as part of a book on..., presented as a paper, etc.]*.

What will I be asked to do?

- If you agree to be in this study, you will be asked to do the following things: *[explain procedures and tasks; identify any procedures that are experimental; describe length of time for participation, frequency and duration of procedures; etc. If applicable, explain any alternative procedures or courses of treatment available to the subject.]*

What are the risks and/or discomforts of being in this study?

- *[If there are no foreseeable risks, state as such]* There are no reasonable foreseeable (or expected) risks.
- The study has the following risks. First, *[explain first risk, including the likelihood of the risk]*. Second, *[explain second risk, including the likelihood of the risk]*. Third, ...

What are the benefits of being in this study?

- The benefits of participation are *[explain direct benefits of participation that will be gained by the participants. If a benefit is not likely to occur to each participant, do not include. If there are no expected benefits, state as such.]*
- *[Alternatively:]* Although there may be no direct benefits to you as a result of taking part in this study, the results may indirectly benefit you *[explain possible indirect benefits of participation]*

Will I be compensated for participating in this study?

- You will receive the following payment/reimbursement: *[explain amount of payment or other reimbursement information (e.g., class points, tokens, donations, etc.), as well as when payment and/or reimbursement will occur and in what cases payment will not occur if any. If there will be no payment, state this.]*

How will my privacy be protected? How will my data be kept confidential?

- This study is anonymous. We will not be collecting or retaining any information about your identity.
- The records of this study will be kept strictly confidential. Research records will be kept in a locked file, and all electronic information will be coded and secured using a password-protected file. *[If audio or video tape recordings are made, explain specifically who will have access to them, if they will be used for educational purposes, and when they will be erased/destroyed and indicate how they will be destroyed or erased. See below for more information about audio and video recordings.]* We will not include any information in any report we may publish that would make it possible to identify you unless you provide additional consent.

May I refuse to participate in the study?

- Yes. The decision to participate in this study is entirely up to you.
- You may refuse to take part in the study *at any time* without affecting your relationship with the investigators of this study or Johnson & Wales University.
- You have the right not to answer any single question, and you have the right to request that the researcher not use any of your data.
- Your participation is voluntary. Your decision to participate will have no impact on your current or future relations with the university.
- You may skip or refuse to answer any question for any reason.
- If you choose not to participate there is no penalty to you, and you will not lose any benefits that you are otherwise entitled to receive.

What if I decide I no longer want to participate in the study? May I withdraw?

- You are free to withdraw from this research study at any time, for any reason.
- If you choose to withdraw from the research study there will be no penalty to you, and you will not lose any benefits that you are otherwise entitled to receive.

- If you are not satisfied with the way in which this study was conducted, you may convey your concerns to the chair of the JWU IRB at institutionalreviewboard@jwu.edu or 401-598-1467 and/or *[insert contact information here]*.

What are my rights as a research participant?

- You will be informed of any significant findings developed during the course of the research that may affect your willingness to participate in the research.
- If you sustain an injury while participating in this study, your participation may be ended.
- If you have any other concerns about your rights as a research participant that have not been answered by the investigator(s), you may contact the chair of the JWU IRB at institutionalreviewboard@jwu.edu or 401-598-1467.

Whom may I contact with questions?

- For more information regarding this study, please contact the principal investigator at *[insert contact information here]*.
- If you choose to participate in this research study and believe you may have suffered a research-related injury, please contact the chair of the JWU IRB at institutionalreviewboard@jwu.edu or 401-598-1467.
- If you have any concerns or problems that you believe occurred as a result of your participation, you may report them to the chair of the JWU IRB at institutionalreviewboard@jwu.edu or 401-598-1467

Will I receive a copy of this consent form?

- You will be given a copy of this consent form *[Identify if it will be a paper or electronic copy or both]*

Will I be informed of the findings from this study?

- If you would like, a summary of the results of the study will be sent to you.
Would you like a summary of the results sent to you? ____ Yes ____ No

Participant's Statement

I understand the above description of this research and the risks and benefits associated with my participation as a research subject. I agree to take part in the research and do so voluntarily. My signature below indicates:

- I understand the information;
- I consent to participate in this study;
- I am 18 years of age or older.

You will be given a signed and dated copy of this form to keep, along with any other printed materials deemed necessary by the study investigators.

Participant's signature or
Legally authorized representative

Date

Printed name

Researcher's Statement

The participant named above had sufficient time to consider the information, had an opportunity to ask questions, and voluntarily agreed to be in this study.

Principal Investigator's signature

Date

Printed name

Sample Addition for Consent to Audio Recording/Video Recording and Transcription

The study involves the audio recording/video recording of the interviews. Neither the name nor other identifying information about the participant will be associated with the recordings or with the transcript. Only the researcher(s) will listen to or view the recordings.

The recordings will be transcribed by the researcher(s) (or by someone to whom the identity of the participant is unknown). Once the transcription is checked for accuracy, the recordings will be erased or destroyed. Interview transcripts may be reproduced in whole or in part for use in presentations or written documents that result from the study; however, neither the name or any other identifying information (such as voice or picture) of the participant will be used in such presentations or documents. Further, immediately following the interview, the participant will be given the opportunity to have the recordings destroyed, either in whole or in part.

Please check one of each of these pairs of options.

Recording the Interview

- ☐ I consent to having my interview recorded.
- ☐ I do not consent to having my interview recorded.

Transcription of Interview

- ☐ I consent to having my recorded interview transcribed into written form.
- ☐ I do not consent to having my recorded interview transcribed into written form.

Use of Transcriptions

- ☐ I consent to the use of the written transcription of my interview in presentations and written documents resulting from the study, provided that neither my name nor other identifying information will be associated with the transcript.
- ☐ I do not consent to the use of the written transcription of my interview in presentations or written documents resulting from the study.

Signature of Participant _____ Date _____

I hereby agree to abide by the participant's instructions as indicated above.

Signature of Principal Investigator _____ Date _____

Special Considerations for Vulnerable Populations

Certain populations are considered “vulnerable” due to their members’ possible lack of autonomy or capacity to make informed decisions regarding their own participation. For JWU's purposes, these populations include children, prisoners, pregnant women, fetuses, neonates and individuals participating in some AIDS-related studies.

Other populations may also be vulnerable. These include educationally or economically or educationally disadvantaged individuals, individuals with impaired decision making abilities, individuals who are illiterate or have low fluency in the research study’s language, or students or employees of the institution(s) involved in the research.

Researchers must take special care when considering how to engage, and obtain informed consent from, members of these populations. For example:

- When the participant is a minor, space for the minor’s signature and the parent/guardian’s signature should be provided.
- In the case of child participants, two consent forms are required: parent/guardian consent form and a separate child assent form (in language appropriate for age and reading ability).
- When working with children as participants, a statement must be included in the consent form under the confidentiality section that the law mandates reporting instances of physical and sexual abuse. The statement must be to the following effect: *No information about you or your family will be given to anyone outside the study personnel, except, as federal and state law mandates, in the case of a child who is being abused or who is in imminent danger.*

Appendix G: JWU Institutional Review Board Application Guide

Once you receive program approval on your DBA Dissertation Proposal, you may proceed to the IRB application. The information below will help you walk through the process.

1. Visit the [JWU IRB site](#) and scroll to **Forms**, then click the down arrow to see the **Research Proposal Application (RPA)**.
2. Sections of the application: You will want to have your approved DBA Proposal open so you can copy and paste much of the required information into the application.
 - a. **Submission:** first-time submissions = Original submission
 - b. **Title and Abstract** should be copied directly from your DBA Proposal
 - c. **Contact Information**
 - i. You are the PI
 - ii. Position: Graduate Student
 - iii. Office/Department: DBA
 - iv. Email: You must use your JWU student email
 - v. Cell Phone (Skip Office Extension)
 - d. **Co-PIs and Additional Co-PIs:** At this time, there are no internal Co-PIs for your dissertation – DO NOT list your advisor’s information here. However, if you wish to add a Co-PI (an executive from your organization, etc.) you may submit this information to your advisor and the DBA Program Director for approval. If you are not including a Co-PI, move to Funding Information.
 - e. **Funding Information:** most of you will by-pass this section. If you plan to fund your dissertation with external funds, please review the IRB procedures regarding funding before completing this section. In addition, be sure to let your advisor know.
 - f. **Study Information:** Choose whether your study does not (default option) or includes human subjects.
 - g. **Rationale & Methodology**
 - i. **Rationale:** copy information from your DBA Proposal
 - ii. **Methodology:** copy Methodology section from your DBA Proposal all the way through Trustworthiness (if applicable).
 - iii. **How will this study contribute to existing knowledge in the field?:** copy information from your DAB Proposal
 - iv. **Do you intend to survey JWU populations through university email?:** We suggest that you do not survey JWU populations.
 - v. **Do you intend to recruit JWU participants through university email?:** We suggest that you do not recruit JWU participants through university email.

***iv. and v. only refer to your intention to conduct research internal to JWU – which we do not encourage. However, you should use your JWU email for all communications relating to your dissertation, including data collection (external to JWU).**

- vi. **Will this study be completed within 12 calendar months, following IRB approval?:** Yes

h. **Required Documents**

- i. Short biography/CV/Resume
- ii. **CITI Training Certification:** If you have completed your CITI Training, upload the certificate at the time of application.

i. **Other Documents (as applicable):** be sure to submit at least the following:

- i. Instruments for data collection (directly from your approved DBA Proposal)
- ii. Confidentiality Statement (if applicable)
- iii. Letter of collaboration/support of working with an external group or organization
- iv. Letter of support from dissertation advisor if JWU doctoral student: this is the Faculty Authorization form further down on the IRB site. You do not have to submit anything here. Once your advisor reviews your RPA, s/he will complete the Faculty Authorization form.
- v. Consent/assent documents
- vi. Any additional documents you think will enhance your IRB application

Please do not upload your proposal in its entirety as one document. Various sections of your proposal are to be copied and pasted into the relevant RPA sections, and elements of your proposal, such as instrumentation and consent forms, should be saved as separate documents and uploaded as appropriate.

j. **Faculty Advisor Information**

- k. **Attestation** **DO NOT SUBMIT your RPA yet – move to number 3.**

3. **Before submitting the application**, click on *Save and Resume Later* and a link will be provided. Send this link to your advisor so s/he can review your RPA. Once the advisor reviews the RPA s/he will give you the green light to submit it for IRB review.
 - a. Your advisor will also complete the Faculty Authorization form at this time.
4. Once the advisor gives their approval, be sure to submit the RPA on [JWU IRB site](#).

After all the above steps are completed, the IRB Committee will review your application and they will send a memo assigning a review type. Review types explain the level of review that will happen; however, it does not approve, deny, or modify your study.

IRB will reach out to you with any questions, or if further information is necessary. Otherwise, you will wait for final IRB approval before collecting your data. In the meantime, you should work with your advisor to determine a work progress schedule.

For further and more complete information, please visit the [JWU IRB site](#). You will find helpful documents on this site as well. In addition, you can visit the IRB folder in the DBA Boot Camp ulearn site for helpful videos and other details.

*The RPA replaces the Human Subjects Application and Assurances form so you can skip this part of the Dissertation Handbook.

Appendix H: Response Matrix for Review Committee Feedback

Section	Feedback	Action Taken	Page
Title Page			
Abstract			
Introduction			
Problem Statement			
Background			
Definition of Terms			
Research Questions			
Methodology			
Sample			
Instrument			

Data Collection			
Intervention/ Instruction			
Data Analysis			
Limitations/ Delimitations			
Resulting Action			
References			
Appendices			
Definition of Terms			

Appendix I: Guidelines for Writing an Abstract

Purpose of an Abstract

The purpose of an abstract is to summarize all aspects of the study by explaining what problem initiated the research, why the problem was worthy of investigation, what specific questions were addressed, which methods were used, what was found, and what potential actions might result.

Abstracts should be single-spaced and paragraphs should be separated by a single line – no indentation.

The length of the dissertation abstract must not exceed 350 words.

Thus, the abstract must be written in very precise language to represent the study within the word count limitation. **Citations must be included in the abstract.**

Refer to the dissertation section outline in the proposal section of this handbook for abstract placement.

Content of an Abstract

Each of the following elements should be covered in the abstract:

Paragraph #1:

- Problem and background of the study

Paragraph #2:

- Perspectives or theoretical framework, if applicable
- Research questions

Paragraph #3:

- Research methods
 - Sample/participants (N=X)
 - Instrumentation
 - Data collection procedures
 - Data analysis strategies

Paragraph #4:

- Findings, key statistics, if appropriate, and conclusions
- Potential actions stemming from the research

Appendix J: Notice of Dissertation Hearing



Johnson & Wales University
College of Business

DOCTOR OF BUSINESS ADMINISTRATION

Candidate: Student First and Last Name

Dissertation Title: **Paste Dissertation Title Here**

Defense Date: X/X/20XX

Major Advisor:

Second Reader:

Methodologist:

Dissertation Abstract: **Paste Dissertation Abstract Here**

Appendix K: Dissertation / Defense Assessment Rubric

	Criteria	Met with Distinction	Met	Moderate	Not Met
1	Overview	Clearly presents focus areas of the research along with the student's personal and professional interest in the specific research problem of practice.	Presents focus areas of the research along with the student's personal and professional interest in the specific research problem of practice.	Presents focus areas of the research along with at least a superficial overview of the student's personal and professional interest in the specific research problem of practice.	Does not present all focus areas of the research or connection to the student's personal and professional interest in the specific research problem of practice.
	Outcomes Score	3	2	1	0
2	Purpose of Study and RQs <i>Outcome 1</i>	Clearly articulates study's purpose and research questions.	Presents study's purpose and research questions.	Presents study's purpose and research questions, but purpose or questions are not clear and/or are not aligned.	Does not present study's purpose and research questions.
3	Command of Literature	Employs relevant literature to support the need for the study and is able to present strong connections.	Employs relevant literature to support the need for the study.	Partially employs relevant research to support the need for the study.	Does not employ relevant research to support the need for the study.
	Outcomes Score	3	2	1	0
4	Research Method(s) <i>Outcome 1</i>	Provides a solid methods overview, including: sample/participants, instrumentation, data collection, and data analysis.	Provides a mostly complete methods overview, including: sample/participants, instrumentation, data collection, and data analysis.	Provides a porous partial methods overview, including some or all of: sample/participants, instrumentation, data collection, and data analysis.	Does not provide a solid methods overview.
	Outcomes Score	3	2	1	0
5	Rigor of Research <i>Outcome 1</i>	Clearly explains how appropriate research methods to investigate the defined problem were consistently applied.	Explains how appropriate research methods to investigate the defined problem were consistently applied.	Somewhat explains how appropriate research methods to investigate the defined problem were consistently applied.	Does not explain how appropriate research methods to investigate the defined problem were consistently applied.
6	Human Subjects	Distinctly identifies and appropriately accounts for issues involving human subjects, including legal and ethical issues.	Identifies and appropriately accounts for issues involving human subjects, including legal and ethical issues.	Partially identifies and accounts for issues involving human subjects, including legal and ethical issues.	Does not identify and account for issues involving human subjects, including legal and ethical issues.
	Outcomes Score	3	2	1	0
7	Findings <i>Outcome 1</i>	Provides effective analysis of data leading to findings that are applicable to practice and policy.	Provides effective analysis of data leading to findings that are mostly applicable to practice and policy.	Provides analysis of data leading to findings that are partially applicable to practice and policy.	Does not provide analysis of data leading to findings that are partially applicable to practice and policy.
	Outcomes Score	3	2	1	0
8	Implications of Findings <i>Outcome 1</i>	Presents effective interpretations of findings and discusses implications beyond the obvious by looking beyond the common constraints and offering promising solutions.	Presents effective interpretations of findings, discusses relevant implications, and offers valid solutions.	Presents interpretations of findings, discusses implications, and offers solutions.	Does not present interpretations of findings or discuss implications or offer solutions.
9	Select Recommendations	Clearly shares select unique recommendations for practice and further study that are highly relevant to the research (2-3 from each category)	Clearly shares select recommendations for practice and further study that are highly relevant to the research (2-3 from each category)	Shares minimal recommendations for practice and further study and/or recommendations may not align fully with the findings (1 from each category)	Does not share minimal recommendations for practice and further study (2-3 from each category)
10	Closing	Presents a brief summative closing statement.		N/A	Does not present a summative closing statement.
	Outcomes Score	3	2	1	0
11	Quality of Defense Presentation: Communication Skills <i>Outcome 2</i>	Employs advanced communication skills to clearly articulate complex information, organizational vision and actionable guidelines.	Employs solid communication skills to share complex information, organizational vision and actionable guidelines.	Shares complex information, organizational vision and actionable guidelines.	Does not appropriately communicate complex information, organizational vision and actionable guidelines (i.e., reads the manuscript rather than presents the content).
	Outcomes Score	3	2	1	0
12	Quality of Defense Presentation: Order and Clarity <i>Outcome 2</i>	Clearly presents results in a sequential and logical manner. Able to discuss fully and coherently the meaning of the results.	Presents results in a sequential and logical manner. Able to discuss the meaning of the results.	Presents results in a partially sequential and logical manner. Partially able to discuss the meaning of the results	Does not present results in a sequential and logical manner. Not able to discuss fully and coherently the meaning of the results.
	Outcomes Score	3	2	1	0
13	Quality of Defense Presentation: Mechanics <i>Outcome 2</i>	Presentation is orderly and error-free and in compliance with APA Guidelines.	Presentation is orderly with minimal errors and in compliance with APA Guidelines.	Presentation is partially organized and there are some errors; there is partial compliance with APA Guidelines.	Presentation is disorganized with many errors; there is only minimal compliance with APA Guidelines.

Appendix L: Dissertation Signature Page



JOHNSON & WALES
UNIVERSITY



JOHNSON & WALES UNIVERSITY
COLLEGE of PROFESSIONAL STUDIES

Johnson & Wales University
College of Business

DOCTOR OF BUSINESS ADMINISTRATION

Candidate: Student First and Last

Dissertation Title: **Paste Dissertation Title Here**

Defense Date: X/X/20XX

Committee members sign this page to indicate that the student has successfully completed and passed the Dissertation and Defense.

Major Advisor: _____
Major Advisor, XXX.

Second Reader: _____
Second Reader, XXX

Methodologist: _____
Methodologist, XXX

Appendix M: UMI Formatting Requirements and Final Manuscript Preparation Electronically Publishing the Dissertation

After major advisor approval, the student initiates electronic publication of the dissertation manuscript. **Students are urged to complete the upload process within 30 days of their defense.** This process is guided by the Johnson & Wales University Dean of Libraries, who serves as the local JWU Library doctoral dissertation administrator. In order for the manuscript to be acceptable, the format, printing, and UMI specifications must be followed (see the table for UMI formatting requirements).

UMI Formatting Requirements

DIGITAL MANUSCRIPT	
File Format: Manuscript	Adobe PDF required. NO compression; NO password protection; NO digital Signature. You are responsible for the appearance of your manuscript in PDF. It will appear and may be downloaded exactly as you submit it.
Multimedia files and formats	Digital preservation best practices typically recommend including multimedia content as supplemental files, rather than embedding multimedia in PDFs. ProQuest will accept multimedia content of all file types. File types listed below will be migrated by ProQuest. File types other than those listed below are not guaranteed to be migrated.
Images	GIF (.gif); JPEG (.jpeg); TIFF (.tif)
Video	Apple Quick Time (.mov); Microsoft Audio Video Interleaved (.avi); MPEG (.mpeg)
Audio	AIF (.aif); CD-DA; CD-ROM/XA; MIDI (.midi); MPEG-2; SND (.snd); WAV (.wav)
Margins	Left: 1"; Right: 1"; Top and Bottom: 1" Applies to all material except page numbers, including figures, headers/footers, footnotes/endnotes, and full-page images. Page numbers: at least ¾" from edge of page.
Fonts	Embedded fonts REQUIRED. PostScript Type 1 fonts required. Any legible font except script, italic, or ornamental fonts equivalent in scale to 10pt. Arial or 12pt. Times New Roman accepted. Italicized font may be used for non-English words and quotations. Applies to all text including captions, footnotes/endnotes, citations, etc.
Line spacing	Double-space: abstract, dedication, acknowledgements, table of contents, and body of the manuscript; except for quotations as paragraphs, captions, items in tables, lists, graphs, charts. Single-space: footnotes/endnotes, bibliographic entries, lists in appendices.
Color	PDF and Print reproductions will include all color material. Microfilm reproductions will NOT preserve color; colors will appear in shades of gray.

For complete details for submitting a dissertation to UMI, review or download: [Preparing Your Manuscript for Submission.](#)

NOTE: UMI does not accept signed signature pages with the electronic upload.

Final Dissertation Manuscript Preparation for Uploading to UMI

The Johnson & Wales University Dean of Libraries serves as the JWU Library doctoral dissertation administrator. In order for the manuscript to be acceptable, the format, printing, and UMI specifications must be followed (see Section [UMI Formatting Requirements](#)).

When the manuscript is completed, the student should check the copy against the UMI Formatting Requirements before uploading to the UMI site.

Once the dissertation is submitted by the student, the JWU Dean of Libraries reviews the manuscript and returns notes and comments, if necessary. Any required changes to the manuscript will be made by the student, who then resubmits the revised manuscript through the same site. When the manuscript is accepted, the JWU Dean of Libraries finalizes online delivery to UMI. As part of the upload process, students may order bound copies directly from UMI for personal use. Students are required to share a copy of their final document (in PDF format) with the DBA Director to maintain a copy of the dissertation on file.

For its collection, JWU Library purchases one bound copy of every published JWU dissertation. While students may select options that result in publishing their dissertation through UMI at no cost to them, any costs associated with copyright registration, publishing under an open access license, and the purchase of bound copies are assumed by the student. Payment of all fees is made directly online by credit card to UMI via the web. (See [JWU library Dissertation Publishing Guide](#) for information on fee-based options.)