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DOCTORAL CAPSTONE DELIVERABLE GUIDEBOOK

Disclaimer

Neither this document, nor any of the information and requirements contained herein, constitute a contract or create any contractual commitments between Capella University and any student, any prospective student, or any third party. The information in this document is subject to change.

Introduction

This Doctoral Capstone Guide is appropriate for the following eight School of Education Specializations:

- Adult Education
- Curriculum and Instruction
- Educational Leadership and Management
- Performance Improvement Leadership
- Personalized and Competency-Based Instruction
- Reading and Literacy
- Teacher Leader in Digital Transformation
- Teacher Leader in K-12 Studies

Note: Learners should check with their instructor or mentor to confirm which deliverables have been approved for their specialization. The table below displays an “X” in the cell where deliverable options have been approved for specializations as of Q4 2019.

<table>
<thead>
<tr>
<th>Specialization</th>
<th>Action Research Monograph</th>
<th>Evaluation Study</th>
<th>Curriculum Product</th>
<th>Change Management Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adult Education</td>
<td>X</td>
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<tr>
<td>Curriculum and Instruction</td>
<td>X</td>
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<tr>
<td>Educational Leadership and Mgmt.</td>
<td>X</td>
<td>X</td>
<td>Only with Permission of Specialization Chair</td>
<td>Only with Permission of Specialization Chair</td>
</tr>
<tr>
<td>Performance Improvement Leadership</td>
<td>X</td>
<td>X</td>
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<td>X</td>
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</table>
Doctoral Capstone Options after Q1, 2020.

The School of Education permits four capstone deliverable options within two major categories.

**Deliverable Category 1: Research Paper** A scholar-practitioner report of an action research study or evaluation conducted by the learner to address a specific organizational problem or issue appropriate to the learner’s specialization.

To complete the research paper category, the learner will develop either an:

- Action Research Monograph, or an
- Evaluation Report

**IMPORTANT NOTE:** For the Category 1 deliverable option, the final capstone project will be one document for the Action Research Monograph and the Evaluation Report. Learners will not submit a separate Final Report as was required prior to Q1 2020. The templates for the research papers are on Campus and in this Deliverable Guide.

**Deliverable Category 2: Professional Product:** A scholar-practitioner application of research and innovation to bring about improvement in educational practice at a specific institutional setting.

To complete the professional product, the learner will develop either a

- Curriculum Product, or an
• Change Management Plan

**IMPORTANT NOTE:** For the Category 2, Professional Product, in addition to developing a deliverable of a curriculum product or a change management plan, the learner will continue to write a Final Report as was required prior to Q1 2020. The Professional Product will consist of separate documents: the Deliverable and the Final Report.

Refer to the Capstone Deliverable Guide on Campus for guidelines for developing the Professional Products. The Final Report Template is located on Campus.

**Choosing a Deliverable for the Capstone Project**

The following guiding principles will assist learners in choosing a deliverable for their Doctoral Capstone Project.

1. Examine a problematic process/issue in your organization that could be improved through the implementation of a Doctoral Capstone Project deliverable option.

2. Identify the specific evidence and/or data that serves to define the need or opportunity and the potential impact if it is not addressed.

3. Determine a potential action, intervention, or change that could be implemented to bring about improvement. Consider the linkage of the intervention to organizational goals and objectives, stakeholder interest in the intervention, cost, and visibility.

4. Review your role in your organization, and determine whether you can acquire the appropriate permission(s) to develop your deliverable to address an identified problem.

5. Identify other potential organizational barriers to implementing your intervention and conducting the study.

6. Plan and design the interventions following the appropriate guidelines in this manual.

One of the requirements of the Doctoral Capstone Project is that a real, authentic setting be selected for the development of the deliverable to solve a real organizational problem.

The learner should follow appropriate steps to secure permission and support from the organization to conduct the activities related to the Doctoral Capstone Project.

**Data-Based Deliverable**

Every project should have been identified based on data or evidence that provide the rationale for how the deliverable will address the issue that was selected. This includes the addresses an authentic problem in an organizational setting. A deliverable could be justified from a needs assessment, test scores, surveys, etc. Learners should collaborate with leaders or managers at the capstone site to identify a problem or situation that needs to be
addressed. For example, if you decide to create a curriculum product, it should be based on data that suggest a curriculum product would best support the identified problem. Learners must be able to justify their choice of deliverable type in their proposal and final report.

**Nature of the Doctoral Capstone Deliverable Guide**

This guide is *not* intended to be a textbook for any of the deliverable types. The deliverable information and resource lists included in each deliverable section provide helpful guidance relative to deliverable type, and are not intended to be exhaustive or all-inclusive. Learners must engage in significant research for additional resources and literature.

This guide contains a separate section for each deliverable type. Each deliverable section includes a description of the deliverable, resources, journal articles, websites, and with the exception of the curriculum product, a suggested template to support development of the deliverable.

**Choosing a Deliverable**

The following guidelines will assist you in choosing a deliverable for your Doctoral Capstone Project.

1. Examine a problematic process/issue in your organization that could be improved through the implementation of a planned intervention.

2. Identify the specific evidence and/or data that serve to define the need or opportunity and the potential impact if it is not addressed.

3. Determine a potential action, intervention, or change that could be implemented to bring about improvement. Consider the life cycle of the intervention, the linkage of the intervention to organizational goals and objectives, stakeholder interest in the intervention, cost, and visibility.

4. Review your role in your organization and determine whether you can acquire the appropriate permission(s) to develop your deliverable to address an identified problem.

5. Identify other potential organizational barriers to implementing your intervention and conducting the study.

6. Plan and design the interventions following the appropriate guidelines in this manual.
ACTION RESEARCH MONOGRAPH

Introduction

This document serves as a guide for learners who choose the Action Research Monograph as their capstone deliverable. The contents provide information about getting started with an action research project, along with suggested books, articles, and links to action research resources. In addition, an annotated template is included and its use is suggested to guide both the design and presentation of an action research study. This Action Research Monograph Guide works in conjunction with other Doctor of Education (EdD) Capstone Project documents located on Campus. Learners are encouraged to review these documents with their mentors to fully understand the requirements of both the selected Capstone Deliverable and the Capstone Report.

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

The remainder of this document is organized as follows:

- **Action Research Monograph Deliverable: Description of the Action Research Monograph deliverable type**
- **Getting Started: A basic overview of the general action research planning process**
- **Purpose: Explanation of the purpose of the deliverable**
- **Action Research Resources : Selected references and resources about action research methods, including appreciative inquiry, action science, and action learning**
- **Suggested Template:An annotated template to guide the development of the monograph**

What is an Action Research Monograph?

The Action Research Monograph is one of two deliverable types under the Capstone Project research paper category. Learners who wish to complete an action research monograph as their deliverable will first design and implement an action research study. An action research study combines action and research to address a problem or opportunity in a local setting. The action is in the form of an intervention undertaken to improve a process, problem, or situation. Learners review theory and best practices in the literature as well as local data and evidence to support the identification and description of the problem or opportunity which then informs the action to be taken. The research literature reviewed also provides a basis for comparison of the study’s outcomes with previous research. The monograph is a comprehensive presentation of an action research study conducted by the learner.
Purpose

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

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

The capstone action research monograph will, therefore, provide:

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

Getting Started

The table below provides a basic overview of the general planning process for an action research study. However, this guide is not intended to be an action research manual or handbook. As part of the preparation for designing and implementing an action research study, learners are expected to gain an understanding of action research methods and approaches by conducting an independent review of action research literature. In addition, the resources listed in this guide are a rich source of information and guidance.

Learners are also expected to be well informed about the problem or opportunity the study will address, as well as the action or intervention that will be implemented. Therefore, ongoing review of literature related to the selected topic and intervention is an important element of the planning process from the very beginning.
Once again, this guide is intended as a general resource that is applicable to all specializations. Learners should check the appendices and consult with their mentors for any additional requirements and/or resources that apply specifically to their specializations.

Table 1

Basic overview of the basic action research planning process

<table>
<thead>
<tr>
<th>Action</th>
<th>Comments</th>
</tr>
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</table>
| Examine a problematic process/issue in your organization that could be improved through the implementation of planned intervention. Alternatively, identify an opportunity for continuous improvement. | Review the literature to develop deeper understanding of the organizational issue or opportunity being considered for an action research study.  
Begin ongoing review of action research literature. Consult the [Action Research Paradigm Protocol](https://www.actionresearchparadigms.org) (ARPP) as an example. |
| Identify the specific evidence and/or data that serve to define the problem or opportunity and the potential impact if it is not addressed. | Evidence, examples, and data allow the organizational issue to be more precisely defined. If little or no factual evidence or data can be found to support the existence of a significant issue or opportunity, seek a different organizational issue to explore.  
Continue review of the literature on action research methods. |
| Determine a potential action, intervention, or change that could be implemented to bring about improvement. | Review the literature to learn how other organizations have addressed the issue, and which actions or interventions have been shown to be most effective.  
Discuss potential actions/interventions with others in the organization to gather additional ideas and feedback, including those who are most affected by the issue you plan to address.  
Continue review of the literature on action research methods. |
| Determine feasibility of implementing the intervention and conducting an Action Research study.  
Review your role in your organization and determine whether you can acquire the appropriate permission(s) to conduct an Action Research study at your site. You must have the authority to implement the intervention in order to conduct the study.  
Identify other potential organizational barriers to implementing your intervention and conducting the study. | Review the literature related to conducting research in your own organization.  
Discuss the potential project with your supervisor and those with authority to grant permission for the study to determine feasibility. Discuss possible ways to address organizational barriers.  
Continue review of the literature on action research methods. |
### Action

<table>
<thead>
<tr>
<th>Action</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Plan and design the action research study following the appropriate milestone instructions.</td>
<td>Continue review of the literature on action research methods. Review literature about ethical considerations when conducting research.</td>
</tr>
</tbody>
</table>

### Action Research Resources

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

The list is not exhaustive! Note that many more resources are available in the Capella Library. To find additional resources, conduct a search of the Capella Library resources, or schedule an appointment with a Library Specialist.

### Books and Journal Articles


**Journals (available at the Capella Library)**


**Journal (available online)**

*i.e.: Inquiry in Education*: Online, peer reviewed journal

**Websites**

The following websites host comprehensive information and links to many additional resources:

- [Action Learning, Action Research Association (ALARA)]
- [Action Research Paradigm Protocol (ARPP)]
• Action Research Resources
• American Educational Research Association
• Special Interest Group (SIG) Action Research
• Association for Supervision and Curriculum Development
• Center for Collaborative Action Research
• Center for Practitioner Research: Improving Education and Learning

Note: The Action Research Monograph option for the Doctoral Capstone Project consists of one document – the monograph. Learners will not develop a separate a Final Report as was required prior to Q1, 2020.

EDD ACTION RESEARCH MONOGRAPH TEMPLATE (NEW)
October 2019
Refer to the template for the Action Research Monograph on Campus for the front pages of the monograph (title page, copyright page, abstract, dedication, acknowledgment, table of contents, list of tables and list of figures). The template below provides guidance beginning with the Introduction.

INTRODUCTION

NOTE: For Section Headings, use ALL CAPS BOLDFACE as described in the Doctoral Publications: Formatting Guidelines. All other headings follow APA levels of headings: Level 1 (centered, bolded, uppercase and lowercase); Level 2 (flush left, bolded, uppercase and lowercase); Level 3, 4, or 5 headings, follow APA Manual section 3.03. Paragraph text below each heading is double-spaced with an indented first line.

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

• the organization (e.g., type, size),
• the problem that was addressed,
• the intervention that was implemented,
• the target audience and key stakeholders,
• the purpose or goal of the study, and
• your role in the organization and the action research study.

Close by briefly describing how the monograph is organized in three sections that follow the action research cycle (e.g., plan, implement, evaluate).
SECTION 1: PLANNING (Starts on a new page.)

Briefly describe how this section is organized.

Statement of the Problem

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

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

Organizational Context

The purpose of this section is it provides a rich description of the organization and context for the study. Organizational context describes the environment within which the problem is situated and the contextual factors that are pertinent to the problem situation at the site. Provide sufficient contextual and background information about the organization and its processes for the reader to understand the intervention, implementation plan, and action research methods.

Use the language of systems thinking as appropriate. Support your statements with facts, information, evidence, and/or data.

Include descriptions/analysis of

- the forces or circumstances (e.g., political, economic, social, cultural, ethical) that cause, amplify, or moderate the problem as it exists in the organization (site),
- the history of the problem at the site and its causes,
- how the problem was addressed in the past and the effectiveness of prior solutions,
- factors that were supportive of the study and those that posed barriers or challenges,
- the extent and nature of your collaboration and interactions with others in the study. (For example, how did you engage with leaders, colleagues, staff, and others in
identifying and defining the problem, designing the intervention, and/or gaining approval for the study?)

Intervention

You have described the problem and the organizational context for the problem. In this section, provide an overview of the intervention. The overview should allow the reader to grasp the range of actions undertaken and/or changes to processes, as well as the key phases or stages of the intervention. A model, table, flowchart, calendar, or other visual may offer a way to convey the information concisely and accurately. Discuss the rationale for your choice of intervention. Cite literature in support of your choice.

Purpose Statement

This brief section explains why you conducted the study.

- State the purpose in one sentence: “The purpose of the study was to address the problem through the implementation of [insert intervention] in order to……[improve]…”
- State your expected outcomes.

Review of the Literature

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

Your review should include

- recent research, literature, and theories related to the problem, and to how the problem has been addressed.
- recent research, literature, and theories that form the conceptual foundation (framework) for the intervention. (Briefly explain how they apply to your study.)
- a discussion of action research methods.
- a discussion of systems theory and change theory and their relevance to your study. (See the Action Research Guide to the Topic and Proposal Form for additional information.)

Action Research Methods

Introduce this section by describing its content.

Participants and Stakeholders

In this section, describe both the stakeholders and participants in your study. (See the Action Research Guide to the Topic and Proposal Form for additional information.)

Describe the key stakeholders of your study. (Specify their role(s) in the organization and why they would be impacted by your study.)
Describe the participants in your study, their roles in the organization, their roles in the study, and how they were selected. Were there inclusion or exclusion criteria? Are your participants a sample of a larger group or population?

Justify the selection process and the number of participants.

**Intervention Implementation Plan**

In this section, provide a detailed plan for the implementation of your intervention.

Include activities and tasks, timeline and duration, roles, persons accountable, and so on in a step-by-step description of your plan. This section represents your planned intervention prior to implementation. The use of tables and charts can help explain and clarify your plan.

If changes or unanticipated circumstances led to modification of your plan, do not explain the changes here. You will explain what happened during the implementation, including any departure from the plan, in Section 2 of the monograph.

**Expected Outcomes**

Your implementation plan describes the activities you implemented and delivered.

Briefly, discuss or explain the outcomes you expected as a result of your intervention. (Your actual results are reported in Section 3.)

**Action Research Questions.**

Provide a lead-in phrase before listing your action research question(s). Example: The following research questions guided this study.

Then, list and number your action research questions, which should reflect both the process of the research and your expected outcomes.

(See the Action Research Guide to the Topic and Proposal Form for additional information about research questions.)

**Data Sources and Collection Procedures**

In this section:

- List and describe each data source separately.
- Explain the purpose of each source of data in relation to the research questions, and identify as process data, outcomes data, or both.
- Explain when and how data for each data source was collected.

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

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

In this section:

- List each data source separately. Include all data sources listed above.
- Describe how each data source was analyzed.

NOTE: If you follow the same data analysis procedures for each qualitative source of data, you may describe your qualitative data analysis procedures once. Be sure to indicate the data sources to which your description of the data analysis process applies.

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

Limitations

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

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

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

Ethical Issues

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

(See the Action Research Guide to the Topic and Proposal Form for additional information.)

SECTION 2: IMPLEMENTATION (Starts on a new page.)
Section 2 of the monograph contains a rich description of the actual implementation process, that is, what happened as the intervention was put into action. It is a narrative that tells the story of the implementation of the intervention.

In addition, an analysis of data described in Section 1 is presented.

Two consecutive sections are described below. However, depending on the context of the study and implementation plan, the process analysis and analysis of data sources may be organized and presented to maximize logic and flow of this section.

Provide an introduction to Section 2 here (no heading).

**Process Analysis**

This is the "story" of the implementation of the intervention. According to the ARPP transcript, "Documentation of how the implementation process unfolds on a day-to-day basis is essential to understanding, and clearly communicating to others, 'what happened' during the study." The description and analysis of what actually happens during the implementation, and the documentation of any departures from what was planned or expected, comprises the process analysis. Evidence and data sources for this narrative and analysis should be provided (and may include the researcher's journal).

Consider the following questions as you craft your narrative. (These questions are not intended to serve as separate headings or be addressed as separate paragraphs. They are questions to guide your thinking.)

- How was the implementation monitored and documented?
- What happened as the implementation unfolded? Was the intervention implemented according to schedule? How did participants react?
- What types of conversations occurred among participants and action researchers in relation to the implementation of the intervention?
- Were there any surprises or unanticipated difficulties? If so, describe them.
- Were changes to the original research plan necessary? If so, explain them.
- What assumptions were made about the implementation and the outcomes that may have been challenged by actual events?
- How were the implementation, including communications and data collection, carried out in a way that was respectful of participants?
- How participants and members of the organization were provided updates or information about the progress of the study?
- How were opportunities provided for member checking? If not, was the omission intentional?

**Data Analysis**

In this section, you will analyze each of your data sources. This section presents the analysis, including results, only. You will discuss the results in relation to your research questions in Section 3.

To complete this section, list each data source separately and, for each source,

- briefly recap how the data source (as identified in the plan in Phase 1) was collected, noting any changes in the data collection process from the plan described above.
- briefly describe the data analysis process you undertook to analyze the data source, noting any deviation from your planned analysis described in Phase 1; and
• provide an analysis of each data source and clearly describe/display your results.

As noted above in the Planning section,
• you may describe your qualitative data analysis procedures once if the analysis follows the same procedures for each qualitative source of data. Be sure to indicate the data sources to which your description of the data analysis process applies.
• be sure to explain why the chosen statistic (descriptive or inferential) for each quantitative source of data was appropriate for the level of measurement of the given variable(s).

SECTION 3: EVALUATION (Starts on a new page.)

In Section 3 of the action research monograph, you will provide an evaluation of the findings and outcomes of the study. The section includes a discussion of the findings in relation to the research questions and the literature, a reflection on the study in relation to its successes, limitations, and next steps, implications for practice, recommendations, and a conclusion.

Provide an introduction to Section 3 here (no heading).

Findings

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

List each research question separately and provide a separate discussion in response to each question based on the data analysis you conducted. (Refer to the data you analyzed in Section 2.)

Your research questions likely included a process question and your response to that question will include discussion of the implementation process, what went well, and what might not have gone as well as expected. For example:

• Explain the extent to which the original plan was followed, and whether modifications were necessary.
• Discuss unanticipated events, unexpected consequences, participant reactions, and other aspects of the implementation process.
• Describe how participants were involved and debriefed during the implementation.

You likely also had at least one outcomes question related to the expected improvement.

For your discussion, summarize study results and compare with the baseline data and the expected outcomes. How are things different now? What has improved?

Whether the results of the data analysis are quantitative or qualitative, it should be possible to offer compelling evidence of the extent to which the implementation of the change did or did not make a difference, and whether the difference was positive or negative in relation to your problem.
Compare your findings with findings from the literature. How are your findings similar or different from other research or literature?

**Reflections and Critique**

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

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

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

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

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

**Implications for Professional Practice**

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

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

Takeaways represent what was learned as a result of the study. An action research study can lead to deeper knowledge about the problem and/or about the intervention that may have implications for further action or change in the organization. You may have learned something about implementing change, about interacting with participants and stakeholders, or about implementing improvement at the site that may affect professional practice in the future.
What are the implications of your new knowledge? What could or should change or be done differently, given your study’s results? For example, there may be implications for how leadership and change are conducted at the site. Or the study may have exposed a need for systemic change. Or an implication may be that the results indicate a need for greater collaboration among stakeholders.

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

**Recommendations**

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

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

**Conclusion**

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

**References (Starts on a new page.)**

References are formatted using a hanging indent and may be single-spaced. Leave one blank space between entries. Consult the APA Manual 6th ed. and the Doctoral Publication Guidelines for further details. Remove hyperlinks for URLs.
EVALUATION STUDY

Conducting a Doctoral Capstone Evaluation Study is one of the options that you may choose to complete your Education Doctorate. You may be at the stage where you are investigating each of the Capstone Options to help you make a decision about which one your will pursue. Or, you may have already chosen to conduct an Evaluation Study as the culminating scholarly demonstration of your doctoral program.

The purpose of this document is to provide resources for conducting an Evaluation Study. It is not the definitive resource for everything the reader should know and be able to do to conduct an ES – it is only a guide with, as expected, “guidelines.” Extensive work outside this guide will be necessary to complete a Capella Doctoral Capstone. This guide provides references to resources to assist the learner to get started with an ES.

“Evaluation is about measuring the efficiency and effectiveness of what you did, how you did it, and the degree to which the solution produced the desired results” (Hale, 2007, p. 14). An evaluation explains how you worked with stakeholders to design, develop, implement and communicate results of a program improvement intervention.

Background

What is a Program or Process Evaluation?

Program or Process evaluation is the sequential or systematic assessment of the processes and/or outcomes of a program with the intent of furthering its development and seeking to identify areas that need to be improved. As such, it is typically a collaborative process in which evaluators work closely with program staff to craft and implement an evaluation design that is responsive to the needs of the program. For example, during program implementation, evaluators can provide formative evaluation findings so that program staff can make immediate, data-based decisions about program implementation and delivery. In addition, evaluators can, towards the end of a program or upon its completion, provide cumulative and summative evaluation findings, often required by funding agencies and used to make decisions about program continuation or expansion.

How is evaluation different from research?

Evaluators use many of the same qualitative and quantitative methodologies used by researchers in other fields. Indeed, program evaluations are as rigorous and systematic in collecting data as traditional social research. The primary purpose of evaluation is to provide timely and constructive information for decision-making about particular programs, not to advance more wide-ranging knowledge or theory. Accordingly, evaluation is typically more client-focused than traditional research, in that evaluators work closely with program staff to create and carry-out an evaluation plan that attend to the particular needs of their program.

How is evaluation different from assessment?

The primary difference between evaluation and assessment lies in the focus of examination. Whereas evaluation serves to facilitate a program’s development, implementation, and improvement by examining its processes and/or outcomes, the purpose of an assessment is to determine individuals or group’s performances by measuring their skill level on a variable of interest (e.g., reading comprehension, math, or social skills, to mention just a few). In line with this distinction—and quite common in evaluating educational programs where the intended outcome is often some specified level of academic achievement—assessment data may be used in determining program impact and success.
Competent practitioners help stakeholders measure the impact of solutions.

Evaluators:

- help the stakeholders select the appropriate measures.
- help develop measurement tools and methods
- develop a measurement strategy that includes ways to:
  - leverage data already being collected (or archived)
  - collect data
  - analyze the data
  - summarize and report data including recommendation for changes
  - explain the implications of the data
  - facilitate discussions on what the data mean and how to best use the data so stakeholders understand the results of the program evaluation.

**How to Use These Resources**

The resources in this document are provided to assist learners in finding relevant literature resources for evaluation studies. Learners are encouraged to review these resources with their mentors and identify additional readings from the literature to support the writing of both the Research Paper and Report (deliverable) required for the Capstone assignment.

This resource is organized in the following sections:

- **Getting Started:** Actions and resources to begin planning an evaluation study
- **Evaluation and Related Models & Frameworks:** A compilation of primary references used to select evaluation models and frameworks
- **Additional References:** General references on evaluation studies
- **Websites:** Resources available from professional organizations and consultants.
- **Additional Resources:** Downloadable samples of professional evaluation reports and other useful resources

**Getting Started**

Work with your mentor to get started on the evaluation study. Follow these general steps while planning to design, develop, and implement your evaluation study. Refer to Additional Resources for each item in this table from the listings below.
<table>
<thead>
<tr>
<th>Actions</th>
<th>Resources</th>
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<tbody>
<tr>
<td>Identify an appropriate evaluation model and/or framework to use in</td>
<td>Refer to the references listed in this document.</td>
</tr>
<tr>
<td>your study.</td>
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</tbody>
</table>
**Actions**

- Read a variety of sample evaluation reports to have an idea of what the deliverable will be for your study.

**Resources**

- Refer to the sample evaluation reports included in this document. Review additional evaluation studies found in the Capella Library.

- Ensure that you will be prepared to abide by a Code of Conduct & Ethics while conducting an evaluation study.

**Resources**

- American Evaluation Association Guiding Principles for Evaluators and Program Evaluation Standards
- ISPI Performance Technology Standards

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**Evaluation and Related Models & Frameworks**

Refer to these references to identify an appropriate evaluation model and/or framework to use in your study. Work closely with your mentor throughout this process.

**Models & Frameworks**

**References**

<table>
<thead>
<tr>
<th>Models &amp; Frameworks</th>
<th>References</th>
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<tr>
<td>Model</td>
<td>Reference</td>
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<tr>
<td>Targeted Evaluation Model</td>
<td>performance consultant’s guide to asking the right questions and getting</td>
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<td>the results you trust. Alexandria, VA: ASTD.</td>
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<td></td>
<td>technology: Principles, practices, potential (3rd ed.), (pp. 312-333).</td>
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<td>San Francisco: Pfeiffer/ISPI.</td>
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<td>“really oughta, wanna”? In J.L. Moseley and J.C. Dessinger (Eds.),</td>
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<td></td>
<td>Handbook of improving performance in the workplace: Volume 3: Measurement</td>
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<td></td>
<td>and evaluation (pp. 128-141). San Francisco-Pfeiffer/ISPI.</td>
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<td>Stolovitch &amp; E.J. Keeps (Eds.), Handbook of human performance technology</td>
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<td>(pp. 130-150). San Francisco: Jossey-Bass/ISPI.</td>
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<td>doesn’t: Evaluation beyond Kirkpatrick. Performance and Instruction, 35(2),</td>
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<td>8-12.</td>
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<tr>
<td>Evaluation</td>
<td>San Francisco: Berrett-Koehler.</td>
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<td></td>
<td>Kirkpatrick, J., &amp; Kirkpatrick, W. (2015). The four levels of evaluation</td>
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<td>– An update. Alexandria, VA: ATD.</td>
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<td></td>
<td>Kellogg%20LogicModel.pdf</td>
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<tr>
<td>Return on Investment (ROI)</td>
<td>work: Measuring ROI of human capital processes and outcomes. New York:</td>
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<td>McGraw Hill.</td>
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<td>Reference</td>
<td>Details</td>
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**Additional References**

Use these additional references during your review of literature on topics related to your evaluation study. Many of these references represent foundational literature for evaluation studies.

American Journal of Evaluation http://aje.sagepub.com.library.capella.edu/


ROI Institute. [Case study texts from a wide variety of organizational contexts and topics] (http://www.roiinstitute.net/)


Websites
Locate additional information on accreditation standards, certifications, publications and related resources at these websites.

- American Evaluation Association (AEA)
- Association for Talent Development (ATD)
- International Society for Performance Improvement (ISPI)
- Kirkpatrick Partners
• ROI Institute

You may find it helpful to conduct an internet and library search based on these key terms:

• evaluation research examples
• types of evaluation research
• evaluation research design
• descriptive research
• program evaluation
• purpose of evaluation research
• evaluation research definition
• evaluation research paper

Sample Evaluation Reports

Read a variety of sample evaluation reports to have an idea of what the deliverable will be for your study. Refer to the specific information resources related to ROI studies.

• Evaluation Report Template, USAID Learning Lab
• Evaluation Workbook, Center for Disease Control
• How to Write an Evaluation Plan and Report, Corporation for National, and Community Service
• ROI Certification Components, Scoring Matrix, ROI Institute

The Evaluation Study option for the Doctoral Capstone Project consists of one document – the Evaluation Report. Learners will not develop a separate a Final Report as was required prior to Q1, 2020.
EDD EVALUATION REPORT TEMPLATE (NEW)

October 2019

Note: Refer to the template for the Evaluation Report on Campus for the front pages of the report (title page, copyright page, abstract, dedication, acknowledgment, table of contents, list of tables and list of figures). The template below provides guidance beginning with the Executive Summary.

EXECUTIVE SUMMARY

NOTE: For Section Headings, use ALL CAPS BOLDFACE as described in the Doctoral Publications: Formatting Guidelines. All other headings follow APA levels of headings: Level 1 (centered, bolded, uppercase and lowercase); Level 2 (flush left, bolded, uppercase and lowercase); Level 3, 4, or 5 headings, follow APA Manual section 3.03. Paragraph text below each heading is double-spaced with an indented first line.

1. Arrange the summary in the same order as the evaluation report, with the same major headings. Include sub-headings if the information under the sub-heading will provide necessary summary information for the reader. Generally, you can summarize an entire section without including sub-headings.
2. Summarize each section with up to five sentences, including the same details and conclusions as in the report.
3. Do not include technical language or jargon. The language in the summary should be generic enough for any reader, and at a level appropriate for ease of understanding without further research.
4. A typical executive summary is 10% of the length of the report. The executive summary should be written so that it can be read independently of the report. It must not refer by number to figures, tables, or references contained elsewhere in the report.
5. If the evaluation report includes recommendations for improvement or resolution of a problem, choose at least one and include reasons for choosing that recommendation. If appropriate, mention one or two other recommendations/resolutions and explain why they would be good second choices.

SECTION ONE: BACKGROUND AND CONTEXT (Starts on a new Page)

Provide a brief introduction for the contents of this section. Do not include a heading for the introduction.

Program or Process Description

(Delete the term that does not apply, i.e., “program” or “process,” from the heading.)

Provide a cogent detailed description of the program or process that was evaluated, including

- original goals and/or objectives of the program/process.
- resources/inputs, program/process activities, intended value of the program/process
- the role (i.e., function or purpose) of the program or process and its importance to the organization.
- the type of evaluation conducted (i.e., formative or summative).
Support your narrative with data and evidence. (Consider including a logic model of the program or process as it existed prior to the evaluation.)

Organizational Context

The purpose of this section is to provide a rich description of the organization and context for the evaluation study. Organizational context describes the environment in which the program or process is conducted. Provide sufficient contextual and background information about the organization for the reader to understand how organizational factors are relevant to the program/process’s existence, its importance to the organization, and the need for the evaluation. Use the language of systems thinking as appropriate. Support your statements with facts, information, evidence, and/or data.

Include descriptions/analysis of
- the forces or circumstances (e.g., political, economic, social, cultural, ethical) relevant to the program/process that was evaluated;
- the history of the program/process at the site;
- the history of past evaluations, if any, including results;
- factors that were supportive of the evaluation study and those that posed barriers or challenges;
- the extent and nature of your collaboration with others during the study. (For example, how did you engage or work with others in identifying the need for the evaluation, designing the evaluation, and/or gaining approval for the evaluation?)
- your role in the organization and in the evaluation study.

Rationale for the Evaluation

Explain the need for the proposed program evaluation and why it was important. Discuss the impacts or benefits that were expected as a result of the evaluation. Provide evidence to support your assertions. (These are needs, benefits, and impacts that were envisioned before the evaluation was conducted. Actual results are reported in Section 3.)

Include in this section an explanation of and rationale for the type of evaluation that was conducted and the evaluation model that was used.

(Visuals, including a logic model, can be included here.)

Review of the Literature

The literature review section includes an introduction and conclusion. Organize your review using the sub-headings below or others of your choice as appropriate. The review of literature, both scholarly and theoretical, should demonstrate your grasp of the following areas:

Program’s Theoretical Framework
Discuss the theoretical or conceptual framework used originally in the development of the program or process. (For example, if a curricular program uses constructivism as a learning theory, discuss this theory. The program evaluation would then determine if the
If you are evaluating a process, review literature related to the process, its purpose, and the rationale (including supporting theory and best practice literature) for its development. Evaluation of similar programs or processes may also be present in the literature.

**Evaluation Model/Type of Evaluation**
Discuss the evaluation model/plan (e.g., Logic, CIPP, or other) used as the basis for the evaluation, including discussion of evaluation theory and a rationale for your choice of model; discuss the type of evaluation, whether summative or formative, goal oriented, knowledge oriented, and so on.

**Specialization-related Theory**
Address applicable theories from your specialization (i.e., Educational Leadership and Management, Adult Education, Curriculum and Instruction, Performance Improvement Leadership) that have or had implications for the evaluation study;

**Systems and Change Theory**
Discuss aspects of systems and change theory that applied to the project. For example, what aspects of systems and change theories had implications for the evaluation or were applicable to the purpose of the program being evaluated and/or its context within the organization?

**SECTION 2: EVALUATION METHODS (Starts on a new Page)**

**PROVIDE A BRIEF INTRODUCTION FOR THE CONTENTS OF THIS SECTION.**

**Evaluation Plan**
Describe the evaluation implementation plan, including the evaluation timeline, participants, and data collection schedule.

**Stakeholders, Participants, and Target Audience**

Describe the **stakeholder groups** that were expected to benefit from or to be impacted by the evaluation. These groups have a “stake” in the evaluation. (Specify their role(s) in relation to the organization and why they would be impacted by the evaluation.)

Describe those who **participated** in the evaluation (e.g., people from whom you collected feedback, input, data, and so on, or with whom you collaborated to complete the evaluation). Participants may be members of stakeholder groups. Describe the sample selection process, that is, the process for determining who would provide feedback, input, or data and the sample size. Justify the sample selection process and explain why/how the size and make-up of the sample served the purpose of the evaluation.

Identify the **target audience**. The target audience is the audience for whom the evaluation report was written. These may be specific persons in the organization, accreditation agencies, departments, or others.
Evaluation Questions

Provide a lead-in phrase before listing the evaluation question(s). Example: The following evaluation questions guided this study.

Then, list and number the evaluation questions. Finally, describe how and why you selected these particular questions.

Data Sources and Collection Procedures

In this section:

- List and describe each data source separately.
- Explain the purpose of each source of data in relation to the evaluation questions.
- Explain when and how data for each data source was collected.

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

Data Analysis Methods

In this section:

- List each data source separately. Include all data sources listed above.
- Describe how each data source was analyzed. (You may group qualitative data sources if the analysis follows the same procedures for each.)
- Appropriate rules of quantitative analysis apply when analyzing quantitative data and statistical analyses must be legitimate for the type of data collected can be addressed.
- Do not share results of your data analysis here. You are describing your methods only. The results of your data analysis are shared in the next Section 3.

Limitations

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

Discuss specific measures you took to maximize the credibility (validity), dependability (reliability), and transferability of the evaluation study. How participants and the organization were assured that the evaluation was conducted in a trustworthy manner? What strategies were implemented to assure stakeholders they can trust the results as fair and valid?
Be careful not to confuse limitations with issues of scope. In an evaluation study, the scope is defined by the program or process and its context in the organization within which it exists.

**Ethical Issues**

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

**SECTION 3: FINDINGS AND RECOMMENDATIONS (Starts on a new Page)**

Provide a brief introduction for the contents of this section.

**Data Analysis**

In this section, present the results of your data analysis. This section presents the results of your data analysis only. (You will discuss the results in relation to the evaluation questions and the purpose of the evaluation under “Findings” below.)

To complete this section, list each data source separately and, for each source,

- briefly describe how you analyzed the data, noting any deviation from the planned analysis described in Phase 1;
- clearly describe and/or display results.

As noted above in the Planning section,

- you may provide one description of the qualitative data analysis procedures for all qualitative data sources undergoing the same analysis procedures. Be sure to indicate the data sources to which the description of the analysis procedures apply.
- be sure to apply appropriate rules of quantitative analysis when analyzing quantitative data.
- Place lengthy data analysis data in an appendix.

**Findings**

In this section, you will discuss results and outcomes of the evaluation in relation to the evaluation questions. Provide a separate discussion in response to each evaluation question based on the data analysis that was conducted.

As part of the evaluation findings, include any additional questions that arose as an outcome of the evaluation and challenges that may have been encountered as you conducted the evaluation that may have influenced the results and findings.

**Recommendations**

The findings of an evaluation study may suggest a need for change or a series of changes. Provide recommendations for improvement or next steps based on the evaluation study’s findings and the program or process’s goals. This section should help the stakeholders
understand how they might apply the findings of the evaluation. Consider the organization’s goals, the purpose of the evaluation, and the literature in making actionable recommendations.

**Conclusion**

Provide a concluding section that briefly recaps the program/process, the need for the evaluation, and its purpose. Then summarize the key findings or most impactful conclusions.

**References (Starts on a new Page)**

References are formatted using a hanging indent and may be single-spaced. Leave one blank space between entries. Consult the APA Manual 6th ed. and the Doctoral Publication Guidelines for further details. Remove hyperlinks for URLs. Do not use URLs from the Capella library. Check all citations and references using reciteworks.com. Include doi numbers for journal articles. If a doi number is not available, include the journal website.

**Executive Summary**

**Introduction**

**Program/Process to be evaluated**

Need
Context
Target Population
Stage of Development
Resources/Activities
Inputs
Outputs
Outcomes

**Evaluation Purpose**

Key Audience(s)/Stakeholders
Evaluation Questions
Project Background
Stakeholder Needs
Logic Model

**Evaluation Design and Methods**

Evaluation Design
Data Collection Methods
Data Collection Management & Timeline

**Data Interpretation**

Indicators and Standards
Analysis
Data Analysis Management & Timeline
Interpretation

Limitations

Findings, Conclusions and Recommendation

Communications and Presentation
Communications
Communicating and Reporting Management

References

Appendix

Special Notes on ROI Studies
Review the following ROI Institute documents for further details on ROI certification requirements.

• Certification in the Return On Investment Methodology
• Certified ROI Practitioner Roles
• ROI Certification Competency Matrix
• ROI Certification Criteria

Suggested ROI Impact Report for Performance Improvement Leadership Specialization

Executive Summary

Introduction

Background

Business/Performance Opportunity
Improvement Need/Opportunity
Target Audience

Objectives
Job Performance
Business Results

The Program
The xxxxxxxxxx Program
The Need for a Comprehensive Evaluation
Cost of the Program

The Evaluation Approach
A Balanced Set of Measures
The ROI Methodology
Standards and Philosophy Guiding the ROI Methodology

The Results
CHANCE MANAGEMENT PLAN

Developing a Doctoral Capstone Change Management Plan is one of the options that you may choose to complete your Education Doctorate. You may be at the stage where you are investigating each of the four Capstone options to help you make a decision about which one you will pursue. Or, you may have already chosen to complete a Change Management Plan as the culminating scholarly demonstration of your doctoral program.

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

Note: learners are not asked to implement these plans.

Background

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

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

A change management plan should be designed to:

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

The resources in this document are provided to assist learners in finding relevant literature resources for change management planning. Learners are encouraged to review these resources with their mentors and identify additional readings from the literature to support the writing of both the Doctoral Capstone Final Report and the Deliverable. The Change Management Plan does not have to be implemented.

Contents

This resource is organized in the following sections:

- Getting Started: Actions and resources to begin developing a change management plan
- Change management Related Models & Frameworks: A compilation of primary references used to select change management models and frameworks
- Additional References: General references on change management
- Websites: Resources available from professional organizations and consultants
- Additional Resources: Downloadable samples of professional change management reports and other useful resources

Getting Started

Learners should work with their mentor to get started on the change management planning process. Follow these general steps while planning to design, develop, the change management Capstone project. Refer to Additional Resources for each item in this table from the listings below.

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<thead>
<tr>
<th>Actions</th>
<th>Resources</th>
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</table>
Identify an appropriate change management model and/or framework to use in your study. Refer to the references for models and frameworks listed in this document.

Read a variety of sample change management reports to have an idea of what the deliverable will be for your study. Refer to Additional Resources and Sample Change Management Reports & Templates. Review additional change management plans found in the Capella Library and internet.

Ensure that you will be prepared to abide by a Code of Conduct & Ethics while planning a change management strategy. Refer to your specialization’s professional association for further guidance on a Code of Conduct & Ethics.


Change Management Models & Frameworks

Refer to these references to identify an appropriate change management model and/or framework to use in your study. Work closely with your mentor throughout this process.

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<thead>
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<th>Models &amp; Frameworks</th>
<th>References</th>
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[https://www.mindtools.com/pages/article/newPPM_82.htm](https://www.mindtools.com/pages/article/newPPM_82.htm)  
## Models & Frameworks

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<td><em>change in our personal lives and professional careers.</em> Loveland, CO: Prosci Research.</td>
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</table>

### Prosci’s ADKAR Model


### Stages and Strategies for Acceptance of Change


### Shared Power


### Sustainability


## Additional References

Use these additional references during your review of literature on topics related to your evaluation study.


**Journal of Change Management**

**Journal of Organizational Change Management**

**Performance Improvement Journal**

**Performance Improvement Quarterly**

## Websites

Locate additional information on accreditation standards, certifications, publications and related resources at these websites.

- [American Management Association (AMA)](https://www.ama-all.org/)
- [Association for Talent Development (ATD)](https://www.atd.org/)
- [Change Management Institute](https://www.changemanagement.org/)
- [Change Management Models – A Comparison](https://www.change-management.com/tutorial-adkar-overview.htm)
- [Office of Chief Information Officer, Washington State](https://www.oic.state.wa.us/)
You may find it helpful to conduct an internet and library search based on these key terms:

- change management plan example
- change management process
- change management plan template
- organizational change management plan
- change management models
- project change management plan
- organizational change management plan template
- change management plan definition.

**Sample Change Management Reports**

Read a variety of sample change management reports to have an idea of what the deliverable will be for your study.

- Change Management Preparation Workbook, Association of Corporate Counsel
- Change Management Workbook and Toolkit, Queensland Government Information Office
- Dale Carnegie Change Management, Dale Carnegie
- CDC Change Management Plan Template, Center for Disease Control
- Prosci Organizational Change Management Planning Checklist, Prosci.com
- Project Planning Templates, Project Management Docs

**Sample Change Management Templates**

**Executive Summary**

**Introduction**

**Background**

Type of Change
Organizational Context
Performance Analysis: Needs Assessment
Change Management Purpose
Key Audience(s)/ Stakeholders
Organization Change Readiness

**Change Management Design and Methods**

Change Management Design
Guiding/Research Guiding Questions to guide and evaluate the change
Project Constraints
Process Change
People Change
Information Sharing
Cost of Change
Risk Assessment
Change Management & Timeline

**Implementation Strategies**

Action Plan
Communication Plan
Business Systems Plan
Training Plan
Resistance Plan
Roles & Responsibilities of Change Management Team

**Change Management Monitoring**

Change Management Request Process Requirements
Change Request Form and Change Management Log
Evaluating and Authorizing Change Requests
Change Control Board

**Findings, Conclusions and Recommendation**

**Communications and Presentation**

Communications
Communicating and Reporting Management

**References**

**Appendix**
**CURRICULUM PRODUCT**

**Introduction**

This section of the guide provides information about getting started with a curriculum product, along with suggested books, articles, and links to Curriculum Product resources. Because of the diversity of the curriculum products, rather than propose a template for each of the curriculum products, the elements of the curriculum products will be described.

The curriculum deliverable product is one of two deliverable types under the Capstone Project professional product category. Learners who plan to develop a curriculum product must first have reviewed data to determine that a curriculum product is the most appropriate solution to the problem or situation.

The remainder of this document is organized as follows:

- Curriculum Product Options
- Scope of Product
- Purpose of the curriculum product
- Getting Started: A basic overview of the general curriculum product planning process
- Suggested Elements: A list of elements to guide the development of the curriculum products
- Curriculum Product Resources: Selected references and resources about curriculum products

**Curriculum Product Options**

The following section is provided for the following curriculum product options:

- Curriculum Development
- Course Development
- Professional Development

Learners must have permission of their mentor to develop an alternative curriculum product other than a curriculum, a course or professional development. Learners should submit a rationale to develop an alternative curriculum product. Mentors should confirm with the Specialization Chair to confirm approval to develop an alternative curriculum product.

**Scope of the Product**

The scope of the project should address a problem beyond the building level and be of consequence for a district or for a larger scope than the immediate local surroundings. For example, the learners must demonstrate that the problem can be addressed district-wide in addition to at their own school or setting. The curriculum product should be carefully justified from data such as test scores or needs assessment data and it should be doctoral level work.

- A curriculum product at the doctoral level should be built on a theoretical framework with literature to support the project appropriate to the product being developed.
- It should be based on data that solves an authentic problem at an established setting
• The doctoral level capstone should be substantive, comprehensive, and robust in form and function

For example, if the learner has data that indicates that the district or organization would benefit from having a mentoring program and a mentoring manual, the manual must be accompanied by professional development training on mentoring. A manual alone would not be sufficient.

A doctoral level curriculum product should expand on existing products or fill a gap or create a new curriculum product. Learners should reconsider creating a product for which there are many options on the market from which they can choose. If the learner proposes to create something for which there are market-available options, the learner should be prepared to justify why creating another similar product is a reasonable decision.

Many organizations are changing instructional delivery systems from print to online delivery. Significant enhancements and changes must be made to the print version to qualify as being rigorous enough to be considered doctoral level work.

Learners should work closely with their mentor to discuss the scope of the curriculum product.

**Purpose of the Curriculum Product**

The purpose of the curriculum product deliverable is to demonstrate the learner’s ability to

• appropriately identify a data-based problem;
• align the curriculum product solution to the identified problem;
• access existing knowledge and best practice literature to develop the product; and
• develop a curriculum product that could be implemented to address the problem.

The critical attribute of a curriculum product is to have a complete, standalone product that contains all the elements of the product so that it any knowledgeable person could implement the deliverable.

The Doctoral Capstone Curriculum Product will provide:

• evidence of a well-defined problem or opportunity for improvement, supported by data and evidence, and informed by current literature;
• actions/interventions undertaken to improve the situation (supported by existing data and/or literature);
• a completed product in a final form, ready to implement; and
• a plan for how the curriculum product could be evaluated to determine if it met the outcomes.

**Getting Started**

The table below provides a basic overview of the general planning process for a curriculum product. However, as with the other deliverables, this guide is not intended to be a curriculum product manual or handbook. As part of the preparation for designing and implementing a curriculum product, learners are expected to gain an understanding of developing curriculum products by conducting an independent review of the literature.

Learners are expected to be well informed about the problem or opportunity the product will address, as well as the action or intervention that will be implemented. Therefore, ongoing review of literature related to the selected topic and intervention is an important element of the
planning process from the very beginning. It will be necessary for the learner to provide a theoretical framework and literature review for their Final Report.

Once again, this guide is intended as a general resource that is applicable to all specializations where the curriculum product is approved. Learners should consult with their mentors for any additional requirements and/or resources that apply specifically to their specializations.

Basic overview of the curriculum product planning process

<table>
<thead>
<tr>
<th>Action</th>
<th>Comments</th>
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<tbody>
<tr>
<td>Examine a problematic process/issue in your organization that could be improved through the implementation of planned intervention. Alternatively, identify an opportunity for continuous improvement.</td>
<td>Review the literature to develop a deeper understanding of the organizational issue or opportunity being considered for a curriculum product.</td>
</tr>
<tr>
<td>Identify the specific evidence and/or data that serves to define the problem or opportunity and the potential impact if it is not addressed.</td>
<td>Evidence, examples, and data allow the organizational issue to be more precisely defined. If little or no factual evidence or data can be found to support the existence of a significant issue or opportunity, seek a different organizational issue to explore. Continue review of the literature curriculum product development.</td>
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<tr>
<td>Determine a potential action, intervention, or change that could be implemented to bring about improvement.</td>
<td>Review the literature to learn how other organizations have addressed the issue, and which actions or interventions have been shown to be most effective. Discuss potential actions/interventions with others in the organization to gather additional ideas and feedback, including those who are most affected by the issue you plan to address.</td>
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<tr>
<td>Determine feasibility of implementing the curriculum product</td>
<td>Review the literature related to conducting research in your own organization. Discuss the potential project with your supervisor and those with authority to grant permission for the study to determine feasibility. Discuss possible ways to address organizational barriers.</td>
</tr>
<tr>
<td>Review your role in your organization and determine whether you can acquire the appropriate permission(s) to implement the curriculum product you are proposing at your site. You must have the authority to implement the intervention.</td>
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<tr>
<td>Identify other potential organizational barriers to implementing your intervention and completing your deliverable</td>
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<tr>
<td>Plan and design the deliverable following a recognized design model.</td>
<td>Read this section of the deliverable guide and follow design steps suggested by the design model chosen for the project.</td>
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Research/Development Guiding Questions

For each curriculum product, the learner should develop questions that guide the development of their product. The questions that guide the development product are similar to questions that might be developed for a Program Evaluation. For example, for professional development, the learner might ask the following question: “What evidence adequately measures a teacher’s engagement strategies to increase learning in high school social studies classes?”

DEVELOPING A CURRICULUM

Introduction

Curriculum Development is a large task. Curriculum is defined as planned, purposeful, progressive, and systematic process to create positive improvements in what and how students learn. A curriculum could be created or modified at the district or state level or even on a larger scope such as the case with the Common Core. When one undertakes the development or modification of a curriculum, there must data and evidence that supports the need for curricular changes.

Curriculum development is often done in a group. If the learner is a part of a curriculum development team, their role in the development process must be clearly described.

Curriculum Components

The following components are common in many curriculum documents and learners are encouraged to use them if they are developing a curriculum. If these components do not align with the organization’s policies and procedures for which the curriculum is being developed, the learner should use the process required in their organization.

- Establish a clear curriculum philosophy, missions and vision to guide the curriculum development.
- Align to a set of curricular standards or industry standards and expected outcomes.
- Establish overarching goals.
- Provide structure for continuity among multiple users.
- Build in flexibility enough to accommodate individualization in teaching styles.
- Align the curriculum vertically among grade levels to understand when concepts among grade levels should be introduced, reinforced, mastered and assessed.
- Build in efficiency in terms of development time, cost, and professional development for users.
- Provide a scope and sequence.
- Develop a curriculum map.
- Solicit feedback from curriculum and content experts.
- Develop an assessment plan to evaluate student achievement including formative and summative evaluation.

Curriculum Development Resources


**Curriculum Development Key Word Searches**

- [Curriculum Development Basics](#)
- [Principles of Curriculum Development](#)
DEVELOPING A COURSE

Introduction

Designing a course provides the opportunity to incorporate creativity and best practices while at the same time ensuring that outcomes are aligned to academic standards and promote critical thinking and problem solving for living in the 21st Century. Course developers and instructional designers should have an understanding of learning theory and cognitive load theory to promote deep learning. This resource is an excellent summary of four categories of learning theory: Behaviorism, Cognitive, Humanistic and Social.

Note: Links have been provided for a select few elements for course development. Doctoral learners should continue to do searches for the elements for which links have not been provided if they want more information.

Please note that the organization of courses can vary from institution to institution. The overarching guideline is that the course should contain every element necessary for the course including all instructor material and all student material.

Course Development Components

The following components should be taken into account when developing a course:

Accessibility

It is critical that designers of online courses understand accessibility issues for learners with disabilities in compliance with the Americans with Disabilities Act.

Copyright

All course material must follow copyright and fair use.

Aligning Courses to Academic Standards, a Framework or Industry Standards

Aligning courses to local, state or industry standards is critical and necessary criteria for many accrediting agencies. Clearly identify the academic or industry standards to which the course outcomes are aligned. Key Word Searches: Aligning to Courses Standards

Division of Course Units

The course should be divided into modules consistent with the school’s policies

Course Overview

Every course should have a course overview. As the name implies, the course overview should give the student an abstract of what to expect in the course. It should also get the students attention in a way that makes them interested in taking the course.

Course alignment

The outcomes, learning materials, media, readings, assignments, scoring guides/rubrics, discussions (as appropriate), instructor resources, and any and all things associates with teaching a course

Learner Outcomes

Student outcomes should clearly state expectations in measurable terms. Outcomes should be developed to elicit knowledge, skills and critical thinking/problem solving.

Learning Activities

Activities should be designed to promote active learning aligned with the outcomes. Avoid “busy work.”

Discussion Questions
If you are designing an online or blended/hybrid course, writing of discussion questions is important in the online environment to promote collaboration and to monitor student progress. Prior to starting a new discussion, it should be clearly stated to all involved why the discussion is important and the learning that should take place from the discussion.

Assessments

Every learner outcome should be assessed. The assessment should demonstrate the student’s ability to perform the outcome. Every assessment should have an associated rubric.

Rubrics

Every assignment should have a rubric or scoring guide appropriate to the type of assessment being administered. The type of scoring product is a professional decision made by the course developer. *Key Word Search: Developing Rubrics*

Syllabus

Every course should have a syllabus whether it is offered face-to-face, online, or in a blended/hybrid configuration. *Key Word Search: Creating a Syllabus*

Multimedia

Multimedia, when used properly can enhance learning and become a key aspect of the course. Before implementing multimedia, understand how it will enhance the learning. Never use multimedia technology simply for the sake of technology. *Key Words: Using Multimedia Effectively*

Course Development Key Word Searches

- Developing Courses
- Developing Training Courses for Business and Industry

Books and Articles for Course Development


**Learning Theory**


**Adult Learning Theory**


**Web Sites**

- [Self Study Guide in Instructional Design](#)
- [Survey of Instructional Development Models. ERIC Digest](#)
- [Instructional Design and Learning Theories](#)
- [Tips for Rapid Instructional Design](#)
- [Problem-Based Learning](#)
- [Funderstanding—About Learning](#)
- [Learning Theory & Instructional Strategies Matrix](#)
- [The Theory into Practice (TIP) Database: Explorations in Learning & Instruction](#)

**Organization**

- [American Society for Training and Development (ASTD)](#)
- [International Society for Performance Improvement (ISPI)](#)

**Journals**

- British Journal on Educational Psychology
- Educational Psychology
- Journal of Educational Psychology
PROFESSIONAL DEVELOPMENT

Introduction

A caveat must be taken into consideration when creating professional development opportunities for professionals. The content, the context, and the participants are critical to the scope and sequence of the professional development event. There is no specific template for the developer to follow but this guide has suggested elements. Professional development may be developed in a variety of venues from face-to-face, online, hybrid, etc. Learners are encouraged to be creative and innovative in the manner in which the professional development is offered.

The following components were modified from Laura Desimone’s Primer on Professional Development (2011), She offers the following core components of professional development:

**Content focus:**
Professional development or training activities should focus on subject matter content and how participants learn that content.

- **Active learning:**
Participants should have opportunities to apply content and get involved, such as observing and receiving feedback, analyzing work, or making presentations, as opposed to passively sitting through lectures and slide presentations.

- **Coherence:**
What participants learn in any professional development or training activity should be consistent with other professional development, with their knowledge and beliefs, and with educational reforms and policies.

- **Duration:**
Professional development or training activities should be spread over an 8-16-week period of time and should include enough hours of contact time for the transfer of learning to occur, for example, Desimone recommends 20 or more hours

- **Collective participation:**
Groups of participants from the same content should participate in professional development or training activities together to build an interactive learning community.

**Professional Development Components**

When taking on the development of professional learning, it is important for the developer to understand what knowledge, skills and strategies are important for the participants to know and be able to do at the end of the professional development. The following components of professional development must be considered:

- prior knowledge of the participants;
- unique needs of adult learners;
- knowledge and skills to be developed;
- relevant job-embedded content and strategies for transfer of learning;
- delivery mode;
• optimum time and date(s);
• appropriate length of professional development;
• necessary follow-up to aide in the transfer of learning;
• evaluation strategies; and
• selection of the appropriate facilitator.

The above list is typical of what should be taken into consideration when designing professional development. This list could be expanded depending on the context and content of the training.

The following elements are suggested for professional development - regardless of the delivery mode (electronic or face-to-face):
• learning Outcomes;
• overview for participants;
• presentation Materials;
• active Learning Strategies;
• any necessary handouts or supplemental materials;
• planned follow-up;
• facilitator’s Guide;
• learner’s Guide; and
• evaluation of participant’s achievement of learning outcomes.

**Best Practices for Professional Development**

The following suggestions are taken from the Standards for Professional Learning developed by the professional organization, Learning Forward and should be considered when developing a curriculum product.

• Promote Learning Communities
  
  Promoting learning communities can increase educator effectiveness and enhance continuous improvement.

• Leadership Support
  
  Effective professional development requires strong leadership to develop capacity and create support systems for professional learning.

• Resource Allocation
  
  Professional development effectiveness requires appropriate monitoring and coordinating resources to enhance educator and student learning.
• Data

Data plays a dual role in professional development. The first role or purpose of data is to inform the need for the focus of the professional development. Data could be student test schools, educator, and system data. The same data can be used in the second role to assess the effectiveness of professional learning.

• Change

Professional Development should promote change. The strategies to promote change should apply research and theory to sustain and support professional learning for long term change.

• Professional Development Outcomes

Professional learning that increases educator effectiveness should align with educator performance and academic curriculum standards.

NOTE: When developing a Professional Development event for your Doctoral Capstone Project, the final deliverable should contain a Facilitator’s Guide so that anyone facilitating the PD will have a guide that takes him or her through all the steps.

Key Word Search for Training

• Best Practices for Training
• Training and Development
• Talent Development

Professional Development Resources


DEVELOPING A TRAINING CURRICULUM (FOR PERFORMANCE IMPROVEMENT LEADERSHIP)

Introduction

Training curriculum is a total package of learning activities designed to achieve the objectives of the training program. In a corporate setting, the objective, or desired end, is that trainees will acquire the specific knowledge and skills (competencies) they need to do their jobs.

The training curriculum process begins with a needs assessment and ends with an evaluation of the training and training process.

The curriculum development process can be categorized into four basic steps:

1. needs assessment;
2. the planning session;
3. content development;
4. pilot delivery and revision

Corporate curriculum developers may use one of the design models available in the literature or a format specified for the organization the curriculum is designed for. There are four primary components to be considered when developing any training curriculum:

1. the needs of the learners;
2. the content or information to be delivered;
3. the organization of the curriculum which includes structure, format, and sequencing; and
4. the training methods used (face-to-face, virtual, or blended deliveries).

Training Curriculum Components

A training curriculum project may include a course, a series of modules, or an entire curriculum designed to meet the goals and strategic objectives of an organization. The completed curriculum package should include, at a minimum:

- general theme or topic;
- goals and objectives;
- lesson plans with trainer guides;
- training aids and resources;
- assessment activities; and
- evaluation of the training and training process.

Training Curriculum Resources


**Searches Related to Developing Training Curriculum**

- sample training curriculum
- training curriculum design template
- training curriculum template
- designing training curriculum
- designing a training program for employees
- curriculum design training course
- training material development process
- curriculum development training seminars

**Training Curriculum Websites**

- ADDIE Model
- Building Your Curriculum Development and Training Skills
- Creating Training Curriculum is Now Simple – A 6 Step Process [Video]
- Developing and Maintaining Technical Training Curriculum
- Nuts and Bolts of the Curriculum Process
- Overview of the Curriculum Development Process
- Time to Develop One Hour of Training
- Training Design: Principles and Strategies
- Training Material Development Guide