

Appendix B: Approved HEC Application and Documents



HUMAN ETHICS COMMITTEE
Application for Approval of Research Projects

Please write legibly or type if possible. Applications must be signed by supervisor (for student projects) and Head of School

Note: The Human Ethics Committee attempts to have all applications approved within three weeks but a longer period may be necessary if applications require substantial revision.

1 NATURE OF PROPOSED RESEARCH:

(a) Staff Research <input type="checkbox"/>	Student Research <input checked="" type="checkbox"/>	(tick one)
(b) If Student Research	Degree PhD	Course Code COMP 690
(c) Project Title: Agile Project Management		

2 INVESTIGATORS:

(a) Principal Investigator	
Name	Rashina Hoda
e-mail address	rashina@gmail.com
School/Dept/Group	Computer Science

(b) Other Researchers		
Name		Position
None		

(c) Supervisor (in the case of student research projects)	
Dr. James Noble and Dr. Stuart Marshall	

3 DURATION OF RESEARCH

- (a) Proposed starting date for data collection 1st January 2008
(Note: that NO part of the research requiring ethical approval may commence prior to approval being given)
- (b) Proposed date of completion of project as a whole 1st May 2010

4 **PROPOSED SOURCE/S OF FUNDING AND OTHER ETHICAL CONSIDERATIONS**

(a) Sources of funding for the project

Please indicate any ethical issues or conflicts of interest that may arise because of sources of funding
e.g. restrictions on publication of results

None

(b) Is any professional code of ethics to be followed **Y** ☐ **N** ☒

If yes, **name**

(c) Is ethical approval required from any other body **Y** ☐ **N** ☒

If yes, name and indicate when/if approval will be given

Not applicable

5 **DETAILS OF PROJECT**

Briefly Outline:

(a) The objectives of the project

To explore the concept of Agile Project Management within companies/practitioners/mentors using Agile software methodologies such as extreme programming (XP), Scrum, Crystal, etc. In particular the research will use qualitative research methods like grounded theory to derive important conclusions about the practices of project management within the Agile software development field in New Zealand, India and possibly other international markets. The investigation is expected to delve into the following sub-topics, and explore:

- the role of the project manager in an Agile project
- the process and problems of transitioning into an Agile company/practitioner
- the issues around offshoring or outsourcing of Agile software projects.

b) Method of data collection

A combination of qualitative methods will be used for data collection based on qualitative research methods such as grounded theory. These include semi-structured interviews, surveys, questionnaires, observations, etc. In case of a project being followed through, effort will be made to conduct interviews or have questionnaires filled out at important milestones of the project or at mutually agreed regular intervals.

(c) The benefits and scientific value of the project

The research will explore the use of Agile methodologies in real life companies/practitioners to gain broader and in-depth understanding of the process. It will aim to formulate the best practices and experiences of Agile project management as witnessed by different companies/practitioners.

- It will allow Agile project managers to gain better understanding of their role in Agile projects management issues as explored in this research in various companies.
- By exploring the experiences of companies transitioning into the Agile software development, the research will help new companies/practitioners to adopt tried and tested ways of successful transitioning.
- Similarly, the research will allow companies to better understand the issues around offshoring or outsourcing of Agile projects.

(d) Characteristics of the participants

Software project managers, developers, team leaders, practitioners, authors, mentors, or consultants involved with agile methodologies.

(e) Method of recruitment

Companies and practitioners will be approached via email, Agile community lists, and user groups with a brief outline of the intended research.

The researcher will then collaborate with individual organisations or practitioners to clearly define mutually agreeable terms. This will include the purpose and scope of the project, the collection and use of data, the time commitments expected from the staff, and feedback procedures.

Although there's no rigid limit on the number of participants, we estimate that we may need to interview up to a maximum 20 participants.

An initial draft of this proposal is attached to this application with supplementary information sheet, interview guide and consent form.

(f) Payments that are to be made/expenses to be reimbursed to participants

None

(g) Other assistance (e.g. meals, transport) that is to be given to participants

None

(h) Any special hazards and/or inconvenience (including deception) that participants will encounter

None

(i) State whether consent is for:

(i)	the collection of data	Y <input checked="" type="checkbox"/>	N <input type="checkbox"/>
(ii)	attribution of opinions or information	Y <input type="checkbox"/>	N <input checked="" type="checkbox"/>
(iii)	release of data to others	Y <input type="checkbox"/>	N <input checked="" type="checkbox"/>
(iv)	use for a conference report or a publication	Y <input checked="" type="checkbox"/>	N <input type="checkbox"/>

(v) use for some particular purpose (specify) Y ☐ N ☒

Not applicable

Attach a copy of any questionnaire or interview schedule to the application

(j) How is informed consent to be obtained (see sections 4.1, 4.5(d) and 4.8(g) of the Human Ethics Policy)

- (i) the research is strictly anonymous, an information sheet is supplied and informed consent is implied by voluntary participation in filling out a questionnaire for example (include a copy of the information sheet) Y ☐ N ☒
- (ii) the research is not anonymous but is confidential and informed consent will be obtained through a signed consent form (include a copy of the consent form and information sheet) Y ☒ N ☐
- (iii) the research is neither anonymous or confidential and informed consent will be obtained through a signed consent form (include a copy of the consent form and information sheet) Y ☐ N ☒
- (iv) informed consent will be obtained by some other method (please specify and provide details) Y ☐ N ☒

Not applicable

With the exception of anonymous research as in (i), if it is proposed that written consent will not be obtained, please explain why

Not applicable

(k) If the research will not be conducted on a strictly anonymous basis state how issues of confidentiality of participants are to be ensured if this is intended. (See section 4.1(e) of the Human Ethics Policy). (e.g. who will listen to tapes, see questionnaires or have access to data). Please ensure that you distinguish clearly between anonymity and confidentiality. Indicate which of these are applicable.

- (i) access to the research data will be restricted to the investigator Y ☐ N ☒
- (ii) access to the research data will be restricted to the investigator and their supervisor (student research) Y ☒ N ☐
- (iii) all opinions and data will be reported in aggregated form in such a way that individual persons or organisations are not identifiable Y ☒ N ☐
- (iv) Other (please specify)

Not applicable

- (l) Procedure for the storage of, access to and disposal of data, both during and at the conclusion of the research. (see section 4.12 of the Human Ethics Policy). Indicate which are applicable:

- (i) all written material (questionnaires, interview notes, etc) will be kept in a locked file and access is restricted to the investigator **Y** ☒ **N** ☐
- (ii) all electronic information will be kept in a password-protected file and access will be restricted to the investigator **Y** ☒ **N** ☐
- (iii) all questionnaires, interview notes and similar materials will be destroyed:
- (a) at the conclusion of the research **Y** ☐ **N** ☒
- or (b) 3 years after the conclusion of the research **Y** ☒ **N** ☐
- (iv) any audio or video recordings will be returned to participants and/or electronically wiped **Y** ☒ **N** ☐
- (v) other procedures (please specify):

None

If data and material are not to be destroyed please indicate why and the procedures envisaged for ongoing storage and security

Not applicable

- (m) Feedback procedures (See section 7 of Appendix 1 of the Human Ethics Policy). You should indicate whether feedback will be provided to participants and in what form. If feedback will not be given, indicate the reasons why.

Participants will be kept updated about research results and all important findings. They will also be given feedback and allowed to review the interpretation of their comments/data.

- (n) Reporting and publication of results. Please indicate which of the following are appropriate. The proposed form of publications should be indicated on the information sheet and/or consent form.

- (i) publication in academic or professional journals **Y** ☒ **N** ☐

- (ii) dissemination at academic or professional conferences **Y** ☒ **N** ☐
- (iii) deposit of the research paper or thesis in the University Library (student research) **Y** ☒ **N** ☐
- (iv) other (please specify)

None

Signature of investigators as listed on page 1 (including supervisors) and Head of School.

NB: All investigators and the Head of School must sign before an application is submitted for approval

	Date
	Date
	Date

Head of School:

	Date
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Agile Project Management - Information Sheet

General Information

This research is being conducted as a part of studies towards a PhD degree in the department of Computer Science at Victoria University of Wellington, New Zealand.

Student: Rashina Hoda (hodarash@mcs.vuw.ac.nz, +64 4 463 6778)
Supervisors: Dr. James Noble (kjx@mcs.vuw.ac.nz, +64 4 463 6736)
Dr. Stuart Marshall (stuart.marshall@vuw.ac.nz, +64 4 463 6730)
Research Topic: Agile Project Management

Aim of the Research

The objective of this research is to explore the concept of Agile Project Management within companies/practitioners/mentors using Agile software methodologies such as XP, Scrum, Crystal. The investigation is expected to delve into the following sub-topics, and explore:

- the role of the project manager in an Agile project
- the process and problems of transitioning into an Agile company/practitioner
- management of offshored or outsourced Agile software projects.

Method of Research and Interviews

The research will use qualitative analysis methods to gather valuable data regarding various issues in Agile Project Management in New Zealand and India. We have sought and have been granted approval by the Human Ethics Committee to conduct these interviews and observations.

In order to gather information regarding the topic, interviews will be conducted to gain insight and data from project managers, developers, practitioners, mentors, and consultants who have practical experience in the field of Agile project management. The data collected in the form of interview transcripts or project results will be treated as strictly confidential (please see details under 'Confidentiality' section below.) We would ideally like to conduct 2 or 3 interviews at different important stages of the project. Each interview would last for roughly an hour and will be held at the interviewee's workplace or as mutually agreed between the researcher and the interviewee. The interviews will be taped to reduce the risk of interviewer not being able to note down all information provided by interviewee. An interview guide is attached herewith.

Purpose of Data Collection

The data collected will be analysed carefully to derive important conclusions about the practices of project management within the Agile software development field. Papers may be published in journals and conferences during the course of the research for the benefit of the larger research community. The final thesis report will be published as a PhD thesis and will be held at the Victoria University Library.

Confidentiality and Consent

All materials collected will be stored in a confidential way and will be destroyed at the completion of the research. No personal information or details will be collected during the interview. The data collected will be kept confidential to the researcher (myself), and my supervisors Dr. James Noble and Dr. Stuart Marshall. The thesis report and any papers published as a result of the study will not



Consent for Participation in Research

Topic of Research: Agile Project Management

Researcher: Rashina Hoda, Victoria University of Wellington, New Zealand

I have been provided with and have understood the information regarding this research and the confidentiality conditions. I have been given the opportunity to ask questions and have them answered to my satisfaction.

I agree to be interviewed by Rashina Hoda for the purpose of this research contributing towards her PhD degree and resultant thesis and conference papers publications. I also understand that I may withdraw from this research upto 30 days after the data collection/interview.

I give my consent to the collection and use of my opinions, perceptions, information and experiences during this research.

I agree to have the interviews sound-recorded (to reduce the risk of interviewer not being able to note down all information provided by interviewee)?

YES

NO

I would like to receive a copy of any publications that are based on these interviews?

YES

NO

If yes, please provide an email or mailing address below.

Name: _____

Signed: _____

Date: _____

Agile Project Management – Interview Guide

General Information

Interview Date: _____

Interview Venue: _____

Topic: Agile Project Management

We will discuss any or all of the following depending on what's relevant and applicable to the interviewee's experience.

- role of project manager in Agile projects
- process and problems of transitioning into an Agile framework
- management of outsourced or off-shored Agile projects

Agenda

	Category	Duration
1.	Explain topic, agenda, and rules of interview	5 mins
2.	Previous experience with Agile methodologies, Agile project management, transitioning, and outsourcing	10mins
3.	Depending on interviewee's experience: - define your role and responsibilities as project manager - details of transitioning into an Agile framework - detailed setup of outsourced Agile projects	15 mins
4.	Discuss things that worked well for the project (your idea of best practices) with respect to any or all of the above points (refer 3)	10 mins
5.	Discuss problems and issues with respect to any or all of the above (3)	10 mins
6.	Suggest improvements on any or all of the above areas (3)	5 mins
7.	Closing (fix next interview session where applicable, explain feedback process to interviewee.)	5 mins

Rules of Interview

- Interviews will be taped, upon mutual agreement, to reduce the risk of interviewer not being able to note down all information provided by the interviewee.
- Interviewees can be provided with interpretations of their comments/data collected during the interview, if required by the interviewee.
- Interviewee will be allowed to discuss any other relevant issue not covered by the interview agenda.

Interview Questions

1. How did you learn about Agile?
2. Is there a live Agile project that you are working on?
3. What is the project about (what flavour of Agile are you using)?
4. What's the team size and project duration?
5. Was the customer tuned into Agile or did you promote it?
6. What's your role and responsibilities in the project?
7. What difficulties have you faced so far on this project?
8. What are the main issues faced by you (as a manager/leader) when dealing with:
 - A. customers
 - B. internal team and management
9. At this point, what are your expectations of the project (how long will it take, on budget/ on time)?
10. In your wider experience, what are the advantages of Agile project management?
11. Disadvantages, if any?
12. Please describe your experience of transitioning into an Agile framework (share particular project experience)
13. what were some of the biggest obstacles in transitioning and how did you get around them?
14. who best supported the process?
15. what went wrong?

16. what would you advice companies thinking of transitioning into Agile?

17. In your opinion, whats the best way to promote Agile?

18. Is there anything else that you feel we should have discussed?