

## College of Doctoral Studies Dissertation Committee Roles and Responsibilities Guide

This document provides information on University of Phoenix College of Doctoral Studies (CDS) practitioner doctoral program dissertation process and the roles and responsibilities of the student, faculty, and dissertation team during each of the five phases of the doctoral journey. Faculty and students are reminded that unlike most doctoral programs, CDS doctoral students work on proposal and dissertation throughout the entire program. As students are working on end-of-phase deliverables, these deliverables are drafts culminating into a final quality dissertation. The final dissertation is complete when the signature page is routed for dissertation committee signatures.

The process described below focuses solely on the current program version (released January 2, 2020) and on the dissertation courses within each of the five phases of the doctoral journey. Further information and guidance on development and alignment of the prospectus, précis, concept review, proposal, and the dissertation elements are in the Dissertation Guide, located on CDS Central and accessible via the following link (Please click CTRL and link to access all links): [Dissertation Guide](#)

TK20 is the document evaluation system used to provide formal approval to proceed to the next phase during the final four phases of the doctoral journey. This document clarifies use of this system during each of those phases.

Teams 365 is the collaboration platform where students invite their dissertation course faculty or committee members to provide detailed feedback on draft-deliverables during all active dissertation seminar courses – DOC/715, DOC/723, DOC/741, and DOC/742, including all continuing enrollment courses. Students and faculty have access to this platform to markup all dissertation phase documents to keep a running history of suggestions, edits, and feedback from faculty members. This document clarifies use of this platform during each of the phases.

The following documents, located in CDS central, provide student and faculty information on use of both TK20 and Teams collaboration platforms:

- [TK20 and Teams 365 Student Guide](#)
- [TK20 and Teams 365 Faculty Guide](#)

**Faculty note.** If dissertation committee faculty cannot resolve any dissertation-related disputes, please reach out to Dr. [Shawn.Boone@phoenix.edu](mailto:Shawn.Boone@phoenix.edu) for further guidance on Dissertation Resolution Committee options.

### FACULTY RESPONSIBILITIES BY DISSERTATION PHASE AT-A-GLANCE

Below, you will find a quick reference overview of the faculty responsibilities within each phase of the dissertation process. [Please review Dissertation Committee Review Expectations on CDS Central.](#)

<u>Prospectus</u>	
1	<p><b>ACCESS/ PV Faculty</b></p> <p>Course instructor: instruction, class communication, and grading (<i>In Class</i>)  Guide Prospectus development (<i>Teams 365, optional</i>)  Approve Prospectus (<i>TK20</i>)  ACCESS/PV Faculty</p>
<u>Précis</u>	
2	<p><b>Chair</b></p> <p>DOC/715 Course instructor: instruction, class communication, and grading (<i>In Class</i>)  Review Précis for content: Chapter 1 (<i>Teams 365</i>)  Approve Précis (<i>TK20</i>)</p>
	<p><b>URM</b></p> <p>Review Précis for alignment and serve as Committee Member (<i>Teams 365</i>)</p>
<u>Concept Review</u>	
3	<p><b>Chair</b></p> <p>DOC/723 Course instructor: instruction, class communication, and grading (<i>In Class</i>)  Review Chapter 1 &amp; 2 content (<i>Teams 365</i>)  Approve Concept Review (<i>TK20</i>)</p>
	<p><b>URM</b></p> <p>Review Chapter 1 for alignment and serve as Committee Member (<i>Teams 365</i>)</p>
<u>Proposal</u>	
4	<p><b>Chair</b></p> <p>Review Chapters 1-3 for content (<i>Teams 365</i>)  QRM review (<i>TK20</i>)  IRB Application: Prereview &amp; Support</p>
	<p><b>URM</b></p> <p>DOC/741 Course instructor: instruction, class communication, and grading (<i>In Class</i>)  Review Chapter 3 for alignment and serve as Committee Member (<i>Teams 365</i>)  QRM review (<i>TK20</i>)</p>
<u>IRB, Dissertation, Oral Defense, and FDE</u>	
5	<p><b>Chair</b></p> <p>Provide IRB guidance (<i>Via email and IRBNet</i>)  DOC/742 Course instructor: instruction, class communication, and grading (<i>In Class</i>)  Review Chapters 4 &amp; 5 (<i>Teams 365</i>)  QRF review (<i>TK20</i>)  Guide Oral Defense (<i>Any voice recordable platform</i>)  Submit oral defense rubric (<i>TK20</i>)</p>
	<p><b>URM</b></p> <p>Review Chapters 4 &amp; 5 as Committee Member (<i>Teams 365</i>)  QRF review (<i>TK20</i>)  Participate in Oral Defense (<i>Any voice recordable platform</i>)  Submit Oral Defense rubric (<i>TK20</i>)</p>
	<p><b>PV</b></p> <p>Review Chapters 4 &amp; 5 as Committee Member (<i>Teams 365</i>)  Provide alignment to SPL Model and formatting/ APA feedback (<i>Teams 365</i>)  QRF review (<i>TK20</i>)  Participate in Oral Defense (<i>Any voice recordable platform</i>)  Submit Oral Defense rubric (<i>TK20</i>)</p>

## Dissertation Phase 1: Prospectus

Phase 1 culminates with DOC/714S (Symposium). During the course, students are guided by an *ACCESS Faculty* to create a research prospectus that outlines a research problem relevant to their program of study and to identify an appropriate research method and design. The selected prospectus topic and problem must align with the student's program and the proposed methodology must be feasible, but the topic and methodology may be revised during Phase 2.

The following webpages, located in CDS Central, provides further information on Phase 1 and developing the prospectus:

[Dissertation Phase 1](#)

[Dissertation Criteria Assessment](#)

The Dissertation Criteria Assessment (DCA) tool includes the criteria for evaluating the prospectus to provide feedback to the student. \*Note that any areas that do not meet the criterion should be addressed within the précis development.

During DOC/714S, students are working an ACCESS Faculty. The use of the Teams 365 is not currently required but is available at the discretion of the faculty and student. Submission of the prospectus is accomplished through Tk20. The ACCESS Faculty will receive Tk20 binders for each student at the beginning of DOC/714S, on the Friday following the course start date.

All students should submit their Prospectus to Tk20 for review. Students receive either "Approve as is" or "Approve with changes." Faculty should review the prospectus using Tk20 criteria within **six days** following the end of class. For further information on using this platform, see the Teams 365 links in the document introduction section above.

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## Dissertation Phase 2: Précis (Chapter 1 Elements)

The second phase culminates with the first Dissertation Chair facilitated course, DOC/715. Up to 8 weeks prior to starting DOC/715, students will be assigned a dissertation Chair and a University Research Methodologist (URM).

**(Students, Chairs, and URMs may not see these assignments until three weeks after the DOC/715 class starts.)**

The *Chair* will serve as the course instructor for DOC/715 and as the committee lead for the remaining doctoral journey, and the URM will serve as a committee member for the remaining doctoral journey. An email will be provided from CDS Academic Affairs to notify the student, Chair, and URM regarding the assignment. **All emails are sent to University provided email addresses.**

*The role of the dissertation Chair is primarily to be the subject matter content expert and committee guide, whereas the role of the URM is primarily to provide research alignment guidance.*

During this course, students are guided by their Chairs to create a research précis or Chapter 1 of their Dissertation Proposal. The Chair should also work with students on research feasibility during DOC/715.

The précis details a research problem relevant to their program of study and identifies an appropriate research method and design. The [Dissertation Guide](#) includes detailed information on the development of the précis and includes a template for this document:

[CDS Dissertation Guide](#) (see pages 71 – 75)

Additionally, students work with their URM to align the foundational elements of Chapter 1, defined as the research topic, problem statement, purpose statement, research questions, research design, and research method.

Submission of the précis for final review is accomplished through Tk20. The Chair is the only reviewer in of the Tk20 document. The Chair will receive Tk20 binders for each student at the beginning of DOC/715, on the Friday following the course start date.

Students submit to Tk20 when for approval, either as “Approve as is” or “Approve with changes.” The faculty should review the précis using the Tk20 criteria within **six days** of the submission to Tk20. Approval of the précis indicates that the proposed study has been deemed as achievable and able to contribute to the body of knowledge within the program of study. Any areas that do not meet the criteria can be addressed during Phase 3.

The following webpage, located on CDS Central, provides further information on Phase 2:

[Dissertation Phase 2](#)

Students must create their dissertation team within the Teams 365 collaboration platform and invite both their Chair and URM. For further information on using this platform see the Team 365 links in the document introduction section above.

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## Dissertation Phase 3: Concept Review (Chapter 2)

The final course during Phase 3 is DOC/723, an 8-week online course.

In DOC/723, students work to develop a draft of dissertation Chapters 1 and 2 for review by the Chair and URM, and Tk20 approval by the Chair only. Students continue the work with their URM to align the foundational elements of Chapter 1, defined as the research topic, problem statement, purpose statement, research questions, research design, and research method. Students also expand their work from DOC/715 by working with their Chair to develop a topic-focused Chapter 2 literature review.

The [Dissertation Guide](#) includes detailed information on the development of the concept review and includes a template for this document:

[CDS Dissertation Guide](#) (see pages 76 – 79)

The URM has direct access to the DOC/723 classroom. Students, Chairs, and URMs should be using Teams 365 collaboration platform. For further information on using this platform, see the Team 365 links in the introduction section of this document above.

Submission of the concept review for formal approval is accomplished by the Chair only through Tk20. The Chair will receive Tk20 binders for each student at the beginning of DOC/723, on the Friday following the course start date. Students should only submit to Tk20 when the Chair indicates the student is ready for approval, either as “Approve as is” or “Approve with changes.” The Chair should approve submission based on the student creating a solid framework for the literature review and not based on page number. A change matrix should be included to indicate any revisions made as a result of the précis review feedback; see the blank matrix provided in the introductory section of this document above. The change matrix should be uploaded within Tk20 to the *Additional Attachments* section located directly below the

main attachment upload. Note that any areas that do not fully meet the criterion can and should be addressed within the proposal development in Phase 4.

The following webpage provides further information on Phase 3:

[Dissertation Phase 3](#)

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## Dissertation Phase 4: Proposal (Chapters 1 - 3)

Phase 4 completes with DOC/741, an 8-week online course. Associated continuing enrollment courses may be required if additional time is required for an approved proposal. The focus of the course is the development of Chapter 3, the research methodology chapter, and on ensuring that the research instrumentation addresses the research questions. Therefore, the *URM* will serve as the course instructor for DOC/741. The Chair will also have access to the online course and is also required to review and approve the completed proposal. However, the student must create his or her dissertation team within the Teams 365 collaboration platform by inviting both the Chair and URM. For further information on using this platform see the Team 365 links in the document introduction section above.

The Dissertation Guide includes detailed information on the development of the proposal and includes a template for this document:

[CDS Dissertation Guide](#) (see pages 80 – 86)

As Chapter 3 is being developed, the student and *Chair* should continuously dialog regarding human ethics requirements relevant to the proposed study. The Institutional Review Board (IRB) performs an ethical review of all proposed research studies to ensure research compliance with all federal, state, and local regulations as well as all institutional policies and procedures. The IRB submission occurs during Phase 5, immediately following proposal approval. Therefore, the IRB package should be finalized when the proposal is submitted for approval. The following CDS Central link provides specific information and tools to support IRB submission: [IRB Information](#)

Submission of the proposal for formal approval is also accomplished through Tk20. The URM and Chair will receive Tk20 binders for students at the beginning of DOC/741, on the Friday following the course start date. Students should only submit to Tk20 when the Chair and URM collaboratively agree that the proposal is ready for approval, either as “Approve as is” or “Approve with changes.” Within Tk20, Phase 4 (QRM) should be selected for the proposal submission. A change matrix should be included to indicate any revisions made as a result of the concept review feedback; see the blank matrix provided in the introductory section of this document above. The change matrix should be uploaded within Tk20 to the *Additional Attachments* section located directly below the main attachment upload. Chair and URM reviews should be completed within **six days** of the submission being made to Tk20.

An approved proposal indicates that major issues within the concept review assessment have been corrected, that the research methods chapter conveys an appropriate and well-supported methodology, and that the selected instrumentation will fully address the research questions. The Dissertation Criteria Assessment (DCA) tool includes the criteria for evaluating the proposal. Note that any areas that do not meet the criterion should be addressed and further developed within Phase 5.

[Dissertation Criteria Assessment](#)

The following webpage provides further information on Phase 4: [Dissertation Phase 4](#)

## Dissertation Phase 5: IRB, Dissertation, Oral Defense, and FDE

This final phase in the doctoral journey includes four stages; Institutional Review Board (IRB), Dissertation (Quality Review Final – QRF), Oral Defense, and Final Dissertation Editing (FDE). The discussion that follows describes each of these four stages.

### IRB

The Institutional Review Board (IRB) performs an ethical review of all proposed research studies to ensure research compliance with all federal, state, and local regulations as well as all institutional policies and procedures. The dissertation *Chair* is responsible for guiding the student through the IRB process, and *Chairs are listed as co-researchers on the IRB application*. The student should plan to have all documentation prepared as soon as possible following proposal approval to ensure timely submission to IRB. The following CDS Central link provides information on IRB submission: [IRB Information](#)

### Dissertation (QRF)

The final course during Phase 5 is DOC/742, an 8-week online course. Extension courses may be required if additional time is required for an approved dissertation. The *Chair* will serve as the course instructor for DOC/742. In this course, students develop dissertation Chapters 4 and 5 and submit the entire dissertation for committee review and approval. Chapter 4 focuses on the data analysis and results, and Chapter 5 describes the conclusions and recommendations that the researcher has developed based on the study results and existing literature.

The Dissertation Guide includes detailed information on the development of the dissertation. Additionally, see the dissertation template included in the introductory section of this document above.

[CDS Dissertation Guide](#) (see pages 94 – 101)

In addition to the Chair and URM, students will be assigned a *Panel Validator* (PV) up to 8 weeks prior to starting DOC/742 to complete the committee. An email will be provided from CDS Academic Affairs (SASAA@Phoenix.edu) to notify the student, Chair, URM, and PV regarding the PV assignment. The *Chair* will serve as the course instructor for DOC/742. **All emails are sent to University provided email addresses, only.**

As mentioned previously, the role of the dissertation Chair is primarily to be the subject matter content expert and committee guide, and the role of the URM is primarily to provide research alignment guidance. *The role of the PV is to serve as an overall assessor of the dissertation including APA and formatting requirements, and specifically to evaluate the effectiveness of the dissertation results and conclusions in contributing to the body of knowledge within the student's field of practice in alignment with the scholar/practitioner/ leadership (SPL) model.* Based on this role, the PV focuses on the entire document with regard to APA and formatting per FDE requirements (see the FDE section, below), and principally on the content of Chapter 4 and 5 of the dissertation.

The student must create their dissertation team within the Teams 365 collaboration platform by inviting their Chair, URM, and PV. For further information on using this platform, see the Team 365 links in the document introduction section above.

Submission of the dissertation for formal approval is also accomplished through Tk20. The Chair will receive Tk20 a binder for each student at the beginning of DOC/742, on the Friday following the course start. Students should only submit to Tk20 when the Chair, URM, and PV collaboratively agree that the proposal is ready for approval, either as “Approve as is” or “Approve with changes.” A change matrix should be included to indicate any revisions made as a result of the proposal feedback; see the blank matrix provided in the introductory section of this document. The change matrix should be uploaded

within Tk20 to the *Additional Attachments* section located directly below the main attachment upload. **An approved dissertation indicates that issues within the proposal assessment have been corrected and that the dissertation is either acceptable as is or requires only minor revisions.**

Tk20 includes both QRF and Oral Defense tabs (for class effective 9/24/2019). The dissertation should be uploaded to *Phase 5 Submission*, which is the QRF review, and the student should notify the committee of the submission. The dissertation should *not* be uploaded to the Oral Defense option. The student and Chair should monitor the progress of the committee assessments in Tk20 and when all three approvals are completed. Once the student submits to Tk20, the student should schedule the Oral Defense. Committee reviews in Tk20 should be completed within **six days** of the submission being made to Tk20.

The Dissertation Criteria Assessment (DCA) tool includes the criteria for evaluating the dissertation:

### [Dissertation Criteria Assessment](#)

#### **Oral Defense**

The oral defense is guided by the *Chair*, and all three committee members (Chair, URM, and PV) must attend and evaluate the oral defense. Students may hold their oral defense either during a dissertation course or after the course ends. *Students must record the oral defense and upload the link to the recording to the classroom (if available) and Tk20 under the Oral Defense tab.* Students must also submit the oral defense PowerPoint to the Tk20 Oral Defense tab and notify the committee. The committee should complete its Oral Defense scoring within 24 hours following the defense. *Committee members must click Save then Complete then Submit after completing the Oral Defense rubric in Tk20.* In the event that the student does not pass, another oral defense must be scheduled. The Dissertation Guide includes information on the development of oral defense materials.

[CDS Dissertation Guide](#) (see page 105)

#### **Final Dissertation Editing (FDE)**

Following oral defense approval, students should make any remaining APA or formatting revisions identified during reviews or the oral defense, then complete Final Dissertation Editing (FDE) and have changes confirmed by all committee members within Teams 365. Students are not required to be in class for FDE review. The Dissertation Guide includes information on the CDS dissertation formatting requirements and FDE criteria.

[CDS Dissertation Guide](#) (see pages 106 - 122)

Once all revisions are completed, and the final document is approved by the entire committee, the student should email the dissertation to: [DissertationServices@phoenix.edu](mailto:DissertationServices@phoenix.edu) – all committee members should be Cc'd on the email.

The following webpage provides further information on Phase 5:

### [Dissertation Phase 5](#)

# CDS Dissertation Phase Courses and Deliverables at a Quick Glance

## Dissertation Phase 1

- BUS/EDD/DHA/700 (8 weeks)
  - LDR/711A (8 weeks)
  - RES/709 (8 weeks)
  - DOC/714S (8 weeks) Deliverable: Prospectus ◀ **Checkpoint Phase Deliverable**
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## Dissertation Phase 2

- RES/724 (8 weeks)
  - RES/710 (8 weeks)
  - Program Content Requirement Course (8 weeks)
  - Program Content Elective Course (8 weeks)
  - DOC/715 (8 week) Doctoral Seminar I - Deliverable: Précis (or Chapter 1: Introduction) ◀ **Checkpoint Phase Deliverable**
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## Dissertation Phase 3

- Two Content Program Courses (8 weeks each)
  - DOC/723 (8 weeks) Doctoral Seminar II - Deliverable: Concept Review (or Chapter 2: Literature Review) ◀ **Checkpoint Phase Deliverable**
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## Dissertation Phase 4

- Two Content Program Courses (8 weeks each)
  - DOC/741 (8 weeks) Doctoral Seminar III- Deliverable: Proposal Chapters 1-3 ◀ **Checkpoint Phase Deliverable**
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## Dissertation Phase 5

- IRB Review and Approval (occurring concurrently)
  - One Content Program Course (8 weeks)
  - DOC/719S (8 weeks)
  - DOC/742 (8 weeks) Doctoral Project IV - Deliverable: Dissertation and Oral Defense ◀ **Checkpoint Phase Deliverable**
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Current Program Version 2020

Font style and links updated with CDS Central Migration 3/2024