DISSERTATION  
GUIDELINES

University of Wisconsin—Whitewater

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INTRODUCTION

The School of Graduate Studies and Continuing Education welcomes the opportunity to assist doctoral graduates who will become leaders in their fields. Our mission is to recruit, train, and mentor high-quality Doctoral students in a supporting and collaborative research environment. We expect all Doctoral students to immerse themselves into the rigorous research environment of their programs and closely work with their faculty advisor to tackle cutting-edge disciplinary and interdisciplinary research.

Successful production and defense of a dissertation is the culminating event of the student’s doctoral program. The purpose of this guide is to provide faculty and doctoral candidates at the University of Wisconsin—Whitewater with procedures and models for preparing a dissertation in partial fulfillment of the requirements of the doctoral degree. The student’s dissertation committee is responsible for facilitating thoughtful and scholarly development of dissertation content.

Academic policies related to the doctoral program are published in the [Graduate Catalog](http://www.uww.edu/gradstudies/catalog). Each student is expected to consult with the specific dissertation guidelines established by their academic program in order to produce an appropriately formatted dissertation in accordance with university regulations. The signatures of the student’s dissertation committee members on the signature page signify their assurance that the final document and the student’s defense of that document meet the program and university standards for excellence and scholarship.

THE DISSERTATION

**The Dissertation**

The culminating product of a student’s doctoral program—the dissertation—is a substantial work of research that contributes significantly to the student’s field of study. A student can take justifiable pride in the work required of this capstone experience of professional progress. Developed through disciplined inquiry, the dissertation is the student’s original contribution to knowledge in his or her field. Additionally, each dissertation must demonstrate the student’s

* expertise in his or her field of study and the student’s ability to identify a significant research problem within his or her field of study,
* ability to design and implement inquiry appropriate to the identified problem,
* ability to present and synthesize the results of his or her inquiry,
* ability to draw informed conclusions from the synthesis of inquiry results, and
* understanding of the relevance of his or her conclusions to his or her field of study and implications for future inquiry.

Additionally, the student must orally defend his or her dissertation to his or her committee as well as to the public. The main purpose of the defense is to allow an opportunity for the faculty of the college and members of the UW-Whitewater and wider community to comment on the quality of the investigation and to judge the student’s ability to defend his or her conclusions.

**The Dissertation Committee**

Doctoral students in good standing may proceed to establish a dissertation committee, typically after completing a year of full-time coursework in their program. Doctoral students should consult with their academic advisor in selecting the members of the dissertation committee. Doctoral students are responsible for submitting the *Dissertation Committee Form*.

The dissertation committee must have a minimum of three members:

1. At least two of the dissertation committee members must hold Level I graduate faculty membership, as defined by the UW-Whitewater Constitution of the Graduate Faculty.
2. The chair of the dissertation committee must be a full time faculty member in the doctoral student’s academic department and hold Level I graduate faculty membership. The chair of the dissertation committee is responsible for directing the research and guiding the preparation, submission and defense of the dissertation.
3. Doctoral students may also select a third dissertation committee member from another university or an individual who can be granted an exception for Level I graduate faculty membership.

An exception for Level I graduate faculty membership must be approved by tenured faculty in the graduate program, by the college dean, and by the Dean of the School of Graduate Studies and Continuing Education. The chair of the dissertation committee should complete the *Departmental Approval of Graduate Status Approva*l *Form*, which will include the submission of a current academic vita and justification for approving the proposed third dissertation committee member. These materials should be submitted to the School of Graduate Studies and Continuing Education. Current submission policies may be found in the [UW-Whitewater Constitution of the Graduate Faculty](http://www.uww.edu/documents/uww/gradfacconstitution.pdf).

**The Dissertation Proposal**

Doctoral students in good standing may schedule a dissertation proposal defense once all academic coursework has been completed. Doctoral students should consult with their dissertation committee to develop the dissertation proposal defense and determine when the doctoral student is prepared for the dissertation proposal defense. The chair of the dissertation committee will submit the *Dissertation Defense Form* to the Graduate Studies office upon the completion of the dissertation proposal defense. If necessary, obtain IRB or IACUC approval.

Once the dissertation proposal has been approved, students may enroll in the appropriate thesis research course. Doctoral students are required to enroll in the dissertation research course each semester they are engaged in dissertation research and writing in order to maintain their status in the program. This requirement includes enrolling in the dissertation research course during the semester of their dissertation defense. Students will receive a grade of Satisfactory (S), No Credit (NC), or Incomplete (I) for each dissertation research course in which they enroll. A doctoral student must receive a grade of S to register for the next thesis writing course(s). Doctoral students, at the discretion of the dissertation committee chair, may continue the dissertation research after receiving a grade of I.

**The Dissertation Defense**

The dissertation research will be supervised by the dissertation committee. Once the dissertation has been completed to the satisfaction of the dissertation committee, doctoral students may schedule their dissertation defense. The doctoral student will prepare and distribute complete copies of the dissertation to the dissertation committee and the doctoral program chair at least three weeks prior to the scheduled dissertation defense. The dissertation defense is oral and open to the public.

The decision of the dissertation committee for approval or disapproval is determined by the majority of the committee members. Doctoral students may pass the oral defense but still be required to revise their dissertation. It is the responsibility of the dissertation committee chair to review and approve revisions to the dissertation. Dissertation committee signatures on the dissertation title page constitute recommendation for conferral of the doctoral degree on the candidate. An electronic copy of the dissertation, an unsigned dissertation title page, and the original signed title page must be submitted to the School of Graduate Studies and Continuing Education.

All approved UW-Whitewater dissertations will be deposited in the UW-Whitewater Andersen Library and in the University of Wisconsin System’s permanent digital repository, Minds@UW. If doctoral students would like a personal, bound copy of their dissertation, the UW-Whitewater Andersen Library staff will bind a personal copy of the dissertation, if students request one, for a nominal charge.

Doctoral students have a maximum of seven years from the date of their enrollment in their program to successfully defend their doctoral dissertation.

FORMAT

**Style**

Doctoral students should prepare their dissertations according to the format guidelines specified by the American Psychological Association’s 6th edition *Publication Manual*. If a doctoral program requires other specific guidelines, these will take precedence over the APA’s.

**Checklist**

In the order specified, please include the following pages in your final submission:

Copyright Page—*no page number, not counted*

Approval Page—*no page number, not counted*

Title Page—*no page number, counted*

Dedication Page—*optional, no page number, not counted*

Acknowledgements—*lowercase Roman numerals*

Abstract—*lowercase Roman numerals*

Table of Contents—*lowercase Roman numerals*

List of Tables—*if applicable*, *lowercase Roman numerals*

List of Figures—*if applicable, lowercase Roman numerals*

List of Illustrations—*if applicable, lowercase Roman numerals*

Text—*Arabic numbers, beginning with 1*

Vita—*required, last numbered page*

In addition, please make sure you have submitted the following forms:

*Dissertation Committee Form*

*Departmental Approval of Graduate Status Approva*l *Form* (if required*)*

*Dissertation Defense Form*

APPENDIX

**Sample Pages**

Copyright Page

Approval Page

Title Page

Acknowledgements

Abstract

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List of Tables

Vita

*Sample Copyright Page*

© Copyright by Lionel A. Messi 2015

All Rights Reserved

*Sample Approval Page*

The undersigned, approved by the Doctoral Dissertation Committee, have examined the dissertation entitled

DOES VENTURE CAPITALIST QUALITY AFFECT CORPORATE GOVERNANCE?

(title must be in caps & centered)

presented by Lionel A. Messi

a candidate for the degree of Doctor of Business Administration

and hereby certify that in their opinion it is worthy of acceptance.

Cristiano Ronaldo, Ph.D.

Associate Professor of Accounting

Committee Chair

SIGNATURE:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Luis Suarez, Ph.D.

Professor of Finance

Second Committee Member

SIGNATURE:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Gareth Bale, DBA

Professor of Marketing

Reader

SIGNATURE:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(3 – 5 lines based on the number of committee members)

*(This page does not get a page number, nor is it counted.)*

*Sample Title Page*

DOES VENTURE CAPITALIST QUALITY AFFECT CORPORATE GOVERNANCE?

(must be caps)

A Dissertation

Presented to

The Graduate Faculty of

The University of Wisconsin -- Whitewater

In Partial Fulfillment

Of the Requirements for the Degree

Doctor of Business Administration

By

LIONEL A. MESSI

(must be caps)

Dr. Cristiano Ronaldo, Dissertation Chair

MAY 2015

(must be caps, use month of graduation)

*Sample Acknowledgements Page*

ACKNOWLEDGEMENTS\*

(must be in caps)

This is the page where you can thank all of the people who supported you during your efforts to produce this incredible volume and your doctoral degree.

*\*ACKNOWLEDGEMENTS must be at least seven lines from the top of page. Leave three lines, then start the body of the Acknowledgements, double-spaced. There is no length restriction.*

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*Sample Abstract Page*

DOES VENTURE CAPITALIST QUALITY AFFECT

CORPORATE GOVERNANCE?

?

(must be caps)

LIONEL A. MESSI

Dr. Monica Shah, Dissertation Chair

ABSTRACT

(must be caps)

The abstract is not to exceed a page and a half in length. The abstract must be double- spaced. For your dissertation, you indent all new paragraphs in your abstract.

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*Sample Table of Contents Page*

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V

*Sample List of Tables/List of Figures/List of Illustrations*

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(must be caps)

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*Title should be all caps and centered about 2 inches from the top of page. Single-space within items and indent runover 3 spaces. Double-space between items. Item numbers should align on periods; item page numbers should align at right margin.*

(align center, 1 inch from bottom)

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*Sample Vita Page*

VITA\*

(must be caps)

Lionel A. Messi was born August 13, 1969, in Dublin, Michigan. He completed his undergraduate work at Albion College in Albion, Michigan where he received a B.A. in Liberal Arts with an English concentration (1990). His Master of Theology degree was awarded by Wartburg Seminary, Dubuque, Iowa (1992). He completed his M.B.A. at Michigan State University in 1999. Lionel has recently accepted a position at Academia University where he is teaching business writing and business ethics.

*\*VITA must be at least seven lines from the top of page. Leave three lines, then start the body of the Vita, double-spaced. There is no length restriction.*