

GRADUATE THESIS AND DISSERTATION GUIDELINES

GRADUATE COLLEGE
FLORIDA ATLANTIC UNIVERSITY

<http://www.fau.edu/graduate/pubs/RevGuidelines.pdf>

Revised: 29 January 2009

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SECTION I: DEADLINES

The Graduate College follows the **academic calendar** posted on the FAU website:

<http://www.fau.edu/registrar/acadcal.php>. The calendar for each semester lists deadlines for the submission of theses and dissertations as well as for meeting other graduation requirements.

These deadlines are important, and failure to meet them will result in postponement of graduation.

- Students who expect to graduate **must** have their *Plan of Study* on file in the Graduate College **prior** to the beginning of their final semester.
 - Any *Plan of Study* form submitted **during** a student's graduation semester must be accompanied by a *Request to Waive a University Regulation* form, signed by the student's advisor, department chair, and college dean. A detailed letter explaining why the *Plan of Study* was submitted late also must be attached.
 - Any revisions to the *Plan of Study* form must be submitted by the Application for Degree deadline.
 - **Link to forms:** <http://www.fau.edu/graduate/forms/index.php>
- Students **must** register for at least one credit during the final semester.

SECTION II: STYLE MANUALS

The student should follow the style appropriate to the field of study. Information **and approval** on the proper style manual, journal, or computer software should be obtained from the committee chair. Some common styles are:

APA: American Psychological Association
Publication Manual of the American Psychological Association. Washington, DC: American Psychological Association.
<http://www.apastyle.org>

MLA: Modern Language Association
MLA Handbook for Writers of Research Papers. New York: Joseph Gibaldi.
<http://www.mla.org>

Turabian: Turabian, Kate L.
A Manual for Writers of Term Papers, Theses, and Dissertations: Chicago Style for Students and Researchers. Chicago: University Press.
<http://www.press.uchicago.edu/cgi-bin/hfs.cgi/00/216864.ctl>

SECTION III: RESPONSIBILITIES

- **STUDENT**

The student works under the guidance of a major professor with a committee of faculty members. **However, the obligations of research, accuracy, writing, and quality rest with the student.**

The student's minimum responsibilities, in consultation with the dissertation committee chair and committee, include:

- Conducting thorough and original research and analysis. Remember that all research involving any federal- or state-mandated compliance issues must be approved by the appropriate university committee prior to any collection of data on the study. Compliance issues include: human subjects, animal subjects, infectious agents, recombinant DNA, radioactive material, x-rays, lasers, hazardous chemicals and boating/diving safety.
 - For additional information, contact the Office of Sponsored Research at (561) 297-2318, or at <http://www.fau.edu/research/rcs>.
- Accurately organizing and presenting well-written material in clear and correct English.
 - Only students majoring in a foreign language, or students who have received permission from their committee, may prepare a thesis or dissertation in a language other than English, with all prefatory material in English.
- Following correct form in quotations, footnotes or endnotes, bibliographical entries, and illustrative materials.
- Ensuring that the work is entirely the student's own, except where reference is made to the work of others.
- Ensuring that the work does not include proprietary or classified information.
- Making all corrections suggested by the supervisory committee and required by the Graduate College.
- Presenting a manuscript meeting the requirements of the student's college, as well as the university.
- Ensuring that all steps toward final approval are done on time, including the filing

of the necessary forms and paying the fees as outlined in this guide. (See *Thesis and Dissertation Submission Checklist*.)

- Prior to defense, submitting an electronic draft copy to the Graduate College for a format check. (See Section V, page 24.)
 - If using Microsoft 2007, save the manuscript either in the 2003 version or as a **pdf** file.
- Checking final paper copy for errors before the final submission to the Graduate College. (See Section V, page 24.)
- Converting the final approved manuscript into a formatted **pdf** file for electronic submission. (See Section V, page 28.)

Note:

- It is good practice to schedule the thesis or dissertation defense **at least two (2) weeks** prior to the deadline for submitting the final manuscript to the Graduate College as indicated in the academic calendar. Consult your college or departmental guidelines regarding the scheduling of thesis or dissertation defenses. Often these deadlines occur much earlier in the graduation semester.
- Do not use a previously-approved dissertation or thesis as a model since the requirements may have changed since its approval. This can result in a student having to redo incorrect work.
- Whether the student types the manuscript or has someone else type it, the student is responsible for ensuring that the manuscript meets all the requirements outlined in this document.
- It is important to ensure that the names and titles of the committee members and college officials listed on the signature page are accurate.
- It is the student's responsibility to provide a medium or broad-tipped pen with dark opaque ink (i.e., **a black felt-tip pen**) to the signatories.
 - Blue ink is not acceptable.

- **SUPERVISORY COMMITTEE**

The committee chair will guide the student on research, analysis, writing, and other scholarly aspects of the work. While the members of the student's committee contribute, the primary responsibility rests with the committee chair.

Submission of a thesis or dissertation is defined as the time when the first complete draft is submitted to the supervisory committee for review. All committee members, including the chair, read the manuscript critically. Each may suggest improvements and refuse approval pending additional work.

The committee chair and committee members sign their names on three (3) separate signature pages. There can be no temporary substitute members. Also, no other person may sign a committee member's name on a signature page, even with the authorization of the committee member involved and the committee chair. Any exceptions involving unusual circumstances require Graduate College approval.

When committee members and the committee chair sign the signature page, they certify that the thesis or dissertation is clear and accurate, that it represents an original and worthwhile contribution, that the suggestions made by them are incorporated into the final work, and that the work conforms to the standards of the particular discipline, to Florida Atlantic University, and to Graduate College specifications.

- **No faculty member will sign a dissertation or thesis unless it is of foremost quality and meets all requirements.**
 - A medium or broad-tipped pen with dark opaque ink (i.e., **a black felt-tip pen**) should be used for the signatures as this reproduces well.
 - Blue ink is not acceptable.
- **In the case of discrepancy between university guidelines and departmental requirements, the university guidelines shall take precedence.**
- **It is important to ensure that the names and titles of the committee members and college officials listed on the signature page are accurate.**

- **GRADUATE COLLEGE**

- The degree compliance specialist and the dean of the Graduate College review the manuscript for formatting, style, and consistency. They also ensure that the manuscript adheres to all the requirements and deadlines outlined in this document.
 - Only when all conditions are satisfied will the manuscript be signed by the dean of the Graduate College. Without this signature, the student will not graduate.
- After approval, the signature page will be scanned and emailed to the student for electronic submission.
- The Graduate College forwards all dissertations and theses to the library for processing.

- **LIBRARY**

The library receives the manuscript from the Graduate College and verifies that all the paperwork is in order before sending it to the bindery.

Upon receipt of the bound copies from the bindery, the library sends the copies to the colleges for distribution and catalogues the original manuscript in the library.

Note: The original manuscript becomes library property.

SECTION IV: MANUSCRIPT REQUIREMENTS

- **TYPING**

A student may choose to type the manuscript themselves, or employ a skilled manuscript typist.

- It is recommended that a skilled typist experienced in thesis and dissertation work be employed to type the final draft of the thesis or dissertation. In this case:
 - It is very important that the student and the typist have a clear understanding regarding charges, completion dates, number of copies, etc., as the university assumes no responsibility in these matters.
 - The student is responsible for providing the typist with a copy of these guidelines and requirements as well as clean, legible copy arranged in proper sequence and format.
- The student is responsible for ensuring that:
 - The numbering of the manuscript pages as well as the spelling, especially of scientific terminology or nomenclature, is consistent and correct.
 - The references and/or bibliography are formatted consistent with the style manual being used.
 - The ultimate responsibility for correctness lies with the student and the supervisory committee.

Note:

Whether the student types the manuscript or has someone else type it, the student is responsible for ensuring that the manuscript meets all the requirements outlined in this document.

- **PAPER**

The three (3) required final copies must be printed on 20 lb. (minimum) white, 25 percent cotton content, watermarked bond paper. The paper must measure 8-1/2 by 11 inches.

- **MANUSCRIPT LAYOUT**

- This chart indicates the various manuscript sections, the order in which they appear, how they are numbered, and if they appear in the table of contents.

Section	Numbering	Listed in Table of Contents
Title page	Not numbered (but considered page i)	no
Copyright page (optional)	Numbered in lower case Roman numerals - if included, this becomes page ii	no
Signature page	Numbered in lower case Roman numerals - if copyright page is included, this becomes page iii - if copyright page is not included, this becomes page ii	no
Vita (optional)	Numbered in lower case Roman numerals N.B. The student has the option of placing a one-page vita as the last page of the dissertation or thesis. If selected, the vita page is numbered in Arabic numerals.	no
Acknowledgements	Numbered in lower case Roman numerals	no
Abstract	Numbered in lower case Roman numerals	no
Dedication (optional)	Not numbered	no
Table of Contents	Numbered in lower case Roman numerals	n/a
List of Tables	Numbered in lower case Roman numerals	yes
List of Figures	Numbered in lower case Roman numerals	yes
Manuscript	Numbered in Arabic numerals (1, 2, 3, etc.)	yes
Appendixes	Numbered in Arabic numerals (1, 2, 3, etc.)	yes
References/Bibliography	Numbered according to the style manual used.	yes

- **COPY LAYOUT**

- The copy must be printed on one side only.
- The copy must not contain:
 - overstrikes
 - crossed-out material
 - defective or illegible type
 - lines from paste-ups
 - shading in the background
 - smears
 - mistake corrections that leave a film or smudge
 - mistakes corrected with correction fluid or tape
- Use of photo-mounting corners, staples, or transparent tape is not permitted in any final copy.
- Rubber cement or a dry adhesive (e.g., glue stick) may be used.

- **FONT**

- Regular style type (e.g., Times New Roman, Arial) of 10-point or 12-point type size (10 or 12 characters per inch) should be used.

- **MARGINS**

- Consult your word processing help software for guidance on setting margins.
- Bottom and right margins
 - One (1) inch
 - Page numbers must be above the one (1) inch margin
- Left margins
 - One and a half (1.5) inches.
- Top margins
 - All top margins, with the exceptions noted below, are one (1) inch.

Exceptions:

- **Preliminary pages with titles** (title page, copyright page, signature page, vita, acknowledgements, abstract, dedication, table of contents): Two (2) inches.
 - If any of these pages continue on a second page, the top margin of the 2nd page is one (1) inch.
- **First page of a major division** (e.g., chapter, bibliography): Two (2) inches.

Note: All tables and figures must conform to the margin requirements. This may require photographic reduction in some cases.

- **SPACING**

- All textual material should be double-spaced. This includes the general text in the manuscript, the abstract, and the acknowledgements.
 - **Exception:** Footnotes and long quotations (as specified in the style manual used) should be single-spaced.
- Spacing on other preliminary pages (signature page, title page, copyright, dedication page) should follow the specific examples outlined below:

- [Sample Signature Page \(Doctoral\)](#)
- [Sample Title Page \(Doctoral\)](#)
- [Sample Signature Page \(Masters\)](#)
- [Sample Title Page \(Masters\)](#)
- [Sample Copyright Page](#)
- [Sample Dedication Page](#)

- **PAGE NUMBERS**

- Consult your word processing help software and your thesis or dissertation style manual for guidance on inserting page numbers.
- All page numbers stand alone, without any punctuation (e.g., i or 1).
- All page numbers are centered one (1) inch from the bottom of each page.
- All of the pages in the dissertation or thesis manuscript, with the exceptions noted below, begin with the number 1 and continue in consecutive order to the last page of the manuscript. Do not use letter suffixes such as 10a, 10 b, etc.
 - **Exception:** Preliminary pages (copyright, signature page, acknowledgements, and abstract) are numbered in lower case Roman numerals (i, ii, iii, etc.)
- The following indicates the order of the preliminary pages and basic instructions for each page.
 - **Title Page:**
 - The title page is not numbered, but considered page “i”.
 - The date on the bottom of the title page is the **month and year** of the student’s graduation.
 - [Sample Title Page \(Doctoral\)](#)
 - [Sample Title Page \(Masters\)](#)
 - **Copyright Notice** (optional)
 - [Sample Copyright Page](#)
 - **Signature Page**
 - [Sample Signature Page \(Doctoral\)](#)
 - [Sample Signature Page \(Masters\)](#)

- **Vita** (optional)
 - If the manuscript author feels that a vita is necessary, it should be limited to one page.
 - [Sample Vita Page](#)
- **Acknowledgements or Preface Page** (optional)
 - If the manuscript author feels that acknowledgements are necessary, it is highly recommended that these comments are kept brief.
 - The acknowledgement page is placed before the abstract.
 - The acknowledgement page is not listed in the Table in Contents.
- **Abstract**
 - The abstract summarizes the thesis or dissertation, and should echo the style, reflect the emphasis, and follow the structural pattern of the manuscript. The abstract should be succinct, accurate, and written in complete sentences.
 - The abstract is placed before the Table of Contents
 - It is not listed in the Table of Contents
 - The master's thesis abstract:
 - Is limited to a maximum of **150 words**.
 - Is double-spaced.
 - The doctoral dissertation abstract:
 - Is limited to a maximum of **350 words**.
 - Is double-spaced.
 - Formulas, symbols, and foreign words and phrases should be printed clearly and accurately to avoid any delays in submitting the manuscript.
 - An acronym must be preceded by the full name at first use.
 - Example: Florida Atlantic University (FAU)
 - Since the abstract will be published in *Masters Abstracts* and *Dissertation Abstracts* without editing or revision, it is critical that the abstract adheres to the above guidelines.

- **Dedication Page**
 - The dedication page is **optional**.
 - It is placed after the abstract.
 - It is not numbered.
 - The dedication page is not listed in the Table of Contents.
- **Table of Contents**
 - The Table of Contents does not list any of the pages preceding it.
 - The Table of Content does include:
 - List of Tables
 - List of Figures
 - Manuscript
 - Appendixes
 - References/Bibliography
 - [Sample Table of Contents](#)
 - [Instructions for creating a Table of Contents in Microsoft Word](#)

Note:

For any chart, figure, or table in landscape format:

- Refer to this link for the layout:
 - [Sample Table in Landscape Format](#)

- **ILLUSTRATIONS AND TABLES**

- All charts, graphs, maps, diagrams, figures, and tables must be numbered and given a title.
- Illustrative material drawn in dark, opaque ink will reproduce satisfactorily.
- Since microfilming is a black-and-white photographic process, color printing appears as slightly varying shades of gray.
 - Lines on a graph should be identified by labels or symbols rather than by colors.
 - Shaded areas such as countries on a map have better contrast if crosshatching is used instead of color.

Note:

For any chart, figure, or table in landscape format:

- Refer to this link for the layout:
 - [Sample Table in Landscape Format](#)

- **OVERSIZED PAGES**

- Any charts, graphs, maps, or tables that are larger than the standard page size (8-1/2 x 11) should be carefully folded into the manuscript. However, since these pages complicate microfilming, it is recommended that these pages be avoided unless absolutely necessary.
 - If the student decides to insert these oversized pages, make as few folds as possible.
 - Another option is to fit the chart or table on a standard page by using a photographic reduction, which can be arranged with the Campus Copy Center.
 - If a reduction is used, ensure that the material is legible after reduction.
 - Remember that margin requirements must be maintained.

- **PHOTOGRAPHS**

- Ideally, each photograph should have a full range of contrast from true black to pure white. Photos with limited contrast will reproduce satisfactorily on positive microfilm, but they will be unclear in photographic copies made from microfilm.
- Color photos should not be used in the thesis or dissertation unless the color itself is essential to communicate the data. If necessary, contact a photographer about having color photographs reprinted in black and white.
- While rubber cement and glue are acceptable means for affixing photos, dry-mounting tissue provides the neatest and most permanent method.
- Photos printed on 8-1/2 x 11 inch paper also are acceptable.

- **PRINTER EQUIPMENT**

- The printer used must produce a letter-quality product.
- The characters must be solid and not transparent.
- Do not use a dot matrix printer.

SECTION V: SUBMISSION FOR PUBLISHING

The student's supervisory committee is responsible for ensuring that the thesis or dissertation meets the standards of the particular discipline and of the university; it is the student's responsibility to comply with all requirements.

In case of discrepancy between university guidelines and departmental requirements, the university guidelines take precedence.

- The semester prior to graduation (i.e., summer is the semester prior to fall graduation, fall is the semester prior to spring graduation, and spring is the semester prior to summer graduation):
 - Student ensures an approved *Plan of Study* is on file in the Graduate College.
- Three (3) months prior to graduation:
 - Student submits *Application for Degree* to the Registrar.
 - Refer to the academic calendar for specific deadline dates:
<http://www.fau.edu/registrar/acadcal.php>
- The thesis or dissertation supervisory committee chair is responsible for notifying the Graduate College of the date, time, and place of the defense in order to provide public notice.
 - Defenses should be scheduled at least four (4) weeks prior to the Graduate College thesis and dissertation submission deadline.
 - Consult the college housing the departmental program for thesis and dissertation defense guidelines.
- At least two (2) weeks before the thesis or dissertation defense:
 - Student submits an **electronic draft** of the manuscript to the Graduate College for *formatting review only* to graduatesupport@fau.edu.
 - This preliminary review is completed in a timely fashion by the Graduate College and any feedback is given to the student prior to their defense.
 - While this formatting review is underway, it in no way interferes with the student's ability to continue working on the content, or the faculty member's ability to review the document prior to the defense.
 - The review is limited to checking margins, font type and size, and overall

formatting for legibility.

- The electronic formatting review is done before the signature page is signed by the committee to ensure that the page is formatted correctly and that the names and titles are accurate; otherwise if there is a problem, a student would have to redo this page and obtain committee signatures a second time.
- This preliminary review is required by the Dean of the Graduate College as a way to avoid unnecessary inconvenience to students, faculty, and staff, especially in the case of re-obtaining signatures on the signature page.
- Since it is a university policy for students to submit their *Plan of Study* in the semester prior to their graduation semester, the Graduate College will not review the electronic manuscript if an approved *Plan of Study* is not on file. This may delay the student's graduation.
- **By the thesis or dissertation deadline**, as indicated in the FAU academic calendar:
 - Student submits the following to the Graduate College:
 - One (1) copy of the thesis or dissertation on draft paper for final format review.
 - Three (3) original, signed signature pages on 20 lb. (minimum) white, 25 percent cotton content, watermarked bond paper.
 - A medium or broad-tipped pen with dark opaque ink (i.e., **a black felt-tip pen**) should be used for the signatures as this reproduces well.
 - Blue ink is not acceptable.
 - **Note:** The Graduate College will obtain the signature of the Dean of the Graduate College.
- **Two (2) weeks prior to graduation:**
 - Student prints *Thesis and Dissertation Submission Checklist*.
 - Student submits three (3) final paper copies of the thesis or dissertation to the Graduate College, SU 80, Room 101.
 - These three copies are distributed as follows:

- One – chair of the student’s committee.
 - One – chair of the student’s department.
 - One – the FAU library.
- All paper copies should be submitted in a covered box, with all copies placed in one box, if possible, and labeled with the student's name.
 - Each copy of the manuscript is separated by colored paper.
 - The box also contains the following items:
 - *Thesis and Dissertation Submission Checklist*.
 - All original signature pages.
 - The completed and signed *Master’s Publishing Agreement* form or *Doctoral Publishing Agreement* form from ProQuest Information and Learning (PQIL), pages 4-5:

<http://www.il.proquest.com/dissertationagree/>
 Login: dissertations
 Password: publish

 - Note: For students selecting open access publishing (optional), there is a \$150 fee for master’s thesis and \$160 fee for doctoral dissertation payable to ProQuest.
- A cashier’s check or money order made out to **PQIL** for the publishing fee, and attached to the publishing agreement form.
 - \$55 for master’s thesis
 - \$65 for doctoral dissertation
 - Binding fee receipt from the FAU cashier for \$11.70 per copy (up to 2” thick).
 - The cost is \$35.10 for the three (3) required copies.
 - Check, cash, or credit cards are accepted by the cashier.
 - **Note:** For copies over 2” thick, add an additional \$1.25 per copy.
 - If applicable, completed *Copyright* form from PQIL (see page 6) with attached money order or cashier’s check in the amount of \$55, payable to PQIL.

- It may take an extended period of time until the copyright certification is mailed to the student.
- Two extra copies of the title page and abstract, on 20 lb. (minimum) white, 25 percent cotton content, watermarked bond paper.
- *Survey of Earned Doctorate* form (doctoral students only).
- *Graduate Exit Survey*, completed either in the Graduate College office in SU 80, Room 101 or in the dean's office of the student's college.

Note:

- It is good practice to schedule the thesis or dissertation defense **at least four (4) weeks** prior to the deadline for submitting the final manuscript, as indicated in the academic calendar.
- It is critical that the thesis or dissertation package is complete and accurate, and submitted to the Graduate College by the deadline date.
- If necessary, you may schedule an appointment with the Graduate College degree completion services staff at graduatesupport@fau.edu.
 - An incomplete package may postpone a student's graduation.
- The student should ensure that MyFAU has an up-to-date permanent address as well as an alternate address of parents, relatives, or friends.
- If the student wishes to have personal copies of their manuscript, they can be ordered from a number of binderies found in each State.

- **ELECTRONIC COPY**

In addition to submitting the final paper copies of the manuscript, students now are responsible for submitting an electronic version as well. Compared to a traditional paper-based thesis or dissertation, a thesis or dissertation created and published online in an electronic format has several benefits. Some of the major benefits are:

- **Increased visibility:** A student's work is available to faculty, potential employers, and a larger audience of readers interested in that work.
- **Worldwide access:** Once a thesis or dissertation has been processed and electronically published by the FAU libraries, it is available electronically to interested readers around the world through the Electronic Thesis and Dissertation (ETD) website. Also, since the thesis or dissertation is in an electronic format, it is available on demand for simultaneous viewing by multiple readers.
- **Increased attention to a student's work:** Statistics from other universities show that ETDs are accessed more often than paper-based theses/dissertations, giving increased attention to a student's work.

- **INSTRUCTIONS**

These instructions are used for submitting the electronic version of the manuscript.

- To convert an MS Word 2003 or MS Word 2007 manuscript into a **pdf** file, click on the appropriate file:

[MS 2003:](#)



FAU-ETD-submission
guidelines_MS2003_v

[MS 2007:](#)



FAU-ETD-submission
guidelines_MS2007_1

- Other FAU-supported software includes LaTeX.
 - For this software, contact Salwa Patel at spatel37@fau.edu.
- Video tutorials of conversion will be available soon.
- For any student who uses software other than MS Word 2003, MS Word 2007, or LaTeX, it is the student's responsibility to obtain instructions on converting their manuscript to a **pdf** file.
- Once the final manuscript has been converted into a **pdf** file, submit it electronically to: <https://swise.fau.edu/etd/>.
- Direct technical questions to Salwa Patel at spatel37@fau.edu.

APPENDIXES

The following pages contain examples of formatted pages, showing both FAU-required formats and formats used by the various style manuals.

Below is an outline of those pages that follow the FAU format and those that follow the specific style manual as recommended by the student’s supervisory committee.

It is important to remember that regardless of the style manual used, FAU margin requirements are maintained.

Section	Format
Title page	FAU-required format, as shown in sample.
Copyright page	FAU-required format, as shown in sample.
Signature page	FAU-required format, as shown in sample. <i>It is important to ensure that the names and titles of the supervisory committee and college officials are accurate.</i>
Vita page	Format depends on style manual used. <i>(This page is optional.)</i> N.B. The student has the option of placing a one-page vita as the last page of the dissertation or thesis.
Acknowledgements	FAU-required format, as shown in sample.
Abstract	FAU-required format, as shown in sample.
Dedication page	FAU-required format, as shown in sample. <i>(This page is optional.)</i>
Table of Contents	Format depends on style manual used.
Tables	Format depends on style manual used.
Figures	Format depends on style manual used.
Abstract	Format depends on style manual used.
Reference or Bibliography	Format depends on style manual used.