

The background of the cover is a photograph of a modern building with a glass facade. The glass reflects the sky, clouds, and surrounding greenery, including trees and a paved area. The text is overlaid on this image.

**A University Graduate School Publication
Florida International University
Miami, Florida**

**Formatting and Regulations
Manual for Electronic
Theses and Dissertations
(ETD)**

2021 - 2022

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"Great Colleges to Work For."



INTRODUCTION

A. Definition of a Thesis and a Dissertation

The submission of a thesis or a dissertation is the last step in a program leading to the award of a graduate degree. The manuscript is a scholarly statement of the results of a long period of research and related preparation, undertaken to partially fulfill the requirements for an advanced degree. It is made available for public use via an online repository, such as Digital Commons.

NOTE: An ETD is the electronic manifestation of the thesis or dissertation.

B. Purpose of these Regulations

The University has established guidelines for uniformity in the electronic format of the manuscript to preserve the integrity of Florida International University's (FIU) intellectual output. The intent of this manual is to assist candidates in the preparation and typing of theses and dissertations submitted for advanced degrees in the schools and colleges of FIU.

C. General Guidelines for Procedure and Format

The student's work is carried out under the direction and supervision of the student's major professor and committee members, who supervise it for intellectual content. Before beginning work on a thesis or dissertation, candidates must present a proposal for the approval of their major professor and committee members. The major professor and committee members may specify certain aspects of style, such as footnote style and placement, and the manner in which references are cited. Candidates are urged to consult with their major professor early in the preparation of the manuscript regarding both the subject and the general plan of investigation as well as style preferences. Style manuals are available for purchase at the FIU Bookstore. As to format, the regulations included in this manual supersede any style manual instructions. Format includes manuscript arrangement, organization of specific preliminary pages, spacing, typeface, margins, page number order, page number placement, and the requirement for permission to reproduce copyrighted material. No joint authorship will be accepted.

Questions about the preparation and filing of theses and dissertations or the completion of academic requirements for advanced degrees should be addressed by your major professor. After conferring with your major professor, you should obtain from the University Graduate School (UGS) website the different thesis/dissertation forms and specific information about how and when to file these forms. Doctoral students in particular need to be aware of specific forms that must be filed before

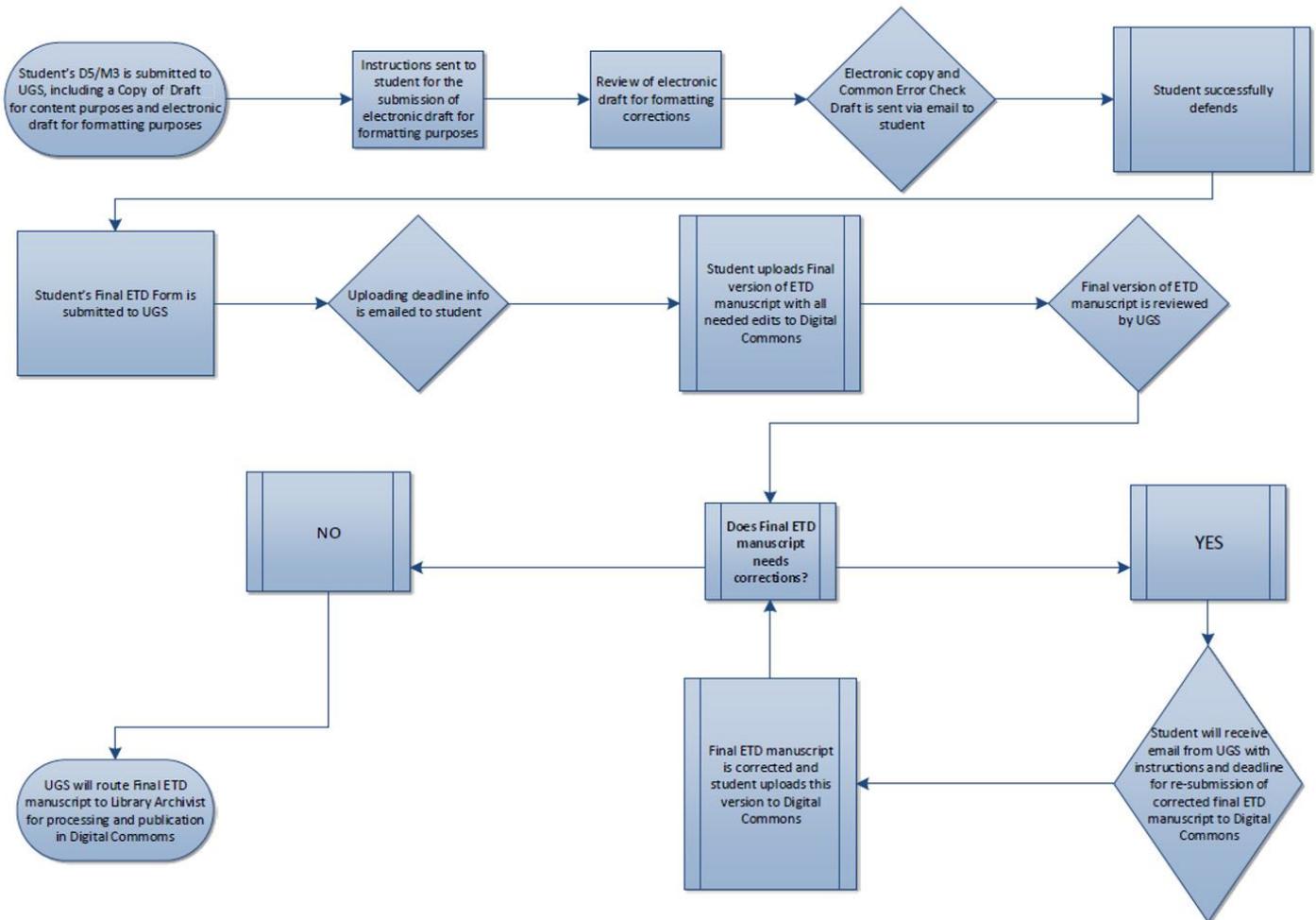
advancing to candidacy. More information concerning these forms is given in Chapter IV of this manual.

Before coming to the University Graduate School, please call for a schedule of our office hours (Tel. 305-348-2455) or check online at gradschool.fiu.edu (holiday schedule not included).

Federal income tax regulations may permit the deduction from taxable income of certain expenses incurred for research and typing in the preparation of advanced degree manuscripts. For further information, consult the nearest office of the United States Government Internal Revenue Service or a tax advisor.

D. Flow Diagram for the ETD Process

For a general idea on how to proceed from the submission of a thesis or dissertation draft to final submission, the student should refer to the flow diagram below.



Formatting Tutorials and Templates

Students can obtain formatting templates and view formatting tutorials on the [online ETD Guide](#).



E. Submission

Check [Deadlines](#) for due dates for all paperwork, draft submission, and final submission.

When you submit the D5/M3 form:

1. A copy of the ETD manuscript will accompany the D5/M3 form.
2. The student will be prompted via email to upload a digital version of the manuscript to Digital Commons so that it can be checked for formatting.
3. The student will also be prompted via email when it is time to upload final version of the ETD manuscript AFTER submission of the Final ETD Form.

Additional files can be uploaded along with manuscript. Music students may upload recital files in .mp3 format. Other supplementary material might include: Data sets, software, images, PDFs, sounds, and video.

CHAPTER I: Manuscript Construction (Typing, Insertions, and Reproduction)

A. Size

Electronic Document: Standard size of 8-1/2 x 11 inches.

B. Preparing the Format

Appearance

The manuscript must be neat in appearance and without error. It is the responsibility of the candidate to proofread and make sure the manuscript does not have typographical or content errors before submission to the University Graduate School or Digital Commons.

Any word processing program may be used to type the manuscript, however, the final document must be converted to PDF format. The typeface, including chapter headings, must be 10- to 12-point font sizes. Acceptable typefaces are Arial or Times New Roman. The entire document should have ONE consistent font type and size (exceptions are the font size for charts, captions, and footnotes – these can be smaller than the body text, as long as they remain legible.)

Non-typed Material

Hand-written insertions are acceptable so long as they are clear.

Spacing

The text of the manuscript must be double-spaced throughout, but long tables and long quotations may be single-spaced. References and notes should be single-spaced within each entry and double-spaced between entries. Text within a chapter should be continuous - short pages are not acceptable unless it is the last page of the chapter, a widow/orphan forces a shortened page, or there is a table or figure in or after the page. Single-space figure and table captions.

There are special spacing requirements for some of the preliminary pages. (See sample pages for the dissertation and thesis in Appendices). The layout for these pages must be followed carefully, as departures from the standard format are not acceptable.

Margins

Left: 1.5

Top: 1 inch

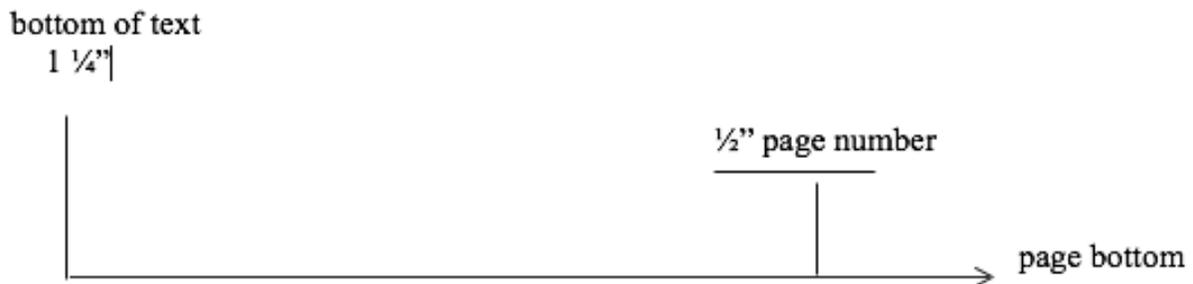
Right: 1 inch

Bottom: 1.25 inches

With the exception of page numbers, all other manuscript material must fit within these margin requirements. This includes tables, figures, graphs, and appendices. When oversized pages are used, the same margin measurements are maintained. (See Size and Oversize Material, sections A and C in this chapter).

Page Numbers

Page numbers must always be centered at the bottom of the page. Place the number $\frac{1}{2}$ - $\frac{3}{4}$ inch above the page bottom. No dashes, periods, underlining or other marks may appear before, after, or under the page number. Page numbers must appear at the same height throughout the document. When using landscape mode to print charts or tables, the page number may be placed on the center of the left margin or bottom margin.



Pagination

Every sheet of paper in the manuscript must be numbered except for one: the title page. This includes the references, appendices, and vita (required only for dissertations). The title page is counted but not numbered.

Roman numerals are used for the preliminary pages (from title page to the last page preceding the body text), but since the title page is counted but not numbered, "ii" is the first number used and appears on the signature page.

Arabic numerals are used for all other manuscript pages. Every single remaining sheet of non-preliminary material (including references, appendices, and vita) submitted as part of the manuscript must be numbered. The next sheet of paper following the last preliminary page, no matter what is printed there, is numbered "1". The remaining pages are numbered accordingly to the last manuscript sheet. Letter suffixes (e.g., 10a, 10b, etc.) must not be used.

Correct pagination--no missing pages, no duplicate numbers or pages, no blank pages--is required for the manuscript to be acceptable.

C. Oversize Material

Landscape Mode

Where computer output, tables, or other illustrative materials need to be viewed in landscape mode, they must still fit within required margins. The following image is an acceptable example. (See section B in this chapter).

Table 5.
Mean Differences in Literacy Outcomes by Ethnicity

Outcome	African American M (SD)	Hispanic M (SD)	White M (SD)	Hispan M (SD)	F value	p value
Literacy scores						
Time point 1 (N=99)						
Pretest	10.80 (3.37)	10.30 (2.62)	8.0 (1.41)	11.00 (0)	.443	.776
Posttest	12.96 (2.84)	12.80 (1.81)	12.5 (2.12)	0	.398	.897
Time point 2 (N=48)						
Pretest	14.41 (2.56)	14.00 (3.01)	13.00 (0.0)	9.50 (.707)	1.73	.159
Posttest	17.19 (2.31)	18.72 (2.28)	15.00 (2.82)	14.50 (2.12)	2.36	.069
Time point 3 (N=45)						
Pretest	18.67 (3.05)	18.00 (2.82)	19.0 (0)	14.5 (9.19)	1.44	.238
Posttest	20.00 (1.83)	19.00 (2.42)	0	15.5 (3.53)	3.746	.038
Pretest - Posttest Change Scores	2.15 (2.97)	2.5 (2.32)	4.5 (.707)	0	.928	.437
Time point 1						
Time point 2	2.77 (2.12)	4.63 (2.83)	2.00 (2.82)	5.00 (1.41)	1.81	.145
Time point 3	-1.48 (3.17)	.600 (2.98)	-2.00 (0)	0.00 (7.07)	1.18	.334
Posttest Change Scores	4.63 (2.70)	6.11 (2.75)	2.5 (.707)	0	1.15	.340
Time point 2 - Time point 1						
Time point 3 - Time point 2	2.83 (2.10)	4.00 (2.17)	0	1.0 (1.41)	3.00	.042

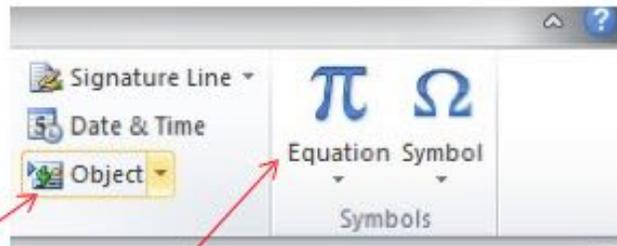
D. Photographs

Photographs should not be blurry; however, for they should be optimized. Many TIFF images may make the ETD file size too large. Most images should be under 1 MB. You can use Microsoft Office Picture Manager, Adobe Photoshop, or Mac OS X's Preview or iPhoto to optimize your photos before inserting into ETD.

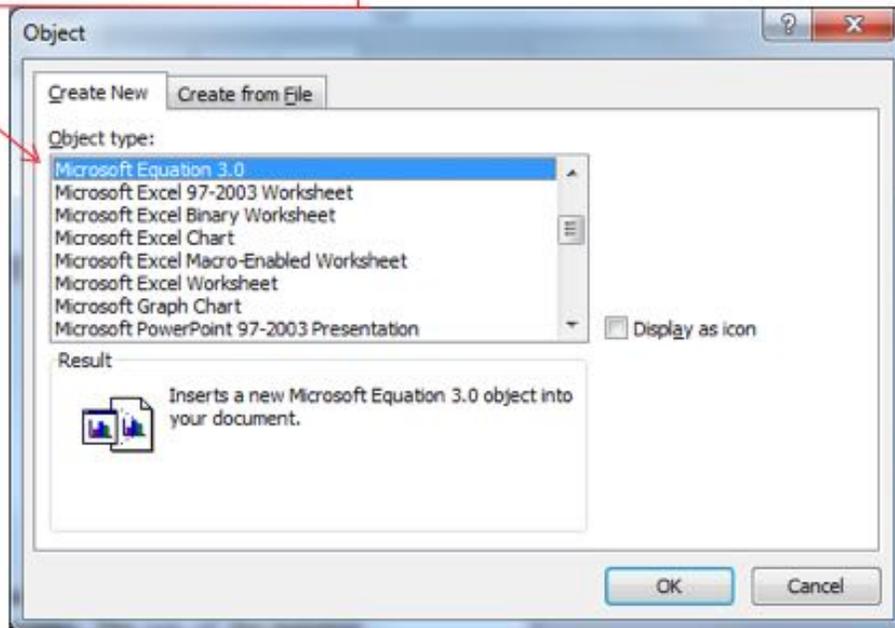
Color is acceptable.

E. Equations

For conversion purposes, equations should be inserted using Microsoft's Equation tool.



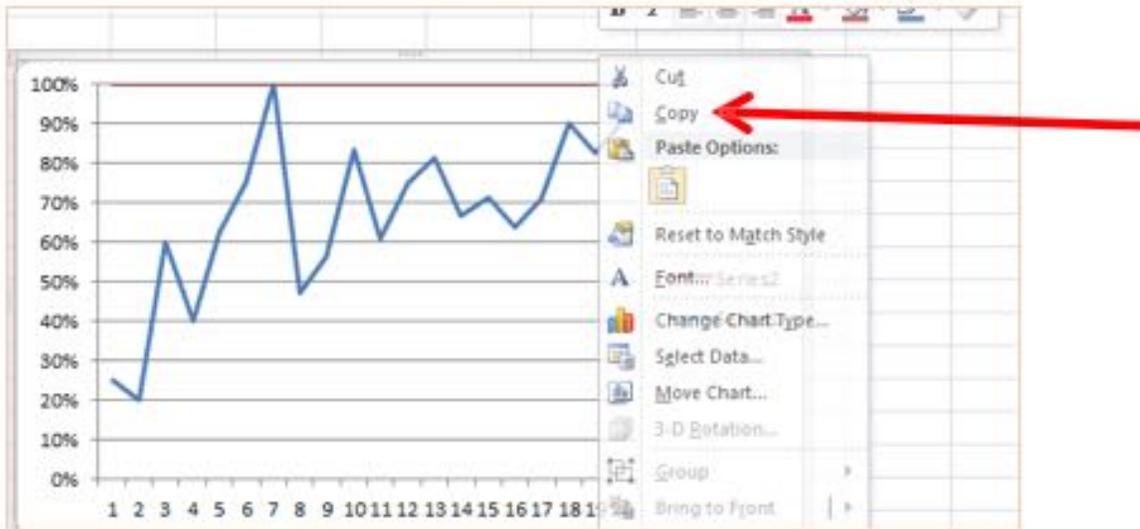
TRY TO USE THESE



F. Charts and Graphs

If inserting a chart or graph from Microsoft Excel, the student must insert the chart or graph as a PICTURE. DO NOT LINK DATA. Linking data will prevent the conversion to PDF/A.

IN EXCEL

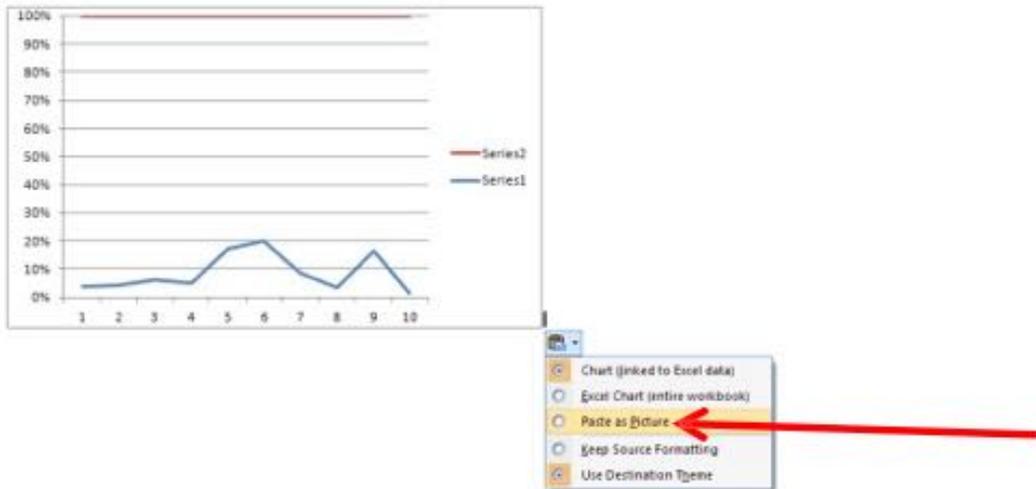


IN WORD

2010



2007



G. Typing and Reproduction Services

University policy prohibits the University Graduate School from recommending typists, editors, computer services, or reproduction services. However, lists of third-party editors and binders offering their services to students are available. Contact the ETD coordinator at etd@fiu.edu for more information.

Neither FIU nor the University Graduate School are responsible for the work of third-party providers. It is recommended that students have a clear understanding from the beginning about who is responsible for what in preparing the final manuscript. While the student may employ a professional typist or editor, the ultimate responsibility for the manuscript's correctness lies with the student. The manuscript should be proofread carefully before and after submission to the typist/editor, who should not make editorial changes. The writer should examine the manuscript for proper and complete pagination. The student is solely responsible for compliance with UGS rules and regulations.



CHAPTER II: The Manuscript

A. Format

The manuscript consists of three main parts: the preliminary pages, the text, and the reference section. The student, in consultation with his or her major professor, determines the internal arrangement within the text and reference sections. The candidate is advised to consult with his or her major professor regarding an acceptable style before preparing the final copy of the thesis or dissertation.

If there is a conflict regarding format, the regulations for thesis and dissertation preparation in this manual supersede other style manuals.

You can look through other ETDs to get a feel of how others have executed their formatting; however, please be aware that these are not always 100% correct: <http://digitalcommons.fiu.edu/etd/>

B. Arrangement

All preliminary page after the Signature page (ii) are to be arranged in the sequence described below and are to be numbered with lower case Roman numerals. The pages immediately following the preliminary pages are numbered with Arabic numerals. If the student appends a reference section to the end of each chapter or section in the manuscript, the third section of the manuscript may contain only the Appendices and Addenda; or, if there are neither, there may be no third section.

The manuscript is arranged in the following sequence:

The Preliminary Pages

- | | |
|-------------------------------|---|
| 1. Title page | (counted but not numbered) |
| 2. Signature page | (page ii, the first page on which a number appears) |
| 3. Copyright page (optional) | (counted and numbered) |
| 4. Dedication page (optional) | (counted and numbered) |
| 5. Acknowledgments (optional) | (counted and numbered) |
| 6. Abstract | (counted and numbered) |
| 7. Table of Contents | (counted and numbered) |

- | | |
|--|------------------------|
| 8. List of Tables | (counted and numbered) |
| 9. List of Figures | (counted and numbered) |
| 10. List of Symbols (if applicable) | (counted and numbered) |
| 11. Abbreviations and Acronyms (if applicable) | (counted and numbered) |
| 12. List of Plates (if applicable) | (counted and numbered) |

The Text

The first page following the last page of preliminary pages is the first page of the text and is numbered with an Arabic number 1.

- | | |
|---|-------------------|
| 1. Preface or introduction, if any | (Arabic number 1) |
| 2. Text of body or thesis/dissertation
(divided into chapters or sections) | (Arabic number) |

The Reference Section

- | | |
|---|------------------------|
| 1. Bibliography or List of References | (counted and numbered) |
| 2. Appendices (if any) | (counted and numbered) |
| 3. Vita (required for dissertations only) | (counted and numbered) |

C. Preliminary Pages

The information on the preliminary pages and the format for these pages are standardized, and students must follow the samples and instructions presented in this manual. (See sample pages in the Appendices). Most matters of format for the preliminary pages are identical for both the master's thesis and the doctoral dissertation. Two sets of sample pages are provided: one set for the doctoral dissertation and one set for the master's thesis. The candidate will need to read both the general instruction section and the appropriate sample page section. (To download Microsoft Word templates: <https://library.fiu.edu/etd>)

Please note that the general format for capitalization and spacing is to be followed for all preliminary pages for which a sample is provided (e.g., where groups of lines are double-spaced on the sample pages, be sure to double-space). Evenly distribute the spaces between groups of lines to present a balanced appearance.

There must be consistency among D/M forms and all preliminary pages with respect to the candidate's name, major field, major professor and committee members, title of thesis or dissertation and year the degree is awarded.

Do not use bold anywhere in the preliminary pages. Do not use italics except for formulas and Latin words. Do not use quotation marks except to indicate the title of another work or a direct quote.

Title Page

(See sample pages in Appendices 3 - 4)

1. The title for the thesis or dissertation should include meaningful keywords descriptive of the subject and content to facilitate its location on a subject index. This is particularly important for doctoral candidates, since titles are the basis for computer searches. "Catchy" titles should be avoided. A thesis concerning "The Purchasing Power of Teenage Girls," for example, would be difficult to locate if titled "Susie Needs A New Wardrobe."
2. Formulas, symbols, superscripts, Greek letters, acronyms, and abbreviated forms in general MUST be spelled out (e.g., $K_3 Mn(CN)_6$ is written Potassium Manganicyanide; MMPI is written Minnesota Multiphasic Personality Inventory; TESL is written Teaching English as a Second Language). Bolding and underlining are NOT allowed, while italics is allowed for formulas and Latin words, and quotation marks are allowed for signaling another work (e.g., "Title of an Article").
3. The major in which the candidate is earning the degree must be written as the approved University major listed in the FIU Graduate Catalog. For example, FIU awards a degree of Master of Science in Biology, not a Master of Science in Biological Sciences. If there are any questions about the degree name, the candidate should consult the current FIU Graduate Catalog. Also double checking PantherSoft should reveal the exact major.
4. The candidate's name must be the name under which he or she is registered at FIU and must match the name that appears on the approval forms, copyright page (if the copyright is being registered), signature page, and abstract. If the student wishes to change the name of record, an appropriate petition must be filed with the Office of the Registrar.

The date at the bottom of the title page is the year in which the degree is awarded. This is the same year in which the manuscript is filed, except in the case when the manuscript is filed with the University Graduate School after the published deadline. For example, if a student files the manuscript after the fall semester deadline, the degree will be awarded in the spring semester of the following year and is to be dated accordingly.

No page number on the Title page. The Title page is counted as the first preliminary page but is not numbered. For architecture manuscripts with an oversize volume, see also section C in Chapter I.

Signature Page

The Signature page is always page ii of the manuscript, and it is the first page on which a number appears ("ii" appears $\frac{1}{2}$ - $\frac{3}{4}$ inches from the bottom of the page). Every page from this page onward is numbered. The preliminary pages are numbered in Roman numerals (ii, iii, iv) and the text, in Arabic numerals (1, 2, 3).

The candidate's name as recorded by the FIU Office of Registration and Records appears on the Signature page. The name should be the same as that which appears on the first page of the Abstract, the Title page, Copyright page, and the Final ETD Approval Form.

The name of the major professor and of each signing committee member is to be typed under the appropriate signature line. The name of the Major Professor must be listed last, and the title "Major Professor" follows that individual's name. If there is a Co-Major Professor and a Major Professor, both are to be listed as Co-Major Professors. Adjust the spacing between listed names according to how many committee members there are. Do NOT include Dr. or any titles for the Major Professor or committee members (e.g. Dr. Peter Jordan is not acceptable, while Peter Jordan is acceptable), and do NOT include any signatures in the final version of the manuscript.

The date when the oral defense took place is typed beneath the signature of the Major Professor. The last signature on the page is that of the Dean of the University Graduate School. The date at the bottom of the page is the year in which the degree is awarded, and is the same as the year on the Title page and the Abstract.

Copyright Page

(See sample page in Appendix 7.)

This page is optional regardless of whether you register the copyright or not. The following information must appear centered (vertically and horizontally) on the copyright page:

© Copyright 2020 by Jennifer Anne Garcia

All rights reserved.

To be consistent, use the name as it appears in Title page, Signature page, and Abstract. This page is counted and numbered. The format for the Copyright page is the same for the master's thesis and the doctoral dissertation. If the copyright has already been registered, insert the registration number after the author's name and the year the copyright was obtained in place of the year the degree was awarded.

List permissions of external copyrighted material on this page. The candidate is responsible for acknowledging each permission to reproduce in accordance with the wishes of those granting permission (See Chapter III).

Dedication Page

(See sample page in Appendix 8.)

This page is optional but, if included, it will always be numbered and is to be typed double-spaced under the heading DEDICATION, which is centered and typed in all capital letters. The heading should not be underlined, italicized, or typed in bold. Don't use bold or italics in the text (except for formulas and Latin words, for which you can use italics). Center the text and heading vertically if the text is half a page or less; start at the top of the page (1-inch margin) if the text is longer than half a page.

Acknowledgments Page

(See sample page in Appendix 9.)

This page is to thank those who have helped in the process of obtaining the graduate degree. Acknowledgments are optional, unless you have an FIU Fellowship or grant to acknowledge. Acknowledgments are to be typed double-spaced under the heading ACKNOWLEDGMENTS, which is centered and typed in all capital letters. The heading should not be underlined, italicized, or typed in bold. Don't use bold or italics in the text (except for formulas and Latin words, for which you can use italics). Center the text and heading vertically if the text is half a page or less; start at the top of the page (1-inch margin) if the text is longer than half a page.

Abstract of the Thesis and Abstract of the Dissertation

(See sample pages in Appendices)

Double-space everything. The title, candidate's name, year of degree, and name of the major professor must match the versions used on other preliminary pages and the approval forms.

The title "Professor" precedes the name of the major professor (no matter what the individual's normal title is). The title "Major Professor" follows the name. (Note: This style does not match the signature page.) If there are Co-Major Professors listed on the Signature page, they must also be listed on the abstract page.

The content of the abstract must include the following components:

- purpose of the research
- methods
- findings/results
- conclusion

The abstract is published without further editing or revisions; therefore, special care must be taken in its preparation. The abstract for the master's thesis is not to exceed

150 words. The abstract for the doctoral dissertation must not exceed 350 words or 35 lines (or 2,450 characters counting spaces and punctuation). The abstract must be written in English.

Table of Contents

(See sample page in Appendices)

The table of contents should have a heading of TABLE OF CONTENTS in capital letters, centered at the top margin (1 inch). Double-space after the main heading. The subheadings CHAPTER and PAGE should be typed as illustrated in the sample page.

The contents should begin, doubled-spaced after the subheadings with the first chapter title (e.g. Preface, Introduction, Chapter I) and continue until the last section of the manuscript is listed. This includes the list of references, appendices and vita (where applicable). Be sure to match the titles in spelling and style (e.g. CHAPTER I on table of contents should match CHAPTER I on page 1). Do not include preliminary pages in the table of contents. In addition, do not list all the appendices, but include the page number where they start and make sure that page says "APPENDICES." Page numbers must be given for each item listed.

Single-space within a chapter, but double-space between chapters.

List of Tables, Figures, Symbols, Abbreviations and Acronyms, and Plates

(See sample pages in Appendices)

The Lists of Tables, Figures, Symbols, Abbreviations and Acronyms, and Plates should have a heading of LIST OF TABLES (FIGURES, etc.) in capital letters, centered at the top margin. In the Lists of Tables and Figures, the subheadings TABLE (FIGURE) and PAGE should be typed, double-spaced, below the main heading. Table and figure titles should be single-spaced within entries and double-spaced between entries. Page numbers must be given for each table and figure listed. The titles should be listed word-for-word as they appear in the text. The List of Tables and List of Figures must not be combined into one list.

The page numbers must be aligned. You can use the Table of Contents template to achieve this.

D. Text

The candidate should consult with his or her major professor and committee members to determine the preferred textual arrangement and style, including footnote style and the manner in which references are cited. As to format, the regulations included in this manual supersede any other style manual instructions. Spacing and fonts are described in Chapter I. Regulations regarding use of published and other special

material which may require special permission or acknowledgment are presented in Chapter III.

E. The Reference Section

References, List of References, or Bibliography

The List of References or Bibliography should go on the next page after the end of the main text. Double-space between the title and first entry. Single-space within references entries and double-space between entries (See Appendix). On occasion, especially in the sciences, references are needed at the end of each chapter; this format is acceptable. The candidate should consult with the Major Professor and the committee members to discuss the manner in which references are cited.

Appendices

Appendix material should be supporting documentation. Information central to your research should be placed in the main text. All Appendices follow the List of References or bibliography. All Appendices must meet the margin requirements and have a page number. Material may be reduced to fit margins requirements (See Chapter I, section C). Every page must be clear and legible. Make sure consistency is maintained in how you name this section vs. how it's listed on the Table of Contents.

If you have large images that need to remain large, you may refer to the images in your ETD and then add the large images as additional or supplemental files that accompany your ETD file in the Digital Commons system; however, it's best to keep as much content as possible in the ETD.

Vita

(See sample page in Appendices)

The Vita is required for doctoral dissertations only. The Vita provides a brief biographical background of the candidate. It is NOT intended to be a comprehensive resume. The heading, VITA (centered, in capital letters, not in bold, and not underlined), should be typed at the top margin. All Vita entries should be listed in strict chronological order, without subcategories or subheadings. The Vita can include place of birth, dates of degrees and names of colleges or universities, academic or professional employment, publications and presentations. If the candidate wishes, it may also include military service, honors, awards and distinctions. The Vita must not exceed two pages and must not contain any bold formatting.

If including publications and presentations, do not break them into two separate categories. Type a heading (PUBLICATIONS AND PRESENTATIONS, as illustrated in the sample page). List all entries in strict alphabetical order by first author's last name. List presentation entries using a standard citation format. If a presentation paper has not been subsequently published, and the candidate is uncertain about citation format,

a style manual should be consulted for correct formats for unpublished presentation papers.



CHAPTER III: Published Material & Copyright Registration

A. Copyright

Registration of Copyright

The need to register copyright depends on the nature of the materials and on the candidate-author's plans for future publication or revision of the manuscript. Once the work is produced, the author automatically have copyright whether the work has been registered or not. The candidate's work is protected under the present law from its creation through the life of the author and another seventy years thereafter (§ 302. Duration of Copyright: Works created on or after January 1, 1978). However, if the author anticipates having to file a lawsuit to protect the work, registration should be considered.

Whether the manuscript copyright is registered or not, its author retains the right to publish all or any part of the manuscript by any means at any time, except in the cases where portions of the manuscript have been previously published elsewhere. In those cases, author's should check the policies of those publishers and secure any copyright permissions before publishing again. Registration of the copyright puts on public record the exact details of a copyright claim. In order to bring suit against an infringer, registration is necessary.

B. Material of Candidate Accepted for Publication

Manuscripts that have been formally accepted for publication, as verified by the major professor and the committee members, rather than merely submitted for consideration, are treated as published material with respect to permission to reproduce copyrighted material.

These manuscripts may be reproduced in the form in which they were submitted if they conform to UGS's formatting guidelines, are fitted within required margins, and are paginated according to format (see Chapter I). A Copyright page citing the publications in which the manuscript will be published is required. When appropriate, acknowledgment of permission to reproduce copyrighted material is to be included on the Copyright page.

C. Using Copyrighted Material

If a student uses copyrighted material, he or she should remember that a publisher's permission may be required if the usage does not fit into the parameters of fair use. Review the four factors of fair use on the following website to determine whether permission is needed or not: <http://www.copyright.gov/fls/fl102.html>. Students can also contact the ETD Coordinator at the UGS office for information.

D. Permission from Publishers

Permission letters may be included with the manuscript if a student believes that they may be necessary.

When contacting publishers, students should include the time limits and restriction information in the permission requests. In addition, students should not leave the permissions requests open-ended. Students should ask publishers for a response, whether the answer is yes or no.

E. Determining if Material is Copyrighted

In the digital age, every author has copyright at the moment his or her work is fixed in tangible form; however, many authors, especially in academia, may choose to apply a creative commons license to their work, which will allow varying amounts of mixing and reuse. Be sure to check the source of the material, especially if it is electronic. Much electronic material is available in open access, but the uses may vary among repositories, collections, etc. Students with additional question should consult with UGS and librarians.

CHAPTER IV: Filing the Manuscript

A. Important Regulations

Dissertation or Thesis Enrollment Requirement

After a doctoral student is admitted to candidacy, continuous registration for at least three (3) dissertation credit hours each semester (including the summer term) is required until the dissertation requirement is fulfilled.

Once enrollment in thesis credits is initiated, continuous registration for at least one (1) thesis credit hour each semester (including the summer term) is required until the thesis requirement is fulfilled.

Admission to Candidacy (Doctoral Students)

Students working toward a doctoral degree should remember that Form D2 – Program for Doctoral Degree and Application for Candidacy must be filed with the University Graduate School as soon as the qualifying examination has been passed. Doctoral students who have not advanced to candidacy will not be allowed to register for dissertation credits.

Application for Graduation

Students who expect to graduate must apply for their degrees before the advertised semester deadline at the Office of the Registrar, Department of Graduation. See the University Academic Calendar for deadlines.

Research Involving Human Subjects or Animal Research

All research involving human and animal subjects must follow federal guidelines and must be reviewed and approved by the Institutional Review Board (IRB) or the Institutional Animal Care and Use Committee (IACUC), respectively, prior to the commencement of such proposed research.



IRB approval is required when there is human subject involvement (when living human beings are asked to participate physically in an activity or to donate their tissue, organs, fluids, and other bodily materials); when human beings or their environment are manipulated; when information is sought from them directly (as through interview, examination, or questionnaire) or indirectly (as through observation); and when information concerning a specific, individually identifiable human being is requested from third parties--whether through access to files, data banks, or other depositories--or through direct inquiry.

Animal subjects are defined as any live, vertebrate animals used or intended for use in research, research training, experimentation, or biological testing or for related purposes. Research or experiments utilizing animal subjects, including tissue taken from live vertebrates for the purpose of research, must be submitted for review by the IACUC.

For additional information and guidance regarding application submission for research involving human and animal subjects, visit the IRB and IACUC websites maintained by the Division of Sponsored Research and Training Compliance Office at <http://research.fiu.edu/>. You may also contact the Compliance Coordinator at irbiacuc@fiu.edu.

B. Embargo Information

An embargo limits access to the ETD only for intellectual property concerns. FIU policies allow for limited embargo options of six months, one year, and two years, as well as a permanent embargo option. MFA students can receive an automatic permanent embargo and submit a thesis sample to Digital Commons. Embargoes should be carefully evaluated and chosen before and during the ETD submission process; however, alumni can make written requests for embargoes.

Embargo options during submission process:

Limited Embargoes can be chosen via the Final ETD Approval form and in the Digital Commons system during submission. A Permanent Embargo must be requested through a Petition for Exception to Graduate Requirements (MFA students may submit a thesis sample and obtain a permanent embargo without a petition).

Embargo options as alumni:

Limited Embargoes can be added or extended with an email request to the ETD Coordinator. Permanent Embargoes must be requested in writing and submitted to the UGS office in person or via email attachment. The written request must include the reasons and/or policies that require the author to make the request and must be accompanied by a departmental memo that has been approved by the college dean or associate dean. Once the UGS office receives the embargo request and the departmental memo, the UGS dean will review the request and render a decision.

Alumni who request a permanent embargo must submit a written request in person or via email attachment. The written request must include the reasons and/or policies that require a permanent embargo and must be accompanied by a departmental memo that has been approved by the college dean or associate dean. Once UGS receives the departmental memo and request, the UGS dean will review the request and render a decision.

For other important regulations, the student can access the Graduate Policies and Procedures Section of the University Graduate School website at <http://gradschool.fiu.edu/facultystaff/#gradpolicies>.

**Ignorance of a rule or a deadline does
NOT constitute a basis for waiving that rule or deadline.**

APPENDICES

APPENDIX 1 - Arrangement of Thesis/Dissertation Parts

<i>Thesis/Dissertation Part</i>	<i>Page Assignment</i>
Title page	Small Roman Numeral (assigned, not typed)
Signature page	Small Roman numeral starting with number ii (typed)
Copyright page (if applicable)	
*Dedication Page	
*Acknowledgments	
Abstract	
Table of Contents	
List of Tables (if 5 or more)	
List of Figures (if 5 or more)	
List of Symbols (if applicable)	
Abbreviations and Acronyms (if applicable)	
List of Plates (if plates are used)	
*Preface or Introduction	
Body of Thesis (divided into chapters or sections)	
List of References or Bibliography	
Title page for Appendix(es) (if an appendix or appendixes follow)	
*Appendix	
Vita (for dissertations only)	
*Parts preceded by an asterisk are optional; all others are required	

Adapted from the Tennessee Conference of Graduate Schools Guide to the Preparation of Theses and Dissertations.

APPENDIX 2: Sample Title Page of the Dissertation

FLORIDA INTERNATIONAL UNIVERSITY

Miami, Florida

THE EFFECTS OF POLLUTION ON THE GROWTH OF PLANTS
IN A SUBTROPICAL ENVIRONMENT

A dissertation submitted in partial fulfillment of the

requirements for the degree of

DOCTOR OF PHILOSOPHY

in

BIOLOGY

by

Gregory Infante Finkelstein

2020

APPENDIX 3 - Sample Title Page of the Thesis

FLORIDA INTERNATIONAL UNIVERSITY

Miami, Florida

EQUALIZATION OF A VOLATILE SUBSTANCE

A thesis submitted in partial fulfillment of the

requirements for the degree of

MASTER OF SCIENCE

in

CHEMISTRY

by

Rachel Isabella Finkelstein

2020

APPENDIX 4 - Sample Dissertation Signature page

To: Dean Michael R. Heithaus
College of Arts, Sciences and Education

This dissertation, written by Gregory Infante Finkelstein, and entitled The Effects of Pollution on the Growth of Plants in a Subtropical Environment, having been approved in respect to style and intellectual content, is referred to you for judgment.

We have read this dissertation and recommend that it be approved.

William Smith

Robert Johnson

Vanessa Cruz, Major Professor

Date of Defense: March 7, 2017

The dissertation of Gregory Infante Finkelstein is approved.

Dean Michael R. Heithaus
College of Arts, Sciences and Education

Andrés G. Gil
Vice President for Research and Economic Development
and Dean of the University Graduate School

Florida International University, 2017

APPENDIX 5 - Sample Thesis Signature page

To: Dean Michael R. Heithaus
College of Arts, Sciences and Education

This thesis, written by Rachel Isabella Finkelstein, and entitled Equalization of a Volatile Substance, having been approved in respect to style and intellectual content, is referred to you for judgment.

We have read this thesis and recommend that it be approved.

Robert Johnson

William Smith

Vanessa Cruz, Major Professor

Date of Defense: March 7, 2017

The thesis of Rachel Isabella Finkelstein is approved.

Dean Michael R. Heithaus
College of Arts, Sciences and Education

Andrés G. Gil
Vice President for Research and Economic Development
and Dean of the University Graduate School

Florida International University, 2017

APPENDIX 6 - Sample of Copyright Page

© Copyright 2020 by Angela Marinau

All rights reserved.

APPENDIX 7 - Sample of Dedication Page

DEDICATION

I dedicate this thesis to my parents. Without their patience,
understanding, support, and most of all love, the completion of this work would not have been
possible.

APPENDIX 8- Sample of Acknowledgments Page

ACKNOWLEDGMENTS

I wish to thank the members of my committee for their support, patience, and good humor. Their gentle but firm direction has been most appreciated. Dr. Betty Morrow was particularly helpful in guiding me toward a qualitative methodology. Dr. Judith Slater's interest in sense of competence was the impetus for my proposal. Finally, I would like to thank my major professor, Dr. Stephen Fain. From the beginning, he had confidence in my abilities to not only complete a degree, but to complete it with excellence.

I have found my coursework throughout the Curriculum and Instruction program to be stimulating and thoughtful, providing me with the tools with which to explore both past and present ideas and issues.

APPENDIX 9 - Sample of Abstract of the Dissertation

ABSTRACT OF THE DISSERTATION
THE EFFECT OF POLLUTION ON THE
GROWTH OF PLANTS IN A SUBTROPICAL ENVIRONMENT

by

Graciela Valdes-Infante

Florida International University, 2020

Miami, Florida

Professor William Smith, Major Professor

Begin typing the abstract here, double-spaced. The abstract must include the following components: purpose of the research, methodology, findings, and conclusion. The body of the abstract is limited to 350 words with a maximum of 2,450 characters allowed. Spaces and punctuation are counted as characters for this purpose. To get an estimate of the count, count the characters (including spaces and punctuation) of a line of average length, and multiply by the number of lines. If your abstract is longer than 35 lines, it is important that you check the number of characters. The abstract may consist of one or more pages. The first page is formatted the same as a first chapter page; subsequent pages are formatted the same as general text pages.

APPENDIX 10 - Sample of Abstract of the Thesis

ABSTRACT OF THE THESIS
EQUALIZATION OF A VOLATILE SUBSTANCE

by

Robert Johnson

Florida International University, 2020

Miami, Florida

Professor Jennifer Anne Garcia, Major Professor

Begin typing the abstract here, double-spaced. The abstract must include the following components: purpose of the research, methodology, findings, and conclusion. The body of the abstract is limited to 150 words. Spaces and punctuation are counted as characters for this purpose. To get an estimate of the count, count the characters (including spaces and punctuation) of a line of average length, and multiply by the number of lines. The abstract may consist of one or more pages. The first page is formatted the same as a first chapter page; subsequent pages are formatted the same as general text pages.

APPENDIX 11 - Sample Page of a Table of Contents

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** Required for doctoral students only.

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APPENDIX 14 – Sample Page of Abbreviations and Acronyms

ABBREVIATIONS AND ACRONYMS

AFPA	Parent approval to use condoms
AFPE	Peer approval to use condoms
AIDS	Acquired Immunodeficiency Syndrome
BART	Becoming a Responsible Teen
CDC	Center for Disease Control
FDOH	Florida Department of Health
<u>HARDDRUG</u>	<u>Marijuana, cocaine and other drugs</u>
HBM	Health Belief Model
HIV	Human Immunodeficiency Virus
IV	Intravenous drug use
JAC	Juvenile Assessment Center
MTFS	Monitoring the Future Survey
NIH	National Institutes of Health
NIDA	National Institute of Drug Abuse
OHUSE	Alcohol use
STD	Sexually transmitted diseases
TB	Tuberculosis
YRBS	Youth Risk Behavior Survey

APPENDIX 15 – Footnote and References Format

REFERENCES

Smith, R.S., Campbell, R. L., and Bryant, K. (1988). The effect of Pollution on the Growth of Plants in a Subtropical Environment. *American Biologist*, 77 (3):440-467.

Smith, R.S., (January, 1989). The Study of Cross Cultural Communication in South Florida. Paper presented at the meeting of the American Communication Association, San Francisco, California.

NOTE: DOUBLE SPACE BETWEEN TITLE & FIRST ENTRY AND BETWEEN ENTRIES. SINGLE SPACE WITHIN ENTRY.

FOOTNOTES EXAMPLE

The greatest strength of Sherlock Holmes is his partnership with Dr. John Watson.¹ Similarly, Dr. Gregory House's greatest strength is his friendship with Dr. James Wilson.²

NOTE:SINGLE SPACE WITHIN ENTRIES & DOUBLE SPACE BETWEEN ENTRIES! Make sure font is the same type as the rest of document. Footnotes look best at size 10. This example shows UGS' spacing requirements . Other styles may appear slightly modified.

¹ Watson was trained as a medical doctor. He served as an Assistant Surgeon of the Army Medical Department in Afghanistan.

² Wilson is a medical doctor specializing in oncological medicine.

APPENDIX 16 – Sample Page of Vita

VITA

ROBERT SMITH

Born, Hastings, Florida

B.A., Biology Indiana
University
Bloomington, Indiana

1978-1979

Peace Corps, Jamaica

1981

M.S., Chemistry
University of Cincinnati
Cincinnati, Ohio

1981-1982

Teaching Assistant of the Year Award
University of Cincinnati
Cincinnati, Ohio

1983 -1985

Doctoral Candidate
Indiana University
Bloomington, Indiana

Teaching Assistant
Bethune-Cookman College
Daytona Beach, Florida

PUBLICATIONS AND PRESENTATIONS

Smith, R.S., Campbell, R. L., and Bryant, K. (1988). *The effect of Pollution on the Growth of Plants in a Subtropical Environment*. *American Biologist*, 77 (3):440-467.

Smith, R.S., (January, 1989). *The Study of Cross Cultural Communication in South Florida*. Paper presented at the meeting of the American Communication Association, San Francisco, California.

[We do not recommend birthdates or email addresses for your privacy](#)

APPENDIX 17 - Misconduct in Research

Academic Affairs Policies and Procedures Manual

MISCONDUCT IN RESEARCH Effective: June 21, 1995

PURPOSE

In supporting and encouraging research and scholarship, Florida International University expects the highest standards of professional and ethical conduct in all areas of research and creative activity. These protocols are rooted in the belief that academic freedom, collegiality and trust among administrators, faculty members, students and staff are essential to the success of this University. Any allegation of misconduct must be resolved promptly and equitably using procedures that safeguard the rights of all administrators, faculty, staff, and students and other concerned parties. These protocols are adopted by this University in compliance with laws and regulations of the United States, the State of Florida, and the State University System of Florida.

AUTHORITY/SOURCE:

These protocols are adopted by this University in compliance with laws and regulations of the United States, the State of Florida, and the State University System of Florida.

POLICY

A. Definition of "Misconduct"

Misconduct in research is any research activity intended to deceive or defraud; it extends to the mistreatment of animals and human subjects. Misconduct includes, but is not limited to, fabrication of or employment of spurious data; purposeful omission of any conflicting data; deceptively selective reporting; misappropriation of intellectual property; and cases of frivolous accusations. It does not include honest error or honest differences in interpretation or judgements of data. Student research misconduct resulting from classroom assignments remains under the purview of the instructor and is not subject to these protocols. Other common forms of misconduct which are covered by these protocols are defined as follows:

1. Falsification of data is deliberately changing any form of evidence in such a way that it substantially affects its usefulness.
2. Plagiarism is deliberately appropriating the writing or recorded work of another without his/her consent or improperly documenting for one's own benefit.
3. Conflict of interest occurs when an individual serves or represents two distinct entities and neglects or breaches a duty to one entity to the benefit of the other; or, when a person uses his or her position with one entity to advance a personal gain or the gain of another entity.
4. Fraud and misrepresentation are deliberate attempts in deceiving others to secure unlawful or unfair advantage. This category of misconduct includes providing false or misleading information to or intentionally deceiving co-authors, granting

agencies, editors or other interested parties regarding the results or the status of a research project.

5. Non-compliance is failing to comply with the published regulations of federal agencies, state agencies, the university, granting agencies which support an individual's research.
6. Misappropriation of research funds is any deliberate act or omission in the handling of research funds that violates university policy, policies of granting agencies, state or federal law.

B. Applicability

This policy applies to individuals (other than students involved in regular classroom assignments) engaged in any form of research and scholarship, funded or otherwise, in every discipline throughout this university.

C. Administrative Responsibility

1. The Vice Provost for Research will support and coordinate administration of this policy.
2. Cases of alleged misconduct will be investigated by the Research Integrity Committee (hereafter the RIC). Cases will not be investigated by one's immediate colleagues, chair, dean or director to avoid the potential appearance of a conflict of interest.
3. The Faculty Senate Research Integrity Committee is a standing faculty committee whose members are appointed jointly by the University President and Chairperson of the Faculty Senate with the approval of the Faculty Senate. The primary responsibility of RIC shall be to determine if research misconduct has occurred. Four (4) members shall be appointed from the faculty at large with no college/ school having more than (1) representative. All members shall be tenured faculty members holding the rank of Associate or Full Professor. Normally, each member shall serve a three (3) year term of office. For the first year, terms will be staggered as follows: 3, 2, 1 year(s) as determined by the drawing of lots as follows: two 3-year terms, and one 2-year term and one 1-year term. The chairperson of the RIC shall be elected by the faculty members of the RIC. Only three faculty members need be present to conduct business, thus providing for the withdrawal of a committee member in cases where there might be any conflict of interest. The Vice Provost for Research and the University Attorney's representative shall be the only ex-officio members, and they shall be non-voting on all matters.
4. The Provost has responsibility for taking appropriate and final action.

PROCEDURE

A. Report to Funding Agency

If the RIC undertakes a formal investigation and a granting agency's regulations rules or interests require it, then the Vice Provost for Research shall notify the granting agency of the investigation.

B. The Initial Inquiry

Note: Since the procedures for investigating research misconduct are complex, the necessary steps to be followed have been identified by numbers in parentheses--there are 17 in all (II.B. 1-14, D. 15, IV. 16, V. 17).

Any person who has reason to believe research misconduct has occurred should communicate in writing to the Vice Provost for Research for transmission to the Chair of the RIC. No anonymous charges will be considered. Any person making a charge of research misconduct must be willing to appear when summoned by the RIC and willing to confront the accused. (2) Within 10 working days, the Chair of the RIC will call the RIC into session to determine if the charge warrants investigation. (3) Within five working days from the meeting of the RIC, the RIC will notify the accused, communicate to him/her/them the specific nature of the charges, and set a mutually agreeable date and time [at least 10 working days but no more than 20 working days from the day of notification] for a closed-door hearing for the person(s) charged with misconduct to respond. Where the specified time frames prove unworkable, the Chair of the RIC shall notify the parties and the RIC of the modified timetable. (4) The party charged may bring a colleague, a UFF representative, and/or his/her own attorney. Those who accompany him/her may advise the accused but cannot otherwise participate in the hearing. (5) At this meeting, the RIC will listen to the parties and question each. This meeting will be recorded. (6) After listening to both sides, the RIC will excuse the parties. (7) At this point, the RIC will deliberate as to the merit of the charges and the need for further investigation. (8) At the end of these deliberations, the RIC will either vote to terminate the investigation and communicate its actions to date and its findings to the accused and the Provost, or vote to continue the investigation. (9) If the RIC decides to continue the investigation, it will summarize proceedings to date, draw up a plan (e.g. need for consultants, expert testimony, information that it needs to obtain from the parties, et. al.) as well as a tentative date when all information needs to be provided, schedule of additional hearings, etc. which it will communicate to the parties, and the Provost. The plan needs to be clear and the schedule should take into account the need for an expeditious resolution of the matter. The RIC may appoint an investigatory panel which will report its findings to the RIC. (10) At the completion of the investigation, the RIC will communicate to the Provost and to the accused a) its findings and, specifically, whether misconduct has occurred, and b) may make recommendations for any action.

(11) The Provost will review the RIC report and within 15 working days communicate to the accused his/her decision and any action that will be taken. (12) The accused has 15

working days to respond in writing to the Provost's communication. In that response, the accused may request a meeting with the Provost. (13) The accused must be granted the opportunity to meet with the Provost no later than 20 working days from the date the Provost's Office receives the accused's response. (14) Receiving no response, or within 10 working days of the meeting, the Provost's communicates to the accused and his/her supervisors, the Provost's final decision and the disciplinary action (if any) that will be taken.

C. Detailed documentation must be maintained in all phases of the investigation. D. Protecting Granting Agency Funds

(15) If during any phase of these investigations, it appears that funds may be or have been misappropriated or misspent Vice Provost for Research may impound any such accounts.

E. Confidentiality

The Vice Provost for Research will be the custodian of all records and physical evidence. Access to records and material shall be limited to members of the RIC, its panel, the Provost, the Academic Vice President, the University Attorney and the accused parties with a need to know. Confidentiality of all information and documents will be maintained to the fullest extent allowed by law. All individuals involved in a misconduct case, shall be informed by the Chair of the RIC and required to maintain the strictest confidentiality. Any person deliberately violating this confidentiality can be subject to disciplinary action by the Provost.

F. Preserving and Restoring Reputations

The Administration of the University shall undertake, by appropriate diligent efforts, to preserve and restore the reputations of all persons alleged to have engaged in research misconduct when such allegations are found to be unsubstantiated. (16) A letter of exoneration will be issued.

G. Notification of Outcomes

(17) On completion of the review process, the Vice Provost for Research will convey the results in writing to the person(s) charged, the charging party, all concerned administrative officials, any granting agencies involved, editors of any journals affected by these findings (for retraction of related publications), and co-authors. These notifications will be sent as expeditiously as possible. Storage of all records pertaining to a case will be maintained in locked files in the Office of Academic Affairs. Ownership of these records shall rest with the University.

H. Coordination of Investigation with Other Institutions

If the Provost believes any person presently or formerly associated with the University has been involved in research misconduct, then the inquiry and investigation shall be coordinated with appropriate counterparts from other institutions in conformance with Florida Statute, paragraph 240.253. Former employees may request a report on the status of such inquiries.

I. Protection from Reprisals

Everyone involved in cases of research misconduct, including RIC members, the party charged, the charging party, witnesses, and responsible administrators, shall enjoy freedom from any and all reprisals that may arise out of the legal discharge of their duties.

J. No Waiver of Rights

Participation in an investigation conducted by the RIC shall not constitute a waiver of rights under the Collective Bargaining Agreement for any member of the bargaining unit.

K. Promulgation of Protocols

It is essential that all members of the University community who may be affected by these protocols be made aware of the provisions. RIC shall publish and distribute copies of these protocols to every administrator and faculty member of this University. To this end, copies must be on file in all academic administrative offices at all levels. Additional copies will be kept in other appropriate repositories such as the library, Faculty Senate, and all research centers and institutes. Faculty and student handbooks and the FIU catalog must all contain prominent notices of the existence of these protocols and the places where copies are available.