

Guide to Graduate Studies in Chemical Engineering

**Davidson School of Chemical Engineering
Purdue University**

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1. Introduction

This document summarizes the policies, procedures, and requirements for graduate students in the School of Chemical Engineering. In particular, it emphasizes policies, procedures, and requirements that are left by the Graduate School to the discretion of the School.

The majority of students enrolling in graduate studies in the School pursue the Doctor of Philosophy (Ph.D.) degree. The school also has MS with thesis, and MS non-thesis, however we do not offer admission directly into these programs. We do offer a Professional M.S. degree program. <https://engineering.purdue.edu/ChE/Academics/Graduate/masters.html> .

A student must accomplish a number of required tasks to obtain a Ph.D. degree.

These include passing the Ph.D. Qualifying Procedure (Qual), which consists of a written report on the student's research and an oral defense of the report. The Qual must be taken one academic year after a student joins the School, and the Qual is required before a student is admitted into the Ph.D. program.

The student must also pass the Preliminary Examination, which must be taken by the eighth week of the student's sixth semester and is required before a student is admitted into Ph.D. candidacy. There is a possibility of an extension to the second half of the sixth semester, but would need a written explanation from the student and approval by the DGS.

Students who need to re-take Prelim will be allowed to re-take exam in the summer (for total of 36 months in the graduate program maximum). After 36 months in the program, student's funding will be discontinued until Prelim is passed.

If a student is required to do M.S. first, student will be allowed a two year (24 month) limit for M.S., after which time funding will be discontinued. The Prelim may then be delayed by one semester or summer period. Along the way, the student must choose a research advisor, form a thesis Advisory Committee, take courses, maintain a minimum of 3.0 GPA, file a Plan of Study, do research, write a thesis, give oral presentations, prepare reports, publish at least one paper and have another submitted, and serve as a Teaching Fellow (T.F.) for two semesters.

For students starting fall 2014 and after, you must have one 1st author peer reviewed publication, and one additional first author journal article submitted (review articles do not count toward this requirement).

A timeline of key events in a student's graduate career is summarized in Appendix A. This Guide to Graduate Studies discusses these events in detail and also provides information on vacation policies, safety, and any other issues that might arise while the student works toward the successful completion of his/her thesis dissertation and degree requirements.

2. Graduate Degree Program

The School of Chemical Engineering offers three degrees: Doctor of Philosophy (Ph.D.), Master's Degree with a Research Thesis (M.S. (thesis)), and a coursework-based Master's Degree (M.S. (nonthesis)).

2.1 Typical Ph.D. Degree Program

The Ph.D. program is designed to prepare each student to take an active part in the development and growth of the field of chemical engineering at all levels in academia, industry, and various research organizations. All admitted graduate students must demonstrate competence in graduate course work and demonstrate the capability to do independent research. As described in greater detail in Sections 6 and 8, each student selects a major professor and an advisory committee to assist him/her in planning a program of course work and thesis research. The student takes thirty credits of graduate course work (usually 10 three-credit classes), and the student writes a thesis. The thesis research should be original work that contributes significantly to new knowledge.

In the beginning of the second year of the program, all students go through the Ph.D. Qualifying Procedure (described in detail in Section 5). They must pass the Qualifying Procedure (Qual) in order to proceed directly to the Ph.D. program.

Beginning with the third semester, each student, as part of the degree requirement, occasionally assists in the instructional activities of the department as a Teaching Fellow (TF). The current periodicity is one semester every other year. Students usually teach in their third and sixth semesters. Advanced students may have the opportunity to participate directly in the planning and presentation of undergraduate courses that are related to their thesis work.

In the first 8 weeks of the sixth semester, students take their Preliminary Examination (Prelim), discussed in Section 6. During the Prelim, the student presents a plan for his/her research, and the student demonstrates proficiency in the theory and experimental methods needed for completion of the research. Once a student passes the Prelim, he/she is admitted into candidacy. After the student completes the research and writes the thesis, he/she will take the Final Examination, which is a defense of the written thesis.

Appendix B contains the School of Chemical Engineering's rubrics for the Oral Qualifier Exam (Qual), Preliminary Exam (Prelim), and Final Exam (Dissertation Defense). The student's thesis advisory committee will use the rubrics to evaluate the student's work during each exam and to provide feedback.

2.1.1 Ph.D. Residence Time

Students entering the Ph.D. program with an undergraduate degree in chemical engineering can expect to take approximately four to five years to complete the degree requirements. Those who arrive with an M.S. in chemical engineering should be able to go through the program in four years. If a student obtains an M.S. on the way to the Ph.D., his/her tenure may be about four to five and a half years. However, if the student joins the program with a B.S. in another discipline, obtaining the Ph.D. may take five years. The aforementioned durations indicate the desirable timings. The actual timings may be somewhat longer or shorter depending on the nature of the research attempted and the student's academic progress. Financial support by the School is guaranteed only for the amount of time stated in the student's admission letter. Moreover, if the student's tenure runs over a year longer than these times, the financial support may be reviewed by the Head and the Director of Graduate Studies (DGS) of the School. Upon this review and after consultation with the advisor, the support may be reduced or withdrawn. The maximum time for a student to complete the Ph.D. program is seven calendar years from the date of

admission. At the beginning of the seventh year, the student will be notified that it is their final year and they will be removed from the program at the end of the year.

2.1.2 Ph.D. Course and Research Hour Requirements

COURSE AND RESEARCH CREDIT REQUIREMENTS: A Ph.D. degree in chemical engineering requires a minimum of ten (10) three-credit graded courses (30 credits of coursework total) and a minimum of 60 credits of ChE 699 (Ph.D. Research).

REQUIRED COURSES: All students are required to take four “core” courses in chemical engineering (see list below), a safety course CHE 697: Safety in the Chemical Engineering Laboratory (one-credit course), and CHE 697: Approaches to Research in Chemical Engineering (three-credit course) during their first year in the program. They are required to take Seminar (CHE 690—a non-credit course) every semester. They are also required to sign up for the appropriate level of research: either CHE 698 (M.S. Research) or CHE 699 (Ph.D. Research).

The four required first-year “core” courses are the following:

- ChE 610 (Advanced Chemical Engineering Thermodynamics, hereafter “Thermo”)
- ChE 620 (Advanced Transport Phenomena I, hereafter “Transport I”)
- ChE 630 (Applied Mathematics for Chemical Engineers, hereafter “Math”) OR ChE 697 (Statistical Methods in ChE)
- ChE 660 (Chemical Reaction Engineering, hereafter “Reaction Engineering”)

ChE 610, 620, 630, and 697 (Statistical Methods) are offered every fall semester and ChE 660 is offered every spring semester.

The typical student who comes to Purdue with a B.S. in chemical engineering takes ChE 610, 620, and ChE 630 OR ChE 697 Statistical Methods. In addition, the student usually takes a three-credit hour elective in the first semester along with CHE 697, CHE 690, and CHE 698 M.S. Research. Students then take ChE 660, a mix of electives, and CHE 698 M.S. Research in their second semester. Exceptions may result because some students may have an unusually good or inadequate preparation in some or all of the areas covered by the core courses. The exceptions are handled on a case-by-case basis by the student and the Director of Graduate Studies (DGS).

For students who join the program with a B.S. degree in Chemical Engineering, the core course sequence must be completed within the first two semesters of residence. For others, this requirement must be met in three semesters. Thus, the typical student usually takes ChE 660 during the second semester. By this time, all students have been matched with thesis advisors. A student may also take one or more electives during the second semester.

ELECTIVES: In addition to the four required “core” courses, all students must take six additional courses as electives (to fulfill the requirement of 30 credits of coursework for the Ph.D. degree). The electives are typically a mixture of courses from chemical engineering and other disciplines chosen in consultation student’s advisor and sometimes the advisory committee. All electives should be at 500 or 600 level.

Some students choose to take their electives during either the first semester of their second year or their second year. Others opt to spread out their remaining course work over their tenure in

graduate school. The first option allows the student to focus virtually exclusively on research beyond the third or the fourth semester. The second option allows for the fact that some specialized graduate level courses inside and outside the School may only be offered every two or three years.

NUMBER OF CREDITS STUDENT MUST REGISTER FOR EVERY SEMESTER: All students must be registered for 18 credits (of combined coursework and research) every fall and spring semester. In the summers, students must be registered for 9 credits of CHE 698 or CHE 699 research unless student is doing an internship (see section below on internships). During the final semester of residence (the semester in which the student will graduate), the student may sign up for a reduced course load and may take less research.

REGISTERING FOR RESEARCH (CHE 698 M.S. Research or CHE 699 Ph.D. Research): All first-year students must sign up for ChE 698 (M.S. Research). A graduate student in ChE will sign up for ChE 699 (Ph.D. Research) only after he/she passes the Qualifier and only if the advisory committee does not require the student to do a M.S. thesis. If the student must do a M.S. thesis before entering the Ph.D. program, then the student will continue to sign up for ChE 698 (M.S. Research) until the student has completed the M.S. thesis and thesis defense. At that point, the student is then allowed to sign up for ChE 699 (Ph.D. Research).

REGISTRATION PROCEDURE (SIGNED FORM 23 REQUIRED):

To register for research, students must fill out a ChE Research Registration form. They must list their research for that session, weekly meetings (if applicable), and candidacy (if applicable). The form registering for all other coursework through the scheduling assistant. The student is also responsible for double-checking his/her schedule in MyPurdue to be sure that his/her schedule (including the research hours) is correct. If the student finds a mistake in his/her research hours or weekly meeting, he/she should contact the Graduate Program Administrator immediately to ask for help in correcting the mistake.

GRADE REQUIREMENTS: All graduate students in the School of Chemical Engineering are required to maintain a minimum of a 3.0 GPA, and they are expected to get "S" (Satisfactory) grades in CHE 698 (M.S. Research) and CHE 699 (Ph.D. Research). See Section 8 for more information on grade requirements.

TRANSFER CREDITS:

If a student has a M.S. in Chemical Engineering from another university, he/she may talk to the Director of Graduate Studies and the Graduate Program Administrator about the process for applying for transfer credit. The student will usually ask a professor teaching a current course (on the same subject matter that the student studied at his/her previous university) to evaluate the student's syllabus from the course at the previous university. If the professor determines that the previous course is equivalent to the current course being offered in Purdue's School of Chemical Engineering, then the student will usually be granted permission to use the course from the previous institution and count it toward fulfilling the course requirements for his/her degree. In most cases, the School of Chemical Engineering can accept four classes from the previous institution and count them toward the student's 30 credits of required coursework for the Purdue Ph.D. in ChE. Only two of the four classes may be used to fulfill the core class requirements. So, essentially, a transfer student can transfer in only two core classes and only two electives to count toward their degree.

INTERNSHIPS: If the student has an advisor's permission to do an internship, the Graduate Program Administrator will set up a ChE 697 special topics course. This course will be directly related to the subject that the student is working on in the internship, and the title, course description, and grading method will be determined by student and his/her advisor. The student will register for 1-3 credits of that specially designed ChE 697 course. International students will also need to apply for CPT (Curricular Practice Training) from the Office of International Students and Scholars. See the following link for more information: <https://www.iss.purdue.edu/Current/F1/Employment.cfm>

PUBLICATIONS: For students starting fall 2014 and after, you must have one-1st author peer reviewed publication, and one additional first author journal article submitted (review articles do not count toward this requirement).

2.2 Typical M.S. Degree Program with Thesis (M.S. (thesis))

The M.S. program is designed to prepare each student to make an effective contribution to engineering research, development, production, design, or management. In addition to leading to the M.S. degree, this program provides a basis for continued study leading to the Ph.D. degree. The program consists of a set of required graduate courses, independent research, and defense of a thesis based on this research. Similar to Ph.D. students, beginning with the third semester, each M.S. student, as part of the degree requirement, occasionally assists in the instructional activities of the department as a Teaching Fellow (TF). The current periodicity is one semester every other year. Given the residence time of M.S. students (see below), the typical student will TF once during his/her tenure in the School unless he/she advances into the Ph.D. program. As described in greater detail in Sections 3 and 4, each student selects a major professor and an advisory committee. They will assist him/her in planning a program of course work and thesis research.

2.2.1 Residence Time

Infrequently, a Ph.D. student may change his/her mind and decide to leave the university with an M.S. degree. In other cases, the Graduate Committee may recommend a M.S. with thesis first after qualifier examination. The time table for completing the M.S. thesis is set to be a maximum of 2 years from the students starting date. You must have a GPA of 2.5 (minimum) to graduate with an MS thesis degree.

2.2.2 Credit and Course Requirements for M.S. Thesis Degree

For a M.S. with thesis degree, the student must accrue a minimum of 30 credits of a combination of graded coursework and CHE 698 M.S. research hours. A minimum of fifteen hours of graded course work is required for the M.S. with thesis degree. Four of the courses must be core courses in chemical engineering listed previously in the description of the Ph.D. program (See Section 2.1.2). The additional fifteen hours can be exclusively CHE 698 research or a combination of CHE 698 research and coursework. The thesis research should be original work that contributes to new knowledge but will be of limited scope compared to Ph.D. thesis research. The student will defend her/his thesis at a final defense. A rubric for the oral defense that the thesis committee will use to evaluate the written thesis and oral defense is attached in Appendix B.

Course credits obtained while the student is working toward the M.S. may be used toward the Ph.D. degree.

The M.S. (thesis) students take the same courses, including research, seminar, and safety course, taken by the Ph.D. students during their first semester. They then take one more three-credit-hour class, plus

research and seminar, during their second semester to meet the overall course requirement. With the exception of summer sessions and possibly the semester in which they may be graduating, M.S. students sign up for 18 credit hours each fall and spring semester.

Note Regarding Transfer Credits for the M.S. Degree: A student **may not** use coursework from a M.S. degree from another institution to count toward the total number of required credits for the M.S. thesis or M.S. non-thesis degrees. Only M.S. coursework completed at Purdue can count toward a M.S. degree.

2.3 Credit and Course Requirements for M.S. Non-Thesis Degree Program

A M.S. (non-thesis) degree in chemical engineering requires a minimum of thirty (30) credit hours of graded coursework. At least two of these courses must be core courses in chemical engineering (see list below). The remaining electives are typically a mixture of 500 and 600 level courses from chemical engineering and other disciplines that are chosen by the student after consultation with the student's advisor. The electives may be within a specified concentration. A minimum of fifteen (15) credit hours of coursework (core plus electives) must have a CHE prefix. Students may take up to six credit hours of graded independent study research project (CHE 597 00) as an elective to help fulfill the course requirements for their overall course of study. A maximum of 6 credit hours of electives from 300 and 400 level course may be taken with approval of the student's advisor. The time table for completing the M.S. non-thesis is set to be a maximum of 2 years from the students starting date. You must have a GPA of 2.5 (minimum) to graduate with an MS non-thesis degree. **The four core courses are the following:**

- ChE 610 (Advanced Chemical Engineering Thermodynamics, hereafter "Thermo")
- ChE 540 (Transport Phenomena) OR ChE 620 (Advanced Transport Phenomena I, hereafter "Transport I")
- ChE 697 (Statistical Methods in ChE) OR ChE 630 (Applied Mathematics for Chemical Engineers, hereafter "Math")
- ChE 543 (Polymer Reaction Engineering) OR ChE 660 (Chemical Reaction Engineering, hereafter "Reaction Engineering")

3. Faculty Advisor Selection Process

Incoming students learn about each faculty member's research during the Graduate Student Symposium poster session, which takes place early in the fall semester (the week before classes begin). In September and October, faculty give formal presentations on their research to all of the first-year graduate students. During this time period, each student is required to arrange individual meetings with faculty members whose research projects they are interested in. Several such meetings may take place between each student and various faculty members.

In addition to meeting with prospective advisors individually, students should consider going to the prospective advisor's group meeting. Students should read some of the faculty member's articles to become familiar with the faculty member's work. Students should also talk to other students in the faculty member's research group to learn more about the research that they do. At the end of a time

period specified by the Head of the School, each student must give a rank-ordered list of six projects/advisors to the Head (usually by the middle of October). Based on the students' requests and after consultation with faculty, the Head then matches each student with a faculty member who will serve as the student's advisor during the student's graduate student career. In most cases, each student is assigned his/her first choice. However, in some instances, several students select the same project; so, a first choice cannot be assigned to all of them. The Head then works with each student and with faculty to find a good advisor match for each student. Typically, the faculty advisor selection process will be complete by early November.

4. Committee Structure

All graduate students have an advisory committee that will provide advice on academic, professional, and research matters. The advisory committee will sit for all required formal exams: the Prelim, and the Final Exam (Dissertation Defense). The advisory committee will be chaired by the student's thesis advisor. See Section 8 for more information on the Faculty Advisor Selection Process.

QUAL COMMITTEE: See section 5 **FINAL EXAM (DISSERTATION DEFENSE (PhD) AND PRELIM COMMITTEE:** For the

Final Exam (Dissertation Defense) and Prelim, the advisory committee must consist of **a minimum of**

four faculty members. Three of the members must be in ChE (and must have full-time, emeritus, or fractional appointment). The committee must be chaired by the student's thesis advisor who must be faculty member with a primary appointment in the School of Chemical Engineering. The student must have one committee member who is outside the School of Chemical Engineering. This member may also co-chair the committee as long as the other co-chair is a faculty member in the School of Chemical Engineering.

FINAL EXAM (MS WITH THESIS): A minimum of three committee members are required, two of which must be Chemical Engineering faculty (one being the chair-must have a primary appointment in Chemical Engineering).

MS NON-THESIS: One Chemical Engineering faculty member with a primary appointment in Chemical Engineering is required.

The student and his/her major professor(s) will decide whom they would like to have on the student's committee, based in part on potential contributions to the student's research. It is the responsibility of the student to ask each person to serve on his/her committee. Usually the persons initially selected for the Advisory Committee will be retained on all subsequent committees, but the membership can be changed with the approval of the major professor.

Qualifying (Qual) Procedure

The purpose of the qual procedure is to ensure that the student is able to effectively summarize the literature in their research area, and propose hypotheses or solutions leading to the generation of new knowledge. The Ph.D. Qualifying Procedure consists of two parts:

1. Student performance in coursework to ensure that the student demonstrates understanding of key chemical engineering principles at the graduate level.
2. Preparation and defense of a written report on their research and an oral presentation of the report.

The written and oral portions of the qual procedure will each be evaluated using 5 categories. Initially, committee members will evaluate the student's oral presentation prior to group discussions, but are able to change their evaluations after committee deliberation. On the rubric, more than 1 "not passing" mark out of the 5 categories is considered "not passing" for that committee member. If the student receives a not passing evaluation from 2 of the 3 committee members, the student does not pass that portion of the qual procedure. Additionally, if a student receives a "not passing mark" in one category from all 3 committee members that also constitutes "not passing" the qualifier examination (either oral or written). It is possible for the student to pass one portion of the procedure (oral/written) and to fail the other, in which case the student will only redo the portion of the qual that they had failed and will do so in front of a new committee. The new committee will have the feedback from the first attempt. Students will receive feedback from their committee after both the written and oral portions are complete.

COURSEWORK PERFORMANCE

Students will be evaluated on their first-year coursework performance. Students need to perform at a satisfactory level in coursework during their first year, particularly in the core courses. Students should maintain an overall GPA of 3.0 or higher and a GPA 2.85 or higher in core courses. A student who receives multiple C's and/or a grade lower than a C in any course may be placed on probation or asked to leave the program. If a student receives two C+'s or below in core courses, the student will be required to terminate with an M.S. degree (it will be up to the student and advisor whether it be thesis or non-thesis). The cumulative GPA must be a minimum of 2.7 to graduate with an MS thesis or non-thesis.

WRITTEN RESEARCH REPORT AND ORAL PRESENTATION

All Ph.D. students beginning with those entering the program in Fall 2016 are required to attempt the Ph.D. Qualifying Procedure (Qual). One year after the student enters the program, the student must submit a written research report and deliver an oral presentation on the research report to the members of the Qualifier Committee. This Qualifier Committee will consist of full-time faculty members from the Davidson School of Chemical Engineering. Here, "full-time faculty" means tenured or tenure-track faculty holding a 50% or more appointment in our School. A subcommittee of three faculty members will be assigned to each student.

DEADLINE FOR THE WRITTEN QUALIFIER REPORT: The deadline for submission of the written report is September 15th for graduate students who entered the program in the previous fall. The report will be reviewed by three members of the committee assigned, and it will be used

as the basis for evaluation along with the student's performance in oral presentation. The deadline is March 15th for students who entered in the spring semester.

FORMAT AND CONTENT OF WRITTEN QUALIFIER REPORT: The qualifying written report should be in 12 pt. Times New Roman font, and the report should be a maximum of 10 pages 1.5 line-spaced with one-inch margins. The minimum font for figures and tables is 10 pt. It may NOT contain appendices. The cover page, Table of Contents, Summary, and References do NOT count toward the 10 page maximum; however, all associated data/charts/tables do count towards this page limit. A typical written report for the examination will have the following structure:

- Summary
- Introduction
- Research Objectives
- Literature Review and Theory
- Research Plan
- Methods and Materials
- Preliminary Results
- Plan for Next 12 Months

The written report should be reviewed by the student's advisor, and suggestions made for changes if needed. The student should submit a copy to their advisor(s) by September 1st (for Fall admissions) or March 1st (for Spring admissions) at the latest such that feedback can be provided prior to submission to the Qualifier Committee.

DATES FOR ORAL PRESENTATIONS: All students must defend his/her written report and undergo an oral examination on his/her thesis research and the subjects of relevance to his/her research specialty in front of the three members of the Qualifying Committee assigned. All oral examinations will take place on two days (usually fall break) in early October (early April for students who entered in the spring). Oral examination dates will be determined and announced by the Graduate Office at the beginning of the academic year.

CONTENT OF ORAL PRESENTATION: The oral examination will last one hour. It begins with a formal presentation (no back-up slides will be allowed) from the student to the committee, and is followed by questions and additional discussion. Students should plan their presentation to no longer than 20 minutes uninterrupted. This presentation should include a brief overview of important concepts in the research area relevant to the thesis topic, a statement of research objectives, a summary of research progress so far (training, methods, preliminary results, and analysis), and a research plan for the next 12 months. The presentation will be followed by a 30- minute question/answer period to allow the student to clarify information for the committee. The student should be prepared to answer both area-specific and general Chemical Engineering questions related to their research. The remaining ten minutes are reserved for a short discussion among the committee members (in the absence of the student); the total examination time for each student is restricted to 60 minutes. The committee will use a rubric to evaluate the student and to provide formal feedback both to the student and to the Graduate Committee.

QUALIFIER OUTCOMES: Each student's evaluation subcommittee will assign a chair person who will be responsible for preparing a short (less than a few sentences) write-up summarizing the

results of the examination. After all students complete their oral qualifiers, all nine Qualifier Committee members will convene to finalize the committee's recommendations and reports before the results will be communicated to the Graduate Committee.

The overall Qualifying Procedure will, therefore, have two components: (1) the student's performance in coursework at Purdue, and (2) the evaluation of the Qualifier Committee on the student's written report and oral presentation. Based on these components, the Graduate Committee will make the final decision to allow one of three options:

1. The student be admitted to the Ph.D. program;
2. The student is asked to retake the qualifier (oral, written, or both) by the end of January (August for Spring Admissions); or
3. The student terminates with a M.S. (non-thesis) degree by December (May for Spring admissions)

For those that retake the qualifier, the following are the possible decisions based upon student performance:

1. The student is admitted to the Ph.D. program; or
2. The student terminates with an M.S. thesis degree by August graduation (December graduation for Spring admissions)

QUALIFIER COMMITTEE STRUCTURE: A committee of faculty members from the Davidson School of Chemical Engineering (3 members for each student). The committee is appointed by the Head (or Executive Officer) of the School. Individual student's subcommittee assignments will be made by the Director of Graduate Studies/Graduate Office. Attempts will be made to assign at least one member of the subcommittee on the qualifier who is familiar with the topic. The student's advisor/co-advisor may not serve on the subcommittee for the student's qualifier, nor may he/she attend the qualifier.

ADMISSION TO THE PH.D. PROGRAM AFTER THE QUAL: Once the oral/written research examination is completed, the Graduate Committee will meet to decide the results of the Ph.D. Qualifying Procedure based on the following:

1. Coursework performance;
2. Recommendations from the student's advisory committee following the oral examination.

All students who (1) have a GPA of 3.0 or higher, (2) have a GPA of 2.85 or higher in core courses, and (3) are recommended for admission to the Ph.D. program by the qual committee will automatically be admitted to the Ph.D. program.

Students who do not meet all of the GPA requirements will be considered on a case-by-case basis by the Graduate Committee.

Students will receive formal notification of the Graduate Committee decision by the end of November (fall students) or April (spring students).

Where a student is required to terminate with an M.S. degree, financial support (stipend and tuition fees) during completion of the M.S. degree is at the discretion of the advisor and the Head of the School.

6. The Ph.D. Preliminary (Prelim) Examination

Ph.D. candidates in the School of Chemical Engineering are required to schedule and conduct their oral Preliminary Examination, which must be taken by the 8th week of the student's sixth semester and is required before a student is admitted into Ph.D. candidacy. There is a possibility of an extension to the second half of the sixth semester, but would need a written explanation from the student and approval by the DGS.

Students who need to re-take Prelim will be allowed to re-take exam in the summer (for total of 36 months in the graduate program maximum). After 36 months in the program, student's funding will be discontinued until Prelim is passed.

If a student is required to do M.S. first, the Prelim will then be delayed by one semester or summer period.

PRELIM MUST BE TAKEN TWO FULL SEMESTERS BEFORE STUDENT SCHEDULES DISSERTATION DEFENSE: The Purdue Graduate School requires that the Preliminary Examination be completed at least two full semesters prior to scheduling the Ph.D. Final Examination (Defense). For example, a student completing a Preliminary Examination in the spring semester may then defend his/her thesis in the spring semester of the following year. Typically, in the School of Chemical Engineering, students take and pass their Preliminary Examination in the fifth or sixth semester of their graduate studies. They then plan to defend and graduate in the summer after the eighth semester of their degree. Students are expected to complete their Ph.D. degree in four years and one semester. See Appendix A for Timeline.

SCHEDULING THE PRELIM AND GRADUATE SCHOOL FORM 8 REQUIREMENT: The student will need to arrange with his/her Advisory Committee for a suitable date and time for the Prelim, and student will work with his/her major professor's secretary to schedule a room for the Prelim. At least four weeks in advance of the Prelim, he/she should file a request to conduct the Preliminary Examination by electronically filling out Graduate School Form 8 through MyPurdue. On the GS Form 8, the student will list the names of his/her advisory committee, and the student will fill out the date, time, and location of the Prelim. This form must be approved by all committee members, the Plan of Study Coordinator, the Director of Graduate Studies, and submitted to the Graduate School at least two weeks before the student's Prelim. **If the date, time and place are not scheduled by this time, the exam may be cancelled and the student will have to reschedule.**

SUBMISSION OF WRITTEN PRELIM REPORT: Prelim written report should be in 12 pt. Times New Roman font, and report should be at a maximum 40 pages double-spaced with one inch margins. It may contain appendices.

The written Preliminary report should be submitted to each committee member **a minimum of two weeks prior to the oral examination.** Student should contact committee to see if they prefer hard copy or electronic copy.

A typical written preliminary report will have the following structure:

Summary

Introduction and Research Objectives

Literature Review

Plan for publications

Theory (if appropriate)

Research

Methods and materials

Results to date

Research plan and schedule to complete the Ph.D. Appendices

It is important that the introduction and critical literature review support the originality and significance of the stated research objectives. The report structure may vary a little with the research field and with the progress at the time of the Preliminary Examination. Students should agree on a structure for the report with their advisor and discuss content of the report at least a month before it is submitted.

PRELIM ORAL EXAM/DEFENSE: The Prelim Examination is intended to demonstrate to the committee that the student is adequately prepared for Ph.D. research. Student must demonstrate a good understanding of the previous work done on the topic by other researchers, and student must be able to situate his/her own research in relationship to previous work and current work being done by others on that topic. Student must articulate a set of realistic objectives for his/her work, and student must develop a set of methods, which will be used to help achieve his/her research objectives. In most cases, the student will have performed enough work (experimental and/or theoretical) to demonstrate that the chosen methods produce results. However, since the committee's objective is to consult with the student on the directions and methods of the Ph.D. work, a significant amount of the thesis work will occur after the examination.

The oral examination lasts between 1.5 and 2 hours. It begins with a formal presentation from the student to the committee and is followed by questions and additional discussion. Students should plan their presentation to be approximately 40 minutes. The presentation should give a *brief* review of the literature followed by stating the research objectives; describing the research methods; presenting and critiquing results to this point; and explaining the research plan for the completion of the thesis.

The committee uses the School of Chemical Engineering Prelim Rubric to examine the student and to provide formal feedback. (See Appendix B for copy of Prelim Rubric). The committee should provide constructive feedback. They should provide suggestions on the originality and significance of the proposed research, the suitability of the proposed methods, and the likelihood of the plan being achieved in reasonable time.

In some cases, the advisory committee may ask the student to alter the direction of his/her research. The committee may ask the student to read and collect more information (either on current topic or on a new topic that the committee recommends the student explore). The committee may also ask the student to rewrite a section (or sections) of the written Prelim Report before approving the student's candidature. The committee may also wish to meet with the student again at a later time to discuss the student's response (written and/or oral) to their concerns. If the student has met the required Prelim deadline with his/her first Prelim Exam meeting and then passes the examination at a second or later meeting (but no later than by the end of the sixth semester), the student will have completed the Preliminary Examination. He/she will then be admitted to Ph.D. candidacy and may also be eligible for an increase in stipend.

7. The Ph.D. Final (Thesis) Examination

The PhD thesis must be prepared according to a preset format and processed following specified procedures. Once the thesis is prepared and all other requirements have been completed, the student must present and defend his/her work in a Final Examination. Detailed information available at <http://www.purdue.edu/gradschool/research/thesis/index.html>.

The thesis draft (approved by the advisor) must be sent to their committee two weeks before the scheduled exam. The exam will be cancelled by the Graduate Administrator if this is not done.

8. Grades and Grade Appeal Procedure

Only grades of A (4.0), B (3.0), or C (2.0) are acceptable. The C grade is viewed as marginal performance in courses at the graduate level. If a student's graduate index falls below 3.0, he/she will be assigned a probationary status and must attain a semester index of 3.0 or better for each subsequent semester that the student is on probation. If the student does not subsequently maintain a 3.0 semester average, he/she will not be allowed to continue in the graduate program in Chemical Engineering. If the student's graduate index rises above 3.0, his/her probationary status will be removed. Please also see Section 5.1 for more information on grade requirements.

Grades in CHE 698 M.S. and CHE 699 Research: If a student receives two grades of U (unsatisfactory) in research (ChE 698 or 699), he/she will not be allowed to continue in the graduate program in Chemical Engineering.

Graduate School Policy Regarding GPA of 3.0 or Higher:

A graduate student is expected to maintain a graduation index representing a B average (3.0/4.0 GPA.) or better. Indices below this level are marked "less than good standing" on the transcript. A graduate student also is expected to earn S (Satisfactory) grades for research registration. Two consecutive sessions of U (Unsatisfactory) grades for research registration mandate that the department take formal action and inform the student, in writing, and the Graduate School with regard to discontinuation of the student's graduate study. In any event, the student's progress should be reviewed each session by the student's department. The student's progress also may be reviewed by the Graduate School. Should the student fail to perform in either coursework or research on a level acceptable to the advisory committee, the departmental graduate committee, or the dean of the Graduate School, he or she may be asked to discontinue graduate study at Purdue. The graduation index for graduate students includes all grades earned in 50000- and 60000-level courses taken while enrolled as a graduate student, except FR, GER, RUSS, or SPAN 60100, 60300, or 60500.

Grade Appeal Procedure: If a student feels that the grade in a course or in research has been unfairly assigned, he/she can appeal that grade using the University appeal procedure as detailed in Part 5, Section III-E of the University Regulations Handbook. The appeals procedure consists of the following sequence of events:

1. The student should attempt to resolve the dispute with the appropriate faculty member.
2. If Step 1 is not satisfactory, the student may appeal to the Head of the School of Chemical Engineering and/or the DGS. The Head and/or the DGS may choose to

- personally resolve the dispute or he/she (they) may appoint a special committee to act in his/her (their) behalf (behalfes) to resolve the dispute.
3. If Step 2 does not resolve the dispute, the student may appeal to the School of Engineering Grade Appeals Committee.

The sequence of appeal steps described above must be taken in the order given.

9. Electronic Plans of Study

PLAN OF STUDY REQUIREMENT: All graduate students must file an electronic Plan of Study with the Graduate School. Students can file a Plan of Study through MyPurdue. Follow this link for Directions for Filing Electronic Plans of Study:

<https://engineering.purdue.edu/ChE/Academics/Graduate/index.html>

The Graduate Program Administrator is the Plan of Study Coordinator for the School of Chemical Engineering, and he/she should be consulted about the mechanics of the process. Ideally, the Plan of Study should be filed early in a student's graduate study (second or third semester).

DEFINITION OF PLAN OF STUDY: The Plan of Study lists the courses the student plans on taking (or has taken) to fulfill the Ph.D. or M.S. degree course requirements. The Plan of Study also lists the members of the student's Advisory Committee.

PH.D. PLAN OF STUDY: The Ph.D. Plan of Study should be filed as soon as possible after the student has successfully completed the Ph.D. Qualifying Procedure and before the student starts registering for ChE 699 Ph.D. research. The Ph.D. Plan of Study must list 30 credit hours of graded coursework (usually 10 courses), and four of these courses must be the core courses. Graduate students with an M.S. degree in Chemical Engineering from another university may be able to apply some of their M.S. coursework to fulfill their Ph.D. degree, and those courses will be mentioned in a note in the student's Ph.D. Plan of Study. Please see Section 2.1.2 on transfer coursework. Students should check with the Graduate Program Administrator for the proper procedure.

M.S. PLAN OF STUDY FOR M.S. THESIS AND M.S. NON-THESIS: The M.S. Plan of Study should be filed before the end of the first semester after the student has been assigned a major professor. M.S. non-thesis and M.S. thesis Plans of Study must list all coursework that the student plans to take to fulfill the degree requirements. The Plan of Study must include two of the four required Chemical Engineering core courses 610, 620 (or 540), 630 (or 697 Statistical Methods), and 660 (or 543). The Graduate School does not allow students to use coursework from a prior M.S. degree toward a M.S. degree at Purdue, and students should not put such coursework on their Plans of Study. Please see Section 2.2.2 for further information on this policy.

The course requirement for the M.S. thesis degree is 15 credit hours of graded coursework (usually 5 courses). Four of these must be the core courses. All four of those courses (and the additional coursework to be counted toward the M.S. coursework requirement) must be listed on the Plan of Study. See Section 2.2 for more information on M.S. thesis degree requirements. The M.S. non-thesis degree must list 30 credit hours of graded coursework (usually 10 courses). Four of these must be the core courses. All four of those courses (and the additional coursework to be counted toward the M.S. coursework requirement) must be listed on the Plan of Study. See Section 2.3 for more information on M.S. non-thesis degree requirements.

CHANGES TO PLANS OF STUDY: Any course changes or committee changes to the plan of study may be requested through MyPurdue by making a Request for Change to the Plan of Study.

PLAN OF STUDY DEADLINE FOR STUDENTS TAKING THEIR PRELIM: The Graduate School requires that the Plan of Study be filed and approved by the student's advisory committee, the Plan of Study Coordinator, the Director of Graduate Studies, and the Graduate School *before* the student can schedule his/her Prelim and file the electronic GS Form 8.

PLAN OF STUDY DEADLINE FOR GRADUATING STUDENTS (CANDIDATES FOR M.S. OR PH.D. DEGREES): For students who intend to graduate, the Plan of Study must be *filed and approved* before the first day of classes of the semester in which the student intends to graduate. This is a Graduate School requirement. This means that the student will have filed his/her plan of study at least a month (preferably two months) before that date to give the student's advisory committee, the Plan of Study Coordinator, the Director of Graduate Studies, and the Graduate School enough time to approve the Plan of Study by the deadline.

If a graduating student files his/her Plan of Study late (after the Plan of Study deadline), then the Graduate School will charge the student a late fee to add him/her to the candidate list, and the student will be required to submit a memo (with the thesis advisor's and the Head of Chemical Engineering's signatures) explaining the reason as to why the Grad School should add the student to the candidate list late.

10. Teaching Fellow Duties

Serving as Teaching Fellow is a required part of the academic program for a graduate degree in chemical engineering. Teaching Fellow duties may involve grading of homework assignments and exams in both graduate and undergraduate lecture courses; running help sessions in such courses; and assisting undergraduates in laboratory courses.

Teaching Fellow duties typically begin in the third semester. The current periodicity for TF duties is one semester every other year. All graduate students are expected to be a TF twice during their time in the School of Chemical Engineering (their third semester and their sixth semester).

As this service is an academic requirement of the degree, students will register for the course CHE 697 *Chemical Engineering Experience in Teaching* during the semester in which they teach for the first time, and the course will be recorded on their academic transcript. The course consists of a one-hour weekly workshop on developing teaching skills and putting these skills into practice through Teaching Fellow duties.

It is expected that TF duties should require 10-12 hours of work per week on average over the semester. Advanced students may have the opportunity to participate directly in the planning and presentation of undergraduate courses that are related to their thesis work. In addition, those considering the possibility of an academic career may request the opportunity to serve as a classroom instructor during the later phases of Ph.D. study. In this case, they should contact the DGS. The DGS will work with the Head of School and faculty member in charge of teaching assignments to consider the request and make a decision.

Note for International Students: International students are required to demonstrate proficiency in English before they are permitted to serve as TFs. International students whose score is below a 27 on the Speaking Portion of the TOEFL, must take the Oral English Proficiency Test (OEPT) through the Oral English Proficiency Program. For more information on this requirement, please see the following website: <http://www.purdue.edu/oepp/about/policy.html>

International students should consult with the Graduate Program Administrator with questions about the OEPT requirement. The Graduate Program Administrator is the School's liaison with OEPP, and he/she will work with the student to schedule the OEPT exam.

11. School of Chemical Engineering Seminar Requirement (CHE 690)

All students must register for ChE 690 (Seminar), which is a non-credit course. Seminar meets almost every week. Attendance at Seminar is required, and students are graded P (Pass) or F (Fail) based on their attendance.

Seminar provides students with the opportunity to hear invited speakers from universities and organizations around the world talk about their latest research in the field of chemical engineering. Occasionally, there may be required School lectures not scheduled during regular Seminar time. Students will be given e-mail notice about these additional lectures, and they will be expected to also attend these lectures to fulfill their Seminar requirement.

SEMINAR ATTENDANCE POLICY: Two unexcused absences are allowed per semester. Any excused absences (i.e. attendance at a professional meeting, a class conflict, etc.) must be approved by the Graduate Program Administrator prior to the absence. The Graduate Program Administrator tracks attendance at all Seminars.

Students may attend up to two seminars outside ChE (seminars in other departments on campus) and count them toward their overall Seminar attendance. A Seminar Credit Form must be turned in to Graduate Program Administrator no later than 24 hours after the outside seminar was held. Please see Appendix C for copy of this form.

12. Safety

CHE 697 REQUIREMENT: All students must enroll in CHE 697 (Safety in the Chemical Engineering Laboratory) in the first semester, and attend the introductory lecture, the lecture on fire extinguishers and gas masks, the field trip on operating fire extinguishers, and at least six of the remaining eight lectures. Failure to satisfactorily complete this course may result in an interruption of the student's research. A student will not be allowed into the School of Chemical Engineering's research laboratories until he/she has successfully completed CHE 697.

Safety is of paramount importance and safe conduct is essential to operation of modern laboratory facilities in industry, academia, and government. Knowledge of proper procedures is of particular importance in the research and instructional laboratories in the School. Graduate students, along with

all other members of the School of Chemical Engineering, must actively participate in various departmental safety programs to make the environment safe for everyone. In addition to taking ChE 697, all graduate students must do an initial safety training with the Director of Industrial Safety (scheduled during the first week of orientation), and all students should familiarize themselves with the departmental Safety Manual and follow the guides/directives therein. Please see the following link for more information: <https://engineering.purdue.edu/ChE/AboutUs/Safety.html>

13. Ethics and Responsible Conduct of Research (RCR)

It is imperative that students and faculty are honest in their discovery and learning endeavors and adhere to the highest ethical standards. Therefore, the Graduate School has developed the Purdue University Responsible Conduct of Research (RCR) program. The purpose of this program is to ingrain, promote and sustain an environment of integrity among all stakeholders, i.e. graduate students, staff and faculty, at Purdue University.

A multi-pronged approach is available to promote Responsible Conduct of Research:

- a. Attending workshops,
- b. Online training/tutorial modules, and
- c. Meeting Departmental or College expectations in Responsible Conduct of Research

In the School of Chemical Engineering, the student's introduction to RCR occurs during Orientation. Thereafter, the student's involvement with RCR develops by attending workshops and/or completing self-study online tutorials. Additional training in this area is provided by the student's thesis advisor during individual or group meetings.

The College of Engineering requires that you complete the online training through the CITI website www.citiprogram.org, and attend a workshop on RCR.

For more information on RCR and to register for the Graduate School's on-line training, please go to the following link: <https://www.purdue.edu/gradschool/research/rcr/index.html>

14. Vacations

Students accrue 22 vacation days during each twelve-month period. In addition they are given several university holidays off. The student should familiarize himself/herself with the vacation policies given out by the School of Chemical Engineering Business Office during the first week of new graduate student orientation. Students should consult with their advisors regarding specific days that they wish to take as vacation days so that research can progress in a planned and coordinated manner. An official vacation form must be signed by the advisor and submitted to the business office prior to leaving on vacation.

Appendix A: Typical Sequence of Events and Timetable for a Purdue School of Chemical Engineering Ph.D. Student

Semester 1

Take 4 three-credit courses and other required and elective course work and CHE 698 M.S. Research
Select research/thesis advisor

Semester 2

Start research (all graduate students register for CHE 698 M.S. Research) Take 2-4 additional courses

Summer Semester 1

Full time on research (CHE 698 M.S. Research)

Semester 3

Continue research (CHE 698 M.S. Research) and coursework
Do Ph.D. Qualifying Procedure: Turn in written research report (by September 15) and take oral research exam
Performance in first-year coursework evaluated by student's advisory committee (part of the Qualifying Procedure)
Serve as a Teaching Fellow
Form Ph.D. thesis committee and file Ph.D. Electronic Plan of Study

Semester 4

Take one or two elective course (if necessary) and continue research (CHE 699 Ph.D. Research)

Summer Semester 2

Full time on research (CHE 699 Ph.D. Research)
File Electronic Ph.D. Plan of Study, if it has not already been filed

Semester 5

Continue research (CHE 699 Ph.D. Research) and any remaining elective courses

Semester 6

Submit GS Form 8 (Request for Appointment of Examining Committee) one month before
Preliminary Exam Take Preliminary Exam
Serve as a Teaching Fellow
Continue research (CHE 699 Ph.D. Research) and any remaining elective courses

Summer Semester 3

Full time on research (CHE 699 Ph.D. Research)

Present seminar during Graduate Student Organization Symposium in August

Semester 7

Full time on research (CHE 699 Ph.D. Research) Start writing Ph.D. thesis

Semester 8

Full time on research (CHE 699 Ph.D. Research) and continue writing Ph.D. thesis Submit changes to Electronic Plan of Study, if necessary

Summer Semester 4

Before the thesis defense can be scheduled, you must have one 1st author peer reviewed journal article published, and one additional journal article submitted. Review articles do not count toward this requirement. (Beginning with Fall 2014 admits).

Schedule thesis deposit date with Purdue Graduate School's Thesis Deposit Office
<https://www.purdue.edu/gradschool/research/thesis/>

Submit GS Form 8 (Request for Appointment of Examining Committee) at least one month before defense Defend Ph.D. thesis.

Deposit thesis with Graduate School and give (paper or electronic) copies to members of advisory committee (if requested).

Fill out check-out form (See Appendix D) and leave with Graduate Program Administrator

**Appendix B: Rubrics Qualifier, Prelim, Ph.D. Thesis Defense,
and M.S. Thesis Defense**

EVALUATION RUBRIC: ORAL QUALIFIER

Candidate Name:

Date:

Title of Dissertation:

Categories and Guidance

1. **Problem Definition and Research Hypothesis.** The candidate, in consultation with the advisor, has identified a critical knowledge gap in a science or engineering field, and has proposed a clear, hypothesis and/or problem definition that is readily testable in order to address this knowledge gap. Note that the scope of this problem definition and/or corresponding hypothesis should be limited to that of an individual student project, and it should not be an overarching goal that would require a multi-student or multidisciplinary team to address.

Criteria for “Acceptable” Evaluation: The candidate states the research hypothesis and/or problem definition; however, the candidate may struggle with communicating how this issue will be evaluated through a systematic means. The candidate is familiar with the current state-of-the-art in the field, but the candidate may not be able to provide deep insights regarding strengths and weaknesses of all previous work. Upon questioning, an acceptable candidate will be able to defend the underlying basis for the proposed hypothesis.

Evaluation: Acceptable _____ Not Acceptable _____

2. **Impact of the Proposed Work.** The candidate provides a clear, yet succinct, review of the literature in order to set the context of the proposed work to the multidisciplinary review committee. Moreover, the candidate then positions the proposed work in terms of these previous efforts in order to state the potential impact of the proposed work. That is, there is a clear (and realistic) statement from the candidate as to how the greater field would respond if the proposed work was successful, and how this work would enable future scientific and engineering advances.

Criteria for “Acceptable” Evaluation: The acceptable candidate will have a good grasp of the most important works in his/her field. In addition, the candidate provides evidence that he/she has considered literature for relevant related fields that are outside of the candidate’s specific focus area. As an example, a candidate proposing an experimental analysis might summarize relevant computational or theoretical studies on related systems. The acceptable candidate will be able to describe how the project addresses a critical need.

Evaluation: Acceptable _____ Not Acceptable _____

3. **Preliminary Results and Mastery of Key Research Techniques.** The candidate has obtained significant theoretical, computational, and/or experimental results that clearly go towards addressing the hypothesis and/or problem definition of the research project. Additionally, the candidate demonstrates the ability to perform theoretical, computational, and/or experimental techniques beyond that of an advanced undergraduate researcher. Included in this mastery is the ability to demonstrate the fundamental operational principles of the theory, code, or experimental techniques that are to be utilized heavily by the student during the course of the thesis work.

Criteria for “Acceptable” Evaluation: An acceptable candidate has acquired a significant amount of data that has either begun to support or disprove (either avenue is acceptable) the initially-proposed hypothesis. Moreover, the candidate shows the ability to utilize common

EVALUATION RUBRIC: ORAL QUALIFIER

instrumentation and/or code that will be required for the successful completion of the research project.

Evaluation: Acceptable _____ Not Acceptable _____

4. **Potential of the Project for Tangible Product Generation.** The candidate presents a reasonable path, both in terms of the proposed next steps and the timeline for those steps, forward regarding a research plan for generating a product by the start of the fifth semester of study in the graduate program. This research plan should include an evaluation of the work performed to date, clear proposed short-term objectives, or a contingency plan of action if the initial hypothesis was refuted by the currently-available data.

Criteria for "Acceptable" Evaluation: Acceptable progress is such that, assuming that the initially-proposed hypothesis has been supported by the preliminary data, the student can sketch the outlines of a research publication that could emerge from the project within approximately the next calendar year. Conversely, a candidate may also receive an acceptable mark if there has been a significant amount of preliminary data that has been collected, and the analysis indicates the flaws, and potential solutions to, the original research plan. In either instance, the candidate will have a clear vision for the future research plans and a reasonably-paced timeline moving forward for the project.

Evaluation: Acceptable _____ Not Acceptable _____

5. **Communication Ability.** The candidate is able to present the previous and future work of the project in a manner that is accessible to both an audience of chemical engineering faculty members with diverse backgrounds and to experts in the field of the candidate. Moreover, the work is presented in a professional, logical, and clear manner that is consistent with the format of respected journals and conferences associated with the chemical engineering discipline. This means that all written communication in the presentation slide) should be legible and appropriately sized. Presentation slides should have selective utilization of color, animation, and other effects, while the title of a presentation slide should be a declarative sentence that summarizes the main message of the slide. During speaking, the candidate should have a clear and enthusiastic voice at a level that is easy for the audience to hear.

Criteria for "Acceptable" Evaluation: The oral presentation is to be almost entirely free of typographical errors, and figures are clearly presented. In general, the prose should be easy to follow, although it may have minor errors. The candidate should be able to answer the majority of questions directly. Although it is expected that the candidate will outline the state of the field and relevant literature in their presentations, an acceptable presentation will nonetheless devote the majority of slides to discussion of the hypothesis, results, and future plans.

Evaluation: Acceptable _____ Not Acceptable _____

Note: More than one "failing" mark out of the five categories is considered a "fail" for that committee member. If the student receives a failing evaluation from two of the three committee members, the student fails that portion of the qualifying procedure.

Name of the Examining Committee Member: _____

Signature of the Examining Committee Member: _____

EVALUATION RUBRIC: WRITTEN QUALIFIER

Candidate Name:

Date:

Title of Dissertation:

Categories and Guidance

1. **Problem Definition and Research Hypothesis.** The candidate, in consultation with the advisor, has identified a critical knowledge gap in a science or engineering field, and has proposed a clear, hypothesis and/or problem definition that is readily testable in order to address this knowledge gap. Note that the scope of this problem definition and/or corresponding hypothesis should be limited to that of an individual student project, and it should not be an overarching goal that would require a multi-student or multidisciplinary team to address.

Criteria for "Acceptable" Evaluation: The candidate states the research hypothesis and/or problem definition; however, the candidate may struggle with communicating how this issue will be evaluated through a systematic means. The candidate is familiar with the current state-of-the-art in the field, but the candidate may not be able to provide deep insights regarding strengths and weaknesses of all previous work. Upon questioning, an acceptable candidate will be able to defend the underlying basis for the proposed hypothesis.

Evaluation: Acceptable _____ Not Acceptable _____

2. **Impact of the Proposed Work.** The candidate provides a clear, yet succinct, review of the literature in order to set the context of the proposed work to the multidisciplinary review committee. Moreover, the candidate then positions the proposed work in terms of these previous efforts in order to state the potential impact of the proposed work. That is, there is a clear (and realistic) statement from the candidate as to how the greater field would respond if the proposed work was successful, and how this work would enable future scientific and engineering advances.

Criteria for "Acceptable" Evaluation: The acceptable candidate will have a good grasp of the most important works in his/her field. In addition, the candidate provides evidence that he/she has considered literature for relevant related fields that are outside of the candidate's specific focus area. As an example, a candidate proposing an experimental analysis might summarize relevant computational or theoretical studies on related systems. The acceptable candidate will be able to describe how the project addresses a critical need.

Evaluation: Acceptable _____ Not Acceptable _____

3. **Preliminary Results and Mastery of Key Research Techniques.** The candidate has obtained significant theoretical, computational, and/or experimental results that clearly go towards addressing the hypothesis and/or problem definition of the research project. Additionally, the candidate demonstrates the ability to perform theoretical, computational, and/or experimental techniques beyond that of an advanced undergraduate researcher. Included in this mastery is the ability to demonstrate the fundamental operational principles of the theory, code, or experimental techniques that are to be utilized heavily by the student during the course of the thesis work.

Criteria for "Acceptable" Evaluation: An acceptable candidate has acquired a significant amount of data that has either begun to support or disprove (either avenue is acceptable) the initially-proposed hypothesis. Moreover, the candidate shows the ability to utilize common

EVALUATION RUBRIC: WRITTEN QUALIFIER

instrumentation and/or code that will be required for the successful completion of the research project.

Evaluation: Acceptable _____ Not Acceptable _____

4. **Potential of the Project for Tangible Product Generation.** The candidate presents a reasonable path, both in terms of the proposed next steps and the timeline for those steps, forward regarding a research plan for generating a product by the start of the fifth semester of study in the graduate program. This research plan should include an evaluation of the work performed to date, clear proposed short-term objectives, or a contingency plan of action if the initial hypothesis was refuted by the currently-available data.

Criteria for "Acceptable" Evaluation: Acceptable progress is such that, assuming that the initially-proposed hypothesis has been supported by the preliminary data, the student can sketch the outlines of a research publication that could emerge from the project within approximately the next calendar year. Conversely, a candidate may also receive an acceptable mark if there has been a significant amount of preliminary data that has been collected, and the analysis indicates the flaws, and potential solutions to, the original research plan. In either instance, the candidate will have a clear vision for the future research plans and a reasonably-paced timeline moving forward for the project.

Evaluation: Acceptable _____ Not Acceptable _____

5. **Communication Ability.** The candidate is able to present the previous and future work of the project in a manner that is accessible to both an audience of chemical engineering faculty members with diverse backgrounds and to experts in the field of the candidate. Moreover, the work is presented in a professional, logical, and clear manner that is consistent with the format of respected journals and conferences associated with the chemical engineering discipline. This means that all written communication (either in the written document or on a presentation slide) should be legible and appropriately sized. Presentation slides should have selective utilization of color, animation, and other effects, while the title of a presentation slide should be a declarative sentence that summarizes the main message of the slide. During speaking, the candidate should have a clear and enthusiastic voice at a level that is easy for the audience to hear.

Criteria for "Acceptable" Evaluation: The written document is almost entirely free of typographical errors, and figures are clearly presented. In general, the prose should be easy to follow, although it may have minor errors.

Evaluation: Acceptable _____ Not Acceptable _____

Note: More than one "failing" mark out of the five categories is considered a "fail" for that committee member. If the student receives a failing evaluation from two of the three committee members, the student fails that portion of the qualifying procedure.

Name of the Examining Committee Member: _____

Signature of the Examining Committee Member: _____

EVALUATION RUBRIC: PRELIMINARY EXAM – PROPOSAL PRESENTATION

Candidate Name: _____

Date: _____

Title of Dissertation: _____

Evaluation/Guidance	Poor	Marginally Acceptable	Acceptable	Very Good	Excellent
1. Problem Definition: Stated the research problem clearly, providing motivation for undertaking the research					
2. Literature and Previous Work: Demonstrated sound knowledge of literature in the area, and of prior work on the specific research problem					
3. Impact of Proposed Research: Demonstrated the potential value of solution to the research problem in advancing knowledge within the area of study					
4. Solution Approach: Is applying sound state-of-the-field research methods/tools to solve the defined problem and has described the methods/tools effectively					
5. Results: Analyzed and interpreted research results/data effectively					
6. Quality of Written and Oral Communication: (a) Communicates research proposal clearly and professionally in both (a) written and (b) oral form (b)					
7. Critical Thinking: Has demonstrated capability for independent research in the area of study, significant expertise in the area, and ability to make original contributions to the field					
8. Broader Impact: Demonstrates awareness of broader implications of the concluded research. Broader implications may include social, economic, technical, ethical, business, etc. aspects.					
9. Publications: Journal or conference publications have resulted (or anticipated) from this research					

Overall Assessment: The assessment of the overall performance of the candidate based on the evidence provided in items 1 – 9 above.

CRITERIA	PERFORMANCE RATINGS				
	Does NOT PASS PRELIMINARY Exam	Passes PRELIMINARY Defense Exam			
OVERALL, My Rating of the Dissertation:	Poor	Marginally Acceptable	Acceptable	Very Good	Excellent

Name of the Examining Committee Member: _____

Signature of the Examining Committee Member: _____

EVALUATION RUBRIC: DISSERTATION (Ph.D.) DEFENSE EXAM

Candidate Name: _____

Date: _____

Title of Dissertation: _____

Evaluation/Guidance	Poor	Marginally Acceptable	Acceptable	Very Good	Excellent
1. Problem Definition: Stated the research problem clearly, providing motivation for undertaking the research					
2. Literature and Previous Work: Demonstrated sound knowledge of literature in the area, and of prior work on the specific research problem					
3. Impact of Research: Demonstrated the potential value of solution to the research problem in advancing knowledge within the area of study					
4. Solution Approach: Has applied sound state-of-the-field research methods/tools to solve the defined problem and has described the methods/tools effectively					
5. Results: Analyzed and interpreted research results/data effectively					
6. Quality of Written and Oral Communication: (a) Communicates research clearly and professionally in both (a) written and (b) oral form	(a)	(a)	(a)	(a)	(a)
	(b)	(b)	(b)	(b)	(b)
7. Critical Thinking: Has demonstrated capability for independent research in the area of study, significant expertise in the area, and ability to make original contributions to the field					
8. Broader Impact: Demonstrates awareness of broader implications of the concluded research. Broader implications may include social, economic, technical, ethical, business, etc. aspects.					
9. Publications: you must have one 1st author peer reviewed journal article published, and one additional journal article submitted. Review articles do not count toward this requirement. (beginning with Fall 2014 admits).					

Overall Assessment: The assessment of the overall performance of the candidate based on the evidence provided in items 1 – 8 above.

CRITERIA	PERFORMANCE RATINGS				
	Does NOT PASS DISSERTATION DEFENSE Exam	Passes DISSERTATION Defense Exam			
OVERALL, My Rating of the Dissertation:	Poor	Marginally Acceptable	Acceptable	Very Good	Excellent

Name of the Examining Committee Member: _____

Signature of the Examining Committee Member: _____

EVALUATION RUBRIC: THESIS (MS.) DEFENSE EXAM

Candidate Name:
Title of Dissertation:

Date:

Evaluation/Guidance	Poor	Marginally Acceptable	Acceptable	Very Good	Excellent
1. Problem Definition: Stated the research problem clearly, providing motivation for undertaking the research					
2. Literature and Previous Work: Demonstrated sound knowledge of literature in the area, and of prior work on the specific research problem					
3. Impact of Research: Demonstrated the potential value of solution to the research problem in advancing knowledge within the area of study					
4. Solution Approach: Has applied sound state-of-the-field research methods/tools to solve the defined problem and has described the methods/tools effectively					
5. Results: Analyzed and interpreted research results/data effectively					
6. Quality of Written and Oral Communication: (a) Communicates research clearly and professionally in both (a) written and (b) oral form					
7. Critical Thinking: Has demonstrated capability for independent research in the area of study, significant expertise in the area, and ability to make original contributions to the field					
8. Broader Impact: Demonstrates awareness of broader implications of the concluded research. Broader implications may include social, economic, technical, ethical, business, etc. aspects.					
9. Publications: Journal or conference publications have resulted (or anticipated) from this research					

Overall Assessment: The assessment of the overall performance of the candidate based on the evidence provided in items 1 – 8 above.

CRITERIA	PERFORMANCE RATINGS				
	Does NOT PASS DISSERTATION DEFENSE Exam	Passes DISSERTATION Defense Exam			
OVERALL, My Rating of the Dissertation:	Poor	Marginally Acceptable	Acceptable	Very Good	Excellent

Name of the Examining Committee Member: _____

Signature of the Examining Committee Member: _____