

# **GRADUATE HANDBOOK OF ACADEMIC POLICIES AND PROCEDURES**

Department of Chemical and Biological Engineering  
University of Wisconsin-Madison

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## SELECTION OF A MAJOR PROFESSOR

### STUDENT/PROFESSOR MATCHING

The matching of a student and a major professor takes place early in the first semester of study by a personal and mutual agreement between the student and professor in which the department plays only an indirect role. The department encourages every student to make a serious effort to interview as many different professors as possible.

### PROCEDURE

#### **New Student Orientation begins: August 23, 2024**

New graduate students are provided with a list of members of each research group, current projects, and groups that have openings for new students.

#### **Faculty Research Introductions: August 26 through September 3, 2024**

New graduate students are required to attend all scheduled faculty research talks. Immediately following the research talks, students should arrange initial interviews with at least five faculty members. These interviews benefit students by enabling them to learn about diverse research opportunities. At the same time, the interviews enable faculty to assess student interest in their research area or in specific projects.

#### **Deadline to submit Initial Interview form: September 27, 2024**

Each new graduate student must submit an Initial Interview form indicating at least five professors with whom she or he has met. New students are expected to take the initiative to learn more about potential research opportunities. For example, after initial interviews new students may arrange to meet with additional professors, contact members of research groups, attend group meetings, read relevant literature, or convey their interests in research areas or projects to different professors.

#### **Deadline to submit Major Professor Preference form: October 11, 2024**

Students must list their top four choices of advisors in order of preference. In situations where a student wishes to select co-advisors, the name of one advisor should be indicated and the student should clearly communicate their interest in the co-advised project to the advisor. The Graduate Associate Chair, meeting with the professors involved, will recommend assignments of students to advisors. Every effort will be made to reconcile the mutual wishes and best interests of students and professors.

# PH.D. DEGREE REQUIREMENTS

## COURSE REQUIREMENTS

### 1. Chemical and Biological Engineering (CBE) Course Requirements

Students must complete at least six semester courses (totaling at least 18 credits) in the Chemical and Biological Engineering Department. Four courses will be core CBE courses and two will be CBE electives, chosen at the discretion of the student in consultation with their advisor. These classroom courses shall be in the range numbered 500-899 and will not be laboratory courses, Independent Studies, or Research. Grades of B or better are required in all CBE courses used towards degree requirements.

At least four of the six CBE courses shall be selected from the following set of core graduate classes:

CBE 620	Intermediate Transport Phenomena
CBE 660	Intermediate Problems in Chemical Engineering
CBE 710	Advanced Chemical Engineering Thermodynamics
CBE 735	Kinetics and Catalysis
CBE 781	Biological Engineering: Molecules, Cells & Systems

At least two of the core graduate classes must be taken in the first semester of residence in the graduate program, and at least four core graduate classes must be completed with grades of B or better, preferably by the end of the second semester of residence. Grades will be reviewed by the Graduate Program Coordinator at the end of the first, second, and third semester to ensure first year students are meeting requirements. A student who receives one grade of BC or lower in a core class but who wishes to remain in the PhD program must take the fifth core course or re-take the low graded core course, preferably by the third semester, and the student must receive a B or better. Students are expected to take four classes in their first semester of residence.

A student who receives more than one grade of BC or lower in core graduate classes will be placed in the MS program. The student will receive a letter from the Graduate Associate Chair stating the starting semester of the MS program. Upon successful completion of the MS program, the student may petition the full faculty for readmission to the PhD program.

### 2. CBE 961: Seminar Course

Students must take CBE 961: Seminar- Chemical Engineering in both of their first two semesters for zero credits. The course meets once a week for one hour. The course does not count towards the requirement of taking four courses in the student's first semester, nor as one of the two CBE electives.

### 3. Transfer Credits and Substitutions

The requirement of four core CBE graduate courses shall not be met by substitution of other courses. Students matriculating with an MS degree from another university may submit a petition to the Graduate Program Committee, with the approval of their advisor, to transfer up to two courses, or 6 credits, from their MS work toward the requirements of CBE elective courses, the PhD elective, or the minor/certificate, if the minor/certificate program approves. The petition must include a written explanation from the student explaining why the course from another institution should be allowed to substitute a CBE or UW-Madison course, a written statement of support from their advisor, and any supporting documents they can provide, such as course syllabi and transcripts.

Students taking advanced courses outside the department in excess of minor/certificate requirements may, with departmental approval, use up to two of these courses toward the two CBE elective courses. Seminar courses may not be used to satisfy CBE course requirements. Students may submit a petition to the Graduate Program Committee, with the approval of their advisor, to ask for the course substitution. The petition must include a written explanation from the student explaining why the outside course should be allowed to substitute a CBE course, a written statement of support from their advisor, and any supporting documents they can provide, such as course syllabi and transcripts.

#### **4. Research Course Requirement**

Typically, all graduate students will enroll in CBE 890: Pre-Dissertator's Research with their advisor(s). Students will enroll in their CBE 890(s) every fall, spring, and summer semester they have a Research Assistantship until they become dissertators.

The number of credits for CBE 890 in each semester should total between 1 and 6, with the standard amount being 2-4. Variation should take into account a minimum enrollment requirement of 8 total credits for all graduate students holding a Research Assistantship and as a minimum credit requirement for international students to maintain full-time student status, and a maximum enrollment limit of 15 credits. A student may only exceed 15 credits with Graduate School permission. If a student would need to enroll in 8 credits in CBE 890 to maintain enrollment, they should talk to the Graduate Program Coordinator about potentially beginning dissertator status (see "Advancement to Dissertator Status" on pg. 7 for more information). To maintain a Research Assistantship over the summer students must enroll in at least 2 credits of CBE 890. Summer CBE 890 is taken during the 8-week summer session designated "DHH". More information about enrollment requirements can be found in the Graduate School's Academic Policy here: <https://policy.wisc.edu/library/UW-1208>

Once a student becomes a dissertator, registration in exactly 3 credits of CBE 990: Thesis Research is considered full-time enrollment for each fall and spring semester, and each summer as long as the student has an RAship, fellowship, or other enrollment requirement. Any student who registers for more or fewer than 3 credits will lose dissertator status. As a dissertator, there is no exemption from the enrollment requirement of 3 credits each semester until the student graduates due to the Continuous Enrollment Requirement set by the Graduate School. See <https://policy.wisc.edu/library/UW-1204> for more information. See page 7, "Advancement to Dissertator Status" for more information on how to qualify for dissertator status.

#### **5. Minor Course Requirement – minimum 9 credits**

A requirement of the Graduate School is that all graduate students complete the breadth requirement. This can be achieved through completion of a doctoral minor or a graduate/professional certificate. Approval of the proposed minor or certificate program should be obtained before the student has completed half of the proposed minor or certificate courses, and before the preliminary exam (see Appendix A, pg. 25 and Appendix B, pg. 27.).

#### **6. PhD Elective Course Requirement – 3 credits**

Students must complete at least one course from another program totaling at least three credits. A "B" average is required. Pass/Fail or Audit courses may not be used for the elective course requirement. Courses used to satisfy the minor program may not be used for the PhD elective course requirement. Advisor approval is required and secured through submission of the PhD Elective Course Approval Form (see Appendix C, pg. 28). Elective courses can be foreign language courses.

#### **7. Other comments regarding coursework requirements**

A. Residence Credit Requirements - The Graduate School requires that graduate students earn a minimum of 32 graduate level (300 & above) credits at UW-Madison in order for the

degree to be considered a UW-Madison degree. The Graduate School will not transfer any graduate work done at another institution toward fulfillment of the minimum UW-Madison credit requirement. (However, you may still transfer work at the department level to fulfill department course requirements).

- B. Graduate Credit Requirements – The Graduate School requires at least 51 total credits (300 & above) to complete a PhD. At least 26 of these must be completed in CBE courses numbered 600 & above (which can include courses satisfying the CBE core requirement, research credits, as well as seminar courses).
- C. Transfer of Prior Coursework – The Graduate School sets the following limits on transfer credits:
  - i. **Grad Work at Other Institutions:** With program approval, students are allowed to count graduate course work from other institutions toward the Minimum Graduate Degree Credit Requirement and the Minimum Graduate Course Work (50%) Requirement. No credits from other institutions can be counted toward the Minimum Graduate Residence Credit Requirement. Course work earned five or more years prior to admission to a master's degree or earned ten years or more prior to admission to a doctoral degree is not allowed to satisfy requirements.
  - ii. **UW-Madison Undergraduate:** With program approval, up to 7 credits numbered 300 or above can be counted toward the Minimum Graduate Degree Credit Requirement. Up to 7 credits of courses numbered 700 or above can be counted toward the Minimum Graduate Course Work (50%) Requirement. No credits can be counted toward the Minimum Graduate Residence Credit Requirement.
  - iii. **UW-Madison University Special:** With program approval and payment of the difference in tuition (between special and graduate tuition), students are allowed to count up to 15 credits of course work numbered 300 or above taken as a UW-Madison special student toward the Minimum Graduate Residence Credit Requirement, and the Minimum Graduate Degree Credit Requirement. With program approval and payment of the difference in tuition (between special and graduate tuition), students are allowed to count up to 15 credits of courses numbered 700 or above taken as a UW-Madison Special student toward the Minimum Graduate Course Work (50%) Requirement. Course work earned five or more years prior to admission to a master's degree or earned ten years or more prior to admission to a doctoral degree is not allowed to satisfy requirements.
- D. Department approvals of course substitutions, distributed (Option B) minor programs, and other routine degree criteria are administered by the Graduate Program Committee. Novel requests are considered in the departmental faculty meetings. Requests of either type should be submitted to the Graduate Program Coordinator and must include the endorsement of the research advisor(s). Supporting information for course substitution petitions using non-UW courses should include a written petition, syllabi, transcript, textbook titles and authors, instructor name, and any other details relevant to the requested use.

## QUALIFYING

Qualifying for the PhD program requires that graduate students demonstrate both accomplishment in CBE graduate classes and potential as a researcher. To qualify for the PhD program, a graduate student must have completed 32 credits. The student must also meet the requirement of a B or better in 4 out of 5 core CBE courses, preferably by the end of their third semester in residence, and have passed the preliminary exam as described below.

## PRELIMINARY EXAM-

The preliminary exam comprises a written report and oral examination.

- 1. Written report:** The written portion of the preliminary exam must be submitted electronically as a PDF to the Graduate Program Coordinator's email by 3:00 pm on January 31 of the second year of residence in the graduate program. If January 31 falls on a weekend, it is due by 3:00 pm on the Monday following the weekend. For students entering the graduate program in January, the written report is due by 3:00 pm on July 15 of the second year of residence, or the following Monday if July 15 falls on a weekend. The scope and objectives of the written report are described in Appendix D, pg. 29. While the scientific aspects of the proposed work should be discussed between the student and their advisor(s), the written document should be original work by the student. The student is responsible for all aspects of preparation of the written document and oral presentation, including proper citations, formatting, and proofreading.
- 2. Oral examination:** Following submission of the written document, the student will be asked to present the oral portion of the preliminary exam between February 7<sup>th</sup> and April 7<sup>th</sup> for fall admits or between July 23<sup>rd</sup> and August 23<sup>rd</sup> for spring admits. The composition of the committee and the date of the oral exam shall be submitted to the CBE Graduate Program office by the last day of classes in the fall semester before prelims for fall admits, and the last day of the spring semester for spring admits. The information about the committee and date of exam shall be submitted through the Preliminary Exam Committee Form (see Appendix E, pg. 30). The student shall prepare a 30-minute oral presentation based on their written preliminary report. This oral presentation will be followed by up to 1 ½ hours of questions from the committee. The expected dress code for the oral examination is business attire.

The committee should be composed with the help of the student's advisor, and will be comprised of the student's advisor, two CBE faculty or affiliate faculty members in the same general area of research, and a fourth member of the department. If a student is co-advised by two faculty or affiliate faculty members from CBE, the committee will be comprised of the student's co-advisors, two additional CBE faculty in the student's area, and a fifth faculty member from the department. The major professor(s) will not chair the examining committee. In some special instances, the committee may be augmented by personnel from outside the Department of Chemical and Biological Engineering. However, non-CBE faculty and non-affiliates can attend the preliminary exam but do not have voting rights. It is expected that the members of the preliminary committee will be the members of the student's 4<sup>th</sup> Year Research progress meeting. It is also expected that the members of the preliminary committee plus an outside faculty member (if one was not included in the preliminary committee) will be the members of the student's final defense committee.

The Graduate Program Coordinator will order the warrant from the Graduate School, which will first verify that the student has completed 32 credits toward their degree, their minor has been approved, and their record is cleared of grades of Incomplete and Progress, except for grades of P in CBE 890 or 790. (Note that the minor courses do not need to be completed prior to the preliminary exam. Also note that 890s or 790s with grades of P will not be counted towards credit requirements. All P grades must be changed to S in order for the credits to be counted.)

The Graduate School issues a warrant authorizing the department to admit the student to the preliminary examination. When this warrant is completed and returned to the Graduate School after the student has completed all degree requirements except the dissertation, it serves as the formal application for admission to candidacy for the PhD

If a defense date needs to be rescheduled or a committee member needs to be replaced, the student should contact the Graduate Program Coordinator as soon as they are aware a change



needs to be made. These changes would affect the composition of the preliminary exam warrant and will need time to update through the warrant request system. While last minute changes may happen due to unexpected circumstances and can be dealt with, any changes known in advance should be reported right away to avoid delays in the warrant's approval.

In unusual circumstances, petitions for delay may be submitted to the Graduate Associate Chair. Failure to complete the preliminary examination will be regarded as unsatisfactory progress and the case will be brought to the faculty for action.

- 3. Grading of Preliminary Exam:** Upon completion of the oral portion of the preliminary exam, each member of the exam committee will submit a grade between 1.0 and 4.0. This grade will reflect equally the exam committee's assessment of the written document and oral portion of the preliminary exam, using the criteria described in Appendix F, pg. 31. The results of the preliminary examination will be provided to the student within two days via a formal results letter.

A student who receives an average of 3.0 or higher and has passed the core coursework requirement described above, becomes a candidate for the PhD program. A student who does not receive an aggregate score of 3.0 or higher in the qualifying process is placed in the MS program. Upon successful completion of the MS program, the student may petition the full faculty to be readmitted to the PhD program.

#### **MS NOT NORMALLY REQUIRED FOR PH.D.**

An MS degree is not required for work toward the PhD unless the student has a B.S. in a field other than chemical engineering, or unless the faculty requires the student to complete an MS based on the results of the qualifying requirements, or the student receives grades below the requirements set for core CBE courses.

#### **READMISSION TO THE PH.D. PROGRAM**

Students who have been placed in the MS program because of course requirements or qualifying requirements may petition for readmission to the PhD program after completing the following requirements:

1. Earning grades of B or better in four core graduate classes. When repeating a core graduate class, the higher grade is counted towards this requirement.
2. Completing the MS program. In this case, the MS oral exam takes the place of the preliminary oral exam, and the oral presentation should contain a description of future research plans consistent with the requirements of the prelim exam.

Students placed in the MS program are required to finish the MS program within five semesters of admission into the PhD program, excluding summer semesters. This deadline may be extended to six semesters upon a successful petition to the faculty. The petition for extension should contain a summary of the student's research and academic accomplishments to date in the MS program, plans for completing their MS degree by the end of the sixth semester, and a written statement of support from their advisor.

The process to petition to rejoin the PhD program is as follows:

1. An MS candidate who is seeking re-admission to the PhD program must successfully complete an oral examination before a departmental examining committee of the advisor(s) plus three other CBE faculty members, for a total of 4-5 committee members. The candidate must defend

an MS thesis in order to petition to return to the PhD The defense of an MS thesis is conducted in an open defense (see Appendix H, pg. 33 and Appendix J, pg. 38). See “MS Degree Requirements,” pg. 9, for more information.

2. Upon successful completion of the defense, the student submits a petition to the Graduate Program Committee asking to rejoin the PhD program. The petition should contain a summary of the student’s research and academic accomplishments while in the MS program, and future plans for continuing their research in the PhD program, including listing the faculty member who will be their advisor.
3. Concurrently, the MS exam committee submits a written evaluation of the student containing a recommendation regarding whether the student’s petition should be granted.
4. The Graduate Program Committee brings the petition to the full faculty for a decision.
5. The Graduate Associate Chair will inform the student of the faculty’s decision in writing.

### **RESEARCH PROGRESS MEETING**

Each student will schedule a mandatory research progress meeting with their thesis committee during the fall semester of the fourth year for fall admits, or during the spring semester of their fourth year for January admits. Committees are expected to be comprised of the same faculty from their preliminary exam committee- the student’s academic advisor and two additional faculty members from the department in their area, plus one additional faculty member from the department. If a student is co-advised by two faculty or affiliate faculty members from CBE, the committee will be comprised of the student’s co-advisors, two additional CBE faculty in the student’s area, and a fifth faculty member from the department. However, it is acceptable for the student to swap the fourth or fifth member of the committee for a faculty member from outside the department. This can be done as preparation for the final defense committee where an outside faculty member will be required. [Non-CBE faculty and non-affiliates may attend the research progress meeting.] The meeting will consist of a 30-minute oral presentation by the student on research progress followed by a 30-minute discussion, with a written assessment provided to the student and placed in the student’s file.

One week before the presentation, the student should submit to the committee a one-page document containing an abstract of the student’s research, including background, accomplishments and plans, as well as lists of conference presentations, completed and planned publications. Other information such as participation in internships or campus professional development activities may be included as well.

The presentation should outline background and motivation for the student’s research, a description of research accomplishments to date, and plans for future work, including a tentative timeline. A summary of the student’s completed and planned publications should be included.

### **TEACHING ASSISTANTSHIP REQUIREMENT**

Each student in the PhD program is required to serve as a teaching assistant (TA) for two semesters. Under normal circumstances, each student should TA one semester of their second year and one semester of their third year. Requests for alternate arrangements or partial or full waiver of the requirement should be submitted in writing to the Graduate Program Committee.

### **ADVANCEMENT TO DISSERTATOR STATUS**

A student is granted dissertator status after passing the preliminary examination, completing all major and minor requirements except the dissertation (this includes any required course work and the qualifying requirement), and satisfying the PhD Minimum Graduate Residence Credit Requirement.

To register as a dissertator for a given semester, the student must complete all requirements for dissertator status before the first day of classes. The student must contact the Graduate Program Coordinator at least one month before the end of the semester before they intend to begin dissertator status to initiate the process.

Dissertators register for a reduced course load of three graduate-level credits that are directly related to the dissertation research. Normally, this means CBE 990 and/or required seminars. With advisor's approval, a graduate-level 3-credit course may be substituted. The dissertator *must* register each fall and spring semester for three credits until the PhD dissertation has been deposited at the Graduate School, per the Continuous Enrollment Requirement. Students must register for 3 credits in the summer semester's DHH session if they hold a Research Assistantship, have an internship, fellowship, or traineeship that requires them to register, or if they intend to defend and deposit their dissertation over the summer semester. Students who fail to maintain continuous registration will be assessed a PhD completion fee of up to 12 times the current per-credit fee, per the Degree Completion Fee policy of the Graduate School. For more information on enrollment requirements, see the Graduate School Academic policy here: <https://policy.wisc.edu/library/UW-1208>

## **DISSERTATION AND FINAL DEFENSE**

Guidelines for preparation of the PhD dissertation are given in Appendix H (pg. 33). The student defends the dissertation in a final oral examination, or defense. Before the oral exam, the student must clear all grades of Incomplete from their record and complete all other requirements for the degree. In consultation with the major professor(s), the student chooses an examination committee of at least four faculty members, including at least one, but not more than two, from outside the department. If a student is co-advised by two faculty or affiliate faculty members from CBE, the committee must contain at least five faculty members, including at least one, but not more than two, from outside the department. It is expected that the committee will be comprised of the same faculty members as the 4<sup>th</sup> Year Research Meeting, with the swapping out of the fourth or fifth member of the committee for a faculty member from outside the department if one was not previously included. [Examples of acceptable outside members include: faculty, scientists, or post-docs from another department on campus, or from another institution or organization (i.e. national lab or Chem E. related business)]. An emeritus professor may serve on a PhD examination committee if less than one year has elapsed since their retirement. Three members of the committee must be designated as readers. A copy of the dissertation must be submitted to all members of the final oral defense committee at least two weeks prior to the date of the final oral examination. For more information on committees, see the Graduate School Academic Policy here: <https://policy.wisc.edu/library/UW-1201>

The student submits the names of the committee members to the Graduate Program Coordinator on the PhD Final Oral Exam Committee Form, as seen in Appendix I (pg. 37) at least three weeks before the date of the final defense. The Graduate Program Coordinator will then request a warrant from the Graduate School based on the information provided on this form. The warrant will then be presented to the final oral examination committee at the examination and successful completion of the exam is indicated by the signatures of the committee members on the warrant, which is then returned to the Graduate Program Coordinator, and then the Graduate School.

The Graduate School requires that the final oral examination for the PhD must be taken within five years of passing the preliminary examination, or the student will be required to take another preliminary examination.

## **LENGTH OF TIME TO DEGREE ≤5 YEARS**

Students are expected to complete their PhD degree in ≤5 years (by August 31, 2028 for students entering in Fall 2023). Any student unable to defend their thesis in this period must petition the faculty

for an extension by May 1 of the fifth year. All petition requests are for up to one year at most and should include the following:

- Date of Petition
- Name of student
- Name of advisor
- Accomplishments to date (300 words or less)
- Extenuating circumstances, if any
- Plans for degree completion (include predicted defense date)
- A list of publications published, in press or submitted

The student's advisor must also provide written approval of the student's extension to the Graduate Program Office by May 1 which includes plans to provide funding for the student on a semester-by-semester basis for up to the entire year.

Extension requests should be submitted to the Graduate Program office – EH 2033 NO LATER THAN MAY 1.

## MS DEGREE REQUIREMENTS

To qualify for the master's degree, the student must complete a minimum of 30 graduate-level credits (300 & above), 24 of which must come from these two groups: I, a professional group; and II, an elective group. The student must maintain a B average or better in graduate work.

The **professional group, I**, must comprise a minimum of 12 credits of CBE courses. At least six credits of group I must be in the range numbered 600 to 899 (excluding research). Grades of B or better are required for credit in the professional group.

Students placed on the MS track as a result of two or more grades of BC in core courses are required to make up the course deficiencies as well as complete a master's degree. Course deficiencies should be made up on the usual preliminary exam schedule.

The **elective group, II**, must comprise a minimum of 12 credits of graduate courses. At least six of these shall be in departments other than Chemical and Biological Engineering and shall be chosen for their relevance to CBE. In general, grades of B or better are required for credit in this group, but grades of BC or C in non-CBE courses will be counted if balanced credit for credit by grades of A or AB in other courses from this group.

Up to six credits will be allowed for CBE courses numbered between 300 and 499 in groups I and II combined, provided equivalent courses were not previously taken by the student.

An MS candidate not planning to seek re-admission to the PhD program must successfully complete an oral examination before a departmental examining committee of the advisor(s) plus two other CBE faculty members, for a total of 3-4 committee members. The candidate may defend an MS thesis or an independent study project that will comprise a minimum of three credits of supervised CBE 790 and may involve a lab project, theoretical work, or a critical review of an advanced engineering topic. The defense of an independent study project is conducted in a closed session.

An MS candidate who is seeking re-admission to the PhD program must successfully complete an oral examination before a departmental examining committee of the advisor(s) plus three other CBE faculty members, for a total of 4-5 committee members. The candidate must defend an MS thesis in order to

petition to return to the PhD The defense of an MS thesis is conducted in an open session. (see Appendix H, pg. 33 and Appendix J, pg. 38).

The process to petition to rejoin the PhD program is as follows:

1. Upon successful completion of the defense, the student submits a petition to the Graduate Program Committee asking to rejoin the PhD program. The petition should contain a summary of the student's research and academic accomplishments while in the MS program, and future plans for continuing their research in the PhD program, including listing the faculty member who will be their advisor.
2. Concurrently, the MS exam committee submits a written evaluation of the student containing a recommendation regarding whether the student's petition should be granted.
3. The Graduate Program Committee brings the petition to the full faculty for a decision.
4. The Graduate Associate Chair will inform the student of the faculty's decision in writing.

When a candidate presents a thesis, no fewer than five nor more than 14 credits of research (CBE 790) may be counted toward the 30-credit total requirement. When a project report is presented, a maximum of 12 credits of research may be counted toward the total.

The Graduate School requires that the MS candidate earn at least 15 graduate-level credits (300 & above) at UW-Madison in order for the degree to be considered a UW-Madison degree. The Graduate School will not transfer any graduate work done at another institution toward fulfillment of the Minimum Graduate Residence Credit Requirement. An MS candidate who does not register for graduate work for five or more consecutive years will lose all residence credit.

Before the oral MS examination, the student fills out a Master's Degree Warrant Request Form (see Appendix K, pg. 39) and the Graduate Program Coordinator requests the warrant from the Graduate School. A warrant will not be issued unless the student has cleared all grades of Incomplete and is registered for a program that will permit completion of the Minimum Graduate Degree Credit Requirement by the end of the current semester. After the examination, the Graduate Coordinator returns the signed warrant to the Graduate School. If a formal thesis is presented, it must be emailed to the Graduate School MS Degree Coordinator in accordance with instructions provided by the Graduate School.

Students who enter the program without a Bachelor of Science in Chemical Engineering may be required to take remedial coursework. These courses may include:

CBE 320	4 cr.
CBE 326	3 cr.
CBE 426	3 cr.
CBE 430	3 cr.
CBE 440	3 cr.
CBE 450 (or 470)	3 cr.

## CRITERIA FOR SATISFACTORY PROGRESS TOWARD ADVANCED DEGREES

### SATISFACTORY PROGRESS

Candidates for advanced degrees in chemical engineering are expected to meet the criteria and time schedules shown below. In addition, the candidate must have an advisor and receive a satisfactory appraisal from them. This will normally be reflected by the grade in the research course. The time schedules consider the effect teaching may have on the rate of completion of a degree program.

The cases of any students failing to make satisfactory progress will be brought to the attention of the departmental faculty by the student's major professor or graduate advisor for review and appropriate action.

### QUALITY OF WORK

CBE courses	Grade of B or better is required for courses used to meet degree requirements
Other courses	Average grade B with all grades C or above
Research	P (in Progress) or S (Satisfactory)

### CREDIT LOAD

Students holding a departmental appointment (RA, RA/TA, or Fellow) must be enrolled as full-time students during the academic year and must be enrolled for at least the minimum number of credits in summer. Only graduate-level credits, numbered 300 or above, count toward these credit loads. Courses numbered below 300, even when taken to fulfill a degree requirement, are not considered graduate-level credits.

#### Full-time Student Credit Loads

##### Pre-dissertator

Fall & Spring

8-15 credits\* to hold an RAship

Summer

2 credits minimum during DHH session to hold an RAship\*

##### Dissertator

Fall, Spring, Summer

3 credits only\*, DHH session in the summer

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\* Graduate-level credits, i.e., numbered  $\geq 300$  (no audits or pass-fail)

Students who do not register for at least the minimum number of credits shown above will not qualify as full-time students for payroll purposes and may forfeit their appointment and its associated benefits (health insurance, tuition remission, etc.).

Maximum credit loads: Graduate students generally may not enroll for more than 15 credits of graduate courses ( $\geq 300$ ) in any semester or summer. Higher loads require special permission from the Graduate School Dean, and may incur extra tuition charges. Courses numbered below 300 (such as some language courses) do not count toward this limit.

## COMPLETION TIMES

1. MS: Should normally be completed within 5 semesters of matriculation, excluding summers.
2. PhD:
  - CBE seminar course requirement: CBE 961 must be completed within the student's first two semesters in residence.
  - CBE core course requirement: Two must be completed the first semester. All four must be completed, preferably by the end of the third semester in residence.
  - CBE elective course requirement: Must be completed before dissertator status will be granted.
  - PhD Elective course requirement: Must be completed before dissertator status will be granted.
  - Minor: The minor must be approved before ordering the preliminary exam warrant. Approval of the proposed minor program should be obtained before the student has completed half of the proposed minor courses. All minor courses must be completed before dissertator status will be granted.
  - Preliminary exam: Written portion should be completed by January 31<sup>st</sup> of the second year of residence in the graduate program, and oral portion by March 15<sup>th</sup>. For students entering in January, the written report is due July 15<sup>th</sup> of the second year of residence and the oral portion must be completed by August 15<sup>th</sup>.
  - Final oral exam: Students are expected to finish the PhD within five years of matriculation. Scheduling of dissertation work and the dissertation defense is arranged between the student and the major professor.

## GRADUATE SCHOOL REQUIREMENTS

The Graduate School requires that students maintain a minimum graduate GPA of 3.00 in any course taken as a graduate student (excluding research, audit, credit/no credit, and pass/fail courses), unless probationary admission conditions require higher grades. The Graduate School also considers Incomplete (I) grades to be unsatisfactory if they are not removed during the subsequent semester of enrollment; however, the instructor may impose an earlier deadline.

A student may be placed on probation or suspended from the Graduate School for low grades or for failing to resolve incompletes in a timely fashion. In special cases the Graduate School permits students who do not meet these minimum standards to continue on probation upon recommendation and support of their advisor.

Most programs require satisfactory progress to continue guaranteed funding support <https://policy.wisc.edu/library/UW-1218>. Unsatisfactory progress may cause you to lose a TA, RA, or Fellowship appointment, and possibly your status as a graduate student.

## PROBATION

If a student was admitted on probation and they satisfy the conditions outlined at the time of admission, probationary status will be removed automatically. Once their studies have begun, students are expected to make satisfactory progress toward their degree.

Students must be in good academic standing with the Graduate School, their program, and their advisor. The Graduate School regularly reviews the record of any student who received grades of BC, C, D, F, or I in graduate-level courses (300 or above), or grades of U in research and thesis. This review could result in academic probation with a hold on future enrollment, and the student may be suspended from graduate studies.

The Graduate School may also put students on probation for incompletes not cleared within one term. Dissertators will not be placed on probation for incomplete grades in research courses. All incomplete grades must be resolved before a degree is granted.

Please note that any student who is on probation will not be able to enroll for the following semester until their final grades are submitted and the Graduate School has verified they are making satisfactory progress. For any questions relating to probation, please contact Kipp Cox, Academic Services Coordinator, at (608) 262-2433 or [ervin.cox@wisc.edu](mailto:ervin.cox@wisc.edu)

## **EXPECTATIONS OF GRADUATE STUDENTS AND ADVISORS**

### **MUTUAL EXPECTATIONS**

- As professionals in a diverse and inclusive environment, graduate students and faculty members will treat everyone in the department with equal respect and dignity.
- Advisors and students will carry out their respective responsibilities with the aim of performing research at the level of a world-class university in an honest and ethical manner.
- When a student joins an advisor's research group, the student and advisor make a mutual commitment to perform research together toward the aim of the student's PhD thesis and the associated intellectual products (publications, patents, presentations, etc.).
- Advisors and students will be aware of department policies as laid out in the graduate program handbook.

### **EXPECTATIONS OF FACULTY ADVISORS**

- Advisors will establish a collegial and professional culture within their research groups, and an intellectual environment that is conducive to research and graduate education at a level consistent with a world-class university.
- Advisors will communicate on a regular basis with students regarding the progress of their research, including praise and constructive criticism as appropriate, always with the aim of educating the student to become a leading researcher in their field.
- Advisors will communicate on a regular basis with students regarding professional development and enrichment activities.
- Each advisor will set written policies on their general expectations for student-advisor meetings (frequency, duration, etc.), work hours, and vacation time. These policies will be reviewed at least annually with students. Minimum vacation guidelines for RAs are set by the university and will be extended to all graduate students, regardless of the source of support.

### **EXPECTATIONS OF GRADUATE STUDENTS**

- Students will recognize that as graduate students at Wisconsin, they are professionals at a world-class institution, compensated both in dollars and in credit toward their degree. Accordingly, they will devote an appropriate amount of time and energy toward achieving academic excellence and earning their advanced degree.
- Students will take primary responsibility to inform themselves of and conduct themselves in accordance with the Graduate School's policies and procedures, specific program requirements,



and standards of performance established by faculty and articulated in departmental graduate student handbooks

- Students will become aware of procedures to obtain research funds, and of costs associated with research and graduate education. Students may be asked to participate in preparation of research proposals and other grant-related documents as part of their academic training.
- Students will take responsibility and ownership of their research projects. To complete a PhD, students will demonstrate the ability to independently plan and execute research, and to subsequently disseminate that research in both oral and written forms, including by peer-reviewed publications.
- Students will communicate regularly with faculty advisors on matters related to research, academic progress, concerns, and problems they are encountering.
- Students will take the initiative to pursue appropriate professional training programs, seminars, mentors and courses that will enhance their professional development. Before participating in professional development/enrichment programs with a substantial time commitment, students will gain the approval of their advisor.

## TUITION REMISSION AND FEE PAYMENT

Tuition remission is provided for graduate students who hold at least a combined 33.4% appointment as an RA and/or TA. Fellowships often pay both tuition and fees. If you have any questions regarding your tuition bill, see the payroll coordinator. Your monthly stipend covers your educational expenses which includes funds to pay your segregated fees. You are responsible for paying your segregated fees each semester.

## PARENTAL LEAVE POLICY FOR GRADUATE STUDENT ASSISTANTS

The University of Wisconsin–Madison implemented a new [Paid Parental Leave](#) policy effective July 1, 2024. This policy reflects our commitment to supporting the well-being of employees and their families at an important time in their lives. Graduate Assistants holding positions of Teaching Assistant, Research Assistant, Project Assistant, and Lecturer are subject to this policy.

The Paid Parental Leave policy, [UW-5054](#), provides eligible employees with the following:

- A maximum of up to 6 (six) weeks of paid time off every 12 (twelve) months when they experience a qualifying birth or adoptive event covered by the policy. (The benefit is prorated based on Full Time Equivalent or FTE.)
- When an employee experiences multiple events that would qualify for Paid Parental Leave in the same 12-month period, the eligible employee will be entitled to a total of 6 (six) weeks of Paid Parental Leave.
- Qualifying events include a birth or adoptive event.

Eligible employees must submit the completed [Parental Leave Request form](#) and any required documentation at least 30 calendar days in advance of the start date of leave. It will also be available from the employee's [Divisional Disability Representative \(DDR\)](#). Completed Parental Leave Request forms should be submitted to the employee's DDR.

Under some circumstances, the request for Paid Parental Leave may not be foreseeable, or the employee may need to change the dates of their requested leave and may not be able to provide 30 days' notice. In these cases, the employee must submit the Parental Leave Request form and notify their Divisional Disability Representative (DDR) within 14 days of becoming aware of their need to take leave or modify the dates of leave. As needed, students are encouraged to discuss the dates and duration of parental leave with their advisor(s) and/or the Graduate Associate Chair.

Detailed employee eligibility requirements, qualifying events, exclusions, and other important details are provided in [Policy UW-5054](#). The [Paid Parental Leave web page](#) contains helpful information, including frequently asked questions.

Employees who plan to request Paid Parental Leave should review the policy carefully and seek assistance as needed from their [Divisional Disability Representative \(DDR\)](#).

There will be no research or teaching expectations of the student during the leave. All academic requirement deadlines (e.g., preliminary exam) will be extended for the student requesting leave, consistent with department academic timelines.

## GRADUATE ASSISTANTSHIP POLICY AND PROCEDURES

The Graduate Assistantship Policy and Procedures (GAPP) website is the official Office of Human Resources document that outlines all policies and procedures relating to all types of graduate assistantships (Teaching, Research, and Project Assistantships) on campus. This is where policy information about your employment as an RA or TA, such as vacation and sick time, parental leave, etc., can be found. <https://hr.wisc.edu/policies/gapp/>

## MENTAL HEALTH RESOURCES

Graduate students are encouraged to seek support when needed. University Health Services (UHS) offers a safe and confidential environment with a variety of support services available free of charge and open to all graduate students. These include [individual](#), [couple/partner](#), and group counseling, as well as [stress management](#) and [psychiatry services](#).

UHS has Access Consultation phone screening. Students can call 608-265-5600 or log in to [MyUHS](#) for 24-hour appointment booking. Same day appointments are often available, and students will be able to have a consultation within two days.

If there is a risk of suicide or concern about well-being of a student, call [UHS 24-hour crisis service](#) to speak with an on-call counselor at 608-265-5600, option 9. If a situation is immediately life threatening, call 911.

In addition, UHS hosts a variety of group counseling opportunities:

**Dissertators' Group** - A supportive group environment focused on the emotional, behavioral, and organizational challenges associated with the dissertation process. More information at: <https://www.uhs.wisc.edu/mental-health/group-counseling/schedule/> and open Support-Theme Groups for the schedule.

**Graduate Students' Group** - This group examines the sources of stress, ways of coping, and the role of peer support in adjusting to a role that often feels like its 24/7 as a graduate student. More information at: <https://www.uhs.wisc.edu/mental-health/group-counseling/schedule/> and open Support-Theme Groups for the schedule.

**Graduate Women's Group** - Through offering support to others and receiving support, group members are challenged to learn about themselves, initiate change, and exercise honesty in a safe space. More information can be found at: <https://www.uhs.wisc.edu/mental-health/group-counseling/schedule/> and open Support-Theme Groups for the schedule.

**Drop-in Survivor Support Group** - UHS provides weekly drop-in confidential support groups for victims of sexual assault, intimate partner violence, stalking, and sexual harassment. For more information, go to: <https://www.uhs.wisc.edu/prevention/violence-prevention/survivor-support-group/>

**First-generation Students Support Group** - Students who have not had the example of a parent graduating college often face numerous challenges and may feel at a disadvantage relative to college peers. For more information, go to: <https://www.uhs.wisc.edu/mental-health/group-counseling/schedule/>

**Students of Color Process and Support Group** - This is a group for any student who self-identifies as a person of color (this can be African American, African, Caribbean-American, Latino/a, Indian, Asian, Asian American Indian-American, Native American, Middle Eastern, etc.). The group will explore ways in which their identity as a student of color affects their academic, personal, and social experience. For more information, go to: <https://www.uhs.wisc.edu/mental-health/group-counseling/schedule/> and open Combined Format Groups.

**Transgender & Gender Non-Conforming Support & Empowerment Group** - Students who identify as transgender, gender non-conforming, genderqueer, and any other personally meaningful term are all welcome to this group. Focus is on establishing positive connections with others and exploring the process of integrating gender identity in an authentic, self-affirming way. For more information, go to: <https://www.uhs.wisc.edu/mental-health/group-counseling/schedule/> and open Support-Theme Groups for the schedule.

The groups listed above are just a few examples. Additional groups address relationships, depression, anxiety, and other topics. Groups typically meet one to two hours weekly and may run from four to 12 weeks per semester.

Additional support and resources on campus include:

**McBurney Disability Resource Office** - The McBurney Disability Resource Center is the office for students with disabilities and classroom accommodations on the UW-Madison campus. As part of the student accommodation process, we work collaboratively with students and instructors to provide and support effective student accommodations. We work with UW-Madison students with physical, learning, hearing, vision, psychological, health and other disabilities substantially affecting a major life activity (e.g., walking, communicating, learning, seeing, breathing, reading, etc.). Many students have non-apparent disabilities such as depression, anxiety, autism spectrum disorders, learning disabilities, AD/HD and health impairments such as Crohn's disease or fibromyalgia. <https://mcburney.wisc.edu/> Students looking to arrange accommodations should contact the McBurney Office as soon as possible upon admittance to the PhD program or as soon as the knowledge that an accommodation would help becomes apparent. **Intake times can be up to two months or more.**

**Let's Talk** – UHS offers drop-in consultations at locations around campus. It's free, no appointment is necessary, and students are seen on a first-come, first-served basis. For the schedule, go to: <https://www.uhs.wisc.edu/mental-health/lets-talk/>

**Wellness Initiatives** – UHS's [interdisciplinary program](#) is designed to assist students' pursuit of healthy mind, body, and spirit. Programs include: healthy living, nutritional counseling, mindfulness, exercise consultation, yoga, massage, stress management, and more.

**Support for Student Military Veterans** – Student veterans transitioning to civilian life face unique challenges. UHS tailors support to this population including walk-in access to counselors experienced in working with veterans. <https://www.uhs.wisc.edu/news/campus/student-veterans/>

**Sexual Violence Prevention Program** - UHS provides an online violence prevention program, which all incoming graduate students at UW-Madison are expected to complete in their first semester. Failure to do so by Sept. 20<sup>th</sup>, 2019 will result in a hold on your spring enrollment. Go here for more information: <https://www.uhs.wisc.edu/prevention/violence-prevention/grad-students/>

**Victim Advocacy Open Access Hours** – Drop-in support, information, and referral with confidential victim advocates for students who have experienced sexual assault, intimate partner violence, stalking, and/or sexual harassment. Located on the 8<sup>th</sup> floor of UHS (333 East Campus Mall), hours are M/T/W 1-4pm, and Th/F 9am-12pm. More info at: <https://www.uhs.wisc.edu/survivor/>

**UWell** – This is a comprehensive wellness initiative aiming to advance the health and wellbeing of the entire campus community by promoting existing resources. <https://uwell.wisc.edu/>

**Dean of Students Office** – This office is committed to fostering a caring environment for all students. Responsibilities include the [Bias Reporting Process](#), addressing [Sexual Assault, Dating, and Domestic Violence](#), as well as many [other issues affecting student wellbeing](#).

**Ombuds Office** – University employees, including graduate students, can seek guidance regarding workplace concerns without fear of reprisal and at no cost to them. <https://ombuds.wisc.edu/>

In addition to utilizing UHS's services, graduate students who hold assistantship appointments are also able to seek mental health services covered by their [health insurance plan](#).

## GRIEVANCE PROCEDURES

If a student feels unfairly treated or aggrieved by faculty, staff, or another student, the University offers several avenues to resolve the grievance. Students' concerns about unfair treatment are best handled directly with the person responsible for the objectionable action. If the student is uncomfortable making direct contact with the individual(s) involved, they should contact the advisor or the person in charge of the unit where the action occurred (program or department chair, section chair, lab manager, etc.). For more information see the Graduate School Academic Policies & Procedures: <https://grad.wisc.edu/documents/grievances-and-appeals/> The Assistant Dean for Graduate Affairs ([enr-dean-graduateaffairs@enr.wisc.edu](mailto:enr-dean-graduateaffairs@enr.wisc.edu)) provides overall leadership for graduate education in the College of Engineering (CoE), and is a point of contact for graduate students who have concerns about education, mentoring, research, or other difficulties.

## PROCEDURES

1. The student is encouraged to speak first with the person toward whom the grievance is directed to see if a situation can be resolved at this level.
2. Should a satisfactory resolution not be achieved, the student should contact the CBE Graduate Associate Chair, or Department Chair if the grievance involves the Graduate Associate Chair, to discuss the grievance. The Graduate Associate Chair or Department Chair will facilitate problem resolution through informal channels and facilitate any complaints or issues of students. The first attempt is to help students informally address the grievance prior to any formal complaint. Students are also encouraged to talk with their faculty advisors regarding concerns or difficulties if necessary. University resources for sexual harassment, discrimination, disability

accommodations, and other related concerns can be found on the UW Office of Equity and Diversity website: <https://oed.wisc.edu/>. Other campus resources include:

- The Graduate School – [www.grad.wisc.edu](http://www.grad.wisc.edu)
  - McBurney Disability Resource Center – [www.mcburney.wisc.edu](http://www.mcburney.wisc.edu)
  - Employee Assistance Office – [www.eao.wisc.edu](http://www.eao.wisc.edu)
  - Ombuds Office – [www.ombuds.wisc.edu](http://www.ombuds.wisc.edu)
  - University Health Services – [www.uhs.wisc.edu](http://www.uhs.wisc.edu)
  - UW Office of Equity and Diversity - <https://employeeedisabilities.wisc.edu/>
3. If the issue is not resolved to the student's satisfaction the student can submit the grievance to the Graduate Associate Chair in writing, within 60 calendar days of the alleged unfair treatment.
  4. On receipt of a written complaint, a faculty committee will be convened by the Graduate Associate Chair to manage the grievance. The faculty committee will obtain a written response from the person, organization, or governing committee toward whom the complaint is directed. This response will be shared with the person filing the grievance.
  5. The faculty committee will determine a decision regarding the grievance. The Graduate Associate Chair will report on the action taken by the committee in writing to both the student and the person, organization, or governing committee toward whom the complaint was directed within 20 working days from the date the complaint was received.
  6. At this point, if either party (the student or the person, organization, or governing committee toward whom the grievance is directed) is unsatisfied with the decision of the faculty committee, the party may file a written appeal. Either party has 10 working days to file a written appeal to the College of Engineering. The Assistant Dean for Graduate Affairs ([enqr-dean-graduateaffairs@enqr.wisc.edu](mailto:enqr-dean-graduateaffairs@enqr.wisc.edu)) provides overall leadership for graduate education in the College of Engineering (CoE), and is a point of contact for graduate students who have concerns about education, mentoring, research, or other difficulties.
  7. Documentation of the grievance will be stored for at least 7 years. Significant grievances that set a precedent will be stored indefinitely.

The Graduate School has procedures for students wishing to appeal a grievance decision made at the College of Engineering level. These policies are described in the Graduate School's Academic Policies & Procedures: <https://grad.wisc.edu/documents/grievances-and-appeals/>

## CONDUCT EXPECTATIONS

### PROFESSIONAL CONDUCT

All students are expected to adhere to the highest standards of professional behavior and ethics. Students should avoid even an appearance of improper behavior or lack of ethical standards while in Graduate School at UW-Madison, in all professional settings, and in their personal lives. Students should conduct themselves according to the standards expected of members of the profession to which the student aspires. Concerns about infractions of Professional Conduct may be effectively handled informally between the instructor/advisor and the student. If a resolution is not achieved, a graduate program representative may be included in the discussion. Separate and apart from a violation of Professional Conduct, a student may face University disciplinary action with regard to the same action. Students are responsible for reading the information here as well as the information published on all the relevant websites. Lack of knowledge of this information does not excuse any infraction. The relevant websites are: The Office of Student Conduct and Community Standards



(<https://conduct.students.wisc.edu/>) and the Graduate School Academic Policy and Procedures (<https://grad.wisc.edu/academic-policies/>).

1. Professional Ethics: Students shall: show respect for a diversity of opinions, perspectives, and cultures; accurately represent their work and acknowledge the contributions of others; aim to gain knowledge and contribute to the knowledge base of others; understand the UW Student Code of Conduct (<https://conduct.students.wisc.edu/>); represent their profession and the program; and strive to incorporate and practice disciplinary ideals in their daily lives. Resumes/CVs must reflect accurate information.
2. Honesty and Integrity: Students shall demonstrate honesty and integrity as shown by the following: honesty and ethics in research and IRB applications—including honesty in interpretation of data; commitment to an unbiased interpretation of academic and professional endeavors; and the need to document research activities, protect subject/client confidentiality and HIPPA regulations. Students shall: follow-through and pull their weight in group activities and understand where collaboration among students is or is not allowed; not plagiarize others or past work (self-plagiarism), cheat, or purposefully undermine the work of others; and avoid conflicts of interest for the duration of their time in the program. As a professional, honesty and integrity also extends to personal behavior in life outside of the academic setting by realizing that students are representatives of the program, UW-Madison, and the profession as a whole.
3. Interpersonal and Workplace Relationships: Students shall interact with peers, faculty, staff and those they encounter in their professional capacity in a manner that is respectful, considerate, and professional. This includes and is not limited to attending all scheduled meetings, honoring agreed upon work schedules, being on-time and prepared for work/meetings, contributing collaboratively to the team, keeping the lines of communication open, offering prompt response to inquiries, and employing respectful use of available equipment/technology/resources. Chronic or unexplained absences are unprofessional in the workplace and could be grounds for termination or removal of funding. To facilitate the free and open exchange of ideas, any criticism shall be offered in a constructive manner, and the right of others to hold different opinions shall be respected.
4. Commitment to Learning: Students are expected to meet their educational responsibilities at all times. Be actively prepared for class and be ready for questions and answers. Be on time for every class and always show courtesy during class or if you have to leave class early. If possible, students should notify the instructor at least one day in advance of a planned absence. Students who are unable to attend class are responsible for finding out what occurred that day and should not expect instructors to give them individual instruction. Recognizing that the pursuit of knowledge is a continuous process, students shall show commitment to learning by persevering despite adversity and seeking guidance in order to adapt to change. Students shall strive for academic excellence and pursue and incorporate all critique, both positive and negative, in the acquisition of knowledge in order to understand and respect the community in which they work.
5. Professional Appearance: Students shall recognize that the UW campus is a professional environment, and that laboratory environments in particular require attire and hygiene that accord with safety and protective clothing protocols.

This graduate program, the Graduate School, and the Division of Student Life all uphold the UW-System policies and procedures in place for academic and non-academic misconduct. In addition, graduate students are held to the same standards of responsible conduct of research as faculty and staff. Furthermore, unprofessional behavior towards clients/subjects, faculty, staff, peers and public are significant issues in the evaluation and promotion of students. In turn, we hold expectations for the highest level of academic integrity and expect professional, ethical, and respectful conduct in all

interactions. Students may be disciplined or dismissed from the graduate program for misconduct or disregard for professional conduct expectations regardless of their academic standing in the program. Separate and apart from a violation of Professional Conduct, a student may face University disciplinary action with regard to the same action. Students are responsible for reading the information here as well as the information published on all the relevant web sites, as mentioned before. Lack of knowledge of this information does not excuse any infraction.

## **ACADEMIC MISCONDUCT**

Academic misconduct is an act in which a student (UWS 14.03(1)):

1. seeks to claim credit for the work or efforts of another without authorization or citation;
2. uses unauthorized materials or fabricated data in any academic exercise;
3. forges or falsifies academic documents or records;
4. intentionally impedes or damages the academic work of others;
5. engages in conduct aimed at making false representation of a student's academic performance;  
or
6. assists other students in any of these acts.

Examples of academic misconduct include but are not limited to:

1. cutting and pasting text from the Web without quotation marks or proper citation;
2. paraphrasing from the Web without crediting the source;
3. using notes or a programmable calculator in an exam when such use is not allowed;
4. using another person's ideas, words, or research and presenting it as one's own by not properly crediting the originator;
5. stealing examinations or course materials;
6. changing or creating data in a lab experiment;
7. altering a transcript;
8. signing another person's name to an attendance sheet;
9. hiding a book knowing that another student needs it to prepare for an assignment;
10. collaboration that is contrary to the stated rules of the course; or
11. tampering with a lab experiment or computer program of another student.

Additional information regarding Academic Misconduct:

Graduate School Policy & Procedure: Misconduct, Academic: <https://policy.wisc.edu/library/Info-112>

Dean of Students Office:

Academic Misconduct Process: <https://conduct.students.wisc.edu/academic-misconduct/>

Sexual Misconduct Process: <https://doso.students.wisc.edu/report-an-issue/sexual-assault-dating-and-domestic-violence/how-the-sexual-misconduct-reporting-process-works/>

## **NON-ACADEMIC MISCONDUCT**

The University may discipline a student in non-academic matters in the following situations:

1. for conduct which constitutes a serious danger to the personal safety of a member of the university community or guest;
2. for stalking or harassment;
3. for conduct that seriously damages or destroys university property or attempts to damage or destroy university property, or the property of a member of the university community or guest;
4. for conduct that obstructs or seriously impairs university-run or university-authorized activities, or that interferes with or impedes the ability of a member of the university community, or guest, to participate in university-run or university-authorized activities;

5. for unauthorized possession of university property or property of another member of the university community or guest;
6. for acts which violate the provisions of UWS 18, Conduct on University Lands;
7. for knowingly making a false statement to any university employee or agent on a university-related matter, or for refusing to identify oneself to such employee or agent;
8. for violating a standard of conduct, or other requirement or restriction imposed in connection with disciplinary action.

Examples of non-academic misconduct include but are not limited to:

1. engaging in conduct that is a crime involving danger to property or persons, as defined in UWS 18.06(22)(d);
2. attacking or otherwise physically abusing, threatening to physically injure, or physically intimidating a member of the university community or a guest;
3. attacking or throwing rocks or other dangerous objects at law enforcement personnel, or inciting others to do so;
4. selling or delivering a controlled substance, as defined in 161 Wis. Stats., or possessing a controlled substance with intent to sell or deliver;
5. removing, tampering with, or otherwise rendering useless university equipment or property intended for use in preserving or protecting the safety of members of the university community, such as fire alarms, fire extinguisher, fire exit signs, first aid equipment, or emergency telephones; or obstructing fire escape routes;
6. preventing or blocking physical entry to or exit from a university building, corridor, or room;
7. engaging in shouted interruptions, whistling, or similar means of interfering with a classroom presentation or a university-sponsored speech or program;
8. obstructing a university officer or employee engaged in the lawful performance of duties;
9. obstructing or interfering with a student engaged in attending classes or participating in university-run or university-authorized activities;
10. knowingly disrupting access to university computing resources or misusing university computing resources.

Additional information regarding Non-Academic Misconduct:

Graduate School Academic Policies & Procedures: Misconduct, Non-Academic:

<https://policy.wisc.edu/library/Info-113>

Dean of Student's Office: Nonacademic Misconduct Process:

<https://conduct.students.wisc.edu/nonacademic-misconduct/>

University of Wisconsin System: Chapter UWS 18: Conduct on University Lands:

<https://policy.wisc.edu/library/UW-6000>

## **RESEARCH MISCONDUCT**

Much of graduate education is carried out not in classrooms, but in laboratories and other research venues, often supported by federal or other external funding sources. Indeed, it is often difficult to distinguish between academic misconduct and cases of research misconduct. Graduate students are held to the same standards of responsible conduct of research as faculty and staff. The Graduate School is responsible for investigating allegations of research misconduct. This is often done in consultation with the Division of Student Life as well as with federal and state agencies to monitor, investigate, determine sanctions, and train about the responsible conduct of research. For more information, contact the Associate Vice Chancellor for Research Policy, 333 Bascom Hall, (608) 262-1044.



Please see section on “Grievance Procedures and Misconduct Reporting” for further information on reporting research misconduct of others. Here are links for additional information regarding Research Misconduct and Responsible Conduct:

Graduate School Policies & Procedures: Responsible Conduct of Research  
<https://grad.wisc.edu/documents/responsible-conduct-of-research/>

Office of the Vice Chancellor for Research and Graduate Education’s - Office of Research Policy: Introduction & Guide to Resources on Research Ethics: [www.research.wisc.edu/respolcomp/resethics/](http://www.research.wisc.edu/respolcomp/resethics/)

Office of the Vice Chancellor for Research and Graduate Education’s Office of Research Policy: Policies, Responsibilities, and Procedures: Reporting Misconduct  
[www.kb.wisc.edu/gsadminkb/page.php?id=34486](http://www.kb.wisc.edu/gsadminkb/page.php?id=34486)

Office of the Vice Chancellor for Research and Graduate Education’s Office of Research Policy: Policies, Responsibilities, and Procedures: Responsible Conduct of Research Resources  
[www.kb.wisc.edu/gsadminkb/search.php?cat=2907](http://www.kb.wisc.edu/gsadminkb/search.php?cat=2907)

## **REPORTING MISCONDUCT AND CRIME**

The campus has established policies governing student conduct, academic dishonesty, discrimination, and harassment/abuse as well as specific reporting requirements in certain cases. If you have a grievance regarding unfair treatment towards yourself, please reference the procedures and resources identified above. If you learn about, observe, or witness misconduct or other wrongdoing you may be required to report that misconduct or abuse. Depending on the situation, it may be appropriate to consult with your advisor, Graduate Program Coordinator, or other campus resources (such as the UW Office of Equity and Diversity, Graduate School, Mc Burney Disability Resource Center, Employee Assistance Office, Ombuds Office, and University Health Services).

### **RESEARCH MISCONDUCT**

The University of Wisconsin-Madison strives to foster the highest scholarly and ethical standards among its students, faculty, and staff. Graduate students and research associates are among the most vulnerable groups when reporting misconduct because their source of financial support and the progress in their careers may be at risk by raising questions of wrongdoing. They are also often the closest witnesses to wrong doing when it occurs and therefore must be appropriately protected from the consequences of reporting wrongdoing and be informed of their rights. Please find full details at <https://research.wisc.edu/compliance-policy/research-ethics/>.

### **ACADEMIC MISCONDUCT**

If you know a classmate is cheating on an exam or other academic exercise, notify your professor, teaching assistant or proctor of the exam. As a part of the university community, you are expected to uphold the standards of the university. Also, consider how your classmate’s dishonesty may affect the overall grading curve and integrity of the program.

### **SEXUAL ASSAULT REPORTING**

Faculty, staff, teaching assistants, and others who work directly with students at UW-Madison are required by law to report first-hand knowledge or disclosures of sexual assault to university officials, specifically the Office for Equity & Diversity or the Division of Student Life. This effort is not the same as filing a criminal report. Disclosing the victim’s name is not required as part of this report. Please find full details at <http://www.oed.wisc.edu/sexualharassment/assault.html> and <https://doso.students.wisc.edu/report-an-issue/sexual-assault-dating-and-domestic-violence/>.

### **CHILD ABUSE REPORTING**

As a UW-Madison employee (under Wisconsin Executive Order #54), you are required to immediately report child abuse or neglect to Child Protective Services (CPS) or law enforcement if, in the course of employment, the employee observes an incident or threat of child abuse or neglect, or learns of an incident or threat of child abuse or neglect, and the employee has reasonable cause to believe that child abuse or neglect has occurred or will occur. Volunteers working for UW-Madison sponsored programs or activities are also expected to report suspected abuse or neglect. Please find full details at <https://youthprotection.wisc.edu/reporting/> and <https://policy.wisc.edu/library/UW-301>.

### **INCIDENTS OF BIAS/HATE**

The University of Wisconsin-Madison values a diverse community where all members are able to participate fully in the Wisconsin Experience. Incidents of Bias/Hate affecting a person or group create a hostile climate and negatively impact the quality of the Wisconsin Experience for community members. UW-Madison takes such incidents seriously and will investigate and respond to reported or observed incidents of bias/hate. Please find full details at <https://doso.students.wisc.edu/services/bias-reporting-process/>.

## **HOSTILE AND INTIMIDATING BEHAVIOR**

Hostile and intimidating behavior, sometimes known by the shorthand term “bullying”, is defined in university policy as “unwelcome behavior pervasive or severe to the extent that it makes the conditions for work inhospitable and impairs another person’s ability to carry out his/her responsibilities to the university.” A person or a group can perpetrate this behavior. The person need not be more senior than or a supervisor to the target.

Hostile and intimidating behavior (HIB) can occur in the university setting. Even individual instances of such behavior can have a significant effect on the person it’s aimed at, and can take a physical and emotional toll, reduce the effectiveness of a person’s work or learning. It is a significant reason for unhealthy workplace climate and culture, and should be addressed immediately. Hostile and intimidating behavior is prohibited by university policy. Unacceptable behavior may include, but is not limited to:

- Abusive expression (including spoken, written, recorded, visual, digital, or nonverbal, etc.) directed at another person in the workplace, such as derogatory remarks or epithets that are outside the range of commonly accepted expressions of disagreement, disapproval, or critique in an academic culture and professional setting that respects free expression;
- Unwarranted physical contact or intimidating gestures;
- Conspicuous exclusion or isolation having the effect of harming another person’s reputation in the workplace and hindering another person’s work;
- Sabotage of another person’s work or impeding another person’s capacity for academic expression, be it oral, written, or other;
- Abuse of authority, such as using threats or retaliation in the exercise of authority, supervision, or guidance, or impeding another person from exercising shared governance rights, etc.

Repeated acts or a pattern of hostile and/or intimidating behaviors are of particular concern. A single act typically will not be sufficient to warrant discipline or dismissal, but an especially severe or egregious act may warrant either.

### **WHAT TO DO IF YOU FEEL YOU HAVE BEEN THE TARGET OF HIB**

Undesired consequences of hostile and intimidating behavior can be avoided or minimized when the problem is addressed early on, but victims are often hesitant to pursue a formal process before the

impact is severe. Educational opportunities and campus resources have been implemented with the intent of aiding all employees and students in defusing situations before they become severe. These resources, including trained personnel who can advise and mediate, comprise the “informal process.” It is possible that situations will continue to arise in which informal interventions are not effective, and the “formal process” has been designed to address those situations.

You are encouraged to seek out advice and consultation after the first instance of hostile and intimidating behavior: consultation is not escalation. Discussing what’s happened in a timely way can often prevent continued bullying. Here are some ways to do this:

- Seek advice from a trusted colleague;
- You may choose to seek informal resolution by approaching the individual yourself or with an intermediary;
- Consult your advisor, human resources representative, department chair, director, dean, or any campus resource to discuss options for resolution;
- Keep notes of what happened, when, where, and who was present. Retain copies of any correspondence.

Graduate Students sometimes experience hostile and intimidating behavior from faculty members. If you are a student who is experiencing such behavior, you are entitled to support as a university employee through the Ombuds office, the Dean of Students office, and (if a grad student) the Graduate School. Graduate student workers should also consult with Graduate Coordinators, TAA Stewards, and/or the Graduate School.

CBE graduate students with concerns may contact the Associate Chair for Graduate and Studies, or the College of Engineering Assistant Dean for Graduate Affairs. Additional campus information on hostile and intimidating behavior is available at <https://hr.wisc.edu/hib/>.

## APPENDIX A.

### THE BREADTH REQUIREMENT

In addition to studies in chemical and biological engineering, the PhD candidate is required to undertake a program of course work in a field other than chemical and biological engineering. The purpose of the requirement is to add breadth to the PhD major. This requirement may be satisfied by a departmental minor (option A), a distributed minor (option B), or a graduate/professional certificate (option C).

The minor, whether Option A, B, or C, is designed to represent a coherent body of work, and should not be simply an after-the-fact ratification of a number of courses taken outside the major department. To ensure coherence, the student must consult with their advisor. The PhD Breadth Agreement Form should be submitted for approval at an early date, before the student is halfway through the proposed course sequence. The minor/certificate program must be approved by both the student's advisor and the appropriate department.

#### MINOR OPTION A

For Minor Option A, the student is required to complete at least 9 graduate credits in a single department. The program of course work must be approved by the minor department. Departments may have specific course requirements for their minor and may require more than the 9-credit minimum. The student must meet the requirements of the minor department for satisfactory completion of the minor.

#### MINOR OPTION B (DISTRIBUTED)

If the needs of the student would best be served by preparation not available as a departmental minor the department may permit the student and the advisor to develop a special program in lieu of a departmental minor. To meet the requirements of this Minor Option B, the student must complete at least 9 graduate credits in **two or more departments outside the major**, in related courses selected for their relevance to the student's particular area of concentration. The proposed program of course work must be approved by the Department of Chemical and Biological Engineering.

#### GRADUATE/PROFESSIONAL CERTIFICATE OPTION C

For Option C, the student is required to complete the certificate in a program outside of their doctoral major. The program of course work must be approved by the certificate department. Departments may have specific course requirements for their certificate and may require more than the 9-credit minimum. The student must meet the requirements of the certificate department for satisfactory completion of the certificate.

#### TIMING

Students must request approval of their minor/certificate program before they are halfway through the proposed courses. Because the PhD minor/certificate must be declared at the time the preliminary warrant is requested from the Graduate School, they must be approved at least one month before the preliminary exam date. The approval process for Option B minors may take one month or more.

#### BASIC REQUIREMENTS

A GPA of 3.0 must be maintained in the minor/certificate. All courses must be 300 level or above, taken after the bachelor's degree (or the equivalent). Students may not use 790, 890 or 990 (research and thesis) courses for their minor. No more than 5 credits completed 5 or more years prior to admission to the PhD major may be used. Courses taken 10 or more years ago may not be used. Courses taken for pass-fail or for audit may not be used. Courses with grades of (S) satisfactory or Cr. (credit) are acceptable.

**TRANSFER WORK**

If you are requesting to use courses taken as a graduate student at another university (undergraduate courses cannot be transferred), submit your proposal early and include the following: (1) an official transcript, (2) a memo from the appropriate minor/certificate area indicating the course(s) taken at the other institution and their UW-Madison equivalent. It is also helpful to include a course syllabus, if available. Please note quarter hours are rounded to semesters: 4 quarter hours = 3 semester hours.

**CHANGES IN MINOR/CERTIFICATE COURSES**

If a student's minor/certificate courses change, they must submit a Revised Minor/Certificate Agreement Form using the same process outlined above. The student may take approved courses in a different semester without submitting a new form.

**APPENDIX B.**  
**PhD Breadth Agreement Form**  
 (Minimum 9 non-CBE credits)

Name: \_\_\_\_\_ Date: \_\_\_\_\_

UW ID #: \_\_\_\_\_ Major: **CHEMICAL & BIOLOGICAL ENGINEERING**

Minor (check one): \_\_\_\_\_ Option A: \_\_\_\_\_  
 (Check with individual dept. for minor requirements)  
 \_\_\_\_\_ Option B: Distributed (9 credits minimum, two or more depts. **outside** CBE)

Certificate: \_\_\_\_\_ Option C: \_\_\_\_\_  
 (Check with individual program for certificate requirements)

This is an \_\_\_\_\_ Original \_\_\_\_\_ Revised Breadth Agreement Form (check one)

Yes, I have declared my minor in MyGrad Portal and it has been approved (required before submission)

List minor/certificate courses as they appear on your UW-Madison transcript:

Dept. Name	Course #	Course Title	Credits	Grade	Semester F/Sp /Su	Year
------------	----------	--------------	---------	-------	----------------------	------

**For Option B (Distributed Minor) only:** Include a brief explanation of your choice of courses and their relevance to your research area:

\_\_\_\_\_  
 Name of Major Advisor

\_\_\_\_\_  
 Signature of Minor/Certificate Dept. (Option A/C)

\_\_\_\_\_  
 Signature of Major Advisor

\_\_\_\_\_  
 Signature of Major Dept. Chair (Option B)

\_\_\_\_\_  
 Date

\_\_\_\_\_  
 Date

## APPENDIX C.

### PhD Elective Course Approval Form

Name: \_\_\_\_\_

Date: \_\_\_\_\_

UW I.D.#: \_\_\_\_\_

Major: **CHEMICAL ENGINEERING**

Semester and year you entered program: \_\_\_\_\_

PhD elective course requirement:

- Three credits from coursework **outside** CBE
- B average
- No audit or pass/fail courses

List your proposed elective course(s) below. Obtain the approval and signature of your major advisor.  
Return signed form to Graduate Program office (2033 EH).

Department Name	Course Number	Course title	Credits	Grade	Semester F/Sp/Su	Year
--------------------	------------------	--------------	---------	-------	---------------------	------

\_\_\_\_\_  
Name of Major Advisor

\_\_\_\_\_  
Signature, Major Advisor

\_\_\_\_\_  
Date

## APPENDIX D.

### THE PRELIMINARY EXAMINATION

#### SCOPE AND OBJECTIVES OF THE WRITTEN PRELIMINARY REPORT

The primary purpose of the written preliminary report and the ensuing comprehensive oral preliminary examination is to determine the potential of the applicant as a competent researcher. It is also an important objective of this procedure to ensure that the student begin their research career with an initial set of goals based upon a study of the pertinent literature, a logical analysis of the proposed research problem, and preliminary results. The student must show, in the report and oral examination, satisfactory evidence of initiative, imagination, and natural curiosity, and a high level of professional ability.

The written report shall be an original document prepared by the student. The written report should contain the following sections (sections 1-5 should not exceed 15 pages in total; subsection page lengths are for guidance only):

1. A concise abstract of the problem, approach, and expected outcomes (1 page)
2. A statement of the goals and motivation underlying the proposed research (3 pages)
3. A critical analysis of past studies relevant to the goals of the proposed research (3 pages)
4. A concise summary of the accomplishments to date (3 pages)
5. A description of plans for future research (5 pages)
6. A statement of safety considerations (no limit)
7. List of references, including the titles of the papers (no limit)

The document should be prepared using 12-point font, single spacing, and 1-inch margins. Figures are included in the page count. The document should not contain appendices.

While the scientific aspects of the proposed work should be discussed between the student and their advisor(s), the written document should be original work by the student. The student is responsible for all aspects of preparation of the written document and oral presentation, including proper citations, formatting, and proofreading.

#### PAGE LENGTH OF WRITTEN REPORT

The total preliminary report must not exceed 15 pages (single-spaced, including figures, 12-point font, 1-inch margins, not counting the section dealing with safety considerations and the list of references. Figures are included in the page count. The document should not contain appendices.

#### LENGTH OF ORAL PRELIMINARY EXAMINATION

The total length of the oral preliminary exam is 2 hours. The first 30 minutes of the exam will be devoted to the student's presentation. The last 1 ½ hours will be reserved for questions from the committee members.

#### ASSESSMENT OF PRELIMINARY EXAMINATION AND QUALIFYING PROCESS

The student's grade on the preliminary examination will be based on an evaluation of the 10 attributes listed on the attached rating sheet. Each member of the examination committee will submit a grade on a scale of 1.0 to 4.0, which is used to determine qualification for the PhD program.

To qualify for the PhD program, the average grade submitted by the committee must be 3.0 or higher.

After successful completion of the preliminary exam, the committee members will sign the warrant. If the student has also completed the major and minor requirements, the appropriate certifying signatures should be obtained on the warrant. The warrant should then be returned to the Graduate School. Students who have passed prelims, satisfied the major and minor requirements, and satisfied the residence requirement (as determined by the Graduate School) will be granted dissertator status.



APPENDIX E.

Preliminary Exam Committee Form

Name: \_\_\_\_\_

UW I.D. #: \_\_\_\_\_

Thesis topic: \_\_\_\_\_

Today's date: \_\_\_\_\_

Committee members:

A) Major advisor(s):

\_\_\_\_\_  
\_\_\_\_\_

B) CBE Faculty or CBE Affiliate Faculty in your general area of research:

1) \_\_\_\_\_

2) \_\_\_\_\_

C) Additional CBE Faculty or CBE Affiliate Faculty member **not** in your general area of research:

\_\_\_\_\_

Date and Time of Preliminary Oral Exam: \_\_\_\_/\_\_\_\_/\_\_\_\_ at \_\_\_\_:\_\_\_\_ AM/PM  
(circle or highlight one).

Location of Preliminary Oral Exam:  Remote via \_\_\_\_\_ or  In Person in room \_\_\_\_\_

Please use this name for my preliminary exam warrant (**CHOOSE ONE**):

- My preferred name as I entered it in MyUW
- My legal name

Proposed Minor:

\_\_\_\_\_  
Option A or C – Name it. For example: Option A: Music or Option C: Energy Analysis and Policy certificate. Option B- Distributed.

Proposed Date of Completion of Minor/Certificate (Must be in 6 digits) \_\_\_\_/\_\_\_\_/\_\_\_\_

## APPENDIX F.

### Rating Sheet for Preliminary Examination

<b>Student:</b>
<b>B.S. School &amp; Year:</b>
<b>Date of Exam:</b>
<b>Research Project:</b>
<b>Major Professor:</b>

	Committee Members					Prelim Rating Average
Rating						

Guidance in assigning grades in the preliminary exam:

Rate the candidate's preliminary exam performance on a scale of 1.0 to 4.0 in .5 increments.

Ratings are to be based on the following attributes:

- Ability to define research problem
- Literature search
- Theoretical development; comprehension of theory and application to problem Planning of experimental procedures, thoroughness, regard for detail
- Maturity of judgment
- Originality
- Flair for research
- English composition: grammar, conciseness, and lucidness
- Neatness of composition, orderliness of presentation, clarity of drawings, figures, etc.  
Behavior and attitude on oral examination

Qualifying requirement:

For a student to qualify for the PhD program in Chemical and Biological Engineering, the average grade on the preliminary exam must sum to 3.0 or higher.

**APPENDIX G.**

**4<sup>th</sup> Year Research Progress Meeting  
Committee Assessment**

**Student:**

**Date of Exam:**

**Committee members:**

(circle or highlight name of committee chair)

Summarize the committee's assessment below. Committee members are to sign off, and the committee chair is asked to return this form to the Graduate Program office (2033 EH). The original form will be provided to the student and a copy placed in the student's file.

**STRENGTHS:**

**NEEDS IMPROVEMENT:**

**ADDITIONAL NOTES:**

Signed (committee members):

\_\_\_\_\_ (Advisor)

\_\_\_\_\_ (Co-Advisor)

\_\_\_\_\_ (Committee Member)

\_\_\_\_\_ (Committee Member)

\_\_\_\_\_ (Committee Member)

## APPENDIX H.

### PREPARATION OF THESES AND DISSERTATIONS FOR ADVANCED DEGREES

#### GRADUATE SCHOOL REGULATIONS

In the preparation and submission of MS theses and PhD dissertation, it is important to satisfy the regulations of the Graduate School and the department. The Graduate School regulations, which focus primarily on the physical form of the document, are set forth in the following publications available on the Graduate School web site:

A Guide to Preparing Your Master's Thesis:

<https://grad.wisc.edu/current-students/masters-guide/>

A Guide to Preparing Your Doctoral Dissertation:

<https://grad.wisc.edu/current-students/doctoral-guide/>

#### TECHNICAL CONTENT

The Department of Chemical and Biological Engineering is responsible for approving the technical content of the document. In general, the only requirement of the department is that all theses and dissertations meet the standards of excellence to be expected of a candidate aspiring to an advanced degree. Agreement between the candidate and the major professor concerning the scope, content, and arrangement of the document is generally sufficient to satisfy this departmental requirement. The following is a general suggested outline of the order and contents of MS theses and PhD dissertations that has been adopted by the department as a guide for candidates in the preparation of their document. Modification of this outline may be necessary to meet the needs of the individual. The emphasis should not be placed on adhering to a standard form, but rather on scholarly organization and clear presentation.

#### COMMITTEE COPIES

A copy of your thesis (or MS report) must be given to each member of your committee at least two weeks before your exam. Electronic copies should be sent in PDF format.

#### DEPARTMENT COPY

Since 1997, Memorial Library has been keeping electronic thesis copies for the PhD level. To access a thesis, go to: <https://www.library.wisc.edu/find/dissertations/>.

#### DEPOSITING THE FINAL THESIS OR DISSERTATION

PhD students upload their signed warrant at the ProQuest website when submitting their dissertation to the Graduate School. Students must submit their dissertation to the Graduate School by the semester deadline in order to graduate in the final term in which they are enrolled. For a list of PhD deadlines go to: <https://grad.wisc.edu/current-students/doctoral-guide/> and scroll down to DOCTORAL DEGREE DEADLINES.

Final review, or "checkout" with the Graduate School is optional. If you would like to have a final review with the Graduate School, go to <https://grad.wisc.edu/current-students/doctoral-guide/> and look to the section labeled "Defend and deposit your dissertation" under STEPS TO COMPLETING THE DEGREE. Go through the checklist and follow the steps listed to make an appointment. Copies of your dissertation can be obtained through ProQuest: <https://www.library.wisc.edu/find/dissertations/>. Students are also responsible for completing

and submitting the CBE Department's Final Check-Out Form and returning it to the Graduate Program office (EH 2033).

MS students who defend a thesis must email a PDF of their thesis to the Graduate School Master's Degree Coordinator according to Graduate School guidelines found at: <https://grad.wisc.edu/current-students/masters-guide/> Look to the accordion menu labeled "Depositing your thesis" under GUIDE TO PREPARING YOUR MASTER'S THESIS. You do not need to bring your MS thesis to the Graduate School for approval unless you choose to publish your thesis through UMI. Students must submit their thesis to the Graduate School Degree Coordinator by the semester deadline in order to graduate in the final term in which they are enrolled. For a list of MS deadlines, go to: <https://grad.wisc.edu/current-students/masters-guide/> and scroll down to MASTER'S DEGREE DEADLINES. Students are also responsible for completing and submitting the CBE Department's Final Check-Out Form and returning it to the Graduate Program office (EH 2033).

### **THESIS AND DISSERTATION EMBARGO**

A PhD student may put an embargo, or delayed release date, on their dissertation upon submission to the Graduate School. Dissertations are normally open and searchable online shortly after they are deposited with ProQuest. However, if a publication or a patent is pending, or if a company supporting the student's research wants to have an embargo placed for some amount of time after submission, an embargo may be requested during the submission process, in which case the citation and abstract will be available in ProQuest while the full text is under an embargo.

**Please decide whether or not to delay release before you submit your dissertation. All decisions are final. Once your dissertation has been delivered to ProQuest, it is too late to delay release.**

The only way to delay release is to make the appropriate selection during the submission process. You will have the option to select "No" to the Publishing Options question: "I want my work to be available in ProQuest as soon as it is published." Next you will choose a time period of 6 months, 1 year, or 2 years for embargo. If you would like to select 3 years, select "other" and then write a note to the administrator in the text box below your selection, explaining that you would like 3 years. These options do not require special permission, but you should have discussed this with your advisor in advance.

An MS student may request an embargo for their thesis by outlining the timeline of the embargo within the same email to the Graduate School MS Degree Coordinator that contains the finalized PDF of their thesis. The student's advisor would then need to email the MS Degree Coordinator with their approval as well.

Any request for more than a 3-year embargo or an extension of the original embargo request will be reviewed by the Graduate School Divisional Associate Dean. Such a request requires a letter to be signed by the student and the advisor in advance.

**In order to qualify for an embargo extension, you are required to contact the appropriate degree coordinator prior to the expiration date of your embargo.** Again, it is your responsibility to contact the Graduate School before your thesis or dissertation is released. Once a dissertation embargo has been lifted, it will not be reinstated.

## **SUGGESTED ORDER OF CONTENTS FOR THESESES**

Title Page (See sample given in the Graduate School guidelines.)  
Abstract (In the case of PhD dissertation this may be identical with the 350-word abstract required by the Graduate School for UMI.)

Acknowledgments

Table of Contents (with page references)

List of Tables (with titles and page references)

List of Figures (with titles and page references)

- I. Summary
  - A. Statement of the problem
  - B. Important results
  - C. Conclusions and recommendations
- II. Historical Background
  - A. Critical survey of the theory
  - B. Critical survey of the experimental work
  - C. Reasons for this investigation
- III. Complete Account of this Investigation
- IV. Analysis of Results
  - A. Results
  - B. Conclusions
  - C. Recommendations
- V. Notation
- VI. Appendices
- VII. Bibliography

## **THE ABSTRACT AND THE SUMMARY**

A clear distinction should be made between the abstract and the summary. The purpose of the abstract is primarily one of cataloging the contents as to scope and area of interest, whereas the summary is intended to give specific details concerning new results and recommendations for further study. The abstract should be short (350 words) and should be so written that it may stand alone; the summary, on the other hand, may be as much as 10 pages, and in it there may be references to the main body of the document. The abstract should be understandable to any well-trained chemical engineer, whereas the summary may be written for one who is better acquainted with the topic being discussed.

## **ACKNOWLEDGMENTS**

It is important that acknowledgment be given to all individuals and organizations who have contributed to the conduct and support of the research.

## **SUMMARY**

Statement of the Problem: The purpose of this first paragraph of the summary is to acquaint the reader with the nature of the research problem. This is important to those persons who cannot give attention to all details of the work but are required to become acquainted with the problem. This paragraph should contain a concise but complete statement of the problem studied and its applicability to chemical engineering. It should be made clear how this investigation will contribute to the advance of the profession. A clear statement of the objectives of the research must be included.

Important Results: This paragraph should include a statement of the specific results obtained as well as their importance in chemical engineering as a science or as a profession. Important formulae should be referred to or quoted, and reference to tables and figures in the main text should be made if such references are of help in summarizing the results.

Conclusions and Recommendations: The conclusions of the investigation represent a most important part of the document. Therefore, extreme care must be exercised in presenting these conclusions and in making recommendations on the basis of them. All conclusions should be based on the results of the research and should be properly qualified if based on uncertain results or speculations. Recommendations may concern proposals for new procedures, studies of new phases of the subject or different chemical systems, or applications to different processes. The latter might include recommendations for patents. Each recommendation should be concisely and clearly worded and should be incorporated in a separate paragraph.

## **HISTORICAL BACKGROUND**

This section should include a complete summary of previous theoretical and experimental studies made in this department and elsewhere, as reported in the technical literature and in patents. The results of research cannot be considered conclusive or original unless the previous work done in the field has been thoroughly reviewed and analyzed. Evidence of a mature understanding of previous work should be presented in this section, and literature references should be properly documented and quoted. The historical survey should lead quite naturally into a discussion of the reasons prompting the research reported in the thesis or dissertation. The statement of the objectives should be reiterated in light of the historical discussion.

## **COMPLETE ACCOUNT OF THIS INVESTIGATION**

In general, this section should comprise an orderly account of the original theoretical development and the experimental program completed in this investigation.

The varied nature of research projects in chemical engineering, and the desirability of maximum freedom of choice in reporting such projects preclude a detailed outline. However, it may be suggested that the reader would benefit from the following: method of planning the program and designing the equipment and experiments, detailed construction diagrams and description of the experimental equipment, safety precautions and operating procedures, calculation procedures, and lists of all experimental runs made, where an extended program was carried out. It may be desirable to relegate some of this material to appendices.

It is particularly desirable to emphasize new and original features of the theory, calculation methods, equipment design and experimental technique.

## **ANALYSIS OF RESULTS**

Considerable emphasis should be placed on an orderly presentation of results and comparisons between experimental data and various theories. Any data or correlations of questionable value should be carefully pointed out. It is advisable to include illustrative examples, when possible, to indicate how the results of the investigation may be used in practical chemical engineering calculations.

The conclusions should be discussed from the standpoint of the original objectives of the research. They should lead naturally to the formulation of concrete suggestions for future work. An indication of scientific maturity is the ability to chart a program of new research on the basis of results of completed research.

APPENDIX I.

PHD FINAL ORAL COMMITTEE APPROVAL FORM

Please submit to the Graduate Program Coordinator at least three weeks prior to the date of defense. Print clearly.

Date \_\_\_\_/\_\_\_\_/\_\_\_\_ This is a/an (circle one): Original Form Revised Form

Student's Full Name: (Last, First, Middle) \_\_\_\_\_

Student's 10-digit ID Number: 9 \_\_\_\_\_

Student's Major: \_\_\_\_\_ & Minor/Certificate: \_\_\_\_\_

Please use this name for my final defense warrant (CHOOSE ONE):
[ ] My preferred name as I entered it in MyUW
[ ] My legal name

This form, signed by the advisor/major professor and departmental chairperson, should be returned to the Graduate Program Coordinator (EH 2033) at least 3 weeks before the final oral exam. An electronic request for a warrant is then sent to the Graduate School for approval. If any changes are made in the membership of the committee, a revised final oral exam form must be submitted before the exam. Changes in dissertation title or date do not require a revised form.

The following faculty members have agreed to serve on the Final PhD Oral Exam Committee for the above-named student. Three committee members must be designated as Readers. Please check names of readers in boxes below. If you only have 1 advisor, you may cross out Advisor in the second row.

Table with 4 columns: READER, NAME (Last, First, Middle), RANK, DEPARTMENT/MAJOR REPRESENTED (full name). Rows for Advisor 1 through 5.

Proposed Dissertation Title:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Date, Time, and Location of Final Oral Defense

\_\_\_\_\_  
Signature: Advisor/Major Professor

\_\_\_\_\_  
Signature: Department Chairperson



## APPENDIX J.

### MS Degree Requirements Worksheet and Checklist

General requirements:

- Minimum 30 graduate-level (300 or above) credits
- Up to 6 credits for CBE 300-499 in groups I & II combined used towards 30 credits
- If a thesis is done, 5-14 credits of 790 Research in I & II combined used towards 30 credits
- For project report option, 3-12 credits of 790 Research in I & II combined used towards 30 credits
- CBE course grades must be B or better; other courses must be B average with all grades C or above
- No audit or pass/fail courses

**I. Professional Group**

- 12 cr. CBE courses
- 6 cr. Must be 600-899 (excluding research)
- B or better in each

**II. Elective Group**

- 12 cr. Grad level courses
- 6 cr. Must be non-CBE
- B average

<i>Dept.</i>	<i>Course #</i>	<i>Credits</i>	<i>Grade</i>	<i>Term</i>	<i>Dept.</i>	<i>Course #</i>	<i>Credits</i>	<i>Grade</i>	<i>Term</i>
_____	_____	_____	_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____	_____	_____	_____

Minimum Graduate Residence Credit Requirement: (<https://policy.wisc.edu/library/UW-1246>)

- 15 credits of UW courses required for MS to pass
  - must be 300 & above, B Average, no audit or pass/fail

# UW credits completed

Semester 1 \_\_\_\_\_  
 Semester 2 \_\_\_\_\_  
 Semester 3 \_\_\_\_\_  
 Semester 4 \_\_\_\_\_  
 Semester 5 \_\_\_\_\_  
 Total: \_\_\_\_\_

Semester of graduation:

- \_\_\_\_\_ Enroll for minimum of 2 graduate credits if summer- check with Graduate Program Coordinator about other semesters, especially if you are an international student or have an RAship
- \_\_\_\_\_ Clear any remaining grades of incompletes
- \_\_\_\_\_ Set up MS committee and choose date and time for exam

An MS candidate not planning to seek re-admission to the PhD program must successfully complete an oral examination before a departmental examining committee of the advisor(s) plus two other CBE faculty members, for a total of 3-4 committee members. An MS candidate who is seeking re-admission to the PhD program must successfully complete an oral examination before a departmental examining committee of the advisor(s) plus three other CBE faculty members, for a total of 4-5 committee members.

3 weeks before exam:

- \_\_\_\_\_ Submit Request for Master’s Degree Warrant form to the CBE Graduate Program office.

After passing exam: (<https://grad.wisc.edu/current-students/masters-guide/>)

- \_\_\_\_\_ If writing a thesis, deposit it with the MS Degree Coordinator at the Graduate School (see link above)
- \_\_\_\_\_ If writing a project report, deposit with the Graduate Program Coordinator
- \_\_\_\_\_ Complete and turn in CBE Final Check-out Form to Graduate Program Office

**APPENDIX K.**

**Master's Degree Warrant Request Form**

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Campus ID#: \_\_\_\_\_

Please use this name for my final defense warrant (**CHOOSE ONE**):

- My preferred name as I entered it in MyUW
- My legal name

Procedure:

1. Choose your committee members in consultation with your advisor. Your committee will consist of 3 to 5 total members. If you do not plan to petition to return to the PhD program, your committee may consist of 3-4 total people: your advisor(s) plus two additional CBE professors you and your advisor(s) choose. If you do plan to petition to return to the PhD program, your committee will consist of 4-5 total people: your advisor(s) and 3 additional CBE professors that you and your advisor(s) choose.
2. Arrange a date and time for your examination.
3. Reserve a conference room for your examination (see staff in 2018 EH).
4. Submit this form to the Graduate Program Coordinator (2033 EH) **at least 3 weeks prior** to the date of your examination.
5. Distribute copies of your thesis to your committee members at least two weeks prior to your exam date. Copies must be printed double-sided, and comb bound, tape bound, or coil bound.

MS Examining Committee Members:

Advisor(s): \_\_\_\_\_  
\_\_\_\_\_

Two (2) or Three (3) additional CBE Professors:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Master's Thesis Title: \_\_\_\_\_

Date, Time, and Location of Examination: \_\_\_\_\_

Will you be petitioning to continue to the PhD in this department?  Yes  No  Unsure

## APPENDIX L.

### Payroll End Date Form

Provide this completed form to the Payroll and Benefits Specialist, Stephanie Petsch, at [spetsch@wisc.edu](mailto:spetsch@wisc.edu) and to Kate Fanis, Graduate Program Coordinator, at [kfanis@wisc.edu](mailto:kfanis@wisc.edu) **at least one week ahead of your deposit date.**

Name (Please print): \_\_\_\_\_

Student Signature: \_\_\_\_\_

**By signing this form, you acknowledge that if for any reason you are paid beyond the approved appointment end date listed below without approval, you will return all excess payment amounts to the University.**

E-mail address: \_\_\_\_\_

Advisor(s) (Please print): \_\_\_\_\_

Advisor Signature(s): \_\_\_\_\_

Date of deposit\*<sup>^</sup>: \_\_\_\_/\_\_\_\_/\_\_\_\_

Final payroll date<sup>+</sup>: \_\_\_\_/\_\_\_\_/\_\_\_\_

\*For PhD graduates: Deposit date is the date you deposit your PhD dissertation with the Graduate School online via ProQuest.

<sup>^</sup>For MS graduates not continuing in the PhD program: If you completed an MS thesis, this is the date you have emailed your thesis to the MS Degree Coordinator at the Graduate School. If you completed a project report, this is the date you provided the finalized version of your project report to Kate Fanis.

**+ Your final payroll date (typically through RAship) is usually the same as your deposit date. Your RAship cannot end before you deposit your dissertation without advance planning from your advisor.**

**Domestic students: If your advisor has agreed to pay you beyond your deposit date, they must contact the Payroll & Benefits office with details of how you will continue to be paid.** This date may not exceed the Degree Conferral Date of the semester in which your thesis is deposited with the Graduate School. If you deposit during the window period, this date may not exceed the end date of that window period.

**International Students: You cannot be paid past your deposit date. Your deposit date will be your final payroll date unless you and your advisor have done advance planning and agree to have your RAship end earlier.**

Please contact the Payroll & Benefits Specialist, Stephanie Petsch, via email at [spetsch@wisc.edu](mailto:spetsch@wisc.edu), via [phone at 608-890-4826](tel:608-890-4826), or in person in 4633 EH if you have any questions about ending or continuing your payroll appointment or the end date of your health insurance and other benefits.

**APPENDIX M.**

Date: \_\_\_\_\_

**Final Checkout Sheet and Alumni Record for Graduate Students**

Last Name: \_\_\_\_\_ First Name: \_\_\_\_\_ MI: \_\_\_\_\_

UW ID #: \_\_\_\_\_ Country of Citizenship: \_\_\_\_\_

UW Employee ID (office use only): \_\_\_\_\_

Date of MS/ PhD exam defense: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
(circle one)

Date of Deposit: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Degree Date (Month/Year): \_\_\_\_\_

Major Professor(s): \_\_\_\_\_

Committee Members: \_\_\_\_\_

Dissertation/Thesis title: \_\_\_\_\_

All other degrees

Degree: \_\_\_\_\_ Month/Year: \_\_\_\_\_ Major: \_\_\_\_\_ Institution: \_\_\_\_\_

Degree: \_\_\_\_\_ Month/Year: \_\_\_\_\_ Major: \_\_\_\_\_ Institution: \_\_\_\_\_

Addresses

Work: Position: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_\_

**Non-wisc Email:** \_\_\_\_\_

Home Address: \_\_\_\_\_  
(Permanent – one to which mail could be forwarded to you, e.g., parents if you don't have a place yet)

Telephone: \_\_\_\_\_

**For any section below that does not apply to you, you may write in N/A**

All tools and apparatus checked out to this student have been returned.

\_\_\_\_\_  
Machine Shop Supervisor EHB120

All hazardous materials used in the student's research have been disposed of properly.

\_\_\_\_\_  
Faculty Advisor

This student has discussed health insurance coverage continuation options with me.

\_\_\_\_\_  
Payroll Coordinator EH2035

All keys issued to this student have been returned.

\_\_\_\_\_  
Front Desk Assistant or Department Administrator EH2018

All check out activities are complete.

\_\_\_\_\_  
Graduate Program Coordinator EH2033

## APPENDIX N.

### Instructor - TA Expectations Worksheet

Instructor and TAs in all CBE classes are requested to discuss TA duties and expectations at the beginning of the semester and to indicate their agreement on this worksheet.

TAs in CBE normally hold a 25% appointment over 4.5 months. The expectation is that the accumulated workload over the course of the semester shall be **reasonably close to 180 hours**. Since TAs are engaged in professional activities, some fluctuation in the hours worked per week and the total hours worked can be expected. TAs can expect that their work responsibilities will generally begin one week prior to the start of the semester and be completed one week after the final exam or other final course assignment. Further policy regarding TA duties can be found in the [Graduate Assistantship Policy and Procedures](#).

Course: \_\_\_\_\_ Date: \_\_\_\_\_

Instructor Name: \_\_\_\_\_ Signature: \_\_\_\_\_

TA Name: \_\_\_\_\_ Signature: \_\_\_\_\_

TA Duties	Total hours (est.)
Attend TA training	
Attend lectures (___ hours/week)	
Discussion sections - prepare materials - teach (___ sections/week)	
Hold office hours (___ hours/week)	
Respond to emails and other student requests	
Maintain course webpage, course files and/or grading sheets	
Homework -prepare homework assignments -prepare homework solutions -grade homework -supervise paper graders	
Midterm exams -prepare exam questions -prepare exam solutions -proctor exams -grade exams	
Projects -prepare project assignment -meet with student teams -grade projects	
Laboratories -prepare experimental materials and setup equipment -prepare and deliver pre-lab instruction -supervise students in laboratory -grade lab reports	
Final exam -prepare exam questions -prepare exam solutions -proctor exam -grade exams	
Other (specify)	
Other (specify)	
<b>Total</b>	

**APPENDIX O.**

**Advisor Consent to Register**

for \_\_\_\_\_ (semester/year)

Name \_\_\_\_\_ Student I.D. # \_\_\_\_\_

**Grad-Level Courses Taken Up to Now (excluding 890 and 961):**

Dept. & Course Number (ex: CBE 562)	Course Title (ex: Special Topics in CBE: Soft Materials)	Credits (ex: 3)	Semester Taken (F2019)
--	---	--------------------	---------------------------

CBE Core courses (4 out of 5 core courses, B or better):


CBE Electives (6 credits in CBE other than core courses, B or better):


PhD Elective (3 credits outside CBE, B average):


PhD Minor (Distributed- minimum 9 credits in two or more depts; Named- follow that dept's requirements; B average):


**Courses for the Upcoming Semester:**

Dept. & Course Number (ex: CBE 562)	Course Title (ex: Special Topics in CBE: Soft Materials)	Credits (ex: 3)

Advisor Name: \_\_\_\_\_ Advisor Signature: \_\_\_\_\_