



Department of Earth and Environmental Sciences

GRADUATE HANDBOOK

Academic Year 2021-22



Earth and Environmental Sciences
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Dear Graduate Students:

Welcome to the new academic year in the Department of Earth and Environmental Sciences! We look forward to working with you as students and TAs/RAs/Fellows, and hope you have a truly exceptional experience while here at UK.

The purpose of this document is to provide specific information on the graduate program in the Department of Earth and Environmental Sciences. Please consider this to be a guide *only* and keep in mind that it is always being updated as the Department, Graduate School, and University rules change. It is the responsibility of each of you to consult the Graduate School Bulletin (<http://www.research.uky.edu/g/bulletin/bullinfo.shtml>) for official rules governing the degree programs in the department.

Further information on Department or Graduate School requirements and procedures may be obtained from your Advisor, members of the Research and Graduate Studies Committee, and, in particular, the Director of Graduate Studies (DGS).

A handwritten signature in black ink, appearing to read 'M.M. McGlue'.

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INTRODUCTION

Director of Graduate Studies and the Graduate Committee

The Graduate Program in the Department of Earth and Environmental Sciences (EES) is administered by the Director of Graduate Studies (DGS), with assistance from the Department Manager (DM) and advice from the department's regular faculty, who comprise the EES Graduate Committee (GC). The GC and DGS consider issues including admissions decisions, awarding of departmental support, review of student progress, and enforcement of program standards. In addition to the regular faculty serving on the GC, a graduate student representative participates in meetings at which policy matters are on the agenda but is not present when specific individuals are being discussed (executive session).

Admission to the Program

The basic requirements for admission to the program are:

1. A bachelor's degree in geology, another natural science, or engineering. Applicants to the Ph.D. program typically will hold or will be completing a master's degree from an accredited institution either in the U.S. or abroad, but in special circumstances, a student can be admitted directly to the Ph.D. program with a bachelor's degree only.
2. An undergraduate grade point average of at least 3.0 on a 4-point scale or the equivalent. Exceptions to the GPA requirement will be made on a case-by-case basis, in consideration of the strength of the other application pieces.
3. Satisfactory completion of basic undergraduate course work appropriate to the student's intended area of concentration as determined by the Advisor, in consultation with the graduate committee and DGS. Students typically will have completed one year each of chemistry, physics, and calculus at the college level.
4. A student may be admitted with deficiencies in course work, provided these deficiencies are satisfied prior to completion of the graduate degree. Deficiencies will be listed as part of the student's course plan.
5. Evidence of the applicant's ability to do graduate work as indicated, in part, by the research statement and letters of reference (three).
6. Students who are deficient in one or more respects may be admitted provisionally or as non-degree students by GC recommendation.

7. Students may submit Graduate Record Exam (GRE) scores for admissions consideration if they so choose. However as of Fall 2020, EES no longer requires the GRE for an admissions decision. Prospective students are advised that certain College-level awards may have GRE requirements.
8. In the case of international applicants whose native language is not English, a minimum score of 550 on the written Test of English as a Foreign Language (TOEFL), 213 on the computerized version of the TOEFL, 79 on the Internet-based version of the TOEFL, or a mean band score of 6.5 on the International English Language Testing System (IELTS) is required. The TOEFL or IELTS is not required for international students with a degree (current or pending) from a university in a country where English is a primary language (e.g., U.S.A., Canada, UK, Ireland, South Africa, Australia, New Zealand).
9. Applicants who are currently candidates for the master's degree (at UK or elsewhere) must complete all requirements for the degree prior to formal admission to the doctoral program. The DGS will determine the transfer of credits from the M.S. program.
10. Admission to the graduate program requires that adequate faculty, course work, equipment, and other resources are available for doctoral study in the student's stated field of interest, and that an appropriate faculty member is willing to serve as the Advisor and Major Professor.

FINANCIAL ISSUES

Assistantships and Fellowships

Teaching assistantships (TAs), research assistantships (RAs), and/or fellowships are provided for full-time degree candidates; however, self-supporting students are occasionally admitted under the "Plan B M.S." option or through participation in the University Scholars (USP; anticipated start date is Fall 2021) accelerated M.S. program. Offers of support are made by the DGS after consultation with the GC and approval of the application by the Graduate School. After an initial appointment period of two semesters, further appointments are normally for a two semester period and depend on satisfactory performance of assistantship duties (including attendance at mandatory orientation and training sessions as announced by the DGS, DM, or head TA), maintenance of a GPA of 3.0 or above, and satisfactory progress toward the degree as determined by the candidate's advisory committee, GC, and DGS, and recorded via the annual committee evaluation form (see Appendix). A full assistantship (half-time appointment) is to require no more than 20 hours of work per week on average as per federal law.

Research assistantships are supported by research funds granted to individual faculty

members and are administered by the appropriate faculty member and the DGS. Again, federal law limits official work to no more than 20 hours per week. Any student asked to exceed the 20 hour limit should notify the DGS. A faculty member should not extend an offer of an RA appointment, nor should a TA resign, in order to accept an RA offer after July 15 (for the fall semester) or November 20 (for the spring semester) without prior DGS approval. Administration of fellowships depends on the source of the fellowship, but is generally overseen by the DGS in consultation with the GC. Fellowship recipients have no time-based work requirements. Assuming satisfactory progress and performance of duties, departmental assistantship support (or fellowship support) is guaranteed for a maximum of four semesters from the date of initial enrollment in the program for M.S. candidates and for a maximum of eight semesters from the date of initial enrollment in the program for Ph.D. candidates. Additional offers of support are neither guaranteed nor should they be an expectation. Time to degree is an important metric for the graduate program and department, and therefore students should aim to defend and graduate within the window of funding provided by an assistantship or fellowship.

Reappointment

Reappointment of assistantships is based on evaluation of the performance of each student each semester on the basis of course work, performance in assistantship duties (both TAs and RAs), and progress toward a degree. The student is informed in writing of any deficiencies. The deadline for notification of non-reappointment is March 1.

For TAs, performance each semester will be assessed using a Graduate School observation form and a departmental evaluation form, which will be completed by the TA supervisor or another faculty member. Satisfactory performance each semester also includes participating in orientation activities and attending at least one continuing education activity as specified by the DGS. Examples of continuing education activities include attending teaching workshops organized by the department, the Graduate School, or the UK Center for the Enhancement of Learning and Teaching (CELT). Any activity not associated with the department or CELT must be pre-approved by the DGS. Graduate students are asked to complete online exit surveys at the conclusion of each semester, in order for the DGS to better analyze issues with assistantships and to optimize TA and RA assignments and efficiency.

An overall grade-point average of 3.0 in graduate courses is required for graduation. Students who have completed 12 or more credits and have less than a 3.0 average are placed on probation. Students on probation cannot receive a tuition scholarship from the Graduate School and will be dismissed from the program if they have not attained a 3.0 average after a further 9 credits of work.

Appeals

Appeals of academic or support decisions should be made in writing to the DGS or

the Department Chair who will consult with the Graduate Committee. Appeals may also be made to the University Ombud.

Tuition

The Graduate School provides in-state and out-of-state tuition scholarships to TAs and holders of Graduate School Fellowships who are in good academic standing (GPA of at least 3.0 following completion of 12 hours) and out-of-state tuition fellowships for RAs. The in-state portion of tuition for RAs is commonly covered by grants. University employees who are taking classes part-time are eligible for tuition subsidies through the Employee Educational Program (for more information, see <http://www.uky.edu/hr/benefits/more-great-benefits/employee-education-program>).

The Graduate School offers certificate programs that may be of interest to Ph.D. students (e.g., Graduate Certificate in College Teaching and Learning). Any students interested in a certificate program outside of EES must receive written permission from their Advisor prior to enrolling. Please note that these programs carry tuition charges that can affect funding, and participation should be done following consultation with the Advisor.

Insurance, Health, and Recreation Fees

Full-time students (enrolled in 9 or more credit hours) are charged a mandatory health fee. The student is responsible for these fees. If you are a part-time student you may request a voluntary health fee and pay the charge prior to the first day of classes. This fee will allow you to use the University Health Service (UHS) at little or no cost. To use UHS in the summer, students must pay the summer health fee or pay on a fee-for-service basis. For more information, please see <http://www.ukhealthcare.uky.edu/uhs/>

The student health fee is separate from student health insurance. All fully funded, enrolled, degree-seeking graduate assistants and fellowship recipients are provided health insurance at no charge. Call 257-3261 for more information, or go to <http://gradschool.uky.edu/health-plan>.

There is a mandatory recreation fee that gives access to campus facilities. This is separate from a non-mandatory athletics fee that allows full-time students to buy tickets for sporting events. In addition, students are responsible for paying lab fees for some courses.

Departmental Fellowships

Incoming students may be eligible for a **Pirtle Fellowship**, which provides \$3,000 as a summer stipend. Pirtle Fellowships require outstanding metrics as identified by the GC during the admissions process (typically overall GPA >3.85, evidence of excellence in research through publications and/presentation, and outstanding letters of

recommendation). The fellowship is renewable, contingent on satisfactory progress as determined by the Advisor and committee, for a second summer for M.S. students and for two additional summers for Ph.D. students. Recipients of the Pirtle Fellowship must be engaged in thesis/dissertation research or writing, and cannot hold employment outside the department during the term of the award. Students who decide to transfer to another department on campus or another university are not eligible to receive the Pirtle. If a recipient finishes all requirements for the degree before the award period is finished, the award will be prorated for the term during which research was pursued.

Incoming students are eligible for a **Boone Fellowship**, which provides \$1,500 for summer stipend, if they meet the following criteria:

1. a bachelor's or graduate degree from an institution in the USA or Canada
2. a GPA ≥ 3.5 on all undergraduate coursework in the USA or Canada

Research and Travel Funds

Support for research expenses and travel to professional meetings may be available through professional societies, the Graduate School, and the department. Students are encouraged to apply for research and travel funds from organizations such as the Geological Society of America, the American Association of Petroleum Geologists, and Sigma Xi. Currently-enrolled students are eligible to apply for departmental research and travel grants from the Ferm and Brown-McFarlan funds. Detailed guidelines for each type of grant are listed in Appendices II and III.

When planning to travel, please complete the A&S Travel Form:

<https://resources.as.uky.edu/business-center-forms>. This travel form is intended to provide information to the A&S Business Center so that they can keep timely and accurate financial records. It is important to fill this form out **before** your intended travel dates, and before purchasing any travel related expenses, including conference registration, abstract fees, hotel charges and airfare.

NON-ACADEMIC INFORMATION

Offices and Phones

Offices are provided for active graduate students if and when space is available. The DGS and Department Chair will assign departmental office space at the beginning of each semester, in the following order of priority: (1) TAs, (2) RAs and fellows, and (3) unsupported students. Assignment of student offices in each research laboratory is at the discretion of the faculty member who supervises the laboratory. The DM will supply keys; there is a \$7 deposit per key. All keys must be returned before you leave UK. TAs and RAs assigned to offices in Slone Building are encouraged to use electronic communications, but

can utilize the department front office number for specific phone needs (e.g., teaching syllabi, etc.).

Parking

Graduate students employed by the University of Kentucky as Teaching or Research Assistants are eligible to purchase employee (E) permits. For more information on current rates for E permits or student (C, R, or K) permits, please visit the parking website at <http://www.uky.edu/pts/>. Students can go to the Parking Office located at Parking Structure #6 on the corner of Virginia and Press avenues to purchase permits, but only after they are on the payroll. Parking spaces are unassigned and available on a first-come, first serve basis.

Computing Issues

All registered students are given a UK e-mail address by the computing center and are given instruction on how to access it and change the password. This is the official UK email communication address, and **you are expected to use this account in all university-related communications without exception**. Please send your e-mail address to the DM and DGS. You will also receive an A&S server account; the DM sends a list of our new students to A&S computing services to set this up. Please see the Department Manager for any problems concerning your A&S accounts. The DGS will send messages of general interest to all graduate students using the graduate student listserv. Graduate students may post messages related to EES-related business only to the graduate student listserv; political, religious, and messages unrelated to the graduate student work in EES are not allowed. Remember, graduate students are professionals and employees of UK – treat the listserv accordingly.

Duplicating

Copies made for teaching your classes are not charged to you. The copy machine operates by using a copy code assigned to each TA. There are two copy machines in Slone; one is located in room 104B (conference room) and the other is located in the front office. Any problems that arise while you are using the machine should be reported to the Department Office. Personal copying and copies for research are not allowed. We strongly encourage a green business model wherever possible – please use pdfs or if absolutely necessary, make copies at home or the library.

Department Vehicle Usage

Department vehicles may be used for class field trips, research, and official departmental business. There are several rules regarding use of these vehicles:

- A new driver approval form must be on file in the department office before you will be eligible to drive these vehicles.

- You must be a U.S. citizen or a permanent resident of the USA and have a valid driver's license to be able to drive a state vehicle.
- You must be on the University payroll *currently*.
- To drive a 15-passenger vans you must receive University training and certification.
- You cannot take a vehicle out of state unless you are accompanied by an Earth and Environmental Sciences faculty member.

A calendar for reserving vehicles is kept in the front office of Slone. Keys should be picked up shortly before departure, and a trip ticket (enclosed in the key case) must be filled out completely at the end of each trip. Keys are to be returned no later than 9:00 a.m. the day following the trip, and all vehicles are to be clean and full of gas when returned.

Because of heavy demand and to ensure maximum convenience for all, all class field trips are scheduled at the beginning of each semester. If a schedule changes or if a class trip is added, a vehicle will be assigned if one is available, but there are not enough vehicles to ensure that one will be available on short notice.

Research use of vehicles must be billed to an account other than the department budget. In order to reserve a vehicle for research, you must indicate which account will be charged. Examples of accounts to be charged for research travel include faculty grants, professional society grants, and Brown-McFarlan and Ferm funds.

Rast-Holbrook Seminar

It is the expectation of the faculty that all graduate students will attend the departmental Rast-Holbrook seminar series. Please consult the department website for the current calendar (<https://ees.as.uky.edu/seminar-schedule>). Students supported by a TA or RA are required to attend; excessive absences ($n \geq 2$ /semester) can be considered insufficient progress and be disqualifying for extra opportunities (e.g., block funding).

MASTER'S DEGREE (see also M.S. check list, Appendix IV)

Course Work

The Master of Science in Geological Sciences (Plan A) requires the completion of graduate course work and a thesis. The student must complete at least 24 credit hours of graduate course work. The normal graduate load is 10 credits during each of the first two semesters, and no more than 12 credits is advised. Graduate courses are those in the 500, 600, or 700 series, or in the 400G series if outside the Department of Earth and Environmental Sciences. At least 16 credits must be in EES course work, including the mandatory 3 credit hour Scientific Communication course (EES 695-001). At least 12

credits must be in the 600 or 700 series, and at least 9 of the 600- or 700-level credits must be in EES courses. At least 16 hours must be regular (non-research) courses. Full-time students who are enrolled in at least 3 hours but less than 9 hours of coursework, which is typical in the third semester of the M.S. program, should register for EES 768 (Residence Credit for the Master's Degree) to reach 9 hours total. Please note that EES 768 is not considered coursework, and therefore does not count towards the 24 required hours.

Individual Work in Geology (EES 782) will include data collection (field, laboratory, and/or library) and must **not** duplicate thesis research. A research plan must be approved by a faculty member who will direct the research and by the DGS. The faculty member who directed the research will provide a final evaluation of the project, which will be conveyed to the DGS.

Students who are in residence during a fall or spring semester and using Department facilities, but who are not taking courses, must enroll in EES 748 for 0 credits through the DGS. All other course registrations are done by the student.

The grade of D is not given to graduate students.

Any I grades must be removed within one year and before the Final Examination may be scheduled.

A maximum of 9 credit hours of graduate work earned either at another institution or as a post-baccalaureate student at UK may be transferred by approval of DGS.

Thesis Advisor and Advisory Committee

Thesis research is conducted under the guidance of a Thesis Advisor and an Advisory Committee, chaired by the Thesis Advisor and including at least two other faculty members. The duties of the Advisory Committee include evaluation of academic progress as a criterion for reappointment of an assistantship or fellowship. Typically, the Thesis Advisor is identified during the admissions process. For full-time students, the Thesis Advisor should be officially identified no later than the end of the student's first semester in residence, and the Advisory Committee should be appointed no later than the end of the first month of the second semester in residence. The members of the committee for each student are selected in terms of appropriateness of research interests relative to the subject of the thesis and/or in terms of specific techniques. Selection of the Thesis Advisor is the responsibility of the student. Selection of the other members of the Advisory Committee is the joint responsibility of the student and the Thesis Advisor, and is subject to approval by the Graduate Committee.

A majority of the Advisory Committee (at least two members, including the Thesis Advisor) must be members of the Graduate Faculty. At least one of the committee members must be a Full Member of the Graduate Faculty. The Advisory Committee for each M.S. student will meet with the student to review progress at least once a year, and will meet

specifically to approve the thesis proposal and for the Final Examination. It is the responsibility of the student to convene these meetings. The M.S. student will also meet with the DGS each semester prior to or during registration to assess the student's progress.

Thesis Proposal

All M.S. candidates are required to write a proposal outlining the research problem to be undertaken. It should include the objective(s) of the project, methods to be used, a timetable for completion of the work, and anticipated results. The proposal must be approved by the student's advisor and by the Advisory Committee. For full-time students who enter in the fall semester, the proposal should be written by February 15 of the second semester in residence (or by October 1 for students entering in the spring semester). Failure to meet this deadline represents unsatisfactory progress on the part of the candidate. Problems in meeting this deadline should be discussed jointly with the DGS and the Advisor.

Thesis

Because at least a year is generally required between the start of work on the thesis and the final examination, thesis work should be initiated no later than the second semester of study for full-time students. Final evaluation of the thesis will be conducted by the student's Advisory Committee. The quality of the final draft is subject to approval by the student's Advisory Committee and the DGS. The M.S. thesis requires execution of standard techniques, collection of data, application of the scientific method, and documentation of conclusions; the work is done under relatively direct supervision of the Thesis Advisor. Graduate School requirements concerning the format and organization of a thesis are outlined at <http://gradschool.uky.edu/thesis-dissertation-preparation>. Students are urged to consult these instructions during the preparation of early drafts. Theses should be designed to be consistent with the format of a professional journal in the field of the research. During progress on the thesis, the student should consult regularly with the Thesis Advisor and other members of the Advisory Committee.

Requirements for Graduation

Before a Final Examination can be scheduled, the following steps must be completed:

1. File an Application for Degree with the Graduate School within 30 days after the beginning of the semester in which the student intends to graduate (15 days in the summer session). See <http://www.uky.edu/Registrar/AcademicCalendar.htm> for specific deadlines.
2. Minimum one (1) professional presentation based on thesis research.
3. Provide a review copy of the thesis to each member of the Advisory Committee at least 6 weeks before the anticipated Final Examination date.
4. Student files the "Master's/Specialist Degree Candidate" form, which is submitted to the Graduate School at least 2 weeks before the exam date. This application is subject to DGS review and approval.
5. The Final Examination may then be scheduled on the "Request for Final Master's Degree Examination" form, which is submitted to the Graduate School at least 2 weeks before the exam date. This application is subject to DGS review and approval.
6. The final examination must take place no later than eight days prior to the last day of classes of the semester in which the student expects to graduate. Final examinations may not be scheduled during the period between semesters or between the end of the eight-week summer session and the beginning of the fall semester. Consult the Academic Calendar for deadlines for the scheduling of final examinations: <http://www.uky.edu/Registrar/AcademicCalendar.htm>.
7. An examination draft of the thesis must be available for inspection in the Department for at least 1 week prior to the Final Examination.
8. A final revision of the thesis is prepared to reflect changes specified by the Advisory Committee as a result of the Final Examination. The final copies must be signed by the Thesis Advisor and the DGS and submitted to the Graduate School within 60 days of the Final Examination and by the end of the semester in which the student intends to graduate. The ETD approval form must be signed by the student, the Thesis Advisor, and the DGS and submitted to the Graduate School. Prior to final submission you must have your thesis reviewed by the Graduate School for a first format check. This process takes about 48 hours but may take longer during peak periods, especially during the end of the semester. Please plan accordingly.

See <http://gradschool.uky.edu/degree-forms> for Graduate School degree forms.

Final Examination

The Final Examination is a defense of the thesis and is open to the public. Passing or failing the Final Examination is by majority opinion of the Advisory Committee. A student who fails the Final Examination may retake it, but a third examination is not permitted. The format is a presentation of the results (30-45 minutes) of the thesis research followed by questions from the audience in open session. The open public session is followed by a closed session for questions from the Advisory Committee.

Other Requirements

Each student is required to make one public presentation on the thesis (at a professional meeting or within the department), independent of the Final Examination. Options on campus include the EES Rast Holbrook seminar series, the KGS weekly seminar series, and the Tracy Farmer Institute Sustainability Forum. Many other options are available through professional geoscience societies (Geological Society of America, American Geophysical Union, Seismological Society of America, Society of Exploration Geophysicists, American Association of Petroleum Geologists). The department graduate student research symposium, ReSEES, also counts for fulfilling the presentation requirement.

Time Limits

For students who enrolled in the program in Fall 2005 or later, the degree requirements must be completed in 6 years, but students will still have the opportunity to request extensions up to an additional four years for a total of 10 years. All requests must be initiated by the Director of Graduate Studies.

DOCTOR OF PHILOSOPHY (see also Ph.D. check list, Appendix V)

The requirements for the Ph.D. degree are discussed in detail in the Graduate School Bulletin (<http://gradschool.uky.edu/graduate-school-bulletin>). These and more specific departmental requirements are outlined below. Graduate School forms are available at <http://gradschool.uky.edu/studentforms>.

Course Work

Doctoral candidates complete at least 42 hours of graduate course work, including that taken for a master's degree (which counts for 18 hours). Ph.D. students must take the 3 credit hour Scientific Communications course (EES 695-001), unless they have already completed these requirements as a student in the M.S. program. The normal full-time load is 3 courses (usually 9-10 credits) each semester, and no more than 12 credits per semester should be taken.

Individual Work in Geology (EES 782) and Research in Geological Sciences (EES 790) will include data collection (field, laboratory, and/or library) and must not duplicate dissertation research. EES 790 should be used as a placeholder only, and does not count towards total hours of coursework. A research plan must be approved by a faculty member who will direct the research and by the DGS. The faculty member who directed the research will provide a final evaluation of the project the evaluation will be conveyed to the DGS. The grade of "D" is not given to graduate students. Any "I" grades must be removed within one year and before the Qualifying Examination may be scheduled.

Residency for Full-time Students

At least 3 years of full-time graduate work are required for the Ph.D. degree:

1) A student may request that the DGS petition the Graduate School to have a master's degree from an accredited university satisfy 1 year of the residency requirement.

2) For full-time students, the second year, which immediately precedes the Qualifying Examination, is spent taking coursework (9 hours per semester, Graduate School Model I).

3) Post-qualifying exam: once the qualifying examination has been completed successfully, students who enrolled in the program in Fall 2005 or later are required to enroll continuously in EES 767 (every fall and spring semester) until they have completed and defended the dissertation (a minimum of 2 semesters). The Qualifying Examination (written and oral) may be taken at any time during the first semester of enrollment in this course. However, the request to schedule the examination must be submitted and approved within the first 6 weeks of the semester. Two hours of 767 constitutes full-time enrollment.

Residency for Part-time Students

Model II. Part-time students may take at least 6 credit hours per semester during three consecutive semesters prior to the Qualifying Examination (residence model II of the Graduate School Bulletin). (Note that the combined first and second summer sessions can be considered as a single semester.)

or

Model III. Under residence model III of the Graduate School Bulletin, a part-time student may accumulate 24 graduate credits (exclusive of short courses, and no more than 9 credits in summer sessions) during three consecutive academic or calendar years.

Relative to post-qualifying exam enrollment, the same rules apply to part-

time students as stated above for full-time students.

Major Professor and Advisory Committee

The student's Advisory Committee is chaired by the Major Professor. The role of the Advisory Committee is to assure the preparation of the student for the research, to supervise and provide advice on the research, and to evaluate the dissertation. The Advisory Committee will meet with the student to review progress at least once a year, and will meet specifically for the following occasions: to approve the preliminary dissertation proposal; for the Qualifying Examination; and for the dissertation defense. The student also meets each semester with the DGS to evaluate progress.

Selection of the Major Professor is the responsibility of the student and should be confirmed during the admissions process. Other members of the Advisory Committee should be appointed as soon as the direction of the student's proposed research is established, and no later than the end of the student's second semester in residence. The members of the Advisory Committee for each student are selected in terms of appropriateness of research interests relative to the subject of the dissertation and/or in terms of specific techniques. Selection of the other members of the Advisory Committee is the joint responsibility of the student and the Major Professor, and is subject to approval by the Graduate Committee. The composition of the Advisory Committee is recommended by the DGS to the Graduate School on the "Doctoral Advisory Committee" form for final approval. Any subsequent changes in the composition of the Advisory Committee are subject to the same approval.

The core of the Advisory Committee consists of four members, including the Major Professor, all of whom must be members of the Graduate Faculty of the University. The composition of the doctoral committee must consist of at least 50% EES core faculty (e.g., two EES faculty if the committee totals four members). At least three members of the core must be Full Members of the Graduate Faculty. If the Major Professor is not a Full Member, a co-chair who is a Full Member must be appointed. At least one member of the core must be from outside the Department. Additional members of the Advisory Committee other than the core members may also be appointed. Individuals who are not members of the University faculty may be appointed as Auxiliary (non-voting) Members, and they may serve as core members if they are approved as Associate Members of the Graduate Faculty by the Graduate School. Regular (Associate or Full) members of the Graduate Faculty must comprise a majority of the Advisory Committee. All decisions of the Advisory Committee are by majority vote of its Regular Graduate Faculty members.

Dissertation Proposal

In order to advance to candidacy, the doctoral student will: (a) produce a full "submission-ready" written proposal (~15 pages) of the original research to be pursued at UK, such as might be produced for an open Request for Proposal (e.g., NSF, ACS, USGS, NOAA, or similar, but not student-specific RFPs such as NSF-GRFP, GSA student awards, or similar); and (b) pass an oral and written examination administered by the committee. It is not

required that the dissertation proposal be submitted to a granting agency, but it is encouraged.

The proposal must be approved by the student's advisor and by the Advisory Committee in advance of the Qualifying Examination.

Qualifying Examination

The Qualifying Examination is taken after at least 36 graduate credits have been completed, including 18 hours for a master's degree. The student initiates the request for the Qualifying Examination on-line. For students who entered the program in Fall 2005 or later, the Qualifying Examination must be taken within 5 years of enrollment in the program. Extensions of time are possible but not automatic. The examination is intended to verify that the student has sufficient understanding and competence to pursue research for the dissertation. It is administered by the Advisory Committee and consists of two parts:

Written: written exams are required by the Graduate School, and will precede the oral exam. The core committee members are required to administer a written exam, but is optional for the outside member(s). The format for the written exam will be determined by each committee member in consultation with the Advisor. The format details should be provided to the student during the scheduling process.

Oral: following completion of all parts of the written exam, the oral exam is held. This begins with a presentation by the student of an outline of the proposed dissertation research, followed by questions from the Advisory Committee in closed session. The topics of questioning may extend into supporting fields related to the topic of the dissertation. The qualifying exam is closed to the public.

The request for the examination must be received by the DGS at least 2 weeks before the examination so that the "Recommendation for Qualifying Examination" form may be submitted to the Graduate School.

All parts of an examination shall be completed before a pass/fail decision is made. If the student fails the first administration of the examination, the examination may be retaken at least 4 months but no more than 1 year after the first examination. A third examination is not allowed.

Dissertation

The dissertation represents the culmination of a major research project. Throughout the course of research and writing, the student should consult regularly with the Major Professor and other members of the Advisory Committee. Final evaluation of the dissertation will be by the Advisory Committee. The quality of the final draft is subject to approval by the Advisory Committee and DGS. A Ph.D. dissertation represents innovative

original work, new approaches, and a significant new contribution to the body of knowledge; the work is done relatively independently, but under supervision. The body of research will result in at minimum three (3) peer-reviewed scientific journal publications recognized by the community of specialization. Two (2) publications from the dissertation must be published (or accepted) and the third submission-ready prior to scheduling a dissertation defense. The number of papers or chapters that comprise the dissertation can exceed these minimums, assuming timely progress and consensus of the candidate and committee. The format for the final copy of the dissertation must be in accordance with guidelines of the Graduate School and with the standard editorial practices of a professional journal that is appropriate to the topic of the research.

Requirements for Graduation

Before a Final Examination can be scheduled, the following steps must be completed:

1. File an Application for Degree with the Graduate School within 30 days after the beginning of the semester in which the student intends to graduate (15 days in the summer session).
2. At minimum, two (2) first-author published (or accepted) peer-reviewed scientific journal articles and one (1) submission-ready peer-review scientific journal article associated with the dissertation research. The publications should be in a quality journal(s) appropriate to the topic of research. Field-trip guides (including those peer-reviewed) and similar publications are not appropriate.
3. Minimum two (2) professional presentations based on original dissertation research.
4. Student files the “Notification of the Intent to Schedule a Final Doctoral Examination” on-line at least 8 weeks before the anticipated Final Examination date. This application is subject to DGS review and approval.
5. Provide a review copy of the dissertation to each member of the Advisory Committee, at least 6 weeks before the anticipated Final Examination date.
6. Student files the “Request for Final Doctoral Examination” form, which is submitted to the Graduate School at least 2 weeks before the exam date. This application is subject to DGS review and approval. For graduation in any given semester, the examination must be completed prior to posted deadlines.
7. A copy of the dissertation must be provided to the Outside Examiner for the Final Examination as soon as she or he is appointed by the Graduate School.
8. An examination draft of the dissertation must be available for inspection in the Department for at least 1 week prior to the Final Examination.

A final revision of the dissertation is prepared to reflect changes specified by the Advisory Committee as a result of the Final Examination. The final copies must be signed by the Major Professor (and co-chair, if one exists) and the

DGS, and then submitted to the Graduate School by the end of the semester in which the student intends to graduate and no later than 60 days after the Final Examination. The ETD approval form must be signed by the student, the Major Professor, and the DGS and submitted to the Graduate School.

The Graduate School requirements concerning the format and organization of a dissertation are provided in “Instructions for the Preparation of Theses and Dissertations” (<http://gradschool.uky.edu/thesis-dissertation-preparation>). Students are urged to consult the Graduate School regarding these requirements during the preparation of early drafts. Dissertations should be designed to be consistent with the format of a professional journal in the field of the research.

Final Examination

The Final Examination is primarily a defense of the dissertation and is open to the public. It is conducted by the Advisory Committee expanded to include an Outside Examiner appointed by the Graduate School and is chaired by the Major Professor. The format of the examination is a brief (30-45 minute) presentation of the results of the dissertation research followed by questions from the audience in open session. The open public session is followed by a closed session for questions from the Advisory Committee. Passing or failing the Final Examination is by majority opinion of the Graduate Faculty members on the Advisory Committee. A student who fails the Final Examination may retake it, but a third examination is not allowed.

Publication and Professional Presentation Requirements

- 1) Each student is required average of one annual presentation, beginning in year two of the PhD sequence, in order to be in “good standing” for funding. A minimum of two oral presentations must be completed in order to defend. The annual presentations are preferably made at a professional conference, but a departmental seminar can satisfy one presentation requirement. Satisfactory progress will be assessed at the yearly committee meeting.
- 2) At least two first-author dissertation chapters must be in published (or accepted) at a peer-reviewed technical/science education journal or edited volume in order for the PhD candidate to defend. It is the expectation that a third chapter will be close to submission-ready by the defense date, to be enforced by the committee and approved by the DGS.

Time Limits

1. Students who first enrolled in the doctoral program in Fall 2005 or later are required to take the qualifying examination within 5 years of entry into the program. Extensions of up to an additional 3 years may be requested. Extensions up to 12 months

may be approved by the Dean of the Graduate School upon receipt of a request from the DGS. Requests for extensions longer than 12 months must be considered by Graduate Council and require the recommendation of the DGS, the Major Professor, and a majority vote of Graduate Faculty in the program. If the qualifying examination has not been passed at the end of 5 years, or at the end of all approved time extensions, the student is dismissed from the program.

2. Degree requirements must be completed within 5 years following the semester or summer session in which the Qualifying Examination is completed. The Graduate Council will consider a request for an extension of up to 5 years upon recommendation of the DGS after the candidate has successfully retaken the Qualifying Examination. Failure to pass the re-examination indicates the termination of degree candidacy.

Appendix I. LISTING OF GRADUATE FACULTY IN THE GEOLOGY PROGRAM

Full Membership

Regular Faculty:

Andrea Erhardt
Frank Ettensohn
Alan Fryar
William Haneberg
Jim Hower
Michael McGlue
David Moecher
Dhananjay Ravat
Jon Stallins*
J. Ryan Thigpen
Alice Turkington*
Edward W. Woolery
Kevin Yeager

Adjunct Faculty:

Stephen Greb
Zhenming Wang

Associate Membership

Regular Faculty:

Rebecca Freeman
Keely O'Farrell

Adjunct Faculty:

J. Richard Bowersox
Cortland Eble
John Hickman
Thomas Parris
Junfeng Zhu
Ben Tobin

*Geography faculty

Appendix II. SUPPLEMENTARY SUPPORT FOR STUDENT RESEARCH

FERM FUND

The Ferm Fund is supported by contributions from alumni of the Department and is intended to support student research. Funds may be available to cover some of the expenses of senior research projects or a graduate student's research for a thesis or dissertation. Please check with the DGS, DM, and chair to inquire on the availability of funds (not guaranteed every year).

The following types of expenses generally are considered for support:

1. Field transportation using a personal or departmental vehicle, based on gasoline costs for total mileage, as well as subsistence costs of field work (all expenses must supported by dated receipts).
2. Research supplies, software, equipment, or analyses not available from departmental or UK campus facilities.
3. Travel expenses to conduct analyses at off-campus labs.

PREPARING THE APPLICATION:

1. Funds are limited, and in order to make appropriate support available to all eligible students, students who receive research support from the Brown-McFarlan Fund or Ferm Fund are asked to be as fiscally conservative as possible and to seek other funds before using these departmental funds. Prior to applying for departmental support, graduate students should apply to professional organizations that support graduate student research, including, for example, Sigma Xi, GSA, AAPG, AGU, and SEPM. In addition, post-qualifying doctoral students conducting research at sites distant from campus should ask the Director of Graduate Studies about being nominated for a Graduate School Dissertation Enhancement Award. A statement indicating the amount requested from non-departmental sources is required on the research grant application.
2. Students who previously have received research funds from the Brown-McFarlan Fund and/or Ferm Fund must include a listing of the dates of previous awards and amounts of each.
3. The application must include a detailed and specific budget. The budget should be planned carefully, and items must be concisely and fully justified. Items not adequately justified may not be granted. Expenditures will be approved within the context of the budget.
4. The signature of the faculty director of the research is required on the completed application.

CONDITIONS:

Applications may be submitted for consideration throughout the semester. The applications will be processed, and notification of funding will follow in approximately three weeks.

The maximum support level is \$300 for senior research, \$600 for M.S. thesis research, and \$1000 for Ph.D. dissertation research. Only one research award will be made to an individual student per academic year. An undergraduate student may receive only one award, a master's student may receive a total of two awards, and a doctoral student may receive a total of three awards.

A research award is made for a specific proposed budget, and the funds are restricted to uses justified in the budget. Upon approval, a check for the total amount of the award will be paid to the student.

Appendix III. SUPPLEMENTARY SUPPORT OF INDIVIDUAL STUDENT TRAVEL TO PARTICIPATE IN PROFESSIONAL MEETINGS

BROWN-McFARLAN FUND

Funds contributed by alumni provide the Brown-McFarlan Fund in the Department of Earth and Environmental Sciences. One of the purposes of these funds is to encourage students to present papers or posters at professional meetings leading to peer-reviewed publications, or to participate in leadership of professional field trips. Individual students who are actively participating (presenting a paper or poster at regional, national, or international meetings, or leading/co-leading a field trip) may apply for support of travel and meeting expenses. Please check with the DGS, DM, and chair to inquire on the availability of funds (not guaranteed every year).

1. Funds are limited, and in order to make appropriate support available to all eligible students, students who receive support from the Brown-McFarlan Fund are asked to be as fiscally conservative as possible and to seek other funds before using these departmental funds. The Brown-McFarlan Fund supports attendance at meetings to present the results of the student's original research on any geoscience topic.
2. Graduate students should first apply to the UK Graduate School for support, and a statement indicating the amount requested from the Graduate School is required in the Departmental application. In addition, students should apply for any travel funds made available through the professional organization that is hosting the meeting. In addition to travel funds, many organizations have jobs for student volunteers, who are compensated by reduced meeting fees. These additional potential sources of funding must be reported on the Departmental application.
3. Brown-McFarlan funding is intended to augment other sources of funding and will cover the balance of documented expenses that are not covered by the other sources. In other words, the objective is that a student will have all reasonable expenses covered. The department funds, however, are limited to a maximum of \$600 for regional conference or professional field trip, \$800 for a North American conference and \$1,000 for an international conference (and to distant and expensive U.S./North American destinations like Hawaii and Alaska) per student while actively engaged in the department. More than one conference funding is possible for presenting papers on sufficiently different topics with the likelihood of leading to separate peer-reviewed publications.
4. To conserve available funds, students are asked to make every effort to find the best rates for housing. Transportation may be either by ground or by air, whichever is least expensive and reasonable within the time frame. If more than one student is attending the same meeting, ride- and room sharing are encouraged. Registration, as well as reasonable meal costs (\$15-25/day), will be allowed. All anticipated costs must be reported in the budget on the application form.
5. The application must include a copy of the abstract for the presentation, as well as an acceptance notice; or the application must include an indication of leadership of a field trip (guidebook cover page, title page of article, etc.). Multiple student co-authors of a single abstract may receive only partial funding.
6. An individual student may receive support for more than one meeting per year depending on the funding availability, but only if the research being presented is clearly new.
7. Applications must be submitted at least three weeks prior to the meeting, and funding decisions will be made quickly.

A travel award is made for a specific proposed budget, and the funds are restricted to uses justified in the budget. Upon approval, a check for the total amount of the award will be paid to the student.

Appendix IV. CHECKLIST FOR THE MASTER OF SCIENCE DEGREE

Student _____ Thesis Advisor _____

- ___ 1. Admission conditions fulfilled and/or deficiencies made up.
- ___ 2. Thesis advisor (shown above) selected by end of first semester.
- ___ 3. Thesis topic and written proposal (first month, second semester for full-time students).
- ___ 4. Advisory committee* (selected by first month, second semester).
- ___ 5. Advisory committee meeting (at least once a year).
- ___ 6. Twenty-four credits of graduate course work completed.
- ___ 7. Twelve credits of 600-700 level courses completed (including 9 credits in EES courses).
- ___ 8. Sixteen credits of regular courses completed (excluding research courses).
- ___ 9. Sixteen credits of geology courses completed (including the 3 credit hour EES 695 Scientific Communications).
- ___ 10. Overall GPA of 3.0 or higher in graduate course work.
- ___ 11. Public presentation requirement satisfied.
- ___ 12. Application for Degree filed with Graduate School (by end of first month of last semester).
- ___ 13. Draft of thesis given to Advisory Committee members.
- ___ 14. Request to schedule Final Examination filed (at least two weeks before exam).
- ___ 15. Copy of thesis placed in Department one week before Final Examination.
- ___ 16. Final Examination passed (at least eight days before the end of classes for the term).
- ___ 17. Thesis accepted by Graduate School (within 60 days of Final Examination).

Advisory Committee _____

Thesis topic _____

*At least one member must be a Full Member of the Geology Graduate Faculty; one other must be an Associate Member.

Appendix V. CHECKLIST FOR THE DOCTOR OF PHILOSOPHY DEGREE

Student _____ Major Professor _____

- ___ 1. Admission conditions fulfilled and/or deficiencies made up.
- ___ 2. First year of residency completed or credited with master's degree.
- ___ 3. Major professor shown above selected (beginning of first semester).
- ___ 4. Second year of residency (before Qualifying Examination) completed.
- ___ 5. Overall average of 3.0 or higher in graduate coursework attained.
- ___ 6. Advisory Committee (shown below)* selected and approved (by end of second semester)
- ___ 7. Thirty-six credit hours** of graduate work completed (including the 3 credit hour EES 695 Scientific Communications).
- ___ 8. Dissertation topic (shown below) selected and proposal approved by Advisory Committee.
- ___ 9. Qualifying Examination schedule requested (2 weeks before the exam).
- ___ 10. Qualifying Examination passed.
- ___ 11. Third year of residency (after Qualifying Examination) completed.
- ___ 12. Public presentation and publication requirements satisfied.
- ___ 13. Application for degree filed with Graduate School (by end of first month of last semester).
- ___ 14. Draft of dissertation given to Advisory Committee members.
- ___ 15. Notice of intent to hold final exam filed (at least eight weeks before exam).
- ___ 16. Request to schedule Final Examination filed (at least two weeks before exam).
- ___ 17. Copy of dissertation placed in department (one week before exam).
- ___ 18. Final examination passed (at least eight days before the end of classes for the term).
- ___ 19. Dissertation accepted by Graduate School (within 60 days of final examination).

Advisory Committee _____

Dissertation Topic _____

*A majority (three members) must be **full** members of the Graduate Faculty; a majority must also be Geology Graduate Faculty members.

**The MS degree counts for 18 credit hours.

Appendix VI. Head TA

Notionally the head TA (HTA) position is ideally suited to an experienced EES graduate student with several semesters of demonstrated excellence across diverse teaching assignments, and an individual with career aspirations in college-level teaching. That said, either M.S. or Ph.D. students are eligible to be nominated. The faculty will nominate candidates from the TA pool in the spring semester and for sake of continuity the HTA will serve for two consecutive semesters (one full academic year). A particularly effective HTA can be nominated for a second term, but the total time in the position should not exceed four consecutive semesters. The head TA serves at the behest of the faculty; the position can be recalled for reasons of underperformance with notice.

The HTA reports to the DGS weekly but regular interaction with the DUS, DM, academic coordinator, and faculty is envisioned. Time committed to the role of HTA is benchmarked at 5-10 hrs per week, equivalent to a 0.25 or 0.5 TA assignment. Whether the role adopts a 5 or 10 hr/week commitment will be determined based on departmental need; this will be re-evaluated each semester. Specific duties of the head TA include, but are not limited to:

1. The HTA will be in regular contact with all TAs and gather information on the TA experience; this information will be reported to the faculty at the faculty meeting. The HTA may be asked to attend faculty meeting as needed.
2. The HTA will design and coordinate two (0.25) or three (0.5) mentoring sessions for all TAs each semester, and provide a report to the faculty on the learning objectives and outcomes. At least one session per semester will focus on issues of diversity, equity and inclusion in the classroom.
3. The HTA will assist the academic coordinator with classroom and lab prep as needed
4. The HTA will regularly check SRB classrooms and maintaining a neat and organized appearance
5. The HTA will steward educational wall coverings in SRB, and making changes as needed (in consultation with the academic coordinator)
6. The HTA will work with the department manager to make sure TA and course information on the website is accurate and current
7. The HTA will serve as a substitute TA as needed
8. The HTA will serve as an exam proctor as needed
9. Other duties as assigned

The HTA will develop skills in mentoring, leadership, and academic coordination. It is envisioned that the HTA will serve as an intermediary between the DGS and the TAs, and be the first line of support for TAs in their missions as instructors.

Appendix VII. Advising and Mentoring

The Department's graduate program functions under a model of shared success between the student and advisor. As a result, close collaboration among faculty and students is encouraged.

The role of advisor is to:

1. Maintain regular communication with students to ensure that they are receiving input about the program, are aware of key steps and deadlines, and monitor progress in coursework, TA assignments, and research.
2. Serves as the primary but not sole intellectual mentor during the student's tenure in the Department, and helps the student identify additional mentors in the UK geoscience and allied science community.
3. Advise on matters such as course selection, proposal design, grant writing, how to conduct research, research and scientific ethics, manuscript preparation, publishing ethics, and teaching.
4. Advise students about the professional community (conferences, workshops, etc.) and mentor students on opportunities and expectations as they enter the profession.
5. Provide timely feedback on work within a mutually agreed timetable.
6. Attempt to assist the student with problems that may arise in their academic program.

Students **are expected to consult regularly** with their advisor about courses and research plans and to keep them updated on their progress, successes, and challenges. Students are also expected to work with advisors on setting timelines and due dates to meet degree deadlines and maintain timely progress.

It is important to note that graduate faculty have diverse advising styles and lab-related policies. **Graduate students are required to discuss the following issues with their advisors upon arrival at UK, so that expectations are clear:**

1. What is the best means of communication with your advisor? Telephone, email, text, Zoom, etc. What are the boundaries of communication (day of the week, times of the day, etc.). How quickly can you expect your advisor to respond to requests?
2. How regularly will you meet with your advisor? How often does your lab group meet?
3. How quickly can you expect your advisor to respond to written submissions turned in on time? What happens if you miss a deadline?

It is the department's expectation that advisors (and advisory committee members) will provide timely feedback to students on work relevant to degree progress. Students should²⁷ consult with the DGS (or chair, in the event of a DGS conflict of interest) if advisors are excessively absent or unengaged. That said, it is important to recognize the competing

obligations and pressures facing advisors. For example, a student missing an agreed upon deadline can result in a slower response as a faculty member may no longer have the same availability due to other commitments. Similarly, a student who routinely misses meetings, fails in communication, or is otherwise themselves unengaged will be required to meet with the DGS and adviser to address the issues.

Initial mentoring sessions are provided to all graduate students within the first two weeks of enrollment in the program by small mentoring groups consisting of the DGS, major adviser, head TA, and a member of the UK geoscience community. These sessions are designed to provide a network of support for students as they enter their graduate studies and move to Lexington. Students are encouraged to maintain contact with this mentoring group throughout their tenure in the program. Students in the program are encouraged to attend EES alumni-provided 'lunch and learn' sessions for additional mentoring on professional opportunities.

Appendix VIII. Policy on Changing Major Adviser

As part of the recruiting process, each M.S. and Ph.D. student self-selects a major adviser. That faculty member advocates for admission and the terms of support in the offer letter reflect the resources available to that individual only. As a consequence, all admitted students have an assigned major adviser upon arrival in the program. However, situations sometimes arise where changes to the adviser-advisee relationship are warranted. Examples include:

1. A poor fit. Management styles will vary from professor to professor, as do student needs. In some instances, a poor personality match may be grounds for a switch.
2. A change in student research interests. Graduate students may evolve their research interests, and in some such cases, making a switch warranted.
3. A life event places the adviser on extended leave away from campus, making a switch necessary for the student to finish in a timely manner.
4. A faculty member moves to a different institution or becomes deceased.
5. A Title IX conflict (e.g., sexual harassment)

Switching advisors can be (and most often is) very disruptive to a student's academic progress and is generally not advised. However, it is sometimes necessary and therefore the procedure for changing major advisers in EES is as follows.

1. The faculty adviser and advisee are to openly communicate such that the circumstances necessitating the change are understood by both parties.
 - a. In the unusual event of a dispute, the graduate student or faculty member may consult with the DGS under confidential terms.
2. The faculty member and student are to communicate the issue to the DGS via email for written, time-stamped record keeping. This information may be shared with the chair and Associate Dean of Graduate Students.

3. The DGS will consult with both parties about the situation in detail.
4. The DGS will recommend to the student and faculty member potential options relating to a change in adviser, if necessary.

If a change is made at the behest of the student due to a poor fit or change in interests, the terms of the offer letter are subject to modification to reflect the resources of the new adviser, assuming one can be identified (N.B. this may not always be possible). It will often be the case that the new adviser will not have resources, so there can be no unrealistic expectations. For example, summer funding may not be available from the new adviser; there will be no carryover other than the 2 or 4 years total of assistantship articulated in the offer letter (assuming satisfactory progress) and the Pirtle award where appropriate. A new thesis/dissertation project may be required; carryover of research between groups will in most instances be prohibited (exceptions may include a faculty member departure or Title IX violation). When graduate students voluntarily change advisors, we expect that the student will select a new thesis or dissertation topic aligned with the ongoing research of their new lab. No extensions of the graduate timeline or milestones accompany a change of adviser. Any change in primary advisor does not change the student's responsibility for timely progress, which is held by the student and the new adviser. The advisory committee may recommend an extension with evidence of timely progress, pending the availability of funds.

Appendix IX. Policy on Teaching Assistantships

Graduate students in EES often spend one or more semesters as a Teaching Assistant (hereafter, TA). To remain in good standing as a TA, the faculty have set forth the following expectations:

1. The TA must do their best to help students achieve the learning outcomes of the course, as articulated in the syllabus. TAs are an extension of the faculty, and there is an expectation of professionalism and good conduct in the role. TAs should expect to work with course instructors to help deliver the curriculum.
2. TAs must be sensitive to the differences in student needs and learning styles. TAs are expected to adhere to the values of diversity, equity, and inclusion set forth by the university.
3. TAs must complete the mandatory training and orientation sessions arranged by both the Graduate School and the Department. These are announced by email.
4. TAs must utilize and regularly check their @uky.edu email accounts. Faculty will use this means of communication most often, and they rely upon students for prompt (same day) responses.
5. TAs must be present/accountable on a weekly basis during the course meeting times, to include dead week and finals week.
6. Each TA will dedicate a maximum of 20 hours per week towards duties.
 - a. If the TA is tasked with excessive work such that 20 hours per week is exceeded, the first line of reporting is to the course instructor.
 - b. If the issue is not corrected, the second point of contact is the DGS.

7. TA duties may (and often do) vary widely from course to course, given that EES provides both UKCore and lab courses for geological sciences majors. This should be expected. Typical TA duties may include, but are not limited to: (a) holding office hours to address student questions/concerns; (b) grading homework, labs, quizzes or exams; (c) providing proctoring during exams and/or classroom control during lectures; (d) leading labs or recitation sections; (e) responding to student questions via email, (f) serving as a substitute lecturer in the event of a faculty absence or emergency, (g) providing updates to the course website or Canvas page, and (h) participating in course field trips/excursions.
8. TAs must attend the two mentoring sessions led by the head TA each semester.

TAs will be evaluated each semester through several mechanisms, including teacher course evaluations (TCEs), in-class observations by the DGS and/or head TA, supervisor evaluations (e.g., the instructor of record), and self-reflections (e.g., end of semester surveys). Negative evaluations require consultation with the DGS and may result in loss of funding (i.e., loss of TA). In rare instances where this occurs, students will be notified by March 1. TAs will receive feedback from evaluations by email at least once per semester.

Appendix X. Policy on Research Assistantships

In some cases, EES faculty advisors may win awards that provide funding for student support (e.g., from NSF, USGS, NASA, ACS, etc). Student support extended through research grant/contract awards are known as research assistantships (RAs). These are increasingly rare, and as such should be considered a privilege. It is important note that in some instances, RA assignments will overlap with student thesis or dissertation objectives, but this is not always the case and therefore it should not be an expectation. RA opportunities may be articulated in the offer letter. Expectations for RAs include:

1. 20 hours/week spent on research tasks and assignments directed by the faculty sponsor. These tasks are likely to be very diverse, and could include literature review, computation, data analysis, fieldwork, fieldwork logistics, report writing, figure making, manuscript development, public presentations, networking, mentoring/training of undergraduates, travel, laboratory or other analytical work, etc.
 - a. If the RA is tasked with excessive work such that 20 hours/week is exceeded, the first line of reporting is to the faculty sponsor.
 - b. If the issue is not corrected following consultation with the faculty sponsor, the second point of contact is the DGS.
2. RAs must utilize and regularly check their @uky.edu email accounts. Faculty sponsors will use this means of communication most often, and they rely upon students for prompt (same day) responses.
3. RAs must be present/accountable on a weekly basis, to include dead week and finals week, unless their work can be accomplished remotely. Location of work will be determined by the faculty sponsor and discussed at the start of the semester (and can be modified during the semester, in consultation with the faculty sponsor).

4. RAs are required to attend mandatory department orientations, training, and mentoring. These will be announced by email. Similarly, all RAs must complete UK-level training as required, including the responsible conduct of research online modules.

RAs will be evaluated each semester through several mechanisms, including faculty sponsor evaluations, observations by the DGS and/or department chair, and self-reflections (e.g., end of semester surveys). Negative evaluations require consultation with the DGS and may result in loss of funding. In rare instances where this occurs, students will be notified by March 15. RAs will be provided feedback in writing of their performance at least once per semester.

Appendix XI. Policy on Sufficient Progress and “Good Standing”

EES faculty have set forth and agreed upon the standards listed below, which all graduate students in the program should attempt to ***meet in good faith***. Meeting the list of expectations below shall be considered evidence of “Good Standing”. As a general rule, the faculty are sympathetic to major life events (*force majeure*) that could cause setbacks or delays in sufficient scholarly progress. Such events might include a death in the family, documented major illness/injury, documented traumas, issues with child or elder care, natural disasters, etc. Graduate students will be evaluated annually at the graduate committee meeting (first Wednesday of December), and the written outcomes of those meetings will be shared with individual students as a formal accounting of progress from the DGS by email early in the spring semester.

- Promote a strong community of civility and respect within EES at all times.
- Attend to all required coursework, with a minimum grade point average of 3.0/4.0.
- Engage in all duties associated with the role of TA or RA, when on departmental support.
- Attend Rast-Holbrook seminar series (1 unexcused absence/semester allowed).
- Participate in all orientation sessions, mentor meetings, and training set forth by the DGS, graduate committee, and/or major advisor. Timely responses (1-3 business days) to surveys and requests for information are expected.
- Schedule and attend annual committee meeting prior to the Thanksgiving Break each fall semester.
- Make sufficient progress on thesis or dissertation research, in evidence by written annual progress documentation, jointly signed by student and committee. If enrolled in 748 (MS) or 767 (PhD), students will provide a written report to document progress (see below).
- Maintain your assigned workspace in Slone Building in good order, as judged by your faculty supervisor.

Grades of “S” for thesis or dissertation work completed for EES 767 or 748 will be awarded if tangible evidence (manuscript text, figures, data tables, computer codes, etc.) of research progress can be produced, in the judgement of the major faculty advisor.

- Any student registered for 767 or 748 will produce a **one paragraph summary** and bullet list of work accomplished towards the dissertation/thesis to the primary advisor and the DGS by email before the conclusion of finals week. This must be done for each semester when registered for 767 or 748.
 - Any disputes related to evidence of progress will be brought to the graduate committee.
- Two consecutive semesters of unsatisfactory progress in 767 or 748 will result in loss of funding and dismissal from the EES graduate program.

Certain privileges notionally available to students (travel funding, research funding, block funding) in good standing can be withheld or denied at the discretion of the graduate committee if evidence of insufficient progress exists; these are neither entitlements nor benefits. Similarly, while TA/RA funding is guaranteed for plan A M.S. students for four semesters and Ph.D. students for eight semesters, **funding decisions are made on the condition of satisfactory progress as determined by the graduate committee, and are subject to annual review.** This language is clearly articulated in offer letters, which constitute a contractual obligation between the department and the student. If good standing is not achieved, the student will be placed on probation and given an opportunity to improve (1 semester). Continued evidence of insufficient progress will result in dismissal from the program.

Appendix XII: Parental Leave for Graduate Assistants

Teaching, Research, and Graduate Assistants, as well as graduate fellows will be entitled to up to two weeks of parental leave without loss of stipend immediately following the birth of a child, or upon either the initial placement or the legal adoption of a child under eighteen years of age. Eligible graduate assistants and fellows are those students who have an appointment form on file in the Graduate School and who hold an active appointment at the time the parental leave is to be taken. Graduate students who hold only an hourly appointment are not eligible for paid paternal leave.

Graduate Assistants and fellows will also be entitled to unpaid parental leave, up to a maximum total period of leave (paid and unpaid) of twelve weeks. Within a given academic year contract, the student's department will make every effort to ensure the continuity of assistantship funding; the terms of specific teaching and/or research arrangements will be determined by the Director of Graduate Studies in consultation with the student and the hiring unit, if separate from the student's academic department. As with any leave, students should make every effort to communicate with their units regarding the timing of the proposed leave; a minimum of 30 days notice should be provided if possible. Please note that units may request documentation of the birth or adoption.