

**GRADUATE ASSISTANTSHIP,
TRAINEESHIP,
&
FELLOWSHIP
POLICY HANDBOOK**

NAU prohibits discrimination against or harassment of any individual on the basis of age, race, color, religion, sex, sexual orientation, national origin, physical or mental disability, or status as a Vietnam-era or special disabled veteran in our admissions, employment, and educational programs and activities. NAU's nondiscrimination policy complies with Arizona Board of Regents and NAU policy and with state and federal laws including the Civil Rights Act of 1964 as amended, the Age Discrimination in Employment Act of 1967, Title IX of the Education Amendments of 1972, Sections 503 and 504 of the Rehabilitation Act of 1973, the Vietnam Era Veterans Readjustment Assistance Act of 1974, the Americans with Disabilities Act of 1990, and the Civil Rights Act of 1991. NAU's Safe Working and Learning Environment Policy addresses all types of discrimination and harassment prohibited by university policy.

NAU undertakes affirmative action for minorities, women, individuals with disabilities, and special disabled and Vietnam-era veterans as required by Executive Order 11246 as amended, the Vietnam Era Veterans Readjustment Assistance Act of 1974 as amended, and Section 503 of the Rehabilitation Act of 1973.

Inquiries about the application of these regulations or NAU's Safe Working and Learning Environment Policy can be directed to the Office of Equity and Access, NAU, PO Box 4083, Flagstaff, AZ 86011-4083 (928-523-3312, TTY 928-523-1006).

Table of Contents - To navigate, click on entry

GRADUATE ASSISTANTSHIP, TRAINEESHIP AND.....	3
FELLOWSHIP POLICIES	3
Overview	3
Graduate Assistants.....	3
Types of Positions	3
What Graduate Assistants <i>Can't</i> Do	4
Where Assistantships are Offered	4
Eligibility for Assistantships.....	5
GA Monetary Compensation	5
Benefits and Eligibility Criteria	5
Terms of Appointment	6
Limits on Funding	6
Work Hours.....	7
Additional Employment at NAU.	8
Probationary Period.....	8
Job Performance and Evaluation of all Graduate Assistants	9
Continuation of Support.....	9
Termination.....	10
Responsibilities of the Graduate Assistant.....	10
Payroll Forms	10
Tuition Payment Plan	11
Orientation.....	11
Register for Credit Hours.....	11
Satisfactory Academic Progress.....	11
Maintain Contact with Supervisor	11
Rights and Privileges of Graduate Assistants.....	12
Office of Equity and Access: Grievance Procedures for Graduate Assistants.....	12
Fellowships/Traineeships.....	13
Graduate Assistant Employment vs. Fellowship Appointment.....	13
Medical Insurance	13
Conditions of a Fellowship Appointment.....	13
Tax Implications for Fellowship Recipients.....	14
Financial Aid Eligibility	15
Register for Credit Hours.....	16
Satisfactory Academic Progress.....	16
Continuation of Support.....	16
Additional Awards.....	16
Fellowship/Traineeship Termination	17
Award Provisions Stipend.....	17
Additional Policies Pertaining to Graduate Assistants, Trainees and Fellows	17
Ethics and Professionalism	17
Safe Working and Learning Environment Policy.....	17

Academic Integrity	18
FERPA	18
Drug-free Workplace	19
Student Anti-Retaliation Statement.....	19
Research Considerations	20
Misconduct in Research Policy.....	20
Definition of Research Misconduct	21
Disciplinary Procedures for Graduate Assistants	22
CGS Resolution	23
Appendix A: Conditions of Assistantship Appointment.....	24
Appendix B: Orientation Checklist for Graduate Assistants	24
Appendix C: Sample Evaluation Forms.....	27
Graduate Assistant Evaluation Form	27
Laboratory Instructor Course Evaluation Form	28
Appendix D: Resolving Problems	28
Index	30

GRADUATE ASSISTANTSHIP, TRAINEESHIP, AND FELLOWSHIP POLICIES

Overview

This handbook contains policies relating to graduate assistantships and fellowships/traineeships at Northern Arizona University. The employment rights and responsibilities of graduate assistants are found exclusively in this handbook. Similarly, the rights and responsibilities pertaining to fellowships are noted separately in this handbook. The handbook also has information and policies that apply to graduate students, graduate assistants and fellows.

Graduate Assistants

Graduate assistants are full-time graduate students employed on a part-time basis (20 hours, .50 FTE or 10 hours, .25 FTE) by Northern Arizona University. A graduate assistant receives a monetary compensation for services rendered to the university. Graduate assistantships are available to graduate students who have been admitted to a degree program at NAU, are in good academic standing, and are making satisfactory progress toward their degrees. In some instances, certain traineeship awards are administered as assistantships and all policies and procedures in this section are relevant to these appointments.

A graduate assistantship is a form of apprenticeship and contributes to the student's professional development. Its primary purpose is to assist students in strengthening and successfully completing their academic program. It should include activities that are relevant to each student's program of study and contribute to and/or support the university's teaching, research/creative activity, or service efforts. An assistantship necessitates periodic assessment and feedback regarding a student's performance.

Types of Positions

There are four categories of graduate assistantships.

- **Graduate Teaching Assistants (GTA)** have primary responsibility in an instructional capacity. Services provided by a graduate teaching assistant may include lecturing, leading discussion groups, serving as an assistant to laboratory classes, counseling students, proctoring examinations, grading tests and papers, helping and providing general assistance in the instructional process.
- **Graduate Research Assistants (GRA)** are selected for excellence in scholarship and promise as researchers. They do part-time research as a portion of their training under the direct supervision of regular faculty members or support the research initiatives of the institution.
- **Graduate Service Assistants (GSA)** assist in a service unit whose mission is closely related to the student's area of academic study and interest. The GSA is responsible to a professional member of the service unit who supervises and trains the student in the service role. The main purpose of the assignment is to assist in the service role of the unit.

- **Graduate Athletics Assistants (GAA)** assist in the Athletics Department and are recruited to work closely with athletics teams, student-athlete support services units, or athletics department units. A GAA is responsible for providing assistance and service to that particular unit while gaining professional development and work experience. This category of assistantship is unique in the nature of the assignment and managed by the Athletics Department.

In this handbook, the term graduate assistant (or GA) is used to refer to all positions.

What Graduate Assistants Can't Do

Graduate assistants cannot be employed by NAU to teach graduate classes. In addition, a graduate assistant cannot serve as a principal investigator on an appointment or grant. If an assistant writes a research, service, or instructional proposal that is funded by an external agency, an NAU faculty or staff member must serve as the principal investigator.

Where Assistantships are Offered

Positions are available in academic and support service units at NAU. Relevant policies and procedures are applied consistently, regardless of whether assistantships are funded internally or through external sources (e.g., research grants). Graduate Athletics Assistantships are offered and managed exclusively through the Athletics Department, and different policies and procedures may apply to GAA positions.

Academic Units. Assistantships in academic units support the instructional programs, research efforts, and service roles of NAU's academic units. Students may apply for a graduate assistantship in a different academic unit than the one in which they are pursuing their degree. Some graduate assistants are classroom instructors and others are laboratory instructors and tutors. In some instances, graduate assistants work closely with a faculty member to assist with classroom preparation, grading, and teaching an occasional class. Some graduate assistants are trained to assist undergraduates in advisement and course selection. Many work as research assistants on faculty research and service projects supported by either state funds or funds from grants and contracts.

Support Service Units. Some graduate assistantships are available in other areas of the university as well—particularly as residence hall directors through the Office of Residence Life and as assistants in the Counseling and Testing Center, and other areas of student affairs.

[Assistantship openings in support service units](#) are posted on the Graduate College website.

Athletics Units. Assistantships in athletics units support NAU's intercollegiate sports, student-athlete support service units (e.g., sports medicine, strength & conditioning, student development, compliance), or Athletics Department service units (e.g., communications, marketing & promotions, equipment operations). These assistantships are managed by the Athletics Department.

Eligibility for Assistantships

Before an assistantship can be awarded, students must be admitted to the Graduate College as a full-time degree-seeking student. Students who are conditionally admitted due to a GPA below 3.0 **are not eligible to receive an assistantship**. Only in exceptional cases can a student who is granted conditional admission receive an assistantship. Any such recommendation for an exception must be approved by the Graduate College **before the appointment letter is issued**.

All students receiving assistantships, whether new or continuing, must be in [good academic standing](#) and making good progress towards the completion of their degree.

A person who is not a U.S. citizen and who is without lawful immigration status is not entitled to tuition waivers, grants, scholarship assistance, financial aid, tuition assistance or any other type of financial assistance that is subsidized or paid in whole or in part with state monies. More information on citizenship verification is available at [Citizenship - Legal US Status Verification - Office of the Registrar - Northern Arizona University](#)

International students may be offered assistantships. However, if an assistantship is offered to an entering international student and the stipend is used as part of the student's financial package (required for issuing the I-20 form), then NAU is obligated to continue this support as long as the student is enrolled in nine graduate level credits, making satisfactory progress toward completing the degree program, and exhibiting satisfactory job performance.

In addition, if an international student will be on an assistantship that involves teaching or tutoring undergraduate students, the employing unit must verify that the assistant's command of the English language is sufficient to allow easy communication with undergraduate students in a classroom setting — in accordance with the following ABOR policy:

Each University shall require the department chair or other appropriate administrator to certify, in writing, that each graduate assistant or associate has clearly demonstrated the high level of oral and written skill in English necessary for effective classroom teaching.

GA Monetary Compensation Levels

Graduate assistantship monetary compensation varies by discipline. For current minimum monetary compensation levels, consult the Processing Manual: Assistantships and Tuition Waivers.

Units may award stipends of less than the full 20-hour assistantship, but they must reduce the workload accordingly.

The maximum stipend level is up to 50% above the average stipend in the department.

Benefits and Eligibility Criteria

- Graduate assistantships must cover the entire semester in order to qualify for benefits.
- All graduate assistants with an appointment of 10-19 hours per week pay half of their in-state tuition (and all of their university fees). All graduate assistants working 20 hours per week do not pay tuition (but must pay all of their university fees) and have the

option of the health insurance benefit. Graduate Athletics Assistants are not provided with the health insurance benefit. Graduate assistants **must** enroll in the health plan by the deadline of 14 days after the first day of class the first semester they receive the benefit.

Graduate Teaching Assistants (GTA), Graduate Research Assistants (GRA), and Graduate Service Assistants (GSA)*

Hours	Benefits*
10-19	50% tuition remission
20	100% tuition remission and health insurance premium

* Benefits do not vary with funding source. For details on the amount of benefits, consult the Processing Manual: Assistantships and Tuition Waivers.

Tax implications for Tuition waivers/Remission Benefits related to Graduate Service Assistantships:

The interpretation and implementation of the tax laws is the domain of the Internal Revenue Service (IRS). Specific questions can be directed to a tax advisor or the IRS. Tuition benefits may be subject to payroll taxes if the graduate assistant is employed as a graduate service assistant for the entire calendar year. For more information, consult IRS publication related to [Tax Benefits for Education](#).

Graduate Athletics Assistants (GAA)

Graduate Athletics Assistantships are offered and managed exclusively through the Athletics Department.

Terms of Appointment

Graduate assistants may be appointed for any time span, but assistantship appointments are usually for one semester, or the two-semester academic year. Summer-only appointments for graduate assistants are not permitted. Instead, the Graduate College recommends hiring a student as a part-time temporary or student-wage employee.

In accordance with ABOR policy, assistantship appointments are awarded for no more than one year at a time. Students may receive appointments for a second year, but **receipt of a first-year appointment does not guarantee receipt of a second appointment**. The decision to make a second-year appointment is based on the student's performance during the year, both as a graduate student and as a graduate assistant.

Limits on Funding

Master's students are not granted assistantships for more than two years, regardless of the source of the funding. Exceptions to this two-year limit may be made if students are progressing toward completing their degrees in a timely fashion, but have been delayed through no fault of their own.

Doctoral students may receive support as graduate assistants beyond the two-year period.

When students complete their graduate degrees, they may no longer hold assistantships. After losing assistantships upon graduation, students are not eligible for unemployment benefits.

Work Hours

Graduate assistants may work as few as ten and as many as twenty hours per week. International students who are graduate assistants are restricted by federal regulations to no more than 20 hours of employment per week when classes are in session. During breaks (summer, winter, and spring break), F-1 international graduate assistants may work full time on campus if registered for classes in the following semester. J-1 international students who are graduate assistants must have employment authorization, which is date, time, position and location specific, from International Student and Scholar Services prior to engaging in any employment. This authorization comes in the form of a letter and must be renewed prior to its expiration to continue employment, and/or updated if the hours/week will be more than 20 during an official university break.

In setting their work schedule, graduate assistants need to be aware that, even though specific duties may sometimes require working more hours per week than an appointment specifies (e.g., during finals week when tests must be graded and grades submitted by a deadline), total hours should balance out over the appointment period. The total stipend is divided into two-week pay periods between the appointment dates. Graduate assistants do not submit time slips to Payroll Services, but they may be required to do so by the department administering the assistantship.

Graduate assistants hired for the academic year are expected to work the week before the beginning of both fall and spring semesters, and through final exams weeks. Graduate assistants who support teaching functions usually are not required to work during the winter or summer break. Students supporting other types of activities such as research may be required to work during breaks. Ultimately, the work schedule is the result of collaboration between the supervisor and the graduate assistant.

Graduate assistants are paid the same amount every two weeks regardless of the number of hours they work. When calculating stipend amounts, winter and spring term breaks should be considered.

Graduate Athletics Assistants may be expected to travel to athletics competitions. GAAs are expected to inform their professors of class absences as a result of their officially-assigned work hours. Work schedules will be flexed to balance higher demand times with lower demand times. A GAA's final work schedule will be a result of collaboration with the unit supervisor.

Additional Employment at NAU.

Graduate students with 20-hour appointments are not allowed to work a second job for NAU, in any capacity, during the terms of their appointment. Exceptions are normally approved only for one-time work, such as driving a van for a field trip. All require the submission of the Additional Work Form found on the [Graduate College website](#). Once the exception has been approved through the Graduate College, the hiring department will attach it to the ePAR for final approval through Human Resources. International students who are graduate assistants are required to contact their International Student Adviser in the Center for International Education before beginning any employment outside of their assistantship. Exceptions may be made to allow Graduate Athletics Assistants to work a second job for NAU; these exceptions must be approved by the unit supervisor, submitted on the Additional Work Form, and approved by the unit supervisor.

Probationary Period

A new graduate assistant is on a probationary appointment for either 90 days or one semester, depending on the nature of the assistantship. The supervisor should inform the graduate assistant of the length of the probationary period at their initial meeting or at the department's or unit's orientation session.

During the probationary period, all graduate assistants must complete NAU's required new employee training listed on the Human Resources page. This training contains several modules and/or trainings including:

- New Employee Welcome (3 modules)
- Intersections Training for non-supervisors
- Information Security Essentials
- CERT: Conduct, Ethics, Reporting and Transparency Disclosure (a form to complete)
- Loss Prevention Training
- Family Educational Rights & Privacy Act (FERPA): FERPA Training Application

Failure to complete these trainings and to submit the CERT Disclosure form during probation (the first 30 days of hire) is cause for dismissal. It is mandatory that all graduate assistants complete the required [Training](#).

Some assistants may be required to complete other unit-level training.

During the probationary period, a graduate assistant can be released from employment without cause, without notice, and without a statement of reasons; however, graduate assistants must be evaluated at least once during the probationary period and must be given a written copy of the evaluation. If performance-related problems arise during this period, the supervisor should meet with the graduate assistant on a regular basis to discuss problems and work on ways to resolve them. Graduate assistants may appeal their release to the Dean of the Graduate College, whose decision is final.

Graduate assistants who successfully complete the probationary period do not serve another probationary period, unless they move into a new position.

Job Performance and Evaluation of all Graduate Assistants

Evaluation is a crucial part of the assistantship experience. It should be a supportive and constructive process that helps identify strengths, as well as weaknesses, and develop a plan for improvement.

As a first step in the evaluation process, the student should be given clear information by the supervisor about job expectations at the beginning of the employment period and should be informed of the ways in which progress will be measured. Evaluations against those expectations will be conducted each semester by the employing unit (there will also be at least one evaluation during the probationary period) for all graduate assistants.

The performance assessment process involves the student and the supervisor discussing a written evaluation. The document shall be signed by both parties. Both the student and the supervisor share responsibility for ensuring that the evaluation process is carried out.

Evaluation of Teaching Assistants. The Arizona Board of Regents has established the following policies for teaching assistants.

- A. *Each University will develop and maintain appropriate programs to provide training in basic teaching methods and skills for all graduate teaching assistants and associates.*
- B. *Each University will require that an appropriate regular faculty member formally assess the teaching performance of each graduate teaching assistant and associate every semester and submit a written report of the assessment to the department chair and to the graduate teaching assistant or associate.*
- C. *Each university shall require the department chair or other appropriate administrator to certify in writing that each graduate assistant or associate has clearly demonstrated the high level of oral and written skill in English necessary for effective classroom teaching.*

NAU supports these policies. Each employing unit must evaluate the performance of all teaching assistants each semester.

In addition, the following ABOR policy applies to teaching assistants who are not native speakers of English:

Each department at NAU that employs teaching assistants whose first language is not English must also develop a procedure for certifying that such assistants have adequate English skills for their positions. This is true for assistantship positions that involve tutoring or working in labs as well as those in the classroom. This certification procedure must be approved by the college's dean and by the Dean of the Graduate College.

Continuation of Support

The decision to offer a continuation of an assistantship beyond the original appointment period is based on two factors: satisfactory job performance in the assistantship and satisfactory academic progress. If a student is not making adequate progress toward the

degree, has been placed on academic probation, or is not performing job tasks satisfactorily within the assistantship, then that student may be terminated *during* the appointment period, upon the recommendation of the unit supervisor to the Dean of the Graduate College.

If the criteria for continuation are met, generally, the student may expect the assistantship will be extended for another appointment period. As noted previously, masters' students are only eligible for two years (total) of assistantship funding, and doctoral students may receive funding for more than two years based on department policies and practices. International students need to check information pertinent to international student status and funding with the Center for International Education.

The supervisor and academic unit administrator must agree with any recommendation for continuation of support. If the assistantship is not continued, written notification with a reason is provided to the student. An appeal of the decision may be made to the Dean of the Graduate College. The decision of the Dean of the Graduate College is final.

Termination

At any time, graduate assistants who fail to:

- abide by the conditions of their appointment;
- perform their tasks as assigned upholding professional standards of the discipline;
- make adequate progress toward their degree;

or students who:

- are placed on academic probation;
- earn a GPA below 3.0;
- are recommended for dismissal from a graduate program;

may be discontinued at the discretion of the unit or may have their employment terminated by the Dean of the Graduate College, upon recommendation by a supervisor and program unit administrator.

Responsibilities of the Graduate Assistant

Payroll Forms

In order to get paid, all new graduate assistants and any graduate assistant who has not worked for NAU during the last 6 months must fill out a new hire packet, which is initiated through their hiring department. If graduate assistants do not receive an email asking them to fill out the packet, they should contact their department to make sure the packet has been initiated. **The student is responsible for signing the required Payroll forms no later than the starting date of the appointment to ensure that the first paycheck is received on time.** See the [Human Resources webpage](#). Graduate assistants are paid every two weeks and are encouraged to enroll in direct deposit. Graduate assistants are *not* required to submit time slips in order to get paid.

Tuition Payment Plan

Graduate assistants may pay their tuition (and all of their university fees) using the tuition payment plan or they may pay their tuition (and all of their university fees) in full prior to the tuition payment deadline. Enrolled students who have not paid their tuition (and university fees) by the payment deadline, will automatically be placed on the tuition payment plan and charged the payment plan service fee. Rules differ if graduate assistants have been awarded financial aid.

Remember: graduate assistants must pay the remainder of their tuition and fees not covered by their award and financial aid by the payment deadline if they do not want to be charged the payment plan service charge. Graduate assistants should carefully review the information at [Payment Plan - Student and Departmental Account Services - Northern Arizona University](#).

Orientation

All *new* graduate assistants must participate in the Graduate College's Graduate Student Orientation held at the beginning of each fall and spring semester. In addition, graduate assistants must participate in any orientation programs provided by their employing unit. Orientations are held during the week before classes begin. Information about the Graduate College's Orientation will be sent in an email, and it is also available on the [Graduate College website](#).

Register for Credit Hours

Graduate assistants must register for **at least 9 hours of credit** that will count toward their degree requirements every fall and spring semester while employed as a graduate assistant. If a graduate assistant wishes to be enrolled for fewer than the required 9 hours, the student must submit a Request for Exception to the Nine Credit Hour Registration Requirement, which can be found in the "Forms" section of the [Graduate College website](#). In the summer, full-time enrollment is not required. If graduate assistants are not enrolled at least halftime in summer courses, FICA taxes will be taken out of their paychecks.

Satisfactory Academic Progress

In order to continue with an assistantship, graduate assistants must remain in good academic standing, make satisfactory progress toward a degree, and complete at least 9 hours of credit in their program each semester. If they fail to make adequate progress toward a degree, are placed on academic probation, earn a GPA below 3.0, or are recommended for dismissal from a graduate program, their employment may be discontinued at the discretion of the unit.

Maintain Contact with Supervisor

Graduate assistants must work closely with their assistantship supervisor in carrying out assigned duties. At a minimum, this means having regular contact. To get the most from this apprenticeship experience, both the graduate assistant and the supervisor should establish goals early during the term of appointment and work together to achieve them. This also means assessing work performance, in consultation with the supervisor, on a regular basis.

If problems arise, graduate assistants should first seek help from their supervisor. If a resolution can't be reached, then the graduate assistant should seek help from the next appropriate level, usually the individual to whom the supervisor reports.

Rights and Privileges of Graduate Assistants

Graduate assistants have certain rights and privileges that are specific to the assistantship experience. These rights and privileges include:

- The right to balance their assistantship responsibilities with their responsibilities to their academic program—so that they can complete their degree in a timely manner.
- The right to be treated as a professional in their chosen field of study.
- The right to be notified in writing of all decisions that affect their status as a graduate assistant. This includes advance notification of evaluation procedures and a summary of their performance evaluation.
- The right to be notified of any complaints received by a supervisor or department chair concerning their performance of duties.
- The right to respond in writing to such complaints.
- The right, depending on the availability of departmental and university resources, to be supported in pursuing additional activities that pertain to their professional development. The Graduate College offers numerous professional development opportunities throughout the year; graduate assistants are strongly encouraged to attend. Graduate students completing a Master's thesis or doctoral dissertation must address copyright and embargo options upon submission of their work and are strongly encouraged to attend the Graduate College's professional development workshop on this topic. Details can be found on the [Graduate College website](#).

Grievance Procedures for Graduate Assistants

The grievance procedure for graduate assistants is considered an informal procedure. Graduate assistants must present their grievance in writing to their immediate supervisor, who shall conduct a review and render a written decision. Graduate assistants may bypass their direct supervisor when the grievance involves allegations of sexual, racial or other prohibitive harassment by that supervisor. Such allegations may also be directed to [The Office of Equity and Access](#). Graduate assistants may present a written copy of their grievance to the Department Head, Chair or Director/Vice President/Dean and should also notify the immediate supervisor of their action. Graduate assistants must file their grievance no later than 10 business days after the grievous event has occurred. A formal decision or tangible steps towards resolving the issue (documented in writing) must be made no later than 10 business days after receiving the graduate assistant's written grievance. If the Department head, Chair or Director/Vice President/Dean determines that the matter is not grievous, the decision shall be final, and the grievance shall be dismissed.

Fellowships/Traineeships

A fellowship is defined as a free grant given to the University for the support of graduate students in their study and/or research. The primary purpose of such a grant is to further the education and training of the student recipients in their individual capacity. Traineeships are research fellowships that are awarded to provide educational training in particular disciplinary areas. On a limited, case by case basis, students may hold both a fellowship/traineeship and an assistantship. The number of hours allowed for the assistantship will be determined by the fellowship/traineeship itself, the type of fellowship, and any other regulations established by the unit and the Graduate College. Students who do hold these dual appointments are entitled to the tuition remission as a benefit of employment.

Graduate Assistant Employment vs. Fellowship Appointment

The Graduate College has established a distinction between graduate fellows and graduate assistants for the purpose of reporting to the Internal Revenue Service (IRS). We recognize that there exist substantial similarities between the graduate programs of fellows, trainees, and assistants, and wide diversity in relationships between mentors and graduate students regardless of the student's source of financial support. Because of these factors, it is important that the administering department and faculty mentor/supervisor make the decision as to the appropriateness of administering a specific award as a fellowship or assistantship. Clearly, all graduate students receive guidance and direction in the design and conduct of their thesis/dissertation research from their major professor, and faculty advisers approve all thesis/dissertation research projects. The similarities between programs notwithstanding, graduate fellows are not graduate assistants/trainees, and payments made to them are not recorded as wages. On the other hand, graduate assistants and to some extent graduate trainees are employees and payments made to them are recorded as wages.

If the traineeship is administered as a fellowship, all of the conditions in this section apply to that appointment including specific expectations of the traineeship. If the student is being paid with a graduate assistantship, the previous section spells out the guidelines and policy.

Medical Insurance for Fellowship/traineeship Recipients

Students receiving a fellowship/traineeship must check with the department/unit/external sponsors granting the fellowship for funds regarding medical insurance.

Conditions of a Fellowship Appointment

Graduate fellows receive scholarship or fellowship payments to assist them in pursuing a course of study or research. This payment is not a payment for teaching, conducting research, or other services. NAU does not report the payment to the IRS. Graduate fellows have the following characteristics:

- Fellows must be currently enrolled in and in good standing with the degree-granting graduate program at NAU to which the fellow was admitted.

- Fellows must have major professors who can appropriately mentor the proposed research and provide an environment conducive to carrying out said research.
- Fellows generally are free to explore new research areas, depending on the progress of the research.
- Fellows are not considered employees of the University. Payment is in the form of a stipend provided to support the fellow. Stipends are not considered compensation for services.
- Fellowships generally are awarded to students who may freely select the faculty adviser with whom they will conduct research while receiving their stipend. Fellowships generally are portable within a program(s), moving with students if they should change advisers.
- Fellows must register for at least nine credits in both the fall and the spring sessions and for at least six credits during the summer session if they are receiving funding during the summer. Fellows who are not registered during the summer session may not receive a stipend in June and July.
- Fellows must maintain satisfactory academic and scholarly performance as well as maintain progress and satisfactory work performance.
- Fellows must maintain a valid NAU e-mail address with the University, Department/Funding Unit and the Graduate College.
- Fellows must adhere to the Graduate College Fellowship guidelines listed in this policy manual.
- Fellows must submit all written documents as required by the fellowship, and if funding is through an external sponsor, a copy must be on file in the Office of Grants and Contracts.

Tax Implications for Fellowship Recipients

The interpretation and implementation of the tax laws are the domain of the Internal Revenue Service (IRS). Having said that, some guidelines are provided to fellowship recipients on stipend taxability so that they are aware that they have a US income tax reporting responsibility for their fellowship. It is not intended as legal or tax advice, or as a definitive interpretation of the law. Fellows are personally responsible for their individual tax preparation and payment. Specific questions regarding the tax treatment of this award should be directed to a tax advisor or the Internal Revenue Service.

All awards, scholarships, fellowships, grants, and stipends to NAU students for which no services are required, whether paid through Student Financial Assistance or directly by a department, are taxable non-employee income to the recipient, except for the portion of these funds used for tuition, registration, other university fees, books, supplies, and equipment required for the course(s) being taken. Scholarship/Fellowship support payments may be taxable to the recipient in full or in part. The recipient is responsible for determining the value of tuition, registration, other university fees, books, supplies, and equipment.

Fellows will *not* receive a Form W2 from NAU for fellowship income. NAU does not withhold taxes from these payments for recipients who are residents for US tax purposes; therefore, recipients should give consideration to filing Form 1040 ES.

Fellowship recipients should consult the [Estimated Tax for Individuals](#) on a quarterly basis and consider paying estimated taxes to avoid late payment penalties. For scholarship stipends, NAU has no tax reporting or tax withholding responsibilities unless the student is a nonresident for US tax reporting purposes. NAU is required by US tax law to withhold federal income tax from fellowship payments to individuals who are nonresidents for US tax purposes, unless the recipient can claim an exemption by US tax treaty. For nonresidents who have tax withholdings, in March the amount of their previous year taxable scholarship/fellowship income and tax withholdings will be reported to them and to the Internal Revenue Services (the US taxing authority) on IRS Form 1042-S, which they can then use to file their US income tax return.

Although the university is not required to provide reporting to the US Internal Revenue Service (IRS) on non-compensatory student financial support, students are encouraged to collect relevant information on their awards (and eligible expenses for offset) on an ongoing basis throughout the year in order to be able to easily evaluate the potential for taxable income. They can review their LOUIE account for fellowship award amounts posted to pay for tuition and health insurance (if applicable).

International students, faculty, and staff with tax questions or problems are advised to seek assistance from the IRS, a Certified Public Accountant (CPA), or an attorney. In the U.S., the individual taxpayer is responsible for filing an appropriate and accurate tax return and negotiating all tax matters with the IRS. Taxpayer assistance is available from the local IRS office or by calling the IRS toll free taxpayer assistance number, 1-800-829-1040.

Additional information about reporting fellowships can be found on the IRS website in the section called [Tax Information for Students](#). Additional information on the taxability of scholarships can be obtained from the following IRS publications and forms:

1. Publication 4—*Student's Guide to Federal Income Tax*
2. Publication 520—*Scholarships and Fellowships*
3. Publication 519—*U.S. Tax Guide for Aliens*
4. Form 1040EZ and Instructions—Income Tax Return for Single and Joint Filers with no Dependents, and
5. Form 1040NR and instructions—*U.S. Nonresident Alien Income Tax Return*.

These [publications and forms](#) can be obtained from the Internal Revenue Service at a toll-free number, 1-800-827-FORM, or the [website](#).

Financial Aid Eligibility for Fellowships/traineeships Recipients

Many fellowships are merit-based. However, some fellowships are need-based and require that the student demonstrate financial need. The Office of Financial Aid is the administrative unit responsible for determining financial need of students at NAU. In determining financial need, the Office of Financial Aid adheres to the policies and guidelines set forth in Part F of Title IV of the Higher Education Act of 1965, as amended (34 CFR 648.2, CFR 65). Students must complete and file a Free Application

for Federal Student Aid (FAFSA). A FAFSA demonstrating financial need must be on file before a need-based fellowship is awarded.

Register for Credit Hours

Fellowship and traineeship recipients are full-time students who must register for at least 9 hours of credit that will count toward their degree requirements every fall and spring semester that they are eligible to receive funding. If a fellow wishes to be enrolled for fewer than the required hours, the student must submit a Request for Exception to the Nine Credit Hour Registration Requirement, which can be found on the “Forms” section of the [Graduate College website](#). In the summer, full-time enrollment is not required. If fellowship recipients are not enrolled at least halftime in summer courses, FICA taxes will be taken out of their paychecks.

Satisfactory Academic Progress

In order to continue with a fellowship/traineeship, fellowship/traineeship recipients must remain in good academic standing, make satisfactory progress toward a degree, and complete at least 9 hours of credit in their program each semester. If they fail to make adequate progress toward a degree, or earn a GPA below 3.0, funding for their fellowship may be in jeopardy.

Continuation of the fellowship/traineeship award commitment is contingent upon satisfactory academic performance and progress, and the fellow’s ability to meet and maintain the fellowship guidelines. These criteria are established and evaluated by the faculty/external sponsor in accordance with Graduate College policies and procedures. In the rare instance when the faculty determines that a fellow fails to meet these criteria, the graduate program contacts the Graduate College to initiate probation or termination procedures.

Continuation of Support

For fellowships that students bring with them to NAU, the student is encouraged to check with the sponsor for information on continuation of support. For fellowships granted through NAU, the fellowship award letter will provide information regarding continuation of support and/or additional years of funding.

Additional Awards

Recipients of fellowships/traineeships should report to their department head and the Dean of the Graduate College any additional awards received both before and subsequent to their current award.

Students receiving fellowships/traineeships may accept additional appointments up to one-quarter time (.25 FTE). When classes are in session, all international students are limited by law to working twenty (20) hours per week (i.e., .50 FTE). The twenty-hour limit for international students applies to all appointments including combination monthly and biweekly appointments.

Fellowship/Traineeship Termination

A fellowship commitment may be terminated on the rare occasion that the fellow leaves NAU or if the fellow fails to comply with fellowship guidelines outlined in this manual, e.g., if the fellow fails to maintain the award terms and conditions. When a fellowship is terminated, the fellowship account is closed, and the funds are returned to the appropriate funding department. Prior to the decision to terminate, the program will consult with both the fellow and the Graduate College.

When a fellowship is terminated during the fellowship year(s), the department awarding the fellowship will send a letter to the fellow, copying the Graduate College, notifying the fellow of the termination.

Award Provisions Stipend

Fellowship stipends are paid on a set day of the month, generally indicated in the award letter. All new fellowships are generally initiated to begin on August 1, so that the first check will be issued on the last working day of August. The last paycheck for those who do not attend summer school is issued on the last working day of May. Any funds related to additional allowances are processed by the funding department/unit.

Additional Policies Pertaining to Graduate Assistants, Trainees and Fellows **Ethics and Professionalism**

Graduate assistants, trainees and fellows must adhere to general standards of professionalism and to the specific professional ethics of each discipline, just as NAU's faculty and professional staff must do. This involves exercising the highest integrity in the various activities as a graduate student, fellow and assistant, which include, but are not limited to the following:

- taking examinations;
- engaging in field internships and practica;
- collecting, analyzing, and presenting research data;
- working with undergraduate students.

Safe Working and Learning Environment Policy

It is the official policy of Northern Arizona University to prohibit discrimination and promote the safety of all individuals within the university in accordance with federal and state statutory and decisional law.

The goal of this policy and procedure is to:

- prevent the occurrence of discrimination on the basis of sex, race, color, age, national origin, religion, sexual orientation, disability, or veteran status
- prevent sexual harassment or sexual assault by anyone on the campus
- assist those affected
- provide appropriate sanctions and consequences, up to and including termination, for those who, by their actions, intentional or otherwise, practice, promote, or condone such behavior

Discrimination, harassment, sexual assault, and retaliation run counter to the objectives of this university. When individuals, whether students, faculty, or staff feel coerced, threatened, intimidated, or otherwise pressured by others into granting sexual favors or are singled out for derision or abuse based on their sex, race, color, age, national origin, religion, sexual orientation, disability, or veteran status, their academic and work performance is likely to suffer. Such actions violate not only the dignity of the individuals, but also the integrity of the university as an institution of learning. Academic freedom can exist only when all are free to pursue ideas in a non-threatening, non-coercive atmosphere of mutual respect. These behaviors are harmful not only to the persons involved but also the entire university community.

It is the obligation of faculty, administrators, and supervisors who become aware of harassment to take steps to prevent its continuation and report alleged violations. Failure to do so is a violation of university and Arizona Board of Regents policy. Northern Arizona University continues to take steps toward and encourage the development of programs aimed at informing students and employees of their right to be free from these behaviors and the procedures available for reporting this type of discrimination.

It is mandatory that all graduate assistants complete the prevention of sexual harassment (Safe Working and Learning Environment) training within 30 days of hire: [Training](#). Fellowship/traineeship recipients are strongly encouraged to complete the sexual harassment training within their first year of appointment.

The [Safe Working and Learning Environment Policy](#) is located on the Office of Equity and Access website.

Academic Integrity

Whether working in a laboratory, classroom, office, or other setting, graduate assistants must maintain standards of academic honesty and integrity and report any violations of these to their supervisor. Students must also keep abreast of departmental, college, and institutional regulations and follow them consistently.

FERPA

The Family Educational Rights and Privacy Act of 1974 serves two main functions: it grants students certain rights regarding information that universities and colleges maintain about them, and it requires those with access to student records (such as graduate assistants) to preserve the privacy of that information. **All graduate assistants are required to complete the training related to FERPA within 30 days of hire.** The training is located at: [FERPA tutorial](#). Fellows, depending on their duties may be required to complete the online FERPA tutorial. However, all Fellows are encouraged to complete this training regardless of assignment.

Keeping records of work assignments

In addition, the graduate assistant is expected to keep careful records of all work assignments so progress and problems can be fully documented. Recognizing that the

assistantship is a temporary position, every graduate assistant should leave adequate records (e.g., grades) so decisions can be traced, results verified, and incomplete work finished after graduate assistant has left the position.

Drug-free Workplace

Northern Arizona University complies with the Drug-Free Schools and Communities Act Amendments of 1989 (Public Law 101–226). As such, each year the university informs each employee of the policies, health risks, prevention programs, and legal sanctions associated with alcohol or other drug abuse.

Many counseling, treatment, and rehabilitation programs are available to all employees, either through university resources or community contacts. NAU's alcohol policy states that on-campus possession or consumption of alcoholic beverages of those of legal age (age 21 in Arizona) is allowed only in private living quarters or in other limited-access areas of residence halls or other campus living units or other designated areas. Consumption of alcoholic beverages in public areas other than those designated is prohibited.

[NAU's drug policy](#) states that the possession, use, sale, manufacture, or cultivation of any type of illegal drug (including but not limited to barbiturates, opiates, marijuana, amphetamines, or hallucinogens) or aiding in the use of such is a violation of the statutes of the State of Arizona. Violators are subject to disciplinary action and to prosecution under the laws of the State of Arizona. University employees are subject to disciplinary action for unauthorized use, possession, possession for purposes of distribution, or distribution of any controlled substance or illegal drug at the university or at university-sponsored activities. Failure to comply with other published rules and regulations of conduct that may be adopted by the Arizona Board of Regents or Northern Arizona University include without limitation restrictions on the sale or possession of alcoholic beverages at the university or at university-sponsored activities will result in the employee being subject to disciplinary action.

Further information about the drug-free workplace can be found in the Faculty Handbook or by contacting NAU's Human Resources at 928-523-2222 or NAU's Counseling and Testing Center at 928-523-2261.

Student Anti-Retaliation Statement

Students have the right to be free from retaliation. Threats or other forms of intimidation or retribution against a student who files a complaint or grievance, requests an administrative remedy, participates in an investigation, appears as a witness at an administrative hearing, or opposes an unlawful act, discriminatory practice or policy, are prohibited and subject to university disciplinary procedures.

Students with complaints of retaliation should utilize the procedures available under the University Code of Conduct, the Student Code of Conduct, the Graduate Student Grievance Procedure, the Student Employee Grievance Procedure, the Sexual

Harassment Policy, non-discrimination policies or other available administrative procedures as appropriate.

For assistance with the procedures, students should contact the dean of the college, if the circumstances relate to a course or academic evaluation, or the Dean of Students for all other circumstances.

Research Considerations

In all types of research, including thesis and dissertation research, the highest standards of conduct are expected. Therefore, it is important to understand the ethical issues involved in research and the consequences of any erosion of integrity to the individual, the mentor, the institution, and to scholarship itself.

Across the enormous variety of fields and disciplines, certain general standards apply to all. These standards relate, but are not limited to plagiarism, the faking or falsification of data, improper use of human or animal subjects, and disregard for health and safety standards.

For information related to use of human subjects in research, visit the website of the [Institutional Review Board](#), or contact the [Office of the Vice President for Research](#), suite 240, Applied Research and Development, building #56, (928-523-4340). In many cases, graduate assistantships and almost all fellowship recipients involve mentor relationships with faculty members. This close working relationship may provide access to the ongoing research and scholarly activities of a faculty mentor. Graduate assistants and fellows must maintain the confidentiality of their mentor's professional activities and research prior to their dissemination to the public.

Graduate assistants and fellows may be involved in collaborative research with a faculty member. During the earliest stages of the project all parties should discuss and clarify how authorship will be listed. If a situation arises in which the research work of a graduate assistant/fellow is used by a faculty member without proper attribution, the student may pursue the grievance procedures established for this purpose. Consult with the Office of the Vice President for Research, suite 240, Applied Research and Development, building #56, (928-523-4340), for more information.

Misconduct in Research Policy

Productivity and creativity have flourished in institutions of higher education through an atmosphere of intellectual honesty. Recognizing that institutions maintain intellectually stimulating environments in different ways, the institutions, not the sponsors of the research, are responsible for faculty, staff, and students in the conduct of their research activities. The responsibility for establishing and maintaining an academic atmosphere based upon high ethical standards must be accepted by all Northern Arizona University (NAU) students and personnel. Even rare occurrences of misconduct have potentially long-lasting and severe consequences to the reputation and credibility of NAU and those involved. Therefore, it is the responsibility of all to report promptly and *confidentially* any indications of misconduct in research. Administrators and principal investigators have

special responsibility for developing and practicing high standards of ethics and educating their colleagues and students who collaborate on research conducted by NAU. Thus, the purpose of this policy is to specify guidelines and procedures for dealing with alleged and suspected incidents of misconduct in research. The Office for Research Integrity (ORI) in the US Department of Health and Human Services (DHHS) has developed a policy on Misconduct in Research from which portions of the NAU policy have been adopted. Portions of this policy are included here. For more information on the federal policy visit the [ORI website](#).

Definition of Research Misconduct

Research/scientific misconduct is defined as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. Research, as used herein, includes all basic, applied, and demonstration research in all fields of science, engineering, and mathematics. This includes, but is not limited to, research in economics, education, linguistics, medicine, psychology, social sciences, statistics, and research involving human subjects or animals.

- Fabrication is defined as making up data or results and recording or reporting them.
- Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record. The research record is the record of data or results that embody the facts resulting from scientific inquiry, and includes, but is not limited to, research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports, and journal articles.
- Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.
- Additionally, scientific misconduct may be interpreted as:
 - The abuse of confidential or unpublished information;
 - Other practices that seriously deviate from those commonly accepted within the research community for proposing, conducting, or reporting research; or,
 - Retaliation of any kind against a person who reported or provided information about suspected or alleged misconduct and who has acted in good faith in reporting such allegations.
- Scientific misconduct does not include honest error or differences of opinion.

The responsibility to deal with formal allegations of suspected misconduct in research resides with the Vice President for Research. Even in the absence of a specific complaint, the Vice President should be alerted to any questionable activities that could be interpreted as misconduct in research. To the extent permissible by law, initial reporting and assessment of allegations and suspicions will be confidential and occur as informally as possible. All allegations or suspicions should be reported directly to the [Vice President for Research](#).

Disciplinary Procedures for Graduate Assistants

In those matters that relate to the employment status of a graduate assistant and where disciplinary action becomes necessary, the following process is required. This process is not used to release a graduate assistant during the probationary period or for non-renewal of an assistantship at the end of an appointment period.

In keeping with the spirit of collegiality and trust, the first step toward resolving all complaints, conflicts, disagreements, disputes, misunderstandings, or violations must be a meeting between the graduate assistant and the supervisor to whom the graduate assistant reports. At this meeting, the graduate assistant must be informed of the specific behaviors that are called into question. After the supervisor has advised the graduate assistant of any aspect of work performance that fails to meet standards, an opportunity for improvement must be provided. The graduate assistant must then be given an opportunity to respond to the concern. Discussions should be a cooperative attempt at identifying and correcting performance.

As a result of the information shared during this meeting, the supervisor determines what, if any, action will be taken.

1. If improvements are not made and actions taken by the supervisor call for sanctions other than a verbal reprimand or warning (e.g., a written reprimand or warning, probation, reassignment, suspension, or termination), the supervisor's decision must be in writing and the student must receive a copy. A written warning or sanction is used for failure to meet job requirements or violations of rules and/or policies, or when performance feedback has not produced satisfactory results. The graduate assistant then has the right to appeal the decision.
2. If graduate assistants wish to appeal the decision, they must do so in writing to the next appropriate level. Grievances should be resolved internally at the level closest to the grievant whenever possible. The written grievance must state the issues in dispute and the remedy desired. In academic units, if the graduate assistant's supervisor is a faculty member, the next appropriate level is the department chair or director. If the graduate assistant's supervisor is the department chair, the next appropriate level is the College's Academic Dean. In support service units, the next appropriate level may be the director of the unit, a dean, or the Dean of the Graduate College. A graduate assistant's appeal must be filed within 3 business days of receiving the decision of the supervisor.
3. The chair, director, or dean then has 5 business days in which to arrange to meet with the student regarding the appeal and 5 business days after the meeting to render a decision. This decision must be in writing with copies to the graduate assistant and the graduate assistant's supervisor. Either party has the right to appeal this decision to a [University Graduate Committee Hearing Panel \(UGCHP\)](#).
4. The UGCHP shall review the prior written decisions and any written responses to them. Based on review of these materials, the UGCHP then determines whether a formal hearing is appropriate. An affirmative vote by three members of the UGCHP is required to hear the appeal. The UGCHP has 20 business days after receipt of the request for its review.

5. If a hearing is to be held, the UGCHP has 10 business days to arrange for the hearing. A final recommendation must be made no fewer than 3 business days after the conclusion of the hearing. This recommendation must be in writing and must be given to the Graduate Dean whose decision is final.
6. If an extension of time is needed during any phase of the process, the party requesting an extension must petition the Graduate Dean and present reasons why the deadline cannot be met. Within five calendar days, the Graduate Dean must grant or deny the request for an extension with the goal of ensuring fairness to all parties involved and a timely resolution of the problem.
7. It is recognized that certain infractions may warrant the imposition of serious disciplinary measures, including termination, without prior discipline having been imposed.

CGS Resolution

As a member of the Council of Graduate Schools, NAU agrees to abide by the following resolution:

Acceptance of an offer of financial support (such as a graduate scholarship, fellowship, traineeship, or assistantship) for the next academic year by a prospective or enrolled graduate student completes an agreement that both student and graduate school expect to honor. In that context, the conditions affecting such offers and their acceptance must be defined carefully and understood by all parties. Students are under no obligation to respond to offers of financial support prior to April 15; earlier deadlines for acceptance of such offers violate the intent of this resolution. In those cases in which a student accepts an offer before April 15 and subsequently desires to withdraw that acceptance, the student may submit in writing a resignation of the appointment at any time through April 15. However, an acceptance given or left in force after April 15 commits the student to not accept another offer without first obtaining a written release from the institution to which a commitment has been made. Similarly, an offer by an institution after April 15 is conditional on presentation by the student of the written release from any previously accepted offer. It is further agreed by institutions and organizations subscribing to the above resolution that a copy of this resolution should accompany every scholarship, traineeship, and assistantship offer.

Appendix A: Conditions of Assistantship Appointment

Conditions of Assistantship Appointment

I am being hired as a graduate assistant, and I agree to fulfill my assigned duties to the best of my abilities. I agree to abide by the terms outlined in my appointment letter. I also agree (initial each line):

- I am admitted to a graduate degree program at Northern Arizona University, and I will enroll for a minimum of 9 units that will count toward my degree requirements for each term during which I am on a graduate assistantship.
- I will be responsible for paying any remaining tuition, mandatory university fees and other incurred charges.
- My incoming GPA is 3.0 or higher.
- I will maintain a cumulative GPA of 3.0 or higher for all graduate-level courses.
- I will establish my work hours with my supervisor.
- I will perform my assigned duties to the best of my abilities.
- I will be given a written performance evaluation for each term of appointment. This evaluation must show a satisfactory rating to be eligible for reappointment. Responsibility of both student and supervisor to make sure this happens.
- I will be informed if my performance is less than satisfactory, and I will be given an opportunity to correct any problems.
- I may be terminated before the end of my appointment if I fail to maintain my job performance at acceptable levels.
- Graduate assistantships are not automatically renewed and may be subject to available funding.
- There is no expectation of employment beyond the limits of this appointment.
- Any changes to the terms of this appointment will be submitted on an electronic ePAR and a copy of the form will be given to me.
- If employed as a 20-hour graduate assistant, I will not work for NAU in any other capacity.
- I am subject to all applicable policies set by the Arizona Board of Regents, including policies governing equal opportunity, affirmative action, codes of conduct, conflicts of interest, and patents.
- If this is my first graduate assistantship appointment at NAU, I will attend the [orientation](#) for new graduate assistants offered by the Graduate College in August or January.
- I will read the [Graduate Assistantship, Traineeship and Fellowship Handbook](#) and become familiar with policies that govern graduate assistantships.
- I will complete the required new employee training listed on the Human Resources page. This training contains several modules and/or trainings including:
 - New Employee Welcome (3 modules)
 - Information Security Essentials
 - CERT: Conduct, Ethics, Reporting and Transparency Disclosure (a form to complete)
 - Loss Prevention Training
 - Family Educational Rights & Privacy Act (FERPA): FERPA Training Application

- Harassment & Discrimination Prevention
- Accommodating Disabilities

It is mandatory that all graduate assistants complete the required new employee [Training](#).

GA Signature

Date

Printed Name

Revised 12/2019

Appendix B: Orientation Checklist for Graduate Assistants

The Graduate College recommends that assistantship supervisors discuss the following topics with their new graduate assistants, either individually or in a departmental orientation:

1. Describe the general scope and purpose of the graduate assistant's job and the relationship of this job to university operations and objectives.
2. Explain work standards and expected progress as well as probationary status, evaluation procedures, and timelines. Provide copies of the appropriate evaluation process and form.
3. Explain the functions of other departments with which the graduate assistant must work.
4. Spell out the hours of work, work schedules, attendance, and procedures for reporting absences to the supervisor.
5. Describe the pay schedule and associated procedures.
6. Confirm that the graduate assistant has signed the appropriate payroll forms.
7. Confirm that the graduate assistant and has either completed or has a plan for completing all of the required training relating to policies, Safe Working & Learning Environment policies, FERPA training, among others. **It is mandatory that all graduate assistants complete the required [Training](#).**
8. Discuss immediate safety precautions (for emotionally-troubled students: [NAU's Red Folder](#)), fire safety equipment, first-aid facilities, resources for students ([NAU's Guide to Student Resources](#)), [security measures and active shooter and bomb-scare procedures](#).
9. Describe the issuance of building passes and building and office keys (if applicable).
10. Describe resources for all NAU students, including for graduate students (NAU's Student Resources Guide).
11. Indicate the location of exits, restrooms, bulletin boards, mailboxes, etc.
12. Explain rules about parking, telephone use, ordering supplies, dress code (if applicable), smoking, etc.
13. Discuss disciplinary procedures and NAU's Safe Working and Learning Environment Policy.
14. Indicate a willingness to help with work-related problems. Invite future questions and routine communication.

Appendix C: Sample Evaluation Forms
Graduate Assistant Evaluation Form

GA Name:

Assignment:

Supervisor:

Upon completion, please return this form to Chair or Dean, as appropriate.

1. Please rate how well the GA demonstrated abilities to accomplish assigned tasks.

Poor **Below Average** **Average** **Above Average** **Excellent**

2. Please rate how reliable the GA was to accomplish tasks.

Poor **Below Average** **Average** **Above Average** **Excellent**

3. Please rate how well the GA demonstrated teamwork skills to accomplish assigned tasks.

Poor **Below Average** **Average** **Above Average** **Excellent**

4. Please rate how well the GA was able to follow through to completion assigned tasks.

Poor **Below Average** **Average** **Above Average** **Excellent**

5. Please rate your level of support for this individual and future assistantship appointments.

Not Recommended

Recommended with reservations

Recommended

Highly Recommended

Comments:

Laboratory Instructor Course Evaluation Form

Lab Instructor Name:

Course:

Year:

Please use this form to make your personal comments on the laboratory course and the instructor who taught your lab. The purpose of this form is to provide the instructor with feedback about the course and how the lab might be improved for future students.

LECTURES:	Poor				Excellent
Appropriateness	1	2	3	4	5
Clarity of Speech	1	2	3	4	5
Speed of Presentation	1	2	3	4	5
Use of Visual Aids	1	2	3	4	5
GRADING:					
Fairness	1	2	3	4	5
Clear Policy	1	2	3	4	5
OFFICE HOURS:					
Availability	1	2	3	4	5
Concern that Students Learn	1	2	3	4	5

What did you find most effective about the lab?

What did you find most effective about the instructor's method?

What did you find least effective about the lab?

What did you find least effective about the instructor's method?

What suggestions can you offer for improving the effectiveness of this laboratory course?

Please evaluate the value of the course material of this laboratory course by checking one:

Unnecessary Somewhat helpful Helpful Very helpful Essential

What is your overall estimate of this laboratory course?

Poor Below Average Average Above Average Excellent

Appendix D: Resolving Problems

Checklist for Resolving Graduate Assistantship Payroll Problems

Graduate assistants should allow 5 working days from the date the assistantship letter of appointment letter is received in the Graduate College for benefits to be entered on their LOUIE financial aid summary.

Student/Graduate Assistant did not receive a paycheck?

- Did the supervisor complete the New Hire Packet initiated through the department?
- If graduate assistants have not worked for NAU within the last 6 months, they must complete a New Hire Packet prior to the first day of work. They should receive the New Hire Packet in an email initiated through their department.
- Did the New Hire Packet and the letter of appointment arrive in the payroll before the deadline for the current pay period?
- Has the graduate assistant completed the required training? It is mandatory that all graduate assistants complete the required [Training](#). The payroll and financial aid information will not be processed until all of the training has been completed.

Checklist for Resolving Health Insurance Benefit Problems

Health insurance benefit is not showing on the graduate assistant's account?

- Did the graduate assistant enroll in the student health major medical insurance plan at the time of registration? **Students must enroll each semester**. If not enrolled, graduate assistants should call 928-523-6343 within 14 days of the beginning of classes.
- Is the graduate assistant enrolled for 9 credit hours? If there are extenuating circumstances that the graduate assistant feels justify an enrollment below 9 credit hours, a Request for Exception to the Nine Credit Hour Registration Requirement form (available on the "Forms" page of the [Graduate College website](#)) must be submitted. A request must be made for each semester the exception is needed. Approval is not automatic.
- Is the graduate assistant working 20 hours per week? Only graduate assistants, who work 20 hours per week, for the entire semester, are eligible for the student health insurance benefit.
- Did the letter of appointment arrive in the Graduate College before financial aid disbursement? Please allow 5 working days for processing of benefits.

For questions, contact the Graduate College Assistantship/Fellowship Office at 523-4349.

Index

- ABOR Policies:
 - English language proficiency, 5, 9
 - evaluating teaching assistants, 9
 - academic progress, satisfactory, 11, 15
- Academic Units, assistantships in, 4
- Affirmative Action Statement, ii
- Assistantship:
 - categories of, 3
 - continuation of support, 10
 - deadline to accept, 23
 - definition of, 3
 - eligibility, 5
 - employing units, 4
 - funding for, 5
 - limitations to employment, 4
 - standards of ethics and professionalism, 17
 - termination, 10
- Assistantship appointment
 - ABOR policy, 6
 - exceptions to limits of, 6
 - funding limits for doctoral students, 7
 - funding limits for master's students, 7
 - term of, 6
- Benefits
 - eligibility, 5
- Continuation of Support, 10
- Disciplinary procedures
 - appeal process, 22
- Drug-free Workplace Policy, 19
- Eligibility for Assistantships, 5
- English language proficiency, 5
- Enrollment
 - credit-hour requirements, 11, 16
 - exceptions, 11, 16
 - summer, 11, 16
- Ethics and professionalism
 - research considerations, 20
- Example evaluation, 27
- Evaluation, 9
- Fellowships, 13
- Graduate assistant disciplinary procedures, 21
- rights and privileges, 12
- Graduate Assistant Employment vs. Fellowship Appointment, 12
- Graduate Athletics Assistants (GAA), 4
- Graduate Research Assistants (GRA), 3
- Graduate Service Assistants (GSA), 3
- Graduate Teaching Assistants (GTA), 3
- Institutional Review Board, 20
- International students
 - assistantship eligibility, 5
 - English language proficiency, 5
 - language proficiency, English ABOR Policy, 5
 - Misconduct in Research Policy, 20
 - definition, 20
 - New Hire Packet, 10
 - Online Sexual Harassment Prevention Training, 17
 - Orientation, 10
 - employing unit, 9
 - Graduate College, 11
 - orientation checklist for graduate students, 25
 - Payroll forms, 10
 - Probation
 - dismissal, 8
 - dismissal appeals, 8
 - length of, 8
 - Retaliation complaint procedures, 19
 - Safe Working and Learning Environment Policy
 - academic freedom, 17
 - goals, 17
 - probation requirement, 8
 - Satisfactory academic progress, 11, 15
 - Second job on campus, 8
 - exceptions to policy, 8
 - Stipend level
 - maximum, 5
 - minimum, 5
 - Student Anti-Retaliation Statement, 19
 - Summer enrollment, 11, 15
 - work schedule, 7
 - Supervisor
 - relationship with, 11
 - Support Service Units
 - assistantships in, 4
 - Tax Implications, 13, 14
 - Terms of Appointment, 6
 - Tuition Payment Plan, 10
 - processing fee, 10
 - Work schedule
 - academic year, 7
 - international students, 5
 - paydays, 7
 - second campus job policy, 8
 - summer, 7

Updated July 2020