



**NORTHERN ARIZONA
UNIVERSITY**

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

THE GRADUATE COLLEGE
Updated August 2010

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.

You may inquire about the application of these regulations or NAU's Safe Working and Learning Environment Policy by contacting the Affirmative Action Office, NAU, PO Box 4083, Flagstaff, AZ 86011-4083 (928-523-3312, TTY 928-523-1006).

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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) by Northern Arizona University. A graduate assistant receives a stipend 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 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 three 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.

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 both academic and support service units at NAU. Some assistantships are funded internally and others are funded through external funds. Nonetheless, all policies and procedures pertaining to them are the same.

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 many 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, and 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 web site at <http://home.nau.edu/gradcol/assistantships.asp>

How Assistantships are Funded

Funds to support graduate assistants come from a variety of sources, including state funds allocated by the Graduate Dean to academic units, the state budget of academic units, state and local funds in support-service units, and grants and contracts from external sources.

Eligibility for Assistantships

Before an assistantship can be awarded, students must be admitted to the Graduate College as degree-seeking students. Only in exceptional cases can a

nondegree student receive an assistantship. Such a recommendation must be approved by the Graduate College **before the appointment letter is issued.** **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 http://home.nau.edu/Verification_of_Eligibility.asp

All students receiving assistantships must be in good academic standing (minimum 3.0 g.p.a. at NAU with no grades below C and no grades of Incomplete). A newly admitted graduate student is expected to have at least a 3.0 grade point average for undergraduate or previous graduate work.

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 and is making satisfactory progress toward completing the degree program.

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.

Stipend Levels

Graduate assistantship stipends vary by discipline. For current minimum stipend level, consult the [Processing Manual: Assistantships and Tuition Waivers](#) on the Graduate College website.

Units may award stipends of less than the full 20-hour assistantship, but 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 or more hours per week pay tuition at resident rates. Those graduate assistants working 20 hours a week have the option of the health insurance benefit. The student **must** enroll in the health plan by the deadline of 14 days after the first day of class each semester to receive the benefit.

Graduate Teaching Assistants (GTA)

Assistantship	Funding	Hours	Benefits
Teaching	All	10-19	37.5% tuition waiver.
Teaching	All	20	75% tuition waiver; health insurance subsidy paid by NAU through Graduate College.*

* For details on the amount of benefits, consult the [Processing Manual: Assistantships and Tuition Waivers](#).

Graduate Research Assistants (GRA) and Graduate Service Assistants (GSA)

Assistantship	Funding	Hours	Benefits
Research	State	10-19	37.5% tuition remission, paid by NAU through Graduate College.
Research	State	20	75% tuition remission, health insurance subsidy.* Both paid by NAU through Graduate College.
Research	Grant or local	10-19	37.5% tuition remission, paid by sponsor.
Research	Grant or local	20	75% tuition remission, health insurance subsidy.* Both paid by sponsor.

*For details on the amount of benefits, consult the [Processing Manual: Assistantships and Tuition Waivers](#).

Terms of Appointment

Graduate assistants may be appointed for any time span, but assistantship appointments are usually for one semester, the two-semester academic year, or an entire twelve-month 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. During the summer, graduate assistants may work up to 40 hours per week. International students who are graduate assistants are restricted to 20 hours per week when classes are in session.

In setting the work schedule, be aware that, even though specific duties may sometimes require working more hours per week than an appointment specifies (for example, 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 exam week. Graduate assistants who support teaching functions usually are not required to work during the winter break. Students supporting other types of activities such as research may be required to work during the break.

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.

Additional Employment at NAU.

Graduate students with 20-hour appointments are not allowed to work a second job, in any capacity, for NAU. Exceptions are normally approved only for one-time work, such as driving a van for a field trip.

Exceptions to this policy require the submission of two forms: Both must be submitted together and approved by the Graduate College prior to work being performed. The required forms (GAPA and Request for Exception) are available in the [**Processing Manual: Assistantships and Tuition Waivers**](#)

Qualified Tuition Reduction Plans

Graduate assistantship appointments are generally accompanied with tuition benefits. Currently .50 FTE (20 hours) graduate assistants employed for the entire semester receive either a tuition remission or waiver up to 75% of tuition costs each fall and spring semester. Graduate Assistants who are entitled to tuition benefits because of the Qualified Tuition Reduction Program which allows eligible employees, their spouses and eligible dependent children; eligible

disabled employees, their spouses and eligible dependent children; eligible retired employees, their spouses and eligible dependent children; and spouses and eligible dependent children of deceased eligible employees, to enroll in courses of study at reduced tuition rates must choose between the two tuition benefit options and inform the office about their decision.

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 the department's orientation session.

During the probationary period, all graduate assistants must complete NAU's Safe Working and Learning Environment training. This training is offered at the orientation for new graduate students. Failure to complete this training during probation is cause for dismissal. It is mandatory that all graduate assistants must complete training in the prevention of sexual harassment within 30 days of hire. This training may be completed during the orientation for new graduate students held in August, or the student may complete the On-line Sexual Harassment Prevention 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 may appeal their release to the Graduate Dean, whose decision is final.

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 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, teaching, research and service.

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 English speakers:

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 Graduate Dean.

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, or is not performing satisfactorily in the assistantship, then that student may be terminated *during* the appointment period, upon the recommendation of the unit supervisor to the Graduate Dean).

If the criteria for continuation are met, generally, the student can expect the assistantship will be extended for another appointment period. However, both the supervisor and unit administrator must agree with any recommendation for continuation of support.

If the assistantship is not continued, written notification with a reason will be provided. An appeal of the decision may be made to the Graduate Dean. The decision of the Graduate Dean is final.

Termination

Graduate assistants who don't abide by the conditions of the appointment, who fail to perform their tasks as assigned, or who do not make adequate progress toward their degrees, may have their employment terminated by the Graduate Dean, upon recommendation by their supervisors.

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 sign payroll forms. **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 <http://hr.nau.edu/node/10073> Human Resources or <http://home.nau.edu/gradcol/graduateAssistants.asp> graduate college homepage. Graduate assistants are paid every two weeks. Graduate assistants are *not* required to submit time slips in order to get paid. Graduate assistants are encouraged to enroll in direct deposit.

Tuition Payment Plan

Graduate assistants may pay their tuition using the tuition payment plan. Enrolled students who have not paid their tuition fees by the payment deadline will automatically be placed on the tuition payment plan and charged the payment plan service fee. Rules differ if you have been awarded financial aid. Remember you must pay the remainder of your tuition and fees not covered by your award and financial aid by the payment deadline if you do not want to be charged the payment plan service charge. Please carefully review the information at <http://home.nau.edu/bursar/tuitionpayment.asp>

Orientation

All *new* graduate assistants must participate in the Graduate College's orientation program for graduate assistants held at the beginning of the fall and spring terms.

In addition, graduate assistants must participate in any orientation programs provided by their employing unit.

Both Graduate College and departmental orientations are held each fall during the week before classes begin. Information about these orientation sessions will be sent in the mail, and are also available on the Graduate College web site.

Register for Credit Hours

Graduate assistants must register for at least 9 hours of credit that will count toward their degree requirements every semester while employed as a graduate assistant.

If a graduate assistant 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.

In the summer, full-time enrollment is not required; however, students with assistantships are encouraged to enroll for at least 1 credit hour during summer sessions. If a graduate assistant is not enrolled or is enrolled for less than 2 hours during the summer, FICA (7.65%) will be deducted from the student's paycheck.

Satisfactory Academic Progress

If you are a graduate assistant, in order to continue with an assistantship, you must remain in good academic standing, make satisfactory progress toward a degree, and complete at least 9 hours of credit in your program each semester. If you fail to make adequate progress toward a degree, or receive a grade below a B, 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 weekly 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 experience, in consultation with the supervisor, on a regular basis.

If problems arise, the student should first seek help from the supervisor. If a resolution can't be reached, then the student 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 include:

- 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 your professional development.

Above all, graduate assistants have 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.

Finally, every graduate assistant has the privilege of being treated as a professional in their chosen field of study.

Fellowships/Traineeships

A fellowship is defined as a free grant given to the University for the support of a graduate student in his or her study and/or research. The primary purpose of such a grant is to further the education and training of the student recipient in his or her 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 your traineeship is administered as a fellowship, all of the conditions in this section apply to your appointment including specific expectations of the traineeship. If you are being paid as a graduate assistantship, please refer to the previous section for guidelines and policy.

Medical Insurance

Students receiving a fellowship/traineeship must check with the department/unit/external sponsors granting the fellowship for funds regarding medical insurance. The minimum level of this supplement should equal the amount of funds provided to graduate assistants for medical insurance.

Conditions of a Fellowship Appointment

Graduate fellows receive scholarship or fellowship payments made 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 and in good standing to 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 this research.
- Fellows generally are free to explore new areas, depending on the progress of the research.
- Fellows are not considered employees of the University. Payment is provided 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 the student if he or she 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 and progress and satisfactory work performance;
- Fellows must maintain a valid 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 you on stipend taxability so that you are aware that you have US income tax reporting responsibility for your fellowship. It is not intended as legal or tax advice, or as a definitive interpretation of the law. Each fellow is personally responsible for his/her individual tax preparation and payment. If you have specific questions regarding the tax treatment of this award, it 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 **Estimated Tax for Individuals** <<http://www.irs.gov/pub/irs-pdf/f1040es.pdf> > on a quarterly basis and 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 14% 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 your previous year taxable scholarship/fellowship income and tax withholdings will be reported to you and to the Internal Revenue Services (the US taxing authority) on IRS Form 1042-S, which you can then use to file your 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. You can review your LOUIE account for fellowship award amounts posted to pay for tuition and health insurance (if applicable).

Foreign students, faculty, and staff with tax questions or problems are advised to seek assistance from the IRS, a CPA, or 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 your local IRS office or by calling the IRS toll free taxpayer assistance number, 1-800-829-1040.

You may also find additional information on the IRS Website of the Student Topics article **Taxable Income for Students**, see page 3- 5 about reporting fellowships. Supplemental resources may be found at the IRS website. See **How To Get Tax Help** <<http://www.irs.gov/publications/p970/ch13.html>> section 13 IRS Publication 970 *Tax Benefits for Education*. 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 Web site at www.irs.ustreas.gov/prod/forms_pubs/index.html.

Financial Aid Eligibility

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 financial aid office 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 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 semester 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.

In the summer, full-time enrollment is not required; however, students with fellowships are encouraged to enroll for at least 1 credit hour during summer sessions.

Satisfactory Academic Progress

In order to continue with a fellowship/traineeship, you must remain in good academic standing, make satisfactory progress toward a degree, and complete at least 9 hours of credit in your program each semester. If you fail to make adequate progress toward a degree, or receive a grade below a B, funding for your 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 a student brings with them to the institution, check with the sponsor for information on continuation of support. For fellowships granted through the institution, your 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, international students are limited by law to working twenty (20) hours per week (i.e., .50 FTE). The twenty-hour limit 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 when the fellow fails to comply with fellowship guidelines outlined in this manual. For example, 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

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 must complete training in the prevention of sexual harassment within 30 days of hire. This training may be completed during the orientation for new graduate students held in August, or the student may complete the On-line Sexual Harassment Prevention Training. Fellows are strongly encouraged to complete the sexual harassment training within their first year of appointment.

For more information and/or a copy of the Safe Working and Learning Environment Policy contact the Office of Affirmative Action (928-523-3312).

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 well informed 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 to preserve the privacy of that information. **All graduate assistants are required to complete the online FERPA tutorial within 30 days of hire. 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.**

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 so decisions can be traced, results verified, and incomplete work finished after student has left the position.

All graduate assistants and fellows should review the policies regarding Drug-Free Workplace and Safe Working and Learning Environment.

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 a university-sponsored activity. 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 at <http://ori.dhhs.gov/>.

Definition of Research Misconduct

Research 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.
- Research 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 at 928-523-4340.

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 required to release a graduate assistant during the probationary period or for non-renewal of an assistantship at the end of an appointment period.

1. 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 student and the supervisor to whom the student reports. At this meeting, the student must be informed of the specific behaviors that are called into question. After the supervisor has advised the student of any aspect of work performance that fails to meet standards, an opportunity for improvement must be provided. The student 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.
2. If improvements are not made and actions taken by the supervisor calls 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 student then has the right to appeal the decision.

3. If the student wishes to appeal the decision, she or he 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 academic dean. In support service units, the next appropriate level may be the director of the unit, a dean, or the Graduate Dean. A student's appeal must be filed within 10 calendar days of receiving the decision of the supervisor.
4. The chair, director, or dean then has 10 calendar days in which to arrange to meet with the student regarding the appeal and 10 calendar 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 the Review Committee of the University Graduate Committee.
5. The Review Committee shall review the prior written decisions and any written responses to them. Based on review of these materials, committee then determines whether a formal hearing is appropriate. An affirmative vote by three members of the panel is required to hear the appeal. The Review Committee has 10 calendar days after receipt of the request for its review.
6. If a hearing is to be held, the Review Committee has 14 calendar days to arrange for the hearing. A final recommendation must be made no fewer than two 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.
7. 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.
- ~~7.8.~~ 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 instances 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

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 credits that will count toward my degree requirements for each term during which I am on a graduate assistantship.
- ___ I will maintain a cumulative g.p.a. of 3.0 or higher for all graduate-credit 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 each semester. This evaluation must show a satisfactory rating to be eligible for reappointment.
- ___ 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 a Graduate Assistant Personnel Action form and a copy of the form will be given to me.
- ___ While employed as a 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.
- ___ I will read the Graduate Assistantship, Traineeship and Fellowship Handbook and become familiar with policies that govern graduate assistantships
(<http://home.nau.edu/gradcol/graduateAssistants.asp>)
- ___ I will complete the training pertaining to the university's Safe Working and Learning Environment Policy.
(<http://training.newmedialearning.com/psh/narizonau/index.htm>)

Signature and date of graduate assistant

Appendix B: Orientation Checklist for Graduate Assistants

The Graduate College recommends that assistantship supervisors discuss the following subjects 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. Confirm that the graduate assistant has signed the appropriate payroll forms.
6. Discuss immediate safety precautions, fire safety equipment, first-aid facilities, security measures, and bomb-scare procedures.
7. Describe the issuance of building passes and building and office keys (if applicable).
8. Indicate the location of exits, restrooms, bulletin boards, mailboxes, etc.
9. Explain rules about parking, telephone use, ordering supplies, dress code (if applicable), smoking, etc.
10. Discuss disciplinary procedures and NAU's Safe Working and Learning Environment Policy.
11. 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: _____

G.A. Assignment: _____

Name of 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 assistantships.

**Not Recommended Recommended with reservations Recommended
Recommended Highly**

Overall

Comments: _____

Laboratory Instructor Course Evaluation Form

COURSE _____ SEMESTER _____ YEAR _____

LAB INSTRUCTOR'S NAME _____

.....
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:

Appropriateness	(poor) 12	3	4	5 (excellent)
Clarity of Speech	(poor) 12	3	4	5 (excellent)
Speed of Presentation	(poor) 12	3	4	5 (excellent)
Use of Visual Aids	(poor) 12	3	4	5 (excellent)

GRADING:

Fairness	(poor) 12	3	4	5 (excellent)
Clear Policy	(poor) 12	3	4	5 (excellent)

OFFICE HOURS:

Availability	(poor) 12	3	4	5 (excellent)
Concern that Students Learn	(poor) 12	3	4	5 (excellent)

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 circling one of the following terms:

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

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 your LOUIE financial aid summary.

Student/Graduate Assistant did not receive a paycheck?

- ⇒ Did you complete New Hire Packet with the payroll office?
- ⇒ If you have not worked for NAU within the last 6 months, you must complete a new hire packet and submit it to Payroll prior to the first day of work. The new hire packet is available on-line <http://hr.nau.edu/apps/docwizard/>
- ⇒ Did the new hire packet and the letter of appointment arrive in the payroll before the deadline for the current pay period?
- ⇒ Have you completed the Sexual Harassment Prevention Training? The payroll and financial aid information will not be processed until the training has been completed. To complete the training, go to <http://www.newmedialearning.com/psh/narizonau/>

Checklist for Resolving Health Insurance Benefit Problems

Health insurance benefit is not showing on my (student's) account?

- ⇒ Did you enroll in the student health major medical insurance plan at the time of registration? **Students must enroll each semester.** If not enrolled, call 523-2131 within 14 days of the beginning of classes.
- ⇒ Are you enrolled for 9 credit hours? If there are extenuating circumstances that you feel justify an enrollment below 9 credit hours, you must submit a *Request for Exception to the Nine Credit Hour Registration Requirement* form. The form is on the website <http://www.nau.edu/gradcol/Exception9hours.xls> A request must be made for each semester the exception is needed. Approval is not automatic.
- ⇒ Are you 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.

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