TA/RA HANDBOOK: INTRODUCTION

This publication provides an overview of ASU policies and support services pertinent to teaching and research assistants and associates. It is designed as a resource for graduate students, their academic units and other hiring units on campus. It includes information related to:

- General conditions of appointment
- Benefits
- Teaching assistant/associate appointments
- Research assistant/associate appointments
- Additional resources for teaching and research assistants and associates

The teaching and research assistant/associate role is an important one to the ASU community. It provides graduate students with professional development opportunities that are unique to academia while also supporting the university’s teaching, research and service missions.

This handbook describes the general roles and responsibilities of TAs and RAs as well as policies regarding their supervision and evaluation. The hiring unit is responsible for clarifying the particulars for each student.

While many of the general policies and expectations also apply to graduate service assistants and graduate interns, GSAs and interns are not bound by the same eligibility requirements as TAs and RAs and do not receive the same benefits as TAs and RAs (e.g., tuition remission, health insurance).

GENERAL APPOINTMENT AND ENROLLMENT POLICIES FOR TEACHING AND RESEARCH ASSISTANTS/ASSOCIATES

Graduate teaching and research assistants/associates (TAs and RAs, respectively) are full-time graduate students, admitted to a degree program, appointed on a part-time basis by Arizona State University (ASU) who must be enrolled for at least 6 hours of appropriate credit during each fall and spring semester during the appointment. Federal tax law considers TAs/RAs to be full-time students carrying out duties that enhance their professional development, under the guidance of a faculty mentor, for which they are paid a compensatory stipend. Following Arizona Board of Regents’ policy, work that is primarily clerical or other work not associated with teaching or research is not appropriate for TAs and RAs.

ASU offers two kinds of assistantships/associateships—teaching assistantships/associateships (TAs) and research assistantships/associateships (RAs). Since each category has its own specific attributes and conditions, please carefully read the relevant information in each category.

Terms of Appointment

At the time when the TA/RA is offered to the student, the hiring unit will provide an offer letter to the student outlining the following information:

- term (i.e., fall, spring, academic year) for which the appointment is offered
- minimum enrollment required
- level (assistant or associate) and compensatory stipend
- tuition remission and health insurance benefits (see the “benefits for teaching and research assistants/associates” section)
There are additional terms of appointment for new teaching assistants/associates including stipulations regarding language proficiency and ABOR-required training. (See the “teaching assistant/associates section) A Standard Offer Letter can be found at https://graduate.asu.edu/graduate-support-staff.

As an attachment to the offer letter, the hiring unit should:

- outline the nature of the project
- include the essential job functions of a TA/RA
- provide the specific duties and responsibilities of the assignment
- include the name of the faculty supervisor and form of supervision
- outline the performance review process and criteria, grievance procedures, and conditions of reappointment
- provide working schedules, expectations about work during weekends and holiday breaks, and policies regarding absences
- direct the student to this online policy handbook https://graduate.asu.edu/ta-ra-handbook

**Eligibility**

In order to be eligible to receive an appointment as a TA/RA, a student must be regularly admitted to and enrolled in a graduate degree program at ASU. During the fall and spring semester, a TA/RA must be enrolled for a minimum of six hours. During the summer session(s) a TA/RA must be enrolled for a minimum of one hour. Audited courses may not be used to fulfill this requirement. Undergraduate-level coursework may only be used to fulfill this with prior approval from the academic unit.

Academic units may require more than six hours of enrollment each semester. The minimum enrollment requirement will be included in the unit’s offer letter.

Students whose native language is not English must meet spoken English requirements before they are allowed primary teaching responsibilities. All prospective international teaching assistants (ITAs) must achieve a score of 55 or higher on the SPEAK test, the local version of the Test of Spoken English (TSE), authorized by Educational Testing Services (ETS) and administered at ASU through Global Launch, in order to be certified to assume full teaching responsibilities, such as serving as the instructor of a class or leading discussion groups. Students who score 50 will be certified with qualifications and may serve as lab assistants or tutors. Students scoring below 50 will not be given any teaching responsibilities unless they are certified through the ITA Teacher Training Course. For more information please visit http://learnenglish.asu.edu/international-teaching-assistants

**Workload**

Since the primary purpose of an assistantship/associateship is to assist the student in successfully completing an academic program, students holding appointments as teaching or research assistants (or associates) will work no more than .50 FTE (20 hours per week) during the fall and spring semesters. TAs and RAs may work up to 1.00 FTE (40 hours per week) during summer sessions and semester breaks.

These guidelines also apply to Graduate Interns and Graduate Service Assistants. For additional information see the following communication www.asu.edu/hr/documents/grademploymentmay2014.pdf.

**Enrollment**

During the fall and spring semesters, a TA/RA must be enrolled for a minimum of six hours (see “general appointment and enrollment section for additional information). Students with TA/RA appointments during
the summer are required to be enrolled for a minimum of one hour during the summer (the one hour may be taken in any session offered during the summer).

While wages are normally subject to the 7.65% federal FICA tax (Social Security and Medicare), TAs/RAs are exempt from FICA provided that they meet certain guidelines. See Part IN for minimum enrollment requirements for exemption from FICA taxes.

The office of Graduate Education does not have a maximum credit hour enrollment policy. It is expected that academic units will set course loads for their students that facilitate academic progress.

**Reappointments**

TA/RA appointments are, by definition, term appointments. TAs/RAs should not assume that they will be reappointed merely because no notification or termination at the end of the appointment period has been received. Reappointments are subject to and contingent upon the continuing availability of funds and the TA’s/RA’s satisfactory performance. In considering reappointments, the hiring unit or project director must consider the TA’s/RA’s contribution to the objectives of the unit or project along with the assistant’s/associate’s academic progress.

**Evaluation**

The hiring unit or project director should conduct a periodic review and an annual evaluation of the services rendered by TAs/RA(s) and communicate in writing the substance of these reviews to the student(s) concerned. Each hiring unit should establish its own criteria, but these may include: prompt, efficient, and accurate completion of assigned tasks; ability to work independently once tasks are explained; ability to analyze problems and find solutions; cooperation with supervisors and other TAs/RAs; and professional behavior. The TA/RA should subsequently sign the evaluation and may append a response. The evaluator should provide a copy to the student and forward a copy of these documents to the student’s advisor and the head of the academic unit for placement in the student’s official file.

Evaluation of performance shall not be based on sex, age, disability, race, color, religion, marital status, veteran status, national or ethnic origin, sexual orientation or gender identity, nor shall it be influenced by a student exercising protected rights to freedom of expression or association.

**Report of Academic Progress**

Each academic program must have a statement of what constitutes satisfactory academic progress. At the end of each academic term and for the duration of the appointment, TAs should present an academic progress report and a transcript to their supervising faculty member. The TA’s thesis advisor and supervising faculty member should sign the academic report, and this report should be maintained by the academic unit.

**Required Orientation Meetings**

All new teaching assistants/associates are required to attend the TA Development program administered by the office of Graduate Education (see the “teaching assistantship/associates” section). In addition, many departments require TAs/RAs to attend an orientation session provided by the unit prior to the beginning of classes as a condition of appointment. The general duties and responsibilities of assistantships/associateships and specific departmental guidelines are discussed at these sessions.

**Absence from Service**

A TA/RA should notify his/her supervisor in advance of an absence and, when possible, assist in obtaining a replacement or rearrangement of the duties. Excessive absences, regardless of the reason, are cause for
termination before the end of the appointment period. TAs/RAs should consult with the supervising faculty member about specific policies regarding absence from service.

**Termination before End of Appointment Period**

The head of the hiring unit may make TA/RA assignments and re-assignments whenever warranted. TAs are expected to fulfill their responsibilities throughout the semester. There are both voluntary and involuntary reasons that an assistantship/associateship may be terminated. Reasons for involuntary termination may include, but are not limited to:

- change in academic discipline
- academic or scientific misconduct
- poor academic performance or excessive absences
- misconduct in assigned duties
- unsatisfactory performance in assigned duties
- incapacitation of the TA/RA for an extended period of time
- professional misconduct as defined in ASU’s Academic Affairs Policies and Procedures Manual ([http://www.asu.edu/aad/manuals/acd](http://www.asu.edu/aad/manuals/acd))
- misuse of university assets, including but not limited to computing resources (e.g., copyright infringement, viewing pornography)

In those cases where the job performance of a TA/RA is not meeting expectations, the supervising faculty member should advise the student, both in writing and orally, and an attempt should be made to help the TA/RA improve his or her performance before terminating the appointment. If a TA/RA is to be terminated prior to the end of the appointment period, the TA’s/RA’s supervising faculty member or head of the academic unit should write to the student describing the reasons for the action. The dean of the academic college (when applicable) and the Vice Provost of Graduate Education should receive copies of the letter. Within 10 days of the receipt of the notice of termination, the TA/RA may appeal the decision at the unit and college level. The Vice Provost of Graduate Education should receive a copy of the appeal. Departments should refer to Graduate Education’s dismissal procedures found at [https://graduate.asu.edu/graduate-support-staff](https://graduate.asu.edu/graduate-support-staff).

Reasons for voluntary termination may include, but are not limited to:

- change in academic discipline
- health problems
- interference with academic progress
- unfair or unreasonable demands
- unforeseen family responsibilities

If a TA/RA is unable to continue an appointment, he or she must inform the supervising faculty member in writing of the reasons for the action. Copies of the notice should be sent to the head of the academic unit (when applicable) and to the Vice Provost of Graduate Education.

**Involuntary Termination for Position Abandonment**

A TA/RA who has abandoned their position may be terminated by the supervising faculty member or academic unit that appointed him/her. A position will be considered abandoned when a TA/RA has not reported for his or her assignment for three or more consecutive business days (or 3/5 of a regular week’s workload). The supervising faculty member should send a letter via mail (return receipt requested) or e-mail (read receipt requested) stating that the TA/RA award had a beginning date of X and the student has not
appeared or communicated with the faculty advisor or any other department member to advise of difficulties or conflicts. The TA/RA should be given two days (or 2/5 of a normal work week) to resolve the problem, and then a confirming letter or e-mail should be sent stating that the TA/RA award was cancelled due to the abandonment.

**Compensatory Stipend Disbursement**

The Internal Revenue Service has determined that the stipend portion of teaching and research assistantships and associateships is compensatory in nature and must be disbursed through the university payroll system as wages. TAs/RAs will receive their payroll disbursements on a biweekly basis. TAs/RAs should confirm with their department that payroll materials have been submitted and should inquire about their starting and regular paydays.

**Income Tax Withholding on TA/RA Stipend Compensation**

Stipend compensation paid to TAs/RAs through the payroll system are subject to federal and state income tax withholding. The amount of withholding depends on how the TA/RA completes IRS Form W-4, Employee Withholding Allowance Certificate, and the Arizona Form A-4, Withholding Percentage Election. These forms will be provided as part of the payroll process paperwork and should be reviewed and prepared carefully. They also are available at [http://www.asu.edu/hr/forms](http://www.asu.edu/hr/forms). Under some circumstances, a student may be exempt from income tax withholding, but the forms must still be completed.

**FICA**

While wages are normally subject to the 7.65% federal FICA tax (Social Security and Medicare), TAs/RAs are exempt from this tax provided they meet minimum enrollment guidelines established by the university. Additional information regarding the student FICA tax exemption and enrollment guidelines can be found at [http://www.asu.edu/aad/manuals/fin/fin601.html](http://www.asu.edu/aad/manuals/fin/fin601.html).

**Proof of Citizenship/Right to Work in the United States: All New Employees**

Federal regulations require that all new ASU employees show proof, in person, of citizenship or right to work in the United States. To ensure that new TAs/RAs receive a paycheck on the first pay date of the semester, TAs/RAs must present two forms of identification to Human Resources and complete the federally required I-9 document within three working days after the date of appointment (the date the student begins to perform his/her duties at ASU). TAs should contact their hiring department to see if a HR representative will be available at their New TA orientation. The I-9 document can be picked up at the TA’s/RA’s department or at Human Resources.

An international student transferring from another school within the United States should contact the International Student Advisor on that campus to ensure that the SEVIS transfer is documented properly and that all appropriate procedures are followed. Upon arriving at ASU, international students must contact the International Student Scholars Center (ISSC) in the Student Services Building, Room 170, 480-727-4776, issc@asu.edu. International students must check in with ISO before going to Human Resources to verify authorization to work.
BENEFITS FOR TEACHING AND RESEARCH ASSISTANTS/ASSOCIATES

The student’s academic unit must enter appointment information, including name of supervising faculty member, type and FTE appointment into gPortal via PeopleSoft (https://hrsa.oasis.asu.edu). Hiring units outside of the student’s academic home should ask the home unit to enter this information if they approve of the hire.
**Tuition**

Students with TA/RA 50% appointments (i.e., 20 hours per week), who are hired within the first 9 weeks of a semester during the academic year, receive an award covering tuition for the semester. Students with TA/RA 50% appointments during the summer session(s) receive an award covering tuition.

Students with TA/RA 25–49% appointments (i.e., 10–19 hours per week), who are hired within the first 9 weeks of a semester during the academic year, receive an award covering 100% of the nonresident portion of tuition and an award covering 50% of the remaining tuition for the semester. Students with TA/RA 25-49% appointments during the summer session(s) receive an award covering 100% of the nonresident portion of tuition and an award covering 50% of the remaining tuition.

The Tuition Payment Office will extend the deadline for payment of any remaining tuition. For more information, contact the Student Accounts Office (480-965-6341).

Tuition remission is a non-taxable fringe benefit to graduate teaching and research assistants/associates and cannot be converted into a cash award. The tuition remission will be credited to the student’s account or reimbursed at a rate consistent with the number of units in which the student is enrolled.

**Health Insurance**

The university provides an award covering the premium for individual health insurance for teaching and research assistants/associates who meet the minimum eligibility requirements during the duration of their appointment (coverage periods are August 16–January 15 and January 16–August 15). These are:

- appointment at 50% time (20 hours per week)
- hired as a TA or RA no later than the end of the eighth week of classes of the semester
- registered for a minimum of 6 credit hours in appropriate coursework each semester, as required by federal policy (see Part 1B of this publication for further details).

In order to receive this benefit, students must sign in at My ASU (http://asu.edu/myasu). Under Quick Links, click on Health & Wellness, then click Enroll/Cancel Student Health Insurance.

For students not meeting minimum eligibility requirements, health insurance is available for purchase to TAs/RAs as it is to all graduate students and must be selected at the time of registration. Family health insurance may be purchased, but the student is responsible for payment of the premium and all other related expenses for family members. (For further information on student and family health insurance, see http://www.asu.edu/studentaffairs/health/insurance).

**Parental Leave**

Graduate teaching and research assistants/associates with .50 FTE appointments may receive six weeks of paid leave for purposes of recovering from childbirth. For further information on parental leave, see HHU http://provost.asu.edu/academic_personnel/parental_leave.

**Library Privileges**

TAs/RAs are entitled to an extended borrowing period of 90 days.
TEACHING ASSISTANTS/ASSOCIATES (TAS)

Teaching Assistant
A graduate teaching assistant is a graduate student appointed part-time by the university whose primary responsibility is in an instructional capacity. Graduate teaching assistants may lecture, lead discussion groups, serve as an assistant to laboratory classes, tutor students, proctor examinations, grade tests and papers, and provide general assistance in the instructional process under the direct supervision of a faculty member.

Teaching Associate
A graduate teaching associate is a graduate student appointed part-time by the university under the direct supervision of a faculty member whose primary responsibility is in an instructional capacity and who holds a master's degree or its equivalent. The roles of the teaching associate are similar to those of the teaching assistant, but may differ in terms of responsibilities (e.g., course level). Students who have completed a master's degree or its equivalent (30 hours of graduate work) may be considered for a teaching associateship.

Criteria for Appointment
Initial selection of a TA by the academic unit is based on an evaluation of a student's academic credentials and potential for sustained achievement in the field of graduate study and a high standard of performance in teaching.

Additional Terms of Appointment for TAs
In addition to the terms outlined in Part 1A, TAs must receive the following information in their offer letter:

- if the student is an international student whose primary language is not English, the academic unit should notify the student that the offer is dependent upon satisfactory fulfillment of the English speaking skills policy (see Part 3E below)
- required attendance of new TAs at the ABOR-mandated New TA Orientation offered each semester by the office of Graduate Education (see Part 3F below).

Language Proficiency for International Teaching Assistants/Associates (ITAs)
Students whose native language is not English must meet spoken English requirements before they are allowed primary teaching responsibilities. All prospective international teaching assistants (ITAs) must achieve a score of 55 or higher on the SPEAK test, the local version of the Test of Spoken English (TSE), authorized by Educational Testing Services (ETS) and administered at ASU through Global Launch, in order to be certified to assume full teaching responsibilities, such as serving as the instructor of a class or leading discussion groups. Students who score 50 will be certified with qualifications and may serve as lab assistants or tutors. Students scoring below 50 will not be given any teaching responsibilities unless they are certified through the ITA Teacher Training Course. For more information please visit http://learnenglish.asu.edu/international-teaching-assistants

Teaching Assistant Development (TAD) Program
Teaching Assistant Development (TAD) Program is designed to teach new ASU graduate teaching assistants about their role as student instructors, as well as provide them with strategies for successfully interacting with students and tips on how to lead discussions and grad students’ work. For more information on fulfilling the requirements of this program, go to http://graduate.asu.edu/tad-ra.
RESEARCH ASSISTANTS/ASSOCIATES (RAS)

Research Assistant

A graduate research assistant is a student appointed part-time by the university whose primary responsibilities are research related. Graduate research assistants may assist faculty members in research and creative activities, perform administrative or editorial duties directly connected to research and creative activities, develop and evaluate instructional materials and/or curricula, or assume responsibilities for a designated research area under the direct supervision of a faculty member.

Research Associate

A graduate research associate is a student appointed part-time by the university under the direct supervision of a faculty member whose primary responsibilities are research related and who holds a master’s degree or its equivalent (30 hours of graduate work). Research associates are similar to research assistants but generally have a higher degree of research responsibility. Students who have completed a master’s degree or its equivalent may be considered for a research associateship.

Criteria for Appointment

Initial selection of a graduate RA by the academic unit is based on an evaluation of the student’s academic credentials, potential for sustained achievement in a field of graduate study, and high standard of performance in research.

UNIVERSITY POLICIES

Equal Opportunity Policy Statement

Discrimination is prohibited on the basis of race, color, religion, national origin, citizenship, sex, sexual orientation, gender identity, age, disability, special disabled veteran, or Vietnam-era veteran status. Equal opportunity includes, but is not limited to, recruitment, hiring, promotion, termination, compensation, benefits, transfers, university-sponsored training, education, tuition assistance, and social and recreational programs. More information about this policy is available at http://cfo.asu.edu/hr-equityandinclusion.

Religious Beliefs and Practices

No employee, agent, or institution under the jurisdiction of the Arizona Board of Regents shall discriminate or retaliate against any student, employee, or other individual because of an individual’s religious belief or practice or any absence thereof. Furthermore, administrators and faculty members must reasonably accommodate individual religious practices. A refusal to accommodate is justified only when undue hardship will result from each available alternative or reasonable accommodation. No administrator or faculty member shall retaliate or otherwise discriminate against any student, employee, or prospective employee because that individual sought a religious accommodation pursuant to this policy. More information about this policy is available at http://cfo.asu.edu/hr-equityandinclusion.

Sexual Harassment

Sexual harassment is defined as unwelcome behavior of a sexual nature that reasonably interferes with the working/learning environment and creates a hostile, intimidating, or offensive environment or takes the form of seeking sexual favors in exchange for a promise of a benefit or a threat of a penalty. Sexual harassment is a
violation of ASU policy as well as state and federal law. More information about this policy is available at https://sexualviolenceprevention.asu.edu/.

**Amorous Relationship**

Even an apparently consensual amorous relationship may lead to sexual harassment or other breaches of professional obligations, particularly if one of the individuals in the relationship has a professional responsibility toward, or is in a position of, authority with respect to the other—as in the context of instruction, advisement, or supervision. Due to the power difference, it may be difficult to avoid the appearance of favoritism or to assure a truly consensual relationship. Specifically, if involved with someone over whom he/she has supervisory authority, the individual must remove himself/herself from any participation in recommendations or decisions affecting evaluation, employment conditions, instruction, or the academic status of the other person in the relationship and must inform his/her immediate supervisor of the action taken. More information about this policy is available at the http://cfo.asu.edu/hr-equityandinclusion.

**Ownership of Intellectual Property**

Arizona Board of Regents Intellectual Property Policy (ABOR 6-908, available online at http://www.azregents.edu/policymanual/default.aspx ) provides generally that all discoveries or inventions resulting from research or creative activities carried on by or under the direction of any university employee, supported by university funds or funds administered by the university or ABOR, or developed using university resources or facilities, belong to ABOR. Intellectual property resulting from these discoveries, inventions and research shall be used and controlled in ways to produce the greatest benefit to the university and to the public. The policy also provides a corresponding benefit to the inventor. Research notes developed in the lab and field materials are also the property of ABOR. Information about the policy may be obtained from the Office of Arizona Technology Enterprises.

**Academic Integrity**

The highest standard of academic integrity is expected of all students. The failure of any student to meet these standards may result in suspension or expulsion from the university and/or other sanctions as specified in the academic integrity policies of the individual colleges. Violations of academic integrity include, but are not limited to, cheating, fabrication, tampering, plagiarism, or facilitating such activities. The university and college academic integrity policies are available in the Office of the Provost and the dean’s offices of the individual colleges and online at https://provost.asu.edu/academicintegrity.

**Assistants/Associates and Commercial Services**

All TAs/RAs who are hired to support a specific course/class may not take or provide notes for that course/class to commercial, note-taking services or students. Exceptions may be made by the course instructor(s) on a case-by-case basis as in the instance of an authorized support service for disabled students.

**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, nondiscrimination policies, or other available administrative procedures as appropriate. For
assistance with procedures, students should contact the dean of the academic college if the circumstances relate to a course or academic evaluation, the Director of the Office of Equity and Inclusion if the circumstances relate to a claim of discrimination or harassment, or the Dean of Students for all other circumstances.