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Chapter 7, Faculty Rights and Responsibilities

Section 2, Sabbaticals

Approval Authority: Board of Regents

Responsible Executive: Senior Vice President for Academics
and Provost

Responsible Office(s): Academic Affairs, Colleges,
Departments

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Sabbaticals

Policy Statement

Purpose and Principles

~~Eastern Kentucky University maintains and promotes a program of sabbaticals for faculty as a part of its overall efforts to maintain high quality academic programs and an energized faculty. A sabbatical can be a rejuvenating experience for a faculty member, permitting time to investigate avenues for improving academic quality in the pursuit of excellence. All eligible faculty members are strongly encouraged to apply for sabbaticals.~~

Sabbaticals are designed for professional improvement of current faculty members by providing, for a specified period, time away from the usual contractual obligations. This time enables faculty members to pursue scholarly activities that will strengthen teaching, scholarship, and/or service and to maintain high quality academic programs and/or any combination therein at the department, college, library, or university levels. Sabbatical requests are to be closely related to each faculty member's teaching or research area but are not granted for the completion of an advanced degree or for any other activities related to that.

Since a sabbatical is a privilege and not a right, sabbaticals are not granted automatically after the required semesters of service. ~~A sabbatical may be granted to a faculty member who has demonstrated an above average ability in teaching, scholarship, and service and who has completed an application which meets the sabbatical requirements.~~

Entities Affected by the Policy

- Faculty
- Departments
- Colleges

Procedures

Funding and Salary Payment Compensation

~~Individual colleges may fund sabbaticals for faculty members through college development funds, indirect cost allocations, private sources designated for the college, or other approved sources. Sabbaticals are typically funded through college budgets and salary savings from full-year sabbaticals. When necessary, the Provost Office may contribute funds for sabbatical leaves. To help supplement their sabbatical request, Faculty members are encouraged to seek outside sources of funding, subject to University policies related to externally sponsored projects, to help supplement their sabbatical request.~~

The three types of sabbaticals for which eligible faculty members on full-time appointments may apply are as follows:

- 1) one year at half salary,
- 2) one semester at full salary, or
- 3) one-half time for two semesters at full salary.

The salary will be based upon the amount that would have been received for the academic year had the sabbatical not been taken. In the application, the faculty member must designate the type of sabbatical requested as well as the effective semester or year.

~~Since preference is given to one-year sabbatical requests at half salary, these candidates are encouraged to seek scholarships, fellowships, or other honorary stipends to supplement their sabbatical salaries.~~

Eligibility and Application Process

~~Full-time faculty who have completed twelve (12) semesters, excluding summer and winter terms, of full-time continuous service to the University are eligible to apply for the first or subsequent sabbaticals. A faculty member may apply for sabbatical prior to the completion of the 12 semesters of full-time service to the University as long as the 12 semesters will be complete by the time the sabbatical is taken. To be eligible to apply for a sabbatical, faculty members must meet the following requirements:~~

- ~~1. Complete twelve (12) semesters of full-time service to the University before the first sabbatical or between subsequent sabbaticals.¹~~

Purpose for Sabbatical

~~Preferred purposes for sabbaticals include, but are not rank ordered or limited to, the following:~~

- ~~1. A carefully designed scholarly/creative project related to the discipline.~~
- ~~2. Scholarly writing or other comparable form of creative activity with a goal of publication or presentation.~~
- ~~3. A clearly defined program of independent study related to instructional responsibilities.~~
- ~~4. A clearly defined program of a major course revision and/or new course development.~~

Application and Approval Procedures

- ~~2-1. Submit an Application for Sabbatical Leave appropriate request document with supporting information in accordance with the approved criteria of the faculty member's college criteria or with the Libraries' criteria.~~
- ~~3-2. Applications must be submitted Submit requests to the department chair/unit head or the Dean of Libraries no later than September 15 of the year preceding the academic year of the sabbatical. (Requests may be submitted two years in advance for approval. If the request is denied, a new application may be filed the following year.)~~
- ~~4. Obtain all required approvals at the department and college levels and receive written approval from the Provost/Vice President of Academic Affairs.~~
- ~~5. Librarians will submit Sabbatical requests to the Library Dean. The library faculty will comprise their own academic unit and follow the same procedures outlined in this document for the colleges.~~

Department Procedures

- ~~1. Departments shall elect a sabbatical review committee that shall consist of at least two full-time, tenured faculty members. If a faculty member or a member of his or her family/household is being considered for sabbatical, the faculty member may not serve on the committee that year. The committee shall be elected no later than September 10 of the year in which it is to function.~~
- ~~2. Applications for sabbaticals shall submitted to the Department Chair/Unit Head no later than September 15.~~
- ~~3. The department committee shall review sabbatical applications and provide a recommendation based on the published College criteria to the Department Chair/Unit Head.~~
- ~~4. The Department Chair/Unit Head will review sabbatical applications and the department committee's recommendation. The Department Chair/Unit Head will make a recommendation and will forward all sabbatical applications, the recommendations, and an impact statement for each application to the Dean. Impact statements should reflect the impact on the teaching and major service obligations if the sabbatical is approved.~~
- ~~5. If the sabbatical application is deemed unsatisfactory by either the department committee or the Department Chair/Unit Head, the applicant shall be given an opportunity to revise the proposal based on written feedback and shall resubmit with 10 calendar days for reconsideration.~~

College Procedures

1. Each college will develop specific guidelines regarding the criteria, quality, and weight assigned to specific categories of scholarly/creative activities and service which that are the basis for a sabbatical. ~~These guidelines will be clear and concise and will address the process, procedures, and expected results.~~ These guidelines will shall be approved by the majority of full-time faculty in the college and shall be published. Guidelines should also include due dates for sabbatical requests as well as parameters for the development of a sabbatical application for all faculty members; and each college will establish an education and assistance program to help faculty members in the development of high quality sabbatical requests within one (1) year from the publication of this policy.
2. The College sabbatical review committee shall consist of at least one full-time, tenured faculty member elected by each department in the college. If a faculty member or a member of his or her family/household is being considered for sabbatical, the faculty member may not serve on the committee that year. The committee shall be elected no later than September 10 of the year in which it is to function.
3. The college committee shall review sabbatical applications and provide a recommendation based on the published College criteria and the Department recommendations. The committee will ensure that the University approved procedures have been followed and that the sabbatical recommendations concur with the goals and needs of the college. If more than one sabbatical application is submitted, the committee will rank the proposals prior to forwarding the applications and recommendations to the Dean.
4. The Dean will review sabbatical applications and all recommendations. The Dean will make a recommendation and will forward all recommended sabbatical applications and an impact statement. Impact statements should reflect the impact on the teaching and major service obligations if the sabbatical requests are approved, including an overall cost analysis for all sabbaticals recommended for approval. All sabbatical materials shall be forwarded to the Provost no later than November 1.

University Procedures

1. The Provost will review sabbatical requests and evaluate for available funding and forward the selected sabbatical requests to the President by December 15.
2. The President will review sabbatical requests and forward to the Board of Regents for approval.
3. The President will notify selected faculty members following action by the Board of Regents.

Sabbatical Deferrals

Sabbatical recipients may for legitimate reasons defer an approved sabbatical leave for up to one year, subject to budgetary limitations, in the following year. In the event that a sabbatical recipient is asked by his or her chair, division head, or the Provost/Senior Vice President for Academic Affairs or Dean, College of Medicine/Vice President for Medical Affairs to defer an approved leave, and does so, that leave will be honored by the University in the following year. Deferrals shall be approved by the Dean, the Provost, and the President. If a deferral will result in additional costs, the deferral must also be approved by the Board of Regents.

Each college will assure that the University approved procedures have been followed and that the sabbatical recommendations concur with the goals and needs of the college. The following procedures apply to the colleges:

Preferred purposes for sabbaticals include, but are not rank ordered or limited to, the following:

1. A carefully designed scholarly/creative project related to the discipline.
2. Scholarly writing or other comparable form of creative activity with a goal of publication or presentation.
3. A clearly defined program of independent study related to instructional responsibilities.
- A clearly defined program of a major course revision and/or new course development.

- ~~B. Each college will develop policies, procedures, and guidelines approved by a majority of the faculty of the college for the review of sabbatical applications. These policies and procedures will include the following elements:~~
- ~~1. Timetables for receiving the sabbatical request.~~
 - ~~2. Parameters for the development of the reasonable request document and supporting materials.~~
 - ~~3. Evaluation criteria that will take into account the benefits of the sabbatical for the faculty member, the department, the college, and, ultimately, the students.~~
 - ~~4. A departmental review committee for screening and making recommendations to the chair. (A faculty member who will be considered for a sabbatical will not be eligible to serve on this committee. The same rule applies to anyone with a significant conflict of interest, e.g., the candidate is a member of one's immediate family.)~~
 - ~~5. A college review committee for making recommendations to the dean.~~
- ~~C. The dean of the college will forward the selected sabbatical requests to the Provost/Vice President of Academic Affairs by November 1.~~
- ~~D. The Provost/Vice President of Academic Affairs will evaluate and forward the selected sabbatical requests to the President by December 15. The President will notify selected faculty members following action by the Board of Regents.~~

Faculty Rights during a Sabbatical

Successful candidates will retain the following rights during their time spent on a sabbatical:

1. The faculty member may share in the salary increases awarded by the University.
- ~~2. Retirement contributions depend on the faculty member's retirement plan. KTRS is a Defined Benefit Plan, and the Non-KTRS programs are Defined Contribution Plans.~~
- ~~3. If the candidate is a KTRS participant, retirement contributions are not withheld and the University does not make retirement contributions during the sabbatical period. However, as stated in the KTRS guidelines, participants may purchase service credit within the "interest-free period" and the University will continue to pay the difference between the purchase price (8.375%) and the amount that would have otherwise been deducted from the candidate's pay (6.16%). This difference of 2.215% along with the employer match is billed to the University at the end of each fiscal year. By purchasing the service credit, the sabbatical year or semester counts toward retirement service.~~
- ~~4.2. The University's contribution to both the ORP and the Kentucky Teachers Retirement System (KTRS) plan has equaled 13.84% of the participant's gross earnings; however, the University's contribution to the ORP will increase to 16.09% with the additional 2.25% supplement to the ORP for the FY 2006-2007. The unfunded liability portion of the 16.09% contribution for FY 2006-2007 is 9.43%. The unfunded liability is subject to change on an annual basis. The amount to be funded to KTRS for the unfunded liability is set each year by the Board of Trustees of KTRS.~~
- ~~5.3. The candidate who is a member of a University insurance coverage plan or a family plan will continue to receive coverage at the same rates while on a sabbatical.~~
- ~~6.4. The sabbatical period counts toward requirements for promotion.~~
- ~~7.5. All faculty approved for sabbatical leave are encouraged to contact the Benefits section of Human Resources for information related to the leave's impact on employee benefits to include retirement.~~

Faculty Obligations after a Sabbatical

The successful applicants will accept the following obligations regarding the sabbatical:

1. A faculty member who is approved for a sabbatical is expected to carry out the plan set forth in the application and forward a comprehensive open file report to the dean of the college identifying the accomplishments within ninety (90) days from the completion of the sabbatical and to submit for publication, if appropriate, the findings of the sabbatical within six (6) months one year.
2. A recipient of a sabbatical will return to ECU for a minimum of one (1) academic year following the sabbatical. (Unless otherwise agreed in advance by the faculty member and chair or dean, the sabbatical recipient will return to his or her former position within the University.) In the event that the faculty member does not return to ECU for the specified period, the recipient will reimburse ECU in full for the salary and fringe benefits received during the sabbatical. If the University dismisses the

faculty member, except for cause, before the completion of the specified period, the recipient will not be obligated to reimburse the University for benefits received during the sabbatical.

Exceptions to the University Policy

The President, in concurrence with the Provost ~~Vice President of Academic Affairs~~, has the option of making exceptions to the above stated policy when deemed in the best interest of the University.

Definitions

Calendar Day Throughout this document calendar day shall be interpreted to mean no later than the specified number of calendar days following the day of notification. If the final calendar day occurs on a weekend or holiday, the due date shall be on the first day on which University administrative offices are open. The time for response may be extended upon agreement by both parties.

Responsibilities

Board of Regents The Board of Regents shall have the final approval authority for sabbatical requests and for deferrals of sabbatical if additional costs are associated with the deferral.

College Dean At a minimum, the Dean is responsible for

- providing a recommendation for sabbatical requests.
- providing an impact statement, including a cost analysis, for all approved sabbatical requests for the College.
- Ensuring the college has approved sabbatical guidelines that are published and available to college faculty.

College Sabbatical Review Committee Each College sabbatical review committee is responsible for

- ensuring that the University procedures for sabbaticals are followed,
- reviewing sabbatical applications and providing recommendations and rankings to the college dean.

Department Chair/Unit Head At a minimum, the Chair/Unit Head is responsible for

- providing a recommendation for sabbatical requests.
- providing an impact statement for all sabbatical requests for the Department.
- approving sabbatical deferral requests.

Department Sabbatical Review

- Each Department committee shall be responsible for reviewing sabbatical applications and providing recommendations to the Department Chair/Unit Head.

President The President is responsible

- for reviewing sabbatical requests and submitting requests to the Board of Regents.
- approving sabbatical deferral requests.

Provost At a minimum, the Provost is responsible for

- reviewing and evaluating sabbatical requests for available funding.
- forwarding sabbatical requests to the President.
- approving sabbatical deferral requests.

Interpreting Authority

~~Deans and Senior Vice President for Academic Affairs~~

Policy Adoption Review and Approval

Policy Revisions

<u>Date</u>	<u>Entity</u>	<u>Action</u>
December 4, 2003 October 6, 2003	Board of Regents Faculty Senate	Adopted Approved
March 5, 1990	Faculty Senate	Approved
January 16, 1988 January 11, 1988 December 7, 1987	Board of Regents Faculty Senate Faculty Senate	Adopted Approved Approved
January 7, 1978 December 7, 1977 March 6, 1976	Board of Regents Faculty Senate Faculty Senate	Adopted Approved Approved
February 20, 1963 January 21, 1963	Board of Regents Faculty Senate	Adopted Approved
June 19, 1948	Board of Regents	Adopted
October 20, 1947	Board of Regents	Adopted
April 14, 1923	Board of Regents	Adopted

Policy Issued

<u>Date</u>	<u>Entity</u>	<u>Action</u>
May 26, 1922	Board of Regents	Adopted

Interpretations

~~⁴This should be interpreted to mean a faculty member can apply for sabbatical prior to the completion of the 12 semesters of full-time service to the University as long as the 12 semesters will be complete by the time the sabbatical is taken.
—Provost Vice, September 8, 2011~~