

September 7, 2009

TO: Executive Officers, Associate and Assistant Officers, Council of Deans, Legal Counsel, Department Chairs, Superintendents, Other Academic Heads, Directors and Supervisors

FROM: Warwick M. Bayly  
Provost and Executive Vice President

SUBJECT: Professional Leave and Retraining Leave Guidelines: 2010-11

Attached are guidelines governing Washington State University's professional and retraining leave programs for 2010-11. Please announce to faculty, administrative and professional staff that these guidelines have been issued and make copies available to interested parties. Extra copies are available at: <http://provost.wsu.edu/manuals-forms>. All applications are to be approved by chairs and deans and forwarded to the Provost's Office. Each of the applications from your unit should be rated on the following scale: 1 – top priority for a leave, 2 – moderate priority for a leave, 3 – low priority for a leave. Please note that we have included an application form to be filled out by each applicant. Electronic versions of the forms are available at <http://provost.wsu.edu/manuals-forms>. Applications must be received by January 11, 2010.

Leave proposals must be structured according to part 3 of these guidelines. Careful attention to the guidelines will ensure a complete proposal and aid administrative officers in an expeditious review of the proposals. This year, these instructions have been modified to provide a more detailed description of the required application and the required report on activities undertaken during the leave. A signature must now be obtained from the appropriate administrator at the regional campus for those faculty located at regional campuses. Applicants must now provide a curriculum vitae that, at a minimum, contains information about progress since the last professional leave. The applicant must clearly state the reason that a sabbatical leave is necessary in order to undertake the proposed work. **In addition, all requests for leaves must now be accompanied by an effort to secure external funding.** Therefore, applicants must provide a list of external agencies from which funding will be sought.

Occasionally, professional leave applications are submitted outside of the normal schedule. This kind of application may occur because of an unexpected opportunity, but out-of-phase applications create two significant problems: 1) they cannot be considered in the context of the total pool of applications, so their priority is difficult to evaluate; and 2) they undermine university-level planning for an appropriate number of professional leaves. You are reminded that out-of-phase applications for professional leave will only be considered in extraordinary circumstances. Such an application must be of unusual merit, based on a genuinely unique opportunity that cannot be postponed, and have the strong and unqualified endorsement of the dean; even then, it is likely to be disapproved unless another, previously approved leave has been canceled.

Two additions have been made to the guidelines in response to problems encountered. The following wording has been added to 2.3., regarding the timing of the leave:

“Requests for leaves that span two academic or fiscal years will not ordinarily be granted. Such leaves must be counted against the University’s limited number in both of the years in which they occur. As a result, a person requesting such a leave is requesting two leaves and potentially denying a leave to another person.” The following wording has been added to 3.1.4., regarding the two supporting letters: “Each of these letters must indicate support for the project that will be undertaken during the leave. A letter that indicates only that the applicant is welcome to visit a laboratory, or that the applicant will be provided with certain amenities during a visit, is not acceptable as one of these letters. Such letters will be considered to apply to 3.1.3”

You are reminded that all accruals arising from professional or retraining leave are retained at the college level. If we can be of assistance in providing additional information, please call 335-5581.

## PROFESSIONAL LEAVE GUIDELINES 2010-2011

### 1. Eligibility

- 1.1 Professional leave may be granted in recognition of meritorious service or scholarly achievement in teaching, research and creative activity upon approval of a leave project proposal. Professional leaves are designed to encourage scientific inquiry, research, artistic creation, clinical/technical expertise, and innovation in teaching. Leaves are meant to enhance the research and creative scholarship, art, clinical expertise, and instructional activity of faculty members. They should also be directed toward the development of proposals aimed at securing external grants for continued project work. Each professional leave is expected to result in one or more products for dissemination through publication, exhibit, professional performance, or instruction. Professional leaves are competitive and they are awarded only after the submission of a competitive proposal and an evaluation of the applicant's accomplishments and potential in teaching and research, creative, or clinical activity. Other conditions are provided below.
- 1.2 Applications for professional leaves will be considered only from faculty, administrative, or professional employees on permanent appointment who have completed at least five years of active service to Washington State University (academic or annual) at the time the leave is to be effective and who have completed at least five years of service between leaves. The amount of prior service on temporary appointment at WSU applicable to professional leave will be determined by the Provost. Tenure-track faculty members are not eligible for leave until they obtain tenure.
  - 1.2.1 Employees on permanent, split appointments funded partly by the state and partly by extramural support, are eligible for professional leaves, with the University's commitment extending only to the State funded part of the appointments.
  - 1.2.2 Employees on permanent, part-time appointments wholly on state funds are eligible for professional leaves at a level equal to the fraction of their appointments.
- 1.3 Professional leaves will not be granted to employees who will not return from leave for a period at least equal to the length of the leave.

### 2. Conditions

- 2.1 Professional leave is to be used for further professional study or development. It should not be considered business as usual and it should be advantageous to the University in terms of improved instruction, research, or public service. It is not granted to employees whose primary purpose is working toward an advanced degree. Under unusual circumstances,

professional leave may be awarded for a meritorious project that may incidentally lead to attainment of a degree; in such cases, it is awarded on the basis of the proposed project itself, without reference to the acquisition of the advanced degree.

- 2.2 Professional leave is normally granted for periods of two semesters or twelve months at 75 percent pay or for one semester or six months at full pay. The semester or month pattern is determined by the academic or annual appointment of the faculty member. If professional leave is granted for more than one semester but less than two semesters (academic appointment basis) or more than six months but less than 12 months (annual appointment basis), the employee will receive 75% of salary (exclusive of administrative stipends). For those on leave more than one semester (academic) or 6 months (annual), the retirement program is as follows: a) classified as a full-time employee at reduced rate of pay; b) deduction and matching for retirement at same percent rate for the salary paid; and c) service record allowed--one semester (academic) or six months (annual) for the professional leave period.
- 2.3 Normally professional leave for employees on academic appointment cannot begin until the end of the academic year in which the application has been made and approved. Requests for leaves that span two academic or fiscal years will not ordinarily be granted. Such leaves must be counted against the University's limited number in both of the years in which they occur. As a result, a person requesting such a leave is requesting two leaves and potentially denying a leave to another person.
- 2.4 An employee on professional leave is relieved from all WSU teaching, research, administrative functions, and committee work for the leave period so that full time may be devoted to the purpose for which the leave is granted. However, the employee remains bound to standards re: tenure and promotion, requirements concerning ethics in public service, and standards regarding faculty conduct (including research misconduct) as set forth in the Faculty Manual. The employee is also bound by the University's Intellectual Property Policy. (S)he cannot sign any agreement that assigns intellectual property to another organization. Faculty members are required to disclose intellectual property to the University. A faculty member should contact the Office of Intellectual Property Administration prior to the beginning of the leave if intellectual property will be generated during the leave or, as soon as potential generation is realized if previously unanticipated opportunities occur.
- 2.5 An employee is expected not to engage in other employment during the period of professional leave for which University salary is paid. Grant support during the professional leave must be justified in terms of the general spirit of the professional leave project.
- 2.6 The sum of the professional leave salary and the salary provided by grants and stipends cannot exceed 100% of the employee's University salary for the leave period.

- 2.7 Where remuneration for professional leave comes from state general and/or general local funds, the sum of the total monthly rate of pay during the leave period must not exceed the average salary rate of the highest paid quartile of teaching faculty on academic year appointments. RCW 28B.10.650. The average of the top quartile for 2008 – 09 was \$11,875.14 per month for faculty. The salary rate is updated annually. If remuneration is supplemented by other funds, e.g., 17A or federal grants, the present remuneration limits do not apply. Note that the definition of some funds is not immediately obvious (e.g., F & A fees derived from federal funds are local funds). Therefore, approval of the Provost must occur in all cases where a faculty member is to receive supplemental or substituted remuneration apart from state general and/or general local funds.
- 2.8 Reimbursements for travel and related expenses (including cost of living adjustments) for grantees and their dependents are not considered salary items and need not be reported.
- 2.9 Employees on professional leave earn annual and/or sick leave.
- 2.10 Supplementary payment for services as a department chair or for other types of administrative responsibilities is discontinued during a professional leave.
- 2.11 Leaves cannot result in an additional dollar cost to the University. Administrative supervisors must certify that this requirement is being met (see 3.1.2. below).
- 2.12 Professional leaves cannot be granted where the ongoing program of instruction, research, or extension will be jeopardized. Administrative supervisors must attest to this "no adverse effect" requirement (see 3.1.2. below).
- 2.13 If after a leave has been awarded, significant changes are made in leave objectives, dates, locations, study procedures, or other important aspects of the project design, these changes must be approved by the employee's administrator, the dean, and the Provost. Date changes may result in a salary reduction.
- 2.14 An employee receiving a professional leave in one fiscal year can postpone it to a subsequent fiscal year only at the University's request or because of the unexpected temporary unavailability of laboratory, library, consultant, or other resources required by the leave project. Otherwise, a desire to delay the leave into the next fiscal year will require a reapplication, the new application being considered on an equal basis with others received at that time.
- 2.15 An employee receiving a professional leave must return to active duty immediately following the leave for a period at least equal to the length of the leave or reimburse the University for salary and benefits paid during the

leave (see 3.1.1.14). A copy of the "contract" referred to in 3.1.1.14 is attached.

- 2.16 Unless special provisions are made, the employee must submit a written summary of work completed during the professional leave. The summary should explain the leave plans, the new knowledge generated by the leave, the ways in which this new knowledge will be utilized in continuing his or her institutional responsibilities, the impact on his or her research direction and the research of graduate students supervised, and any other benefits to the University as a result of the leave. Please be specific about the impact on teaching (e.g., course titles and number of students taught). Describe publications, products, exhibitions, and presentations resulting from the project (e.g., titles, journals, dates). Also, describe any funding that resulted from the project (e.g., project titles, funding sources, amounts of grants). The report should be submitted through the department chair or appropriate immediate administrator to the Dean. A second copy should be sent directly to the Provost's Office. Reports are due in the Provost's Office by April 1 for those who return from leave on approximately January 1 (e.g., those on leave for the Fall semester only), and on November 1 for those who return from leave on approximately August 16 (e.g., those on leave for the Spring semester or for the full academic or annual year). Reports need not be lengthy.

### 3. Application and Supporting Documentation

- 3.1 An employee desiring a professional leave must submit by January 11, 2010, the following documents to the Office of the Provost through normal administrative channels:

- 3.1.1 A completed application (please see <http://provost.wsu.edu/manuals-forms> for an application form) approved by the department chair (or equivalent), the dean, and the campus chancellor (for regional campus faculty) describing the proposed leave project in terms of the following items:

- 3.1.1.1 Full Name
- 3.1.1.2 Department and Address (Complete address for regional campus faculty)
- 3.1.1.3 Official title
- 3.1.1.4 Basis of present employment (academic or annual; part time or full time; State or extramural funding).
- 3.1.1.5 Date of initial appointment to a permanent position in the University.

- 3.1.1.6 Dates of previous leaves and leaves without pay. Include a summary of where such leaves were spent and the academic accomplishments from these leaves.
- 3.1.1.7 Period of leave covered by application.
- 3.1.1.8 Abstract of project not to exceed 50 words. Summarize the proposed activities in clear, concise language understandable to a scholar outside of your discipline. Project locations must be indicated.
- 3.1.1.9 **Prospectus:** Detailed statement of leave plans (maximum of 5 pages plus bibliography with standard margins and font).

**Purpose and Significance:** Describe the nature and significance of the project including a concise statement of the objectives for the project and your aims in undertaking it.

**Work to be Accomplished:** Describe what you plan to do during the award period. Identify the location of the work and the persons, foundations, institutions, departments or organizations (if any) with whom you will work. Describe the professional activities to be undertaken in terms that an educated reader from outside your field can understand.

**Projected Results:** Describe the results that your project will have and how you will share your results with others (e.g., publication, presentation, exhibition, classes). Include, when possible, the time sequence for completion of individual project segments.

**Bibliography:** Publications of leave applicant or other exhibits relating to project. Brief background information or bibliography of professional and scholarly work in the area of the proposed project.

Please remember that professional leaves are competitive. The quality of your proposal will be evaluated against the following criteria: value of the project, including its originality and potential contribution; adequacy and feasibility of the project in relation to the length of the leave period; clarity and completeness of the proposal, including readability by a

layperson and references to relevant scholarship; project's potential for contributing to the faculty member's professional development; and potential for disseminating and/or applying anticipated development of curricular and instructional activities.

**Justification:** (maximum one page): Statement regarding value of project in terms of benefits to University following leave period. How will the project contribute to your teaching (be specific with course titles, number of students taught)? How will it contribute to your own scholarly development? How will this project benefit your department, college, and/or the University as a whole?

**Evidence of Effort of Intent to seek External Funding:** *All professional leave requests must be accompanied by an effort to secure external funding.* Please list the funding agencies to which you plan to apply and the deadlines for submission of proposals. In addition, list all grants and stipends, including those from the University, and other forms of compensation and assistance that will be available during leave period or for which application has been made.

- 3.1.1.10 List of universities, institutions, or other organizations, if any, with which you will be affiliated during leave period. Indicate the facilities and personnel of particular relevance to your project.
- 3.1 .1 .11 Salary during leave period to be covered from outside funds. Provide dollar amount and indicate the period covered.
- 3.1.1.12 A curriculum vitae that contains, at a minimum, information about the progress made since the last professional leave, if any. The scholarly, artistic, or clinical productivity of the applicant will be taken into account when evaluating applications for professional leaves. Productivity will be judged by such factors as quantity, quality, and consistency of professional products, in relation to field and years of academic service; and quality and quantity of work supported by previous professional leaves. Other academic achievements and contributions will also be considered. These other achievements include awards, fellowships, grants, offices, and other honors; consultantships, editorial assignments, review assignments, and other invitations that imply peer recognition; and

conferences, displays, guest lectures, and other professional contributions.

3.1.1.13 Justification of all state-supported travel, if any, in terms of project. State may not support travel to and from your professional leave location.

3.1.1.14 Signed contract indicating 1) that you will submit the required report of leave activities by the due date and 2) your intention to return as an employee to the University immediately following the leave for a period at least equal to the length of the leave or to reimburse the University for all salary compensation and benefits received during the leave if you fail to conform to the return requirement. (A copy of RCW 28B.10.650 is attached.)

3.1.2 A signed statement by the department chair (or equivalent), by the dean, and by the Chancellor for faculty located at a regional campus, reading:

“This professional leave is recommended with the understanding that the departmental or area operations will not be jeopardized by the awarding of this leave and that the granting of this leave will not result in any additional dollar cost to the University.”

3.1.3 Signed statements from facilities and persons important to success of leave project to demonstrate their availability during leave period.

3.1.4 Two letters, sent directly to the first-line supervisor, from persons who can write in support of the application. These letters may not be from administrative superiors. They should be from those familiar with the leave plans and professionally qualified to evaluate the proposal. Each of these letters must indicate support for the project that will be undertaken during the leave. A letter that indicates only that the applicant is welcome to visit a laboratory, or that the applicant will be provided with certain amenities during a visit, is not acceptable as one of these letters. Such letters will be considered to apply to 3.1.3

3.2 The application deadline in the Office of the Provost is January 11, 2010.

#### 4. Project Evaluation

4.1 Proposals for leave are evaluated by the department chair, whose recommendation is forwarded to the area dean and chancellor in the case of regional campus faculty. **The dean/chancellor, after reviewing the proposal and the chair's evaluation, forwards only those applications**

**deemed worthy of the award of professional leave along with his/her evaluation and comments, to the Provost.**

- 4.2 As indicated, professional leaves are granted on the basis of the merit of leave projects, in particular, the value of the project to the University.
- 4.3 Final decisions are made in the Office of the Provost by the authority of the President and Board of Regents.

## RETRAINING LEAVE GUIDELINES 2010-2011

### 1. Eligibility

- 1.1 Retraining leaves, as professional leaves, are competitive. Upon submission of an acceptable leave proposal and the fulfillment of other conditions provided below, retraining leave may be granted to permanent faculty.
- 1.2 Applications will be accepted for the purposes:
  - a) of providing opportunities for permanent employees who are part of programs which are experiencing declines to prepare themselves for entry into a unit which has demonstrated a need for added employees with specific qualifications; and
  - b) of providing opportunities for advancing and refining the level of expertise of employees in ongoing programs.
- 1.3 An employee is eligible provided he/she has an expectation of five years service to the University following the leave and before retirement.
  - 1.3.1 Employees must serve a period of five years between leaves.
  - 1.3.2 The amount of prior service on a temporary position applicable to retraining leave will be determined by the Provost.

### 2. Conditions

- 2.1 Retraining leave is not granted to an employee for the primary purpose of working toward an advanced degree. Under unusual circumstances, retraining leave may incidentally result in attainment of an advanced degree; in such cases the leave is awarded on the proposed training, without reference to the acquisition of the advanced degree.
- 2.2 Salary policies and rates are the same as those for professional leaves unless continued employment is dependent upon retraining.
  - 2.2.1 An academic or annual employee may be released for one semester or six months at full base pay exclusive of administrative stipends.
  - 2.2.2 For leaves exceeding one semester or six months for academic and annual employees, respectively, the remuneration will be 75 percent of their base salary exclusive of administrative stipends.
  - 2.2.3 If continued employment is contingent upon retraining, the remuneration shall be 100 percent of the base salary.

- 2.2.4 Employees on split appointments are eligible for state remuneration on only that portion of their base salary which is permanently covered by state funds.
- 2.3 Retirement contributions for academic year employees on leave for more than one semester and annual year faculty on leave for more than six months are reduced in proportion to the salary adjustments. Employees may supplement the retirement and monthly long-term disability contributions to the level contributed prior to their salary reductions. Retirement service credit is unaffected by paid leave.
  - 2.3.1 Employees on retraining leave accrue annual or sick leave.
- 2.4 Payment for administrative duties is discontinued during a retraining leave.
- 2.5 The state shall not support travel to and from retraining locations.
- 2.6 Employees are not allowed to hold other employment during the period of retraining leave for which the University salary is paid.
- 2.7 During the period of leave, employees on retraining leaves are exempted from all WSU responsibilities including committee work, so that full time may be devoted to the purpose for which the leave is granted. However, the employee remains bound to standards re: tenure and promotion, requirements concerning ethics in public service, and standards regarding faculty conduct (including research misconduct) as set forth in the Faculty Manual. The employee is also bound by the University's Intellectual Property Policy. (S)he cannot sign any agreement that assigns intellectual property to another organization. Faculty members are required to disclose intellectual property to the University. A faculty member should contact the Office of Intellectual Property Administration prior to the beginning of the leave if intellectual property will be generated during the leave or, as soon as potential generation is realized if previously unanticipated opportunities for such generation occur.
- 2.8 Retraining leaves may not be granted where the ongoing programs of instruction, research, or extension will be jeopardized. Administrative supervisors must attest to "no adverse effects." (See 3.1.2 below.)
- 2.9 If, after leaves are awarded, significant changes are made in objectives, dates, study procedures or other aspects of the project, a corrected request must be routed through the administrative supervisor and dean or director for approval by the Provost. Note: extension of dates may effect a salary reduction per 2.2.
- 2.10 Employees must sign a contract agreeing to return to active University service immediately following retraining leaves for periods at least equal to the leaves or must reimburse the University for salary and benefits paid during the leave. (A copy of the contract is attached.)

- 2.11 Unless special provisions are made, the employee must submit a written summary of work completed during the retraining leave. The summary should explain the leave plans, the new knowledge generated during the leave, the ways in which this new knowledge will be utilized in continuing his or her institutional responsibilities, the impact on his or her research direction and the research of graduate students supervised, and any other benefits to the University as a result of the leave. Please be specific about the impact on teaching (e.g., course titles and number of students taught). Describe publications, products, exhibitions, and presentations resulting from the project (e.g., provide titles, journals, dates). Also, describe funding that resulted from the project (e.g., project titles, funding sources, amounts of grants). The report should be submitted through the department chair or appropriate immediate administrator to the Dean. A second copy should be sent directly to the Provost's Office. Reports are due in the Provost's Office by April 1 for those who return from leave on approximately January 1 (e.g., those on leave for the Fall semester only), and on November 1 for those who return from leave on approximately August 16 (e.g., those on leave for the Spring semester or for the full academic or annual year). Reports need not be lengthy

### 3. Application and Supporting Documents

- 3.1 An employee requesting retraining leave must submit the following documentation through the appropriate administrative channels to the Office of the Provost.

- 3.1.1 A completed application (please see <http://provost.wsu.edu/manuals-forms> for an application form) approved by the department chair (or equivalent), the dean, and the campus chancellor (for regional campus faculty) describing the proposed leave project in terms of the following items:

- 3.1.1.1 Full Name
- 3.1.1.2 Home Department and Complete Address for regional campus faculty
- 3.1.1.3 Official Title
- 3.1.1.4 Basis of Employment (academic or annual; part-time or full time; state, self-sustained, or extramural funding).
- 3.1.1.5 Date of initial employment to permanent position in University.
- 3.1.1.6 Dates of previous leave with/without pay of one semester or greater, including a summary of where such leaves were spent and the academic accomplishments during each leave.

- 3.1.1.7 Period of leave covered by application.
- 3.1.1.8 Abstract of project, not to exceed 50 words. Summarize the proposed activities in clear, concise language understandable to a person outside your discipline. Project locations must be indicated.
- 3.1.1.9 Detailed statement of leave plans (maximum of 5 pages, double spaced with standard margins and font). Describe the professional activities to be undertaken in terms that an educated reader from outside your field can understand. Specify clearly and fully the purpose and significance of the retraining including a concise statement of the objectives and your aims in undertaking this retraining. Describe what you plan to do during the award period. Identify the location of the work and the persons, foundations, institutions, departments or organizations (if any) with whom you will work. Describe the results that your retraining leave will have. Include, when possible, the time sequence for completion of individual project segments. Also, explain why this retraining requires a time commitment beyond that involved in normal job responsibilities.
- Please remember that retraining leaves are competitive. The quality of your proposal will be evaluated against the following criteria: value of the project, including its originality and potential contribution; adequacy and feasibility of the project in relation to the length of the leave period; clarity and completeness of the proposal; project's potential for contributing to the applicant's professional development; and potential for disseminating and/or applying anticipated achievements through publications, presentations, and development of curricular and instructional activities.
- 3.1.1.10 Indication of salary during the leave period and source of funds, including those from the University and outside funds for which application has been made. All requests for leaves must be accompanied by an effort to secure external funding. Please list the funding agencies to which you will apply.
- 3.1.1.11 Indication of previous work in area of retraining specialty, including bibliography of applicant's publications or related efforts.

- 3.1.1.12 Statement regarding value of project in terms of benefits to University following the leave period. How will this retraining contribute to your professional development. For example, how will it contribute to your teaching (be specific with course titles, number of students taught)? How will it contribute to your own scholarly development? How will this project benefit your department, college, and/or the University as a whole? The likelihood the project will contribute to the quality of the University will be used as a criterion in evaluating proposals.
  - 3.1.1.13 A signed contract agreeing to 1) submit a report of the retraining activities through the normal administrative channels within 3 months of the end date of the leave and 2) to reimburse the University for all salary and benefits compensation received during leave if you fail to conform to the return requirement.
  - 3.1.1.14 Please attach a curriculum vitae that provides, at a minimum, information about progress since the last professional or retraining leave if any. The professional productivity of the applicant will be taken into account when evaluating applications for professional leaves. For example, in the case of faculty member, productivity will be judged by such factors as quantity, quality, and consistency of professional products, in relation to field and years of academic service; and quality and quantity of work supported by previous leaves. Other academic achievements and contributions will also be considered. These other achievements include awards, fellowships, grants, offices, and other honors; consultantships, editorial assignments, review assignments, and other invitations that imply peer recognition; and conferences, displays, guest lectures, and other professional contributions.
- 3.1.2 A signed statement by the department chair (or equivalent), by the dean, and by the Chancellor for Regional Campus Faculty reading: "This retraining leave is recommended with the understanding that departmental or area operations will not be jeopardized by the awarding of this leave and that the granting of this leave will result in (employee's name) being qualified to . . ."
  - 3.1.3 Signed statements from facilities and persons important to the success of the leave project to demonstrate their availability during the leave period. (Notification of admission is acceptable.)
- 3.2 Retraining leave proposals should be properly signed and routed and received by the Provost no later than one semester for academic year

appointees and six months for annual year appointees before the leave is to begin. Applications may be filed for consideration in shorter periods when extraordinary and meritorious circumstances create an unexpected opportunity for such leave to be of value to the individual and WSU.

#### 4. Project Evaluation

Retraining leaves are granted on the basis of consideration of merit and applicability of new skills and knowledge to be gained to the needs of the University.

4.1 Final decisions are made in the Office of the Provost by the authority of the President and Board of Regents.