

OFFICE OF THE DEAN
UNITED STATES MILITARY ACADEMY
WEST POINT, NEW YORK 10996-5000

MADN-PRD

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Memorandum
No. 3-9¹

DEAN'S POLICY AND OPERATING MEMORANDUM
SABBATICAL LEAVES AND ACADEMIC ABSENCES

	Page
1. Purpose.....	1
2. Applicability.....	2
3. Responsibilities.....	2
4. Eligibility and Requirements for Sabbatical Leave.....	3
5. Activity on Sabbatical Leaves.....	4
6. Replacements During the Sabbatical Period.....	5
7. Payment Certification.....	5
8. Other Types of Absences.....	6
Appendix A: Request for Sabbatical.....	8
Appendix B: Confirmation of Pay Status for Civilian Faculty.....	10
Appendix C: Department Head Endorsement of Sabbatical Request.....	11
Appendix D: Faculty Member After Action Report.....	12
Appendix E: Post Sabbatical Certification of the funds.....	13

1. Purpose.

a. This Dean's Policy and Operating Memorandum (DPOM) describes the types of sabbatical programs available at USMA and the procedures for requesting sabbatical leaves. It implements the sabbatical policy outlined in the *USMA Faculty Manual* of December 2005.

b. General Policy is given in section IV.R. of the *Faculty Manual*, which is quoted here:

R. Sabbaticals. Sabbaticals are encouraged to provide a substantial period of intellectual renewal, disciplinary updating, and scholarly concentration to senior faculty. Faculty interested in such must apply IAW DPOM 3-9 [this DPOM] and AR 600-8-10. Applicants must present evidence of their intention to use the time for scholarly or professional activities that will advance professional standing, enrich teaching at USMA, and significantly contribute to its mission. The sabbatical program described herein will be phased in upon the signing of this document.

1. All faculty (military and civilian) are permitted...*(to request)*...a two-semester sabbatical at full pay once 6 years of continuous service has been rendered. Backfill of faculty positions is subject to the availability of funds (for civilian faculty members) or military replacements (for military faculty members). Faculty members are encouraged to seek external funding.

2. Approval for departure is subject to operational requirements of the

¹ This DPOM is a major rewrite of and supersedes DPOM 3-9 dated 7 September 2007.

department. If delayed due to departmental needs, the sabbatical will be granted no later than the end of the 7th year of service. In cases of delayed sabbatical, that year of delay will count toward the next 6 years of service. Additionally, in consultation with the department head, a faculty member may take two non-consecutive semesters for sabbatical.

3. Sabbaticals with pay, for both military and civilian faculty, carries with it [sic] an expectation for continued service at USMA for one year. Faculty members are considered to have an obligation not to request or accept sabbatical leave if they have no intention to return to serve the USMA at the end of that leave.

4. During periods of financial exigency, it may become necessary for the above described paid sabbatical program to be temporarily suspended. The decision to suspend the program can only be made by the Commandant (DPE or DMI faculty) or by the Dean (all other faculty).

c. Sabbatical duration may be two semesters (possibly non-consecutive) and is dependent on the goals and objectives of the academic absence. However, financial exigencies, lack of military backfills, or other difficulties providing replacements may force a temporary restriction, such as one semester at full pay. In such a case, the Department Head and the faculty member should make every effort to develop a plan that allows two semesters at full pay.

d. Sabbaticals may be combined with summer periods to make the sabbatical appear to be one year in length. This action requires coordination with and approval of the Department Head and the Dean of the Academic Board.

2. Applicability. These policies and procedures apply to the following senior faculty:

a. Professors, USMA.

b. Academy Professors (Functional Area 47*) – in the rank of associate professor and full professor.

c. Title 10 faculty in the academic ranks of associate professor and full professor.

d. Assistant professors. Department heads may seek case-by-case exceptions for assistant professors. There is an expectation that if an exception is granted that the assistant professor will attain associate professor within a year period immediately following the sabbatical.

3. Responsibilities:

a. Dean

(1) retains approval authority over all sabbatical leaves and academic absence programs (as described in section 8) for all senior faculty within the Dean's MAD.

(2) publishes implementing instructions.

b. Department Heads

(1) plan and coordinate the sabbaticals within their departments as part of their professional development program for senior faculty.

(2) plan teaching schedules to accommodate sabbatical absences.

(3) request backfill for military sabbaticals.

(4) evaluate the success of the sabbatical for the individual (Appendix E).

(5) evaluate the payment of funds to individuals during the period of focused development through the Post Sabbatical Certification form (Appendix E).

(6) provide the Dean with an annual forecast of sabbaticals for the next six years, which should be included in the annual Review and Analysis (R&A) briefing.

c. Faculty

(1) discuss and plan their sabbaticals with Department Heads.

(2) attempt to garner financial assistance from other sources whenever possible.

(3) submit their official Request for Sabbatical (Appendix A). If a late or poorly justified request for sabbatical delays the start of the sabbatical, the extra year of service does *not* count towards a subsequent sabbatical.

(4) submit confirmation of pay status (Appendix B) upon Dean's approval.

(5) submit their after action reports (AARs) summarizing sabbatical accomplishments (Appendix D).

d. Plans and Resources Division

(1) staffs sabbatical requests for approval and requests reassignment to USMA student detachment.

(2) requests replacement personnel for military faculty IAW Department Head guidance.

(3) maintains personnel files, approved applications, and pay agreements.

(4) coordinates with USMA G8 and CPAC on sabbatical status.

4. Eligibility and Requirements for Sabbatical Leave.

a. Faculty are permitted to request a sabbatical after each six continuous years of service. If mission requirements prevent a sabbatical in the seventh year, then the sabbatical is permitted in the eighth year (with the seventh year then counting towards a subsequent sabbatical) unless a financial exigency has been declared by the Dean. Only one year of delay will count towards the next sabbatical.

b. To be eligible for sabbatical, all faculty must:

(1) be an associate professor or full professor.

(2) have received their doctoral degree.

(3) submit through the department head to the Dean a sabbatical proposal that describes the proposed professional development activity and the envisioned benefit to USMA and the Army. Faculty members are considered to have an obligation not to request or accept sabbatical leave if they have no intention to return to serve at USMA at the end of that sabbatical. The request must include a statement of how long the faculty member expects to remain on the USMA faculty following the sabbatical.

c. Military faculty must be a Professor USMA or Academy Professor (FA 47*).

d. Civilian faculty must have a renewable appointment.

e. Sabbaticals should be requested at least six months prior to the proposed starting date.

f. Time served as non-renewable civilian or rotating military faculty does not count towards a sabbatical.

g. Faculty may request waivers to the eligibility conditions through their department head to the Dean.

h. The Faculty Manual requires one year of continued service post sabbatical, however, to reap maximum benefits to the academic program, the expectation is the faculty member will serve at least two years. (ex. Military faculty may not start a one year sabbatical later than three years before their mandatory retirement date.)

5. Activity on Sabbatical Leaves.

a. As a general principle, in terms of work, effort, and productivity, a sabbatical should be as demanding as one's duties at the Academy. The primary purpose of a sabbatical is for the academic professional development and renewal of the individual faculty member, so that he or she can return to USMA with disciplinary expertise reinforced, perspectives broadened, military expertise updated, and/or academic credentials strengthened. The faculty member returning from sabbatical should also infuse new vigor into departmental leadership and greater enlightenment into cadet instruction and junior faculty development. Immediate products such as publications and conference presentations are encouraged and valued, but they are not required for every sabbatical.

b. Sabbatical activities can vary widely, depending on the discipline and on the needs and interests of the faculty member. Common activities include teaching and/or research at a university, independent research or writing, research at a government institution, support of military operations, and professional practice in one's academic field. Sabbaticals with a government agency or a military organization should entail duties that would normally require the full-time services of an officer or civilian of appropriate grade.

c. Applications for sabbatical leaves should describe the duties, course load, teaching load, or research objectives to be undertaken. The anticipated direct and indirect benefits to USMA of the contemplated sabbatical activity should be fully set forth (see Appendix A for format).

d. Following the completion of a sabbatical absence, the faculty member will submit a report to the Dean describing the work accomplished, its anticipated value to USMA, and any recommendations that may be appropriate. The file will be maintained for accreditation, Congressional review, and certification of pay records.

6. Replacements during the Sabbatical Period.

a. Military Faculty:

(1) Military faculty are paid by separate DA account. Hence, military replacements require DA approval, and, once approved, require no extra USMA funds to pay for a replacement. Military faculty are encouraged to get outside support for other expenses; the funds can be used for TDY, equipment, moving expenses, etc.

(2) Military faculty will be placed under the USMA student detachment personnel accountability rolls.

(3) After the Dean's approval of a sabbatical request for a military professor, a replacement instructor will be requested or extended with AG and HRC approval. In a sense, this situation means funding for a replacement was obtained from DA.

b. Civilian Faculty – no backfill:

(1) Under current law, the payment procedures for civilian faculty fall under guidelines described under Title 5, US Code. These guidelines require supervisors to execute certain procedures to ensure accountability of funds.

(2) Civilian faculty cannot, by law, be replaced during their absence by military personnel.

(3) When external funds are procured, it is possible, under certain circumstances, to hire a temporary civilian replacement during the sabbatical under the Dean's reimbursable program.

7. Payment Certification.

a. The sabbatical request includes the objectives of the sabbatical. The endorsement of the request by the Department Head signifies the government's willingness to pay the government employee for the proposed work. At the end of the sabbatical, an after action report summarizing the accomplishments must be submitted. The Department Head must evaluate the AAR and certify the expenditure of funds.

b. Government employees, by law, may not receive two pays (government plus another) for the same work. Any sabbatical payments must be in accordance with sections G (Standards of Ethical Conduct) and H (Additional Employment) of the *Faculty Manual*. They should be reviewed by the Staff Judge Advocate to resolve any uncertainties.

8. Other Types of Absences: (These absences do not count as breaks in service for the purpose of sabbatical eligibility.)

a. Deployments. Deployments and WIAS taskings in support of overseas operations will not count as a break in service.

b. Visiting Professorship (VP) at Senior Service Colleges. For purposes of currency and critical relationships with Department of Defense personnel and other senior government officials, the Dean will fill VP positions at Senior Service Colleges. Senior faculty members (both military and civilian) are eligible for VP slots at the Army War College, Naval War College, and the National War College. As a VP, the faculty member will be both a student and an *ad hoc* member of the college faculty. Faculty members are nominated by their departments for attendance and must be approved by the General Committee, Dean, Superintendent and President of the War College. Attendance will not be considered a sabbatical, however military faculty will serve three years between the start of absences. This program is focused on attendance at Senior Service Colleges only.

c. LWOP under the Family and Medical Leave Act of 1993 does not count as time served towards a sabbatical. However, due to scheduling difficulties, department heads may request exceptions to waive the six year service time under these circumstances.

d. A faculty member may request LWOP for other personal reasons for a period of time that is agreeable to the faculty member and West Point. Such personal LWOP does not count as a break in service, and does not count as service time towards a subsequent sabbatical.

9. Financial Exigencies: Due to financial constraints, it is possible full funding of sabbaticals may not be possible during selected years. The Dean of the Academic Board may place restrictions on the funding available for the faculty during these periods.

10. References.

- a. AR 600-8-10, Leaves and Passes, and USMA Supplement 1 to this AR.
- b. Proceedings of the Academic Board, 28 February 1975.
- c. AR 210-26, United States Military Academy, paragraph 1-30
- d. C.J. Andersen and F.J. Atelsek, eds., *Sabbaticals and Research Leaves in Colleges and Universities* (American Council on Education, 1982).
- e. M.E. Deutsch, *The College From Within* (Univ. of Calif. Press, 1952), Chap 11.
- f. J.W. Fuller, ed., *Issues in Faculty Personnel Policies* (Jossey-Bass, 1983), Chap 3.
- g. DPOM 5-3, Procedures for Awarding Academic Titles, dtd 2 December 2008.
- h. *USMA Faculty Manual: A Blend of Excellence*, December 2005 (<http://www-internal.dean.usma.edu/staff/prd/Faculty%20Manual%20signed.pdf>).

11. **Proponent:** The proponent of this Dean's policy and operating memorandum is the Plans and Resources Division, Office of the Dean (MADN-PRD), x8006.

FOR THE DEAN OF THE ACADEMIC BOARD:

A handwritten signature in black ink, appearing to read "Thomas M. Kastner", with a long horizontal flourish extending to the right.

THOMAS M. KASTNER
COL, IN
Chief of Staff

Appendix A: Request for Sabbatical

Purpose: The purpose of this form is twofold:

- a. Provide the Dean with enough information to make a decision.
- b. Provide the Dean with enough information to allow his/her certification of Dean's MAD's expenditure of government funds in a proper manner.

15 August 2009

Memorandum through Head, Department of XXX

for Dean of the Academic Board.

Subject: Request for Sabbatical.

1. Confirmation of eligibility:

Example:

- a. I have been assigned to the USMA faculty since 1991. My work may be summarized as follows:

1995 – 2002	Assistant Professor in the Department of XXXx.
2002	Promoted to Associate Professor
2002-2003	Sabbatical at Los Alamos National Laboratory.
2003 – 2010	Associate Professor in the Department of XXX

- b. In Summer 2010, I will have completed six continuous years of service on the USMA faculty since my last sabbatical and am therefore eligible to request a two-semester period of focused development in scholarship and professional practice.

- c. I understand the expectation for continued service at USMA for two years following my sabbatical. I am more than two years away from being retirement eligible and expect to return to the Department of XXX and continue in my teaching and researching for at least that period of time.

2. Sabbatical Proposal and objectives:

Example:

During AY2010 – 2011, I propose to work on a nano-probe lever design at the Army Research Laboratory. I have a collaborative relationship with Dr. John Man. In the spring semester, I plan to split my time between research with Dr. Man and commercial consulting on nanotechnology development. During the two semesters, my objectives are to:

- a.
- b.
- c.
- d.

3. Benefit to the faculty member:

Example:

I expect to be able to author two articles based on the work with Dr. Man and present my work at the national meeting of YYYY. I also expect that I will be able to continue research in this area upon my return to USMA. I expect the consulting work to result in a paper on nanotechnology applications.

4. Benefit to USMA:

Example:

I should be able to conduct two years of advanced cadet studies in subsets of this work. In addition, I believe that this work will also lead to a research grant allowing me to continue work at USMA.

5. Resources:

Example:

Dr John Man, ARL, has indicated a willingness to reimburse USMA for my pay during fall 2010(full pay) and spring 2011 (half pay). ARL will also reimburse me for quarters at Aberdeen Proving Grounds by paying for a hotel room located on the Post. As full reimbursement for my pay is being received, request USMA hire an assistant professor for the fall 2010 semester to cover my teaching load.

6. Pay Status: [required for civilians only]

Example:

I request full-pay status for the fall 2010 semester. I request half-pay status for the spring 2011 semester as I plan to work half-time on research at ARL and half-time in commercial consulting on nanotechnology development during spring 2011. I plan to request LWOP status for the summer of 2011 to complete my consulting work.

7. Other considerations:

Example:

I have been working with Dr Man since the summer of 2004.

John Smith
Associate Professor
Department of XXXX

Appendix B: Confirmation of Pay Status for Civilian Faculty

Purpose: The purpose of this document is to ensure that faculty members are not placed on Leave without Pay status without their permission.

15 August 2009

Memorandum through Head, Department of XXX

for Dean of the Academic Board.

1. I will be on sabbatical status from _____ (date) through and including _____ (date)
2. My pay status will be _____ (full pay, Leave without Pay, reimbursable fully funded, other – explain.)
3. Leave without pay: (circle the applicable paragraph letter a or b below.)
 - a. Not applicable.
 - b. From _____ to _____, I request that I be placed on leave without pay (LWOP) status as indicated below. (_____ initial here)

(1) Normal LWOP status. For purposes of financial recording this means reporting the individual as working $\frac{1}{2}$ time and taking LWOP during the other $\frac{1}{2}$ time for EACH two-week pay period.

(2) Non-normal LWOP status. There are additional options that individuals might take. These other options must be discussed with PRD personnel first to ensure that it does not conflict with the funding flow.

(a) Description of option:

(b) Dept personnel with whom the pay option was coordinated.

4. I understand that if I take leave during this absence, it is my responsibility to report the leave to my rater.

John Smith
Associate Professor
Department of XXXX

Appendix C: Department Head Endorsement of Sabbatical Request.

Purpose: The purpose of this form is twofold:

- a. Provide the Dean with enough information to make a decision.
- b. Provide the Dean with enough information to allow his/her certification of Dean's

MAD's expenditure of government funds in a proper manner.

Memorandum for Dean of the Academic Board.

1. Summary of the faculty member's value to USMA during the previous six years.

Example:

Dr John Smith is faculty member whose service to USMA has been outstanding. He is held in high esteem by all member of this Department. He has made important contributions in all five faculty domains: teaching, scholarship, cadet development, faculty development, and service. His efficiency reports consistently show his excellence in the domains.

2. Confirmation that the objectives can be accomplished and that the sabbatical is worthwhile:

Example:

The sabbatical objectives are doable and when accomplished will add to Dr Smith's scholarship domain. I fully endorse the request for sabbatical.

3. Specifics on funding coordination or POCs:

Example:

ARL will reimburse USMA for Dr Smith's services. The approval authority for the funds is Dr John Man, 703 – 695 – 1234. The finance POC to coordinate fund transfers is Ms Peggy Jones, 703 – 695 – 5678.

4. Statement on the need for a replacement:

Example

A replacement faculty member is desired and should be hired from 8 August 2010 through 30 May 2011. Pay will come from the reimbursement to USMA from ARL of Dr Smith's salary during the same period of time.

5. Statement on leave without pay:

Example

Dr Jones will be on full pay for the fall of 2010 and half-pay for the spring of 2011. Leave without pay will be requested for the summer of 2011.

George T. Jones
COL, PUSMA
Head of the Department

Appendix D: Faculty Member After Action Report

Purpose: The purpose of this form is to provide the Dean with closure to certification of funds process made a year earlier.

Memorandum for Dean of the Academic Board.

1. Summary of the sabbatical request:

Example:

I was on sabbatical from 15 August 2010 through 31 May 2011. In addition, after coordination with the Department Head, I spent from 1 June 2011 through 15 August 2011 continuing to conduct work on the project.

The objectives of the sabbatical were:

- a.
- b.
- c.
- d.

2. Accomplishments:

Example:

I published one article in the American Journal of Physics entitled "....." A second article has been submitted to AJP but is currently in review. All objectives were accomplished. Dr Gerry Smith, DEN 688-5811, with whom I collaborated and received funding has requested my continued support of his project.

3. Future considerations:

Example:

I expect to continue work on this project during the academic year on a less intense pace. During summer 2011, I expect to receive TDY funding to continue the collaborative experience at White Sands Missile Base. I have volunteered to sponsor two of the department's majors – First Class Cadets – in an advance project. The assignment of these two cadets will not be known until October 2011.

Appendix E: Post Sabbatical Certification of the funds

Purpose: To provide the Dean with closure to certification of funds process made a year earlier. From a funding perspective, self-certification of funds is not legal. Hence, some type of assessment on the expenditure of funds is necessary.

Memorandum for Dean of the Academic Board.

Dr Julie Smith was on sabbatical from _____ to _____. I reviewed her Sabbatical After Action report (attached) and believe that the expenditure of funds was appropriate and in the best interests of the United States Military Academy and the United States government.

George T. Jones
COL, PUSMA
Head of the Department