

## College of Engineering Leaves of Absence and Reduced Appointments Policy

### Leaves of Absence (LoA)

In some cases, unpaid leaves may be granted to faculty that involve accepting employment outside the University. In addition to unpaid leaves for government service and military service, temporary assignments in teaching or research related to a person's University responsibilities may be approved if they have the potential of enhancing the person's usefulness as a teacher or scholar.

Such **Leaves of Absence (LoA)** are without compensation by the University.

A faculty member who has accepted a tenure track or tenured position at another institution is *not* eligible for an unpaid leave of absence.

The University has well established guidelines for unpaid leaves of absence (LoA), both non-discretionary and discretionary, see UM Standard Practice Guide (SPG) [SPG 201.30-1](#), [SPG 201.30-4](#) and outside employment as described in [Regents By-law, Sec. 5.12](#). The following College of Engineering (CoE) policy consists of key elements from the SPG and a few additional CoE requirements. This policy does not apply to faculty on medical leave under SPG 201.11-1 or other paid leaves.

#### CoE Policies Regarding Leave of Absence (LoA):

- Leaves of Absence (LoA) without salary are granted by the President upon recommendation of the Dean.
- The CoE Dean seeks approval from the CoE Executive Committee.
- LoAs may be granted for up to one year at a time.
- LoA extensions in excess of one year requires approval from the Board of Regents.
- Sabbaticals and Intergovernmental Personnel Act (IPAs) are not LoAs as described in the College policy. Faculty still hold active appointments at UM while on sabbatical or on an IPA.
- Exceptions to the UM Standard Practice Guide (SPG) must be approved by the Provost.
- Failure to report for assignment at the conclusion of a LoA without requesting and receiving an extension of the leave will be grounds for initiating dismissal proceedings.
- Faculty on an LoA will not accrue credit toward sabbatical leave.
- A faculty on LoA *may* not be considered for CoE-level or University-level honors and recognition. If holding a professorship, the professorship *may* not be renewed while the faculty is on LoA.
- Mandatory UM training, attestation of effort, and other disclosures are required for faculty on a LoA.

- A faculty on LoA may continue to serve as the dissertation chair of PhD students they currently supervise but they would need to submit a mentoring plan for each of their PhD students, detailing how the mentoring will continue while on leave, what is the modality of meetings with students, and whether a co-advisor has been identified.
- A faculty on LoA is not allowed to recruit new students unless they have committed to coming back by the time the new students are expected to start their studies. Similarly, a faculty on LoA is not allowed to enter into an official sole-supervision relationship with a student they did not supervise when they started the LoA.

### **Reduced Appointments (RA)**

In general, a faculty member who is not on a LoA or sabbatical is not allowed to be employed for remuneration by other agencies other than the University during the academic year, except with approval of the proper University authorities.

In cases where faculty seek such outside employment, the faculty member may request a **Reduced Appointment (RA)** as discussed in [Regents By-law, Sec. 5.12](#), if such a request is compliant with the College and University COC/COI policies.

#### Guiding principles for granting an RA request:

Approval for outside employment may be granted in the case of professional employment only when either or both of the following conditions exist and is contingent upon compliance with the College and University COC/COI policies (see [SPG 201.65-1](#)):

- When the work in question gives promise of enhancing the individual's usefulness as a teacher and scholar in the individual's field to a greater degree than a corresponding amount of work within the walls of the University.
- When the work is of a distinctly public nature or when for any other reason the University wishes to be actively engaged in its furtherance.

The CoE has set guidelines for the scope and duration of Reduced Appointments.

#### CoE Policies Regarding Reduced Appointment (RA):

- The CoE appointment fraction while on RA should be *at most 80%* and *not fall below 20%*.
- RA may be granted for up to one year at a time.
- Faculty may be on a RA for a maximum of two years consecutively if there is no regular teaching activity over the two-year period; i.e., a faculty needs to start teaching in the 3rd year or they need to take a LoA after 2 years of RA.
- The cumulative total number of years of RA in which a faculty does not teach, consecutively or non-consecutively, is four, regardless of the level of CoE effort.
- Failure to report for assignment at 100% effort at the conclusion of RA without requesting and receiving an extension of the RA may result in the initiation of termination proceedings.

- While a faculty on RA may continue to accrue sabbatical leave, a subsequent sabbatical request may be denied if the cumulated effort-year falls below the normal 100% six-year level.
- The amount of allowed faculty consulting days (36 for a 100% 9-month appointment) will be prorated by the appointment level.
- A faculty on RA *may* not be considered for CoE-level or University-level honors and recognition. If holding a professorship, the professorship *may* not be renewed while the faculty is on reduced appointment.
- Mandatory UM training, attestation of effort, and other disclosures are required for faculty on a RA.

### **Request and Approval Process for LoA and RA**

Faculty wishing to request a LoA or RA will coordinate with their Department Chair. CoE provides an intake form for these requests *via* SmartPath.

- The faculty submits their request *via* SmartPath *at least* 4 months prior to the requested start of the LoA or RA. This shall apply to both the original request of a new LoA or RA, and any subsequent renewal/extension requests.
- The Department Chair will use the submitted information as part of their decision making.
- The Department Chair will approve or decline the faculty request.
- If approved by the Department, the Faculty and Department Chair will develop a management plan for any activities remaining at UM:
  - Management of graduate students
  - Management of potential conflicts of interest and/or commitment
  - Allocation of remaining UM effort (research, teaching, and service)
- The Department Chair submits the approved LoA or RA requests to CoE *via* SmartPath.
- The ADAA and ADR conduct reviews and may seek clarifications/modifications; a formal conflict of interest review may also be needed (UMOR).
- The CoE Executive Committee considers the request and makes a recommendation to the Dean.
- The Dean approves or declines the RA and the first year of a LoA.
- The Regents must approve LoAs in excess of one year.

### **Guiding Principles for the Evaluation of LoA and RA requests**

Departmental and CoE leadership will evaluate faculty requests for LoAs and RAs. Some key considerations are:

- Is the LoA or RA beneficial for the faculty's personal and/or professional development?

- Will the faculty person's engagement outside CoE be beneficial to the home Department, CoE, and/or UM?
- Is the LoA or RA necessary for faculty retention?
- Is the LoA or RA in support of translational research and commercialization activities that will benefit both the faculty person and UM?
- Will the LoA or RA create an unreasonable burden on other members of the faculty's Department?
- Will the LoA or RA deleteriously impact graduate students and postdocs currently under the supervision of the faculty person? Will students be involved with the faculty's activities outside UM?
- Would a LoA or RA lead to conflicts regarding the generation of Intellectual Property between the faculty, UM, and outside employers engaging the faculty person?
- Is there a Col Management plan in place to identify and manage any potential conflicts of interest or conflicts of commitment?
- Can the faculty activities proposed as part of a RA be accommodated instead as part of faculty consulting or through summer appointments?

Faculty who request an effort reduction should provide detailed answers to the following:

- How is the LoA or RA beneficial to their professional and career development?
- How long will the LoA or RA last?
- What is the specific level of effort they seek approval for?
- How do they propose to continue their research/teaching/service/student supervision functions at the reduced level?
- How do they plan to transition back to 100% effort when the LoA or RA ends?

Departments who forward approved LoA or RA requests should provide detailed answers to the following:

- What is the value proposition for the Department, the CoE, and UM, for supporting such a request?
- How will gaps in research/teaching/service activities created by the faculty's effort reduction be filled?
- What is the maximum duration of effort reduction the Department is willing to support?
- How will graduate students who remain in the faculty's research group be managed (e.g., identification of a local faculty ombuds as the person responsible for Col issues, etc.)
- Does the unit anticipate issues with this faculty transitioning back 100%?
- Will the LoA or RA enhance or reduce the opportunity to retain the faculty person?