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ABSTRACT

Sabbatical leaves are viewed as being essential to the ongoing nature of a self-renewing community of scholars. This study was undertaken to provide data on current use of sabbatical, leave plans in universities in several countries - Canada; the United States: England, Northern Ireland, Scotland, Wales: Australia, and New Zealand - to provide useful information for possible revision of leave plans. Sixty-six universities were surveyed by means of a questionnaire and the results revealed similarities among the four groups of countries regarding the length of service prior to leave (generally 6 years); differences among the four groups, including the use of retraining leaves as a form of sabbatical; salary paid during regular sabbatical leave; and travel expenses. The conclusions drawn from the data are that Canadian leave plans are not nearly as uniform as those in United States universities; Canadian plans have become more formalized and better documented since 1969; salary paid for full-year leaves in Canadian universities has improved since 1969 and is now substantially better than in the United States, but not as good as in Australia and New Zealand; and participation rates in all countries appear to be higher than those reported prior to 1965 by Ingraham. (JBP)

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February 20, 1974

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OIR-30

A COMPARATIVE STUDY OF SABBATICAL -LEAVE PRACTICES IN SELECTED COMMONWEALTH AND U.S. UNIVERSITIES

*Formerly called Office of Institutional Research.

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A COMPARATIVE STUDY OF SABBATICAL LEAVE PRACTICES IN SELECTED COMMONWEALTH AND U.S. UNIVERSITIES

Background, Issues, and Objective

Sabbatical leave plans have become an integral part of academic life in major universities in many countries. Sabbatical leaves are viewed as being essential to the ongoing nature of a self-renewing community of scholars. Ingraham's classic study, The Outer Fringe: Faculty Benefits Other Than Annuities and Insurance, reported, "The fact is clear that the chief purpose for leaves in the university is for research, writing, and study at the level of a trained active scholar furbishing, or sometimes refurbishing, the tools of his craft".

At the time of Ingraham's study, the typical US university sabbatical leave plan had the following characteristics:

- (1) Leaves were either for six or twelve months.
- (2) They were available to faculty after six years of full-time service.
- (3) The common financial support for a faculty member on leave was full salary for a six month leave and half salary for a twelve month leave.

Canadian leave plans were very similar. 2

Ingraham reported two other facts that bear upon the nature and value of a sabbatical leave program: (1) only about two per cent of the full-time faculty, covered by leave plans were on leave in a given year and (2) administrators reported difficulty in getting faculty who were eligible for leaves to take them. 3

Annuities and Insurance (Madison, Wisc.: University of Wisconsin Press, 1965), p. 72.

Ont.: President's Office, McMaster University, 1969), unpublished study.

Ingraham, op. cit., pp. 81-82, 246.

A recent study (1972) of sabbatical leave plans in the US, Sabbatical Leaves in Higher Education, indicated that the three characteristics of a typical leave plan cited by Ingraham have not changed. However, changes in these characteristics may be occurring in some universities in other countries, especially Canada. Indications appear that some Canadian universities are moving away from the classical model of a leave plan reported by Ingraham.

During the 1960's most Canadian universities grew proportionately faster than their counterparts in many other countries. The typical Canadian university increased in size from five to tenfold between 1962 and 1972. Competition for faculty was keen. Rapid promotion through the ranks and almost perfunctory granting of tenure were utilized as a means of attracting and keeping competent academic staff. Consequently many Canadian universities now have a higher proportion of academic staff, in the senior ranks with tenure than do similar US universities.

No one in academe needs to be reminded that the North American enrolment boom of the sixties is over. As a result, many Canadian and US
universities will not be able to increase their total number of academic
staff. In order to maintain academic flexibility, they will have to use every
resource available. If a sabbatical leave is truly a time when a trained,
active scholar furbishes or refurbishes the tools of his craft, then a carefully
designed and administered leave plan has potential for providing a university
with some measure of flexibility. An awareness of this potential and a corresponding attempt to utilize it may place sabbatical leaves in a new perspective.

¹Eberle, A. W., and R. E. Thompson, Sabbatical Leaves in Higher Education (Bloomington, Indiana: Student Association of Higher Education, University of Indiana, 1973).

²Evidence of this move came from two sources: (1) the use of leaves specifically for retraining (see Table I, Appendix C), and (2) individual conversations with administrators in Canadian universities.

³This conclusion is based on data reported by William R. Mann in "Is the Tenure Controversy a Red Herring?", Journal of Higher Education XLIV, Number 2 (February, 1973), 85, as compared to data on Canadian universities developed by the Office of Institutional Research at McMaster University (unpublished).

At the time of Ingraham's study only about half of those faculty who became eligible for leave in US universities actually took it. Participation in the sabbatical leave plans of several Canadian universities was similar to that described by Ingraham. Given the present level of turnover in Canadian universities, under a steady state academic staff situation (no net new staff), on the average 10-16% of the staff could be eligible for leave in any one year. At a 50% participation rate, a university could find itself with 5%-8% of its staff on leave each year instead of the 2% reported by Ingraham. Some Canadian universities already have up to 11% of their staff on leave in a given year.

That situation has several ramifications, some positive and some negative. First some of the negative ramifications:

- (1) Departments may have more difficulty scheduling course offerings.
- (2) The university may not have adequate finances to provide the necessary replacements, thus requiring faculty to delay leaves.
- (3) Competition for travel and research funds from outside granting agencies may become stiffer, thus causing faculty increased difficulty in arranging support for leaves.

Now some of the positive namifications:

- (1) The concept of a leave as a tool to increase a university's flexibility may be strengthened.
- (2) The sabbatical leave may become an integral part of staff planning in universities.
- (3) University administrators may seek to improve leave plans in order to encourage higher participation rates.

Ingraham, M.H., The Outer Fringe, Appendix III, Table 57, p. 246.

²A Study of Sabbatical Leave Plans in Canadian Universities (Hamilton, Ont.: President's Office, McMaster University, 1969), unpublished study.

³See Appendix C, Table #12.

In order to provide data on the current use of sabbatical leave plans in universities in the countries listed earlier, especially Canadian universities, the Office of Institutional Research at McMaster University conducted the survey reported here. The goal underlying the study was to gain information that could be used by universities in assessing possible revisions to their leave plans in order to align them with the demands of the seventies.

The specific objective of the study was threefold:

- (1) To summarize data on sabbatical leave plans in selected Canadian universities.
- (2) To ascertain whether a shift had occurred in the plans in these universities as measured against the results a previous study (1969).
- (3) To compare the sabbatical leave plans in these universities with those in selected universities in several other countries.

Methodology

In view of the objective of the study, a sample was selected to provide data on groups of universities with which comparisons were intended. This rationale limited the sample to those Canadian universities responding to an earlier study (1969) and a subset of universities in certain other countries that could be described as prestigious, multi-purpose universities. A complete list of the 66 universities in the sample is contained in Appendix A. No attempt was made to make the sample representative of certain geographic, cultural, economic, etc. areas. Nor was stratifying done by type of control, size, etc.

Appendix B contains a copy of the questionnaire sent to each university in the sample. For the purpose of the summaries presented in this report, the countries in the sample were grouped as follows:

Group #1 Canada
Group #2 United States
Group #3 England, Northern Ireland, Scotland, Wales
Group #4 Australia and New Zealand

The rationale for this grouping was based on the academic traditions of the various countries, as well as the desire to obtain meaningful group sizes. Australia/New Zealand, Canada, England, and the US clearly

have their own unique academic traditions. While Northern Ireland, Scotland and Wales may also have their own unique traditions, the number of universities in those countries was too small to consider them as separate comparable groups. And in fact their academic origins are close to those in England. Thus a "Great Britain" grouping was used. Academic folklore suggests that leave plans in Australia and New Zealand are superior to those anywhere else in the free world since faculty from those countries have to travel so far to be anywhere else.

The following section describes the results of the survey and general conclusions derived from those results. The reader should interpret the results and conclusions in the light of the inherent difficulties in such a survey. Obviously the reliabilities of the results vary among the questions for a given institution and among the institutions for a given question. For example, misunderstanding by the respondent re Question 2 would be difficult. However, on Question 1 it would be relatively easy because of the different terminology and academic traditions in use in different institutions. With respect to those Canadian institutions in the sample, the reliability of response is likely to be higher than for, say, institutions from Great Britain for two logical reasons. First, the Canadian institutions had been sampled before and a continuing dialog about sabbatical leave plans developed between McMaster University and some of those universities. Second, the researcher knew personally persons and situations at several of the Canadian universities in the sample.

In view of these inherent problems in reliability, every effort was made to categorize ambiguous responses properly. If a categorization of a response to a given question was not apparent, the response was deleted from the summary. However, as an example of possible inherent errors, what one university calls a special retraining leave may be called a negotiated leave in another university. Therefore the results are presented in their totality rather than in the form of averages, significant tests for differences, etc.

Results and Conclusions

Appendix C contains a summary table for each question on the questionnaire. The number of the table in Appendix C corresponds to the number of the question on the questionnaire in Appendix B. The tables are largely self-explanatory. Therefore this section will focus on the highlights of the results, emphasising the similarities and differences in sabbatical leaverpractices, among the countries in the survey.

Completed responses were obtained from 58 of the 66 universities sampled (88%). The highest response rate (100%) was obtained from the Australia/New Zealand group, followed by Great Britain (93%), Canada (91%), and the US (75%).

Similarities among the four groups of countries

The length of service required prior to leave is still almost universally set at 6 years for a full year's leave. Some universities provide 6 months leave after 3 years' service. Universities on the quarter system have equivalent requirements stated in quarters. Everyone (with only one exception in the Great Britain group) expects persons to return after leave. This expectation is usually stated in university regulations related to the sabbatical leave plans. Faculty on leave are usually only replaced if the department cannot carry on its work without replacement. Most universities (except in the US) provide negotiated leaves for non-academic staff.

Differences among the four groups of countries

Apart from the similarities discussed in the previous section, striking differences among the groups of countries occur in several areas:

- (1) The use of retraining leaves as a form of sabbatical leave.

 Approximately half the universities in Canada and
 Great Britain have such special leaves, whereas
 none of the US and only one Australia/New Zealand
 university reported them.
- (2) Salary paid during regular sabbatical leave. The average in Canadian universities was approximately 90% for six months and 75% for twelve months. The US averages are 100% and 50% respectively. British universities usually pay 100% for everything, but on a very ad hocish basis with very informal regulations. Australia/New Zealand universities also usually pay 100%.
- (3) Travel expenses. Only the Australia/New Zealand universities regularly pay as a matter of policy travel expenses.

Results of the other aspects of the sabbatical leave plans investigated provided neither strong similarities nor marked differences. Thus the reader will have to study the tables and draw conclusions based on his or her own perspective.

General conclusions

The objective data reported here and the subjective inferences drawn during the survey suggest several general conclusions. These conclusions are presented in view of the specific objective of the study (see page 1).

Sabbatical leave plans in Canadian universities are not nearly so uniform as those in US universities or as those in Canadian universities were in 1969 (based on data presented here as compared with that obtained in the 1969 McMaster University survey referenced earlier). Present leave plans in Canadian universities are more like those in Great Britain in that they are becoming tailored to the needs of a given university(diversity) while still retaining their universality as an integral part of the life of a self-renewing community of scholars.

Plans in Canadian universities have become more formalized and better documented since 1969. More importantly they are becoming viewed as a tool for maintaining university flexibility.

The salary paid for full year leaves in Canadian universities has improved since 1969 and is now substantially better than in the US, but not as good as in Great Britain and not nearly as good as in Australia/New Zealand. The academic folkfore about the superiority of Australia/New Zealand sabbatical leave plans was borne out by the study. This superiority obviously has its roots in the need for faculty from those countries to travel abroad to pursue their scholarship.

Participation rates in all countries appear to be higher than those reported by Ingraham. This phenomenon is probably due to several reasons, among them more mature age-rank profiles, lower mobility, increased opportunities, the use of leaves as retraining opportunities, etc.

Clearly the importance of sabbatical leave plans in academe has, as a result of the many factors shaping institutions of higher education, increased and concomitantly affected many aspects of university programing. That trend will likely continue, especially if participation rates continue to rise.

APPENDIX A

LIST OF UNIVERSITIES SAMPLED

Canada

'Acadia University, Wolfville, Nova Scotia University of Alberta, Edmonton, Alberta University of Calgary, Calgary, Alberta Carleton University, Ottawa, Ontario Dalhousie University, Halifax, Nova Scotia University of Guelph, Guelph, Ontario Universite Laval, Quebec, Quebec University of Manitoba, Winnipeg, Manitoba Memorial University, St. John's, Newfoundland McGill University, Montreal, Quebec Universite de Montreal, Montreal, Coebec University of New Brunswick, Fredericton, New Brunswick Nova Scota Tech., Halifax, Nova Scotia Ontario Institute for Studies in Education, Toronto, Ontario Queen's University, Kingston, Ontario St. Francis Xavier University, Antigonish, Nova Scotia University of Saskatchewan, Saskatoon, Saskatchewan Simon Fraser University, Vancouver, British Columbia Sir George Williams, Montreal, Quebec University of Toronto, Toronto, Ontario University of Waterloo, Waterloo, Ontario University of Western Ontario, London, Ontario University of Windsor, Windsor, Ontario

United States

California Institute for Technology, Pasadena, California University of California at Berkeley, California University of California at Los Angeles, California University of Colorado, Boulder, Colorado Cornell University, Ithaca, New York Harvard University, Cambridge, Massachusetts University of Illinois, Urbana, Illinois

United States (continued)

Johns Hopkins University, Baltimore, Maryland
Massachusetts Institute of Technology, Cambridge, Massachusetts
University of Michigan, Ann Arbor, Michigan
State University of New York at Stoney Brook, New York
Ohio State University, Columbus, Ohio
University of Oklahoma, Norman, Oklahoma
University of Oregon, Eugene, Oregon
University of Pennsylvania, Philadelphia, Pennsylvania
Princeton University, Princeton, New Jersey
Stanford University, Stanford, California
University of Texas at Austin, Texas
University of Washington, Seattle, Washington
Yale University, New Haven, Connecticut

Great Britain

Queen's University, Belfast, Northern Ireland
University of Birmingham, Birmingham, England
University of Bradford, Bradford, England
University of Bristol, Bristol, England
University of Cambridge, Cambridge, England
University of Edinburgh, Edinburgh, Scotland
University of Glasgow, Glasgow, Scotland
University of Leeds, Leeds, England
University of London, London, England
University of Oxford, Oxford, England
University of St. Andrews, St. Andrews, Scotland
University of Sussex, Brighton, England
New University of Ulster, Coleraine, Northern Ireland
University of Wales, Cardiff, Wales
University of Wales Institute of Science and Technology, Cardiff, Wales

Australia and New Zealand

University of Adelaide, Adelaide, South Australia
University of Melbourne, Parkville, Victoria, Australia
Monash University, Clayton, Victoria, Australia
University of New South Wales, Kensington, New South Wales, Australia
University of Sydney, Sydney, New South Wales, Australia
University of Auckland, Auckland, New Zealand
University of Canterbury, Christchurch, New Zealand
Victoria University of Wellington, Wellington, New Zealand

SURVEY OF LEAVE POLICIES AND PROCEDURES IN SELECTED UNIVERSITIES

applies to non-academic staff. Attach another sheet to this form to record any additional comments.
(1) Type of leave available at your University:
Regular sabbatical leave Retraining leave
Special negotiated leave (2) Length of service required for eligibility for sabbatical leave
(3) Conditions pertaining to eligibility for retraining leaves and special negotiated leave. Please comment.
A reliance
(4) Percent of calary paid during leave: Regular sabbatical leave Retraining leave 6 Month Leave Full Year Leave
Special negotiated leave (5) Does an overall limit exist on the total funds available for leave in any one year? Yes No
(6) Does an overall limit exist on the number of faculty who may be on leave in any one year?
Please comment.
(7) Is the faculty member expected to return to the University after leave? Yes No (8) Is the faculty member required to report on the leave activities upon return to the University? Yes No (9) What travel expenses or other allowances are provided for leaves? Please comment.
and the second s

13

		comment.		40.
			•	
	٠,			
	extent are faculty m	embers on sab	batical leave rep	laced? /Please
comment.	,			
	100	:	, "	
	been the participati hose eligible for lea			leaves (i.e., what
(13) Has this polan? Please co	participation rate ch comment if necessary Yes	y	No No	ent in the leave
	* * * * * * * * * * * * * * * * * * * *			
	•			5
(14) What leav	res are available to	senior non-ac	ademic staff? Plu	ease comment.
(14) What leav	es are available to	senior non-ac	ademic staff? Plu	ease comment.

SURVEY OF LEAVE POLICIES AND PROCEDURES IN SELECTED UNIVERSITES

A questionnaire (attached) was mailed to institutions, in Canada, the United States, Great Britain and Northern Ireland, and Australia and New Zealand. These countries have been grouped and numbered as follows:

Country	Group		Sample S	Size	,	No. of Un	ivs. Res	ponding
Canada	1		23				21	
United States	2 .		20			,	15	
Great Britain					. ,			*
& N. Ireland	3	,	. 15				14	1
Australia &								.)
N. Zealand	4 .		8	,	-		. 8	
			77				58	,

T	able i (Question #1)	TY	PE OF	LEAV	E AVA	ILABLE			,	
G	roup	Reg.	Sabb, L	eave	Ret	raining	Leave	Spec	ial Neg	oțiate	d Lv.
	1		18		· '	8		`.	20		,,.
	2		11	40		0		٠.	10		
`	3 .		5			3		. ,	12		
•	4		6			1			6	- 1	

Table II (Question #2) LFNGTH OF SERVICE REQUIRED FOR ELIGIBILITY FOR SABBS.

Group		No. of Univer	rsities	Length of Service	
1	*	13 1. 2 1 1 8		6 7 3/6 4/6 5/6	
, 3		1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1		6 quarters 6 4 3 3/6 6 terms	

LENGTH OF SERVICE (Continued)

Group	•	٠. ٨	- No. of Universitie	Es Length of Service
4-	٠,		3	3/6
			1	6/4½ 4/5/6
			1	varies

Table IV (Question #4)*
PERCENT OF SALARY PAID DURING LEAVE

A. Sabbatical Leave

Group		١	. IN	lo. of Univ	ersities	12 m	onth lea	ves 6	month leav	es
.1	¢',		* .	4			75 80		1	
	•			132			50 . 100	•		
		•	٠.	1	,	. 6	60			
				1			0-100 75-100			
							50-67			
	1			2			*	٠	100	
	,			1	,			,	70 80-100	
**		•	,	, 1					75-100	
. 2			11	10 10	•		100		. 100	
				1		,	67		75.	

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^{*}Responses to Question 3 not included as these took the form of comments on conditions pertaining to eligibility for retraining and special leaves, and they did not lend themselves to tabular presentation.

PERCENT OF SALARY PAID DURING LEAVE (continued) -- Sabbatical Leaves

Group	No. of Universities	12 months 6 months	3 months
3	3 3 1	100 100.	
4 .	No. of Universities	12 months 8 months	100 6 months
, ,	5 4 1	100	100

Special Negotiated Leave

Group	poordi		No. of	f Universities	12 month leaves
1,	* .	,		6 4 -	0 Negotiable
	. • , •	· . :		. 2	50 33 1/3
			*.	1	0-50 0-12 1 month for ea. yr. •
			L	1 .	50 after 4 yrs. 100 for 6 months
				1	0-100 80 for 6 mos. after 3 yrs.
. 2	· . <u>No</u>	. of Univers	ities	12 months	6 months
		. 2			100 50-67
		3		0 Negotiated 0-100	1/2
	• • •	. 1	,	50 50-100	1.

0-100 0 100

17

0-100

OIR-30 15 PERCENT OF SALARY PAID DURING LEAVE (Continued)--Special Neg. Leave

				• .
Group	1	No. of Universities	12 months	6 months
				^
. 4		. 2	. 0	100
		1	Ad Hoc	
1:	,	1 1	1 mo. pay	
			for ea. 6	
			mo. served .	. '
			1	
C. Retraining	Leave Grou	p 2 had none	(
			-	* *
. 1	•	2	100	
	,	. 2	. 50	
		- 2	0-100	
,		Ι' '	\$2000	
		1 .	$12\frac{1}{2}\%$ for ea.	
	•		yr. served	
		. 2 .		100
3 . '	J	2 '	100	
1		. 2		100
, *				
4	*	. 1	100	100
	Te	ble V (Question #5)		
OVER	ALL LIMIT O	N FUNDS AVAILABL	E IN ONE YEAR	
Group .	ILL LIMIT O		•	No s
Group .	,	Yes	1.	The state of the s
1		10		·** 11
. 2		2		11 .
3		3		8 .
4		· 6		2
v	· Tai	ble VI (Question #6)		
OVERAL	LL LIMIT ON		VE IN ONE YEAR	•
1.				
Group	Yes	No No	 No-Conditional 	illy
* 1	: 7	14	٠.	
2	2	6	6	
3	2	3 ,	8	
4	· 1		. 7	,
*		1- 177 (01 47)		
-	Tat	ole VII (Question#7)	TED APTER 1 E 4	
RETURN	OF FACULT	Y MEMBER EXPEC		VE -
Group		Yes	No	
	,	21		
2 *	,	15		
1 2 3 4		11	· · · 1	
4		. 8	:	
-				

Table VIII (Question #8). REPORT BY FACULTY MEMBER EXPECTED

<u>Group</u>	. ,	1"		**		Yes		,"	No (
1 '			 . *			11	•	w ", ",	- 10-	
2.						. 6 .		. ٢	. 6'	4
3		Д	 •		,	. 13			8	
4				•		°O'				

Table IX (Question #9) TRAVEL EXPENSES OR OTHER ALLOWANCES

G	roup		Yes .	<u>No</u> :	Negotiable
			• • • •	16	1
	1		. 3	10	1
	2			12	101
**	3	4	1	3	8
	4		ν, ,	-	

Table X (Question #10) LEAVES FOR ACADEMIC ADMINISTRATORS ARRANGED

Group	,	• •	Yes	No No	•	Negotiable
1 2		. /	11.	. 6		7 .
3 4	•	٠.	1 '	7 9		. 1 1

Table XI (Question #11) REPLACEMENT OF FACULTY ON LEAVES

		KLI	1'						
# Group	1		Not Replaced	In most cases Dept. carries load Usually only replaced if necessar					
1 •	٠	•	1			A .	18	`	
2		,	1 2	.0			.13	,	

PARTICIPATION RATE OF THOSE ELIGIBLE FOR SABBATICAL LEAVES

Group	,	80-90	<u>0</u>	70-79	50-69	25-49
12		2 *		1	2	2
.3		1	***	1	1	÷ .

% OF TOTAL FACULTY AWAY IN A YEAR

Group		0-4				5-9	,		10-	19
1	:*	^·	, x			3		`	2	
, 2	. '0	1.				-			1	1
3	٠.	 	1.			1			1	ĭ
. 4				,	11.	-	. :		1	•

Table XIII (Question #13)
CHANGE IN PARTICIPATION RATES A RESULT OF
POLICY CHANGE

Group		Yes		No No
1		. 4	,	7
2,	;	-		10
3		1 .		. 4
4	•	3		2

Table XIV(Question #14)
LEAVES FOR NON-ACADEMIC STAFF

Group			:	Yes-	-Negoti	ated		No	ä
1 2		^		,	- 15°			2 .	
3 -	· 5°	å	•		77	· .	. •	4	. 1