

Distribution of Effort Forms (DOE)

CHAPTER 8. Provost DOE / Definitions and Instructions

The Provost DOE form starts with the information block.

U N I V E R S I T Y   O F   K E N T U C K Y				
D01	Distribution of Effort Agreement			FY: 20xx/20xx
PROVOST				
=====				
Department No:	Tk:	Vers:	Assignment From:	To:
ID:	Name:	FI:	MI:	
HRS Pos Nbr:	Title:	Contract Basis:		
=====				

Fill in the faculty member's Department Number, Track, DOE Version, Assignment Period From and To, Social Security (ID) Number, Last Name, First Initial, Middle Initial, HRS Position Number, Faculty Title, and Contract Base (09,10,11,or 12).

Complete the Areas of Activity on the Distribution of Effort Agreement. There are five sections on the Provost DOE. Each section is preceded by instructions. This is where you apply the information from your meeting with the faculty member. Use your notes from that meeting and your supporting documentation.

SECTION I. SPONSORED AND NON-SPONSORED INSTRUCTION

Non-Sponsored Instruction

A. General Academic Instruction

This category includes instructional activities for academic credit courses applicable toward a post-secondary degree or certificate in an academic program or field of study. The courses are offered through a regular educational unit.

Courses. This subsection consists of effort devoted to formally scheduled teaching activities, such as lectures, labs, clinics, studios, discussions, etc., for all courses except those covered in subsection 2 below. The course levels are categorized as follows: 1) include 100-299 courses open to freshmen and/or sophomores; 2) include 300-499 classes open to juniors; 500-599 courses for which undergraduate or graduate credit may be awarded; and 800-999 courses leading to undergraduate professional degrees such as architecture; and 3) include 600-799 courses for which only graduate credit is awarded; and 800-999 College of Law courses. Do not include preparation and grading time, which is reported in Preparation and Curriculum Development.

Supervision of Theses, Dissertations, and Post-DOtoral Assignments. This subsection consists of effort devoted to supervisory activities for graduate students working on masters' theses or dOToral dissertations and for post-dOToral assignments in the educational unit.

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Estimate effort based on the actual number of committees on which the faculty member is serving and the actual number of students the faculty member is directing. This includes masters students registered in courses 748 and 768 and all dOToral students who are registered in 749 and 769. Include time devoted to both major students and students outside the department.

**B. Preparation and Curriculum Development**

This category includes those activities that directly support the formally scheduled teaching activities of the academic credit program. Include preparation and grading for current classes, such as development of syllabi, lectures, class materials, and assignments; and critiquing and grading student work. Also include course and curriculum development activities to improve, add to, or modify future instructional offerings of the academic programs, e.g., the preparation of computer-assisted instruction and self-instruction courses.

**C. Continuing Education**

This category includes those instructional activities that are noncredit and are therefore not applicable toward a post-secondary degree or certificate. These instructional activities may be offered either on or off campus and may be taken by either matriculating students or members of the general community. This section includes only those activities resulting in the award of institutional or individual Continuing Education Units (CEUs). Do not include overload assignments inside or outside the University for which the faculty member receives additional compensation.

**D. Student Guidance and Advising**

This category includes time spent in meetings to provide informal guidance and advising to: 1) students currently enrolled in courses which a faculty member is teaching; 2) students who are assigned as academic advisees; and 3) students involved in academic non-classroom activities which a faculty member is required to supervise, such as counseling supervision.

**Sponsored Instruction**

This category includes all separately budgeted and accounted for instructional activities as previously defined in Section I. Include instructional activities sponsored by federal and non-federal agencies and organizations. Include effort on a discrete separately budgeted instructional project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing.

NOTE: To be considered as part of a discrete separately budgeted sponsored project, the activity should actually be a part of the effort originally contemplated when the project was described or proposed for funding, or activity unforeseen when the project was initiated but found to be necessary in the course of the project in order to meet project goals. Effort related in a general way to the project, but not an integral part of it and not charged to it or any other separately budgeted project, should be included under one of the instructional functions.

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DETAILED EFFORT		
	Percent Effort	Hours (Optional)
Section: 1 INSTRUCTION		
NON-SPONSORED INSTRUCTION		
A. GENERAL ACADEMIC INSTRUCTION		
COURSES 100-299 _____	_____	_____
COURSES 300,400,500,800 & 900 _____	_____	_____
COURSES 600-799,LAW 800-999 _____	_____	_____
SUP THESES,DISS,& POST-DOC _____	_____	_____
B. PREPARATION AND CURR DEV _____	_____	_____
C. CONTINUING EDUCATION _____	_____	_____
D. STUDENT GUIDANCE-ADVISING ACT _____	_____	_____
SPONSORED INSTRUCTION		
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
Total Section: 1 INSTRUCTION _____	_____	_____

**SECTION II. RESEARCH**

**Individual, Non-Sponsored Departmental Research**

This category includes research and other creative activities. Include all research and development activities that are not separately budgeted and accounted for as Organized Research. Also include research activities funded from regular departmental accounts; individual scholarships, performances, and exhibitions; and other forms of research and creative activity.

**Organized Research**

This category includes all separately budgeted and accounted for research and development activities. Include research and development activities sponsored by federal and non-federal agencies and organizations, as well as activities separately budgeted by the institution through an internal allocation of institutional funds, e.g., Kentucky Tobacco Research Development Center projects, Research Committee Awards, and Biomedical Science Support Grant Awards.

Include activities involved in the training of individuals in research technique (commonly called research training), where such activities utilize the same facilities as other research and development activities, and where such activities are not included in the research function.

These research activities generally have a stated goal or purpose, and specific time periods as a result of a contract or specific institutional allocation of funds. Include committee activities that directly support the research program. Include effort on a discrete separately budgeted research

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project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing.

	Percent Effort	Hours (Optional)
Section: 2 RESEARCH		
NON-SPONSORED DEPARTMENTAL RES	_____.	_____
ORGANIZED RESEARCH		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
Total Section: 2 RESEARCH	_____.	_____

**SECTION III. SERVICE**

**Non-Sponsored Service**

**A. Public Service**

This category includes activities established and maintained by the institution to provide services to the general community or special sectors within the community due to the professional expertise of the faculty members. The primary intent of these programs is to provide services beneficial to groups and individuals outside of the institution.

These programs may be of incidental benefit to the faculty member, staff, or students, but the primary benefits should accrue to the general public. Instructional and research activities should be excluded from this activity center. Community education and recreation courses that do not result in the awarding of CEUs should be included here. Do not include overload assignments inside or outside the University for which the faculty member receives additional compensation.

**B. Service to the Academic Community**

This category includes activities conducted on behalf of the University or on behalf of the faculty member's academic discipline. Activities conducted on behalf of the University include appointed assignments such as serving on university committees; special assignments benefiting broad university or college objectives such as serving on the SACS Self-Study Steering Committee; elected assignments such as serving on the faculty senate; and other participation in University governance activities. However, do not report committee activities that are accounted for under instruction, research or public service.

Activities conducted on behalf of the faculty member's academic discipline may contribute to the professional development of the faculty member; however, the primary benefit of the

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activity should accrue to one's professional organization or academic discipline. Examples include serving as an officer, journal editing or reviewing, grant proposal reviewing, serving on organizational committees, and so forth.

**Sponsored Public Service**

This category includes all sponsored public service projects. Include effort on a discrete separately budgeted project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing.

	Percent Effort	Hours (Optional)
Section: 3 SERVICE		
NON-SPONSORED SERVICE		
A. PUBLIC SERVICE	_____.	_____
B. SERVICE TO ACAD COMMUNITY	_____.	_____
Types of Activities (list committees, special assignments, etc.)		
_____		
_____		
SPONSORED PUBLIC SERVICE		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
Total Section: 3 SERVICE	_____.	_____

**SECTION IV. ADMINISTRATION AND PROFESSIONAL DEVELOPMENT**

**Sector, College, and Departmental Administration**

This category includes activities that provide administrative support and management direction to the instruction, research, and service programs of the University. Include responsibilities such as vice-chancellor, college dean, associate dean, assistant dean, department chairperson, division head, or center director. Do not include activities for elected positions such as Faculty Senate Chair or positions related to committee work that is reported under Instruction, Research, or Service.

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**Personal Professional Development**

This category includes those activities that provide the faculty member with opportunities for increasing their professional growth and development, with the primary benefit going to the individual and then to the University. Examples of such activities include participation in professional organizations, meetings and conferences; in-service faculty education, retreats, and sabbatical leave; continuing education for both credit and noncredit purposes; and other scholarly faculty activities that are not reported as effort under Service to the Academic Community. Exclude civic, religious, social, political and other such activities in which faculty members might participate as citizens.

	Percent Effort	Hours (Optional)
Section: 4 ADM. & PROFESSIONAL DEVELOPMENT		
SECTOR, COLLEGE, & DEPARTMENTAL	_____.	_____
Brief description of admin activity		
_____		
_____		
PERSONAL PROFESSIONAL DEV		
SABBATICAL LEAVE	_____.	_____
OTHER NON-SPONSORED	_____.	_____
Total Section: 4 ADM. & PROFESSIONAL DEVELOPMENT	_____.	_____

**SECTION V. ANNUAL & AVERAGE WEEKLY HOURS OF EFFORT**

Estimate the total annual and average weekly hours of effort devoted to your University assignments as defined by the activity categories above. Annual hours are not mandatory. Average weekly hours are mandatory. Round off to whole numbers.

	Annual	Avg Weekly
Section: 5 ANNUAL & AVG WEEKLY HRS OF EFFORT	_____	_____



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The charges generated by the use of the “4” partial account symbol will be recorded on the Primary HRS Funding account number(s) reported on the faculty member's HRS 063 screen. The “4” partial must be replaced by a valid sponsored account as soon as the account is established. If the sponsored activity is not funded by a sponsored account, then the effort should be moved to a non-sponsored account by June of the fiscal year.

"Total % of Effort" Column

Enter the faculty member's total percent of annual effort associated with the particular sponsored account number. The percent of effort must be reported to the nearest hundredth (2 spaces).

“% Effort Charged” Column

Enter the faculty member's total percent of annual effort that should be charged to the particular sponsored account number. The percent of effort may be reported to the nearest hundredth (2 spaces).

“Cost Sharing 1 Account Number Only” Column

Enter the six (6) digit account number that should receive the cost sharing charges associated with the faculty member's corresponding sponsored account number. The cost sharing account numbers may be either a non-sponsored account number, a mandatory cost sharing account number or another sponsored (non-federal) account number. For more information concerning cost sharing see E-13-7 Chapter 31 of this manual.

It is rare that another sponsored account number is used in cost sharing. This procedure is only allowed if approved by both sponsors. If a sponsored account is to be used as cost sharing on a distribution of effort form, notify the Sponsored Projects Accounting Office prior to entering the form into the Faculty Effort System. Federal funds may not be used to cost share other federally funded accounts. The percent of effort recorded on the first cost sharing 1 account plus the percentage of effort charged to the account must equal the total percent of effort originally reported.

“Cost Sharing 2 Account Number Only” Column

If a portion of the cost sharing is going to be charged to a second account number, enter the six (6) digit account number that should receive the cost sharing charges. The cost sharing account numbers may be either a non-sponsored account number, a mandatory cost sharing account number or another sponsored (non-federal) account number. For more information concerning cost sharing see E-13-7 Chapter 31 of this manual.

It is rare that another sponsored account number is used in cost sharing. This procedure is only allowed if approved by both sponsors. If a sponsored account is to be used as cost sharing on a

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distribution of effort form, notify the Sponsored Projects Accounting Office prior to entering the form into the Faculty Effort System. Federal funds may not be used to cost share other federally funded accounts. The percentage on the cost sharing 2 account, plus the percentage on the cost sharing 1 account, plus the percentage charged directly to the original account must equal the total percentage originally reported.

**Non-Sponsored Account Number (lines 6 through 9)**

Enter the six (6) digit account number(s) if the faculty member will be engaged in any non-sponsored effort during the fiscal year

**Non-Sponsored Total % of Effort Column**

Enter the faculty member's total percent of annual effort that relates to the particular non-sponsored account number. The percent of effort must be reported to the nearest hundredth (2 spaces).

**Total % of Effort Column**

The percentage(s) of effort reported in the sponsored and non-sponsored sections of the Total % of Effort column must total 100%.

**FES PROCEDURES**

Once the original DOE form has been completed by the faculty member it should be returned to the appropriate business officer for data entry into FES.

If the original DOE form has been completed and signed by all responsible personnel and if no changes are made in the effort or data entered from the original form, then the original signed form may be attached to the DOE form printed from the FES while at status "40" and sent to the Sponsored Projects Accounting office.

If the original DOE form is received from the faculty member without the proper signatures or changes are made during entry into the FES, then the DOE form printed from the FES at status 40 must be returned to the faculty member for proper signatures before the form is forwarded to the Sponsored Projects Accounting office.

ALL properly signed DOE forms must be in the Sponsored Projects Accounting office by the first week in July in order to be processed on the July monthly payroll. Additional copies of the signed form should be maintained in the department/college office as appropriate. Additional versions that are processed during the fiscal year should follow the same procedures listed above and sent to the Sponsored Projects Accounting office by each established cut-off date.

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Additional Comments

The percents of effort reported in the individual effort blocks must be completed to the nearest hundredth of a percent (2 spaces).

The total spaces in all effort categories should be completed when applicable. Effort must total 100%.

The total sponsored percent(s) of effort recorded in the individual effort category blocks must equal the total sponsored percent(s) of effort reported in the payroll distribution block.

The total non-sponsored percent(s) of effort recorded in the individual effort category must equal the total non-sponsored percent(s) of effort reported in the payroll distribution blocks.

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**CHAPTER 9. University Library DOE / Definitions and Instructions**

The University Library DOE form starts with the information block.

U N I V E R S I T Y   O F   K E N T U C K Y				
D02	Distribution of Effort Agreement			FY: 20xx/20xx
University Libraries				
=====				
Department No:	Tk:	Vers:	Assignment From:	To:
ID:	Name:		FI:	MI:
HRS Pos Nbr:	Title:		Contract Basis:	
=====				

Fill in the faculty member's Department Number, Track, DOE Version, Assignment Period From and To, Social Security (ID) Number, Last Name, First Initial, Middle Initial, HRS Position Number, Faculty Title, and Contract Base (09,10,11,or 12).

Complete the Areas of Activity on the Distribution of Effort Agreement. There are five sections on the University Libraries DOE. Each section is preceded by instructions. This is where you apply the information from your meeting with the faculty member. Use your notes from that meeting and your supporting documentation.

**SECTION I. PRIMARY ASSIGNMENT**

**Non-Sponsored Activities**

This section includes all activities that make up the librarian's "professional duties," as described in Part A of the Annual Faculty Activities Report.

**A. Reference/Information Service**

This category encompasses all forms of direct public service, including assistance in the following areas: directional and reference questions, circulation, database search services, distance learning consultations, interlibrary loan, computer hardware/software, etc.

**B. Technical Support**

This category includes support activities such as cataloging, acquisitions, preservation and binding, collection maintenance, systems support, interlibrary loan processing, etc.

**C. Library Instruction**

This category includes public instruction in the use of library collections, facilities, services and computer-based information resources, hardware, and software. Include both design and development of instruction programs and their delivery. Do not include credit courses taught on overload or library instruction associated with staff training.

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D. Collection Development

This category includes all activities involved in the development of library collections, including liaison with colleges and departments, selection, fund management, etc.

E. Administrative Activities

This category is interpreted broadly to include all activities related to administration of a unit, department, or division of the library. Examples are staff training, internal reports, personnel management, performance reviews, record keeping for the unit, supervision, development, participation in academic department meetings representing the library, etc.

F. Other

This category includes only those primary assignment activities that do not fit into the categories A-E.

Sponsored Activities

This category includes all separately budgeted and accounted for professional librarian activities as previously defined in Section I. Include activities sponsored by federal and non-federal agencies and organizations. Include effort on a discrete separately budgeted project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing.

NOTE: To be considered as part of a discrete separately budgeted sponsored project, the activity should actually be a part of the effort originally contemplated when the project was described or proposed for funding, or activity unforeseen when the project was initiated but found to be necessary in the course of the project in order to meet project goals. Effort related in a general way to the project, but not an integral part of it and not charged to it or any other separately budgeted project, should be included under one of the primary assignment activities.

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DETAILED EFFORT		
	Percent Effort	Hours (Optional)
Section: 1 PRIMARY ASSIGNMENT		
NON-SPONSORED		
A. REFERENCE/INFORMATION SERVICE	_____.	_____
B. TECHNICAL SUPPORT	_____.	_____
C. LIBRARY INSTRUCTION	_____.	_____
D. COLLECTION DEVELOPMENT	_____.	_____
E. ADMINISTRATIVE ACTIVITIES	_____.	_____
F. OTHER PRIMARY ACTIVITIES	_____.	_____
SPONSORED PRIMARY ASSIGNMENT		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
Total Section: 1 PRIMARY ASSIGNMENT	_____.	_____

SECTION II. RESEARCH

Individual, Non-Sponsored Departmental Research

This category includes all research and development activities that are not separately budgeted and accounted for as Organized Research. Included are research activities funded from regular departmental accounts or individual scholarships and awards. Individual research efforts, such as those leading to publications and/or presentations, are included here.

Organized Research

This category includes all separately budgeted and accounted for research and development activities such as those sponsored by federal and non-federal agencies and organizations, as well as activities separately budgeted by the institution through an internal allocation of institutional funds, e.g., faculty research grants. Include in-kind participation in funded research activities. Include effort on a discrete separately budgeted research project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing.

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	Percent Effort	Hours (Optional)
Section: 2 RESEARCH		
NON-SPONSORED DEPARTMENTAL RES	_____.	_____
ORGANIZED RESEARCH		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
Total Section: 2 RESEARCH	_____.	_____

SECTION III. SERVICE

Non-Sponsored Service

A. Public Service

This category is limited to services provided to the community and drawing on the professional expertise of the faculty member. For example, membership in a civic club is not included, whereas volunteer work to organize or advise on a community group's library would be included. Efforts in the area are performed without compensation.

B. Institutional Service

Library Service. This category includes internal library activities which are not part of the primary assignment and which consume a measurable amount of effort. All committees, task forces, etc., which are external to the library should be included in University Service with the exception of participation in departmental faculty meetings when the librarian is representing the library.

University Service. This category includes activities such as University Senate, Senate committees, Area Committees, Ad Hoc University committees or task forces, advising University programs or projects, etc. Participation in academic departmental faculty meetings (as done by many branch or associate librarians) would not be included but could be factored into Section I. Primary Assignment. Include service on regular committees of departments or colleges, other than attendance at faculty meetings representing the library.

C. Professional Service

This category includes activities conducted on behalf of the faculty member's profession. These activities may contribute to the professional development of the faculty member; however, the primary benefit should accrue to one's professional or academic discipline.

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Examples include serving as an officer, journal editing or reviewing, grant proposal reviewing, serving on organizational committees, and so forth.

**Sponsored Public Service**

This category includes all sponsored public service projects. Include effort on a discrete separately budgeted project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing.

	Percent Effort	Hours (Optional)
Section: 3 SERVICE		
NON-SPONSORED SERVICE		
A. PUBLIC SERVICE		
_____	_____.	_____
_____	_____.	_____
B. INSTITUTIONAL SERVICE		
LIBRARY SERVICE		
_____	_____.	_____
_____	_____.	_____
UNIVERSITY SERVICE		
_____	_____.	_____
_____	_____.	_____
C. PROFESSIONAL SERVICE		
_____	_____.	_____
_____	_____.	_____
SPONSORED SERVICE		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
Total Section: 3 SERVICE	_____.	_____

**SECTION IV. PROFESSIONAL DEVELOPMENT**

This category includes those activities that provide faculty members with opportunities for increasing their personal professional growth and development.

**Sabbatical Leave**

Calculate anticipated sabbatical leave as a percent of effort for the assignment period.

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**Other Non-Sponsored**

Include all other activities that provide opportunities for increasing personal professional growth and development, with the primary benefit going to the individual and then to the University. Examples of such activities include participation in professional organizations (other than that accounted for in Section III.C -Professional Service); conference attendance; and continuing education. Excluded are civic, religious, social, political, and other such activities in which the librarian might participate as a citizen.

	Percent Effort	Hours (Optional)
Section: 4 PROFESSIONAL DEVELOPMENT		
PERSONAL PROFESSIONAL DEV		
SABBATICAL LEAVE	_____.	_____
OTHER NON-SPONSORED	_____.	_____
Total Section: 4 PROFESSIONAL DEVELOPMENT	_____.	_____

**SECTION V. ANNUAL & AVERAGE WEEKLY HOURS OF EFFORT**

Estimate the total and average weekly hours of effort devoted to your university assignments. Annual hours are not mandatory. Average weekly hours are mandatory. Round off to whole numbers.

	Annual	Avg Weekly
Section: 5 ANNUAL & AVG WEEKLY HRS OF EFFORT	_____	_____



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The charges generated by the use of the “4” partial account symbol will be recorded on the Primary HRS Funding account number(s) reported on the faculty member's HRS 063 screen. The “4” partial must be replaced by a valid sponsored account as soon as the account is established. If the sponsored activity is not funded by a sponsored account, then the effort should be moved to a non-sponsored account by June of the fiscal year.

"Total % of Effort" Column

Enter the faculty member's total percent of annual effort associated with the particular sponsored account number. The percent of effort must be reported to the nearest hundredth (2 spaces).

“% Effort Charged” Column

Enter the faculty member's total percent of annual effort that should be charged to the particular sponsored account number. The percent of effort may be reported to the nearest hundredth (2 spaces).

“Cost Sharing 1 Account Number Only” Column

Enter the six (6) digit account number that should receive the cost sharing charges associated with the faculty member's corresponding sponsored account number. The cost sharing account numbers may be either a non-sponsored account number, a mandatory cost sharing account number or another sponsored (non-federal) account number. For more information concerning cost sharing see E-13-7 Chapter 31 of this manual.

It is rare that another sponsored account number is used in cost sharing. This procedure is only allowed if approved by both sponsors. If a sponsored account is to be used as cost sharing on a distribution of effort form, notify the Sponsored Projects Accounting Office prior to entering the form into the Faculty Effort System. Federal funds may not be used to cost share other federally funded accounts. The percent of effort recorded on the first cost sharing 1 account plus the percentage of effort charged to the account must equal the total percent of effort originally reported.

“Cost Sharing 2 Account Number Only” Column

If a portion of the cost sharing is going to be charged to a second account number, enter the six (6) digit account number that should receive the cost sharing charges. The cost sharing account numbers may be either a non-sponsored account number, a mandatory cost sharing account number or another sponsored (non-federal) account number. For more information concerning cost sharing see E-13-7 Chapter 31 of this manual.

It is rare that another sponsored account number is used in cost sharing. This procedure is only allowed if approved by both sponsors. If a sponsored account is to be used as cost sharing on a

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distribution of effort form, notify the Sponsored Projects Accounting Office prior to entering the form into the Faculty Effort System. Federal funds may not be used to cost share other federally funded accounts. The percentage on the cost sharing 2 account, plus the percentage on the cost sharing 1 account, plus the percentage charged directly to the original account must equal the total percentage originally reported.

**Non-Sponsored Account Number (lines 6 through 9)**

Enter the six (6) digit account number(s) if the faculty member will be engaged in any non-sponsored effort during the fiscal year

**Non-Sponsored Total % of Effort Column**

Enter the faculty member's total percent of annual effort that relates to the particular non-sponsored account number. The percent of effort must be reported to the nearest hundredth (2 spaces).

**Total % of Effort Column**

The percentage(s) of effort reported in the sponsored and non-sponsored sections of the Total % of Effort column must total 100%.

**FES PROCEDURES**

Once the original DOE form has been completed by the faculty member it should be returned to the appropriate business officer for data entry into FES.

If the original DOE form has been completed and signed by all responsible personnel and if no changes are made in the effort or data entered from the original form, then the original signed form may be attached to the DOE form printed from the FES while at status "40" and sent to the Sponsored Projects Accounting office.

If the original DOE form is received from the faculty member without the proper signatures or changes are made during entry into the FES, then the DOE form printed from the FES at status 40 must be returned to the faculty member for proper signatures before the form is forwarded to the Sponsored Projects Accounting office.

ALL properly signed DOE forms must be in the Sponsored Projects Accounting office by the first week in July in order to be processed on the July monthly payroll. Additional copies of the signed form should be maintained in the department/college office as appropriate. Additional versions that are processed during the fiscal year should follow the same procedures listed above and sent to the Sponsored Projects Accounting office by each established cut-off date.

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Additional Comments

The percents of effort reported in the individual effort blocks must be completed to the nearest hundredth of a percent (2 spaces).

The total spaces in all effort categories should be completed when applicable. Effort must total 100%.

The total sponsored percent(s) of effort recorded in the individual effort category blocks must equal the total sponsored percent(s) of effort reported in the payroll distribution block.

The total non-sponsored percent(s) of effort recorded in the individual effort category must equal the total non-sponsored percent(s) of effort reported in the payroll distribution blocks.

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**Chapter 10. College of Agriculture / Definitions and Instructions**

The College of Agriculture DOE form starts with the information block.

U N I V E R S I T Y   O F   K E N T U C K Y				
D03	Distribution of Effort Agreement			FY20xx/20xx
College of Agriculture				
=====				
Department No:	Tk:	Vers:	Assignment From:	To:
ID:	Name:		FI:	MI:
HRS Pos Nbr:	Title:		Contract Basis:	
=====				

Fill in the faculty member's Department Number, Track, DOE Version, Assignment Period From and To, Social Security (ID) Number, Last Name, First Initial, Middle Initial, HRS Position Number, Faculty Title, and Contract Base (09,10,11,or 12).

Complete the Areas of Activity on the Distribution of Effort Agreement. There are six sections on the College of Agriculture DOE. Each section is preceded by instructions. This is where you apply the information from your meeting with the faculty member. Use your notes from that meeting and your supporting documentation.

**SECTION I. Instruction**

**Non-Sponsored Instruction**

**A. General Academic Instruction**

This activity center includes those instructional activities that may be applicable toward a post-secondary degree or certificate in an academic program or field of study. Included are instructional activities offered for credit through a regular educational unit.

Courses. This subsection consists of effort devoted to all courses including course preparation.

**B. Preparation and Curriculum Development**

This category includes those activities that directly support the formally scheduled teaching activities of the academic credit program. Include preparation and grading for current classes, such as development of syllabi, lectures, class materials, and assignments; and critiquing and grading student work. Also include course and curriculum development activities to improve, add to, or modify future instructional offerings of the academic programs, e.g., the preparation of computer-assisted instruction and self-instruction courses.

**C. Student Guidance - Academic Advising Activities**

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This activity center includes time spent in providing informal guidance and advising to students currently enrolled in courses which a faculty member is teaching, students who are assigned as academic advisees, and to students involved in academic non-classroom activities which a faculty member is required to supervise.

Lower Division. Academic advising of freshmen and sophomore level students.

Upper Division. Academic advising of junior and senior level students.

Graduate Level. Academic advising of graduate level students.

Sponsored Instruction

This activity center includes all separately budgeted and accounted for instructional activities as previously defined in Section I. Include instructional activities sponsored by federal and non-federal agencies and organizations. Include effort on a discrete separately budgeted instructional project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing.

NOTE: To be considered as part of a discrete separately budgeted sponsored project, the activity should actually be a part of the effort originally contemplated when the project was described or proposed for funding, or activity unforeseen when the project was initiated but found to be necessary in the course of the project in order to meet project goals. Effort related in a general way to the project, but not an integral part of it and not charged to it or any other separately budgeted project, should be included under one of the instructional functions.

*Distribution of Effort Forms (DOE)*

DETAILED EFFORT		
	Percent Effort	Hours (Optional)
Section: 1 INSTRUCTION		
NON-SPONSORED INSTRUCTION		
A. GENERAL ACADEMIC INSTRUCTION		
COURSES 100-299	_____.	_____
COURSES 300-599 & 800-899	_____.	_____
COURSES 600-799	_____.	_____
B. PREPARATION AND CURR DEV	_____.	_____
C. STUDENT GUIDANCE - ACAD ADV		
STUDENT GUID/ADV UNDERGRAD	_____.	_____
STUDENT GUID/ADV GRADUATE	_____.	_____
SPONSORED INSTRUCTION		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
Total Section: 1 INSTRUCTION	_____.	_____

**SECTION II. Research**

**Individual Non-Sponsored Departmental Research**

All research and development activities which are not Organized Research and consequently are not separately budgeted and accounted for. Included are research funded from regular departmental accounts, individual scholarships, performances and exhibitions and other forms of research creativity.

**Organized Research**

This activity center includes all separately budgeted and accounted for research and development activities. Include research and development activities sponsored by federal and non-federal agencies and organizations, as well as activities separately budgeted by the institution through an internal allocation of institutional funds, e.g., Kentucky Tobacco Research Development Center projects, Research Committee Awards, and Biomedical Science Support Grant Awards.

Include directing thesis and dissertation research and activities involved in the training of individuals in research technique (commonly called research training), where such activities utilize the same facilities as other research and development activities.

Include effort on a discrete separately budgeted research project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing. Include committee activities which support the research program, e.g., research committee, project review

***Distribution of Effort Forms (DOE)***

committee, search committee, Academic Area Advisory Committee, College Advisory Committee on Promotion and Tenure, etc.

	Percent Effort	Hours (Optional)
Section: 2 RESEARCH		
NON-SPONSORED DEPARTMENTAL RES	_____.	_____
ORGANIZED RESEARCH		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
Total Section: 2 RESEARCH	_____.	_____

**SECTION III. Public Service**

**Non-Sponsored**

This activity center includes activities established and maintained by the institution to provide services to the general community or special sectors within the community due to the professional expertise of the faculty member. The primary intent of these programs is to provide services beneficial to groups and individuals outside of the institution.

These programs may be of incidental benefit to the faculty member, staff employee, or students, but the primary benefits should accrue to the general public. Instructional and research activities should be excluded from this activity center. Activities in this section do not result in the awarding of CEUs.

**Sponsored**

This activity center includes all sponsored public service projects. Include effort on a discrete separately budgeted project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing. Include committee activities which support the extension, regulatory or diagnostic service programs, e.g., program development and advisory committees, Extension Area Advisory Committee, College Advisory Committee on Promotion and Tenure, etc.

**A. Cooperative Extension Service**

This activity includes those activities carried out by the University of Kentucky Cooperative Extension Service in cooperation with the U.S. Department of Agriculture.

*Distribution of Effort Forms (DOE)*

**B. Regulatory, Diagnostic, and Other Service Activities**

Time allocated to regulatory, diagnostic, or other programs.

	Percent Effort	Hours (Optional)
Section: 3 PUBLIC SERVICE		
NON-SPONSORED PUBLIC SERVICE	_____.	_____
SPONSORED PUBLIC SERVICE		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
A. COOPERATIVE EXTENSION		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
B. REGULATORY, DIAG, & OTHER		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
Total Section: 3 PUBLIC SERVICE	_____.	_____

**SECTION IV. Administration**

This activity center includes those activities providing administrative support and management direction to instructional programs and other programs that are not accounted for under Research or Public Service. Administrative activities must be funded by "2" ledger accounts. Briefly describe the activity, e.g., Senate Council, Graduate Council, Coordinator of Undergraduate Instruction, Director of Graduate Studies.

	Percent Effort	Hours (Optional)
Section: 4 ADMINISTRATION		
SECTOR, COLLEGE, & DEPT ADM		
Types of activity	_____.	_____
_____		
_____		
UNIVERSITY-WIDE ADMINISTRATION		
Types of activity	_____.	_____
_____		
_____		
Total Section: 4 ADMINISTRATION	_____.	_____

*Distribution of Effort Forms (DOE)*

**SECTION V. Sabbatical Leave**

Include time spent on sabbatical leave in this section.

	Percent Effort	Hours (Optional)
Section: 5 SABBATICAL LEAVE	_____.	_____

**SECTION VI. Annual & Average Weekly Service Hours**

Estimate the total and average weekly hours engaged in University activities. Annual hours are not mandatory. Average weekly hours are mandatory. Round off to whole numbers.

	Annual	Avg Weekly
Section: 6 ANNUAL & AVG WEEKLY HRS OF EFFORT	_____	_____



***Distribution of Effort Forms (DOE)***

but the sponsored account number has not been established in the University's accounting system, enter a "4" which is the symbol for the partial sponsored account number.

The charges generated by the use of the "4" partial account symbol will be recorded on the Primary HRS Funding account number(s) reported on the faculty member's HRS 063 screen. The "4" partial must be replaced by a valid sponsored account as soon as the account is established. If the sponsored activity is not funded by a sponsored account, then the effort should be moved to a non-sponsored account by June of the fiscal year.

**"Total % of Effort" Column**

Enter the faculty member's total percent of annual effort associated with the particular sponsored account number. The percent of effort must be reported to the nearest hundredth (2 spaces).

**"% Effort Charged" Column**

Enter the faculty member's total percent of annual effort that should be charged to the particular sponsored account number. The percent of effort may be reported to the nearest hundredth (2 spaces).

**"Cost Sharing 1 Account Number Only" Column**

Enter the six (6) digit account number that should receive the cost sharing charges associated with the faculty member's corresponding sponsored account number. The cost sharing account numbers may be either a non-sponsored account number, a mandatory cost sharing account or another sponsored (non-federal) account number. For more information concerning cost sharing see E-13-7 Chapter 31 of this manual.

It is rare that another sponsored account number is used in cost sharing. This procedure is only allowed if approved by both sponsors. If a sponsored account is to be used as cost sharing on a distribution of effort form, notify the Sponsored Projects Accounting Office prior to entering the form into the Faculty Effort System. Federal funds may not be used to cost share other federally funded accounts. The percent of effort recorded on the first cost sharing 1 account plus the percentage of effort charged to the account must equal the total percent of effort originally reported.

**"Cost Sharing 2 Account Number Only" Column**

If a portion of the cost sharing is going to be charged to a second account number, enter the six (6) digit account number that should receive the cost sharing charges. The cost sharing account numbers may be either a non-sponsored account number, a mandatory cost sharing account or another sponsored (non-federal) account number. For more information concerning cost sharing see E-13-7 Chapter 31 of this manual.

***Distribution of Effort Forms (DOE)***

It is rare that another sponsored account number is used in cost sharing. This procedure is only allowed if approved by both sponsors. If a sponsored account is to be used as cost sharing on a distribution of effort form, notify the Sponsored Projects Accounting Office prior to entering the form into the Faculty Effort System. Federal funds may not be used to cost share other federally funded accounts. The percentage on the cost sharing 2 account, plus the percentage on the cost sharing 1 account, plus the percentage charged directly to the original account must equal the total percentage originally reported.

**Non-Sponsored Account Number (lines 6 through 9)**

Enter the six (6) digit account number(s) if the faculty member will be engaged in any non-sponsored effort during the fiscal year.

**Non-Sponsored Total % of Effort Column**

Enter the faculty member's total percent of annual effort that relates to the particular non-sponsored account number. The percent of effort must be reported to the nearest hundredth (2 spaces).

**Total % of Effort Column**

The percentage(s) of effort reported in the sponsored and non-sponsored sections of the Total % of Effort column must total 100%.

**FES PROCEDURES**

Once the original DOE form has been completed by the faculty member it should be returned to the appropriate business officer for data entry into FES.

If the original DOE form has been completed and signed by all responsible personnel and if no changes are made in the effort or data entered from the original form, then the original signed form may be attached to the DOE form printed from the FES while at status "40" and sent to the Sponsored Projects Accounting office.

If the original DOE form is received from the faculty member without the proper signatures or changes are made during entry into the FES, then the DOE form printed from the FES at status 40 must be returned to the faculty member for proper signatures before the form is forwarded to the Sponsored Projects Accounting office.

ALL properly signed DOE forms must be in the Sponsored Projects Accounting office by the first week in July in order to be processed on the July monthly payroll. Additional copies of the signed form should be maintained in the department/college office as appropriate. Additional

*Distribution of Effort Forms (DOE)*

versions that are processed during the fiscal year should follow the same procedures listed above and sent to the Sponsored Projects Accounting office by each established cut-off date.

Additional Comments

The percents of effort reported in the individual effort blocks must be completed to the nearest hundredth of a percent (2 spaces).

The total spaces in all effort categories should be completed when applicable. Effort must total 100%.

The total sponsored percent(s) of effort recorded in the individual effort category blocks must equal the total sponsored percent(s) of effort reported in the payroll distribution block.

The total non-sponsored percent(s) of effort recorded in the individual effort category must equal the total non-sponsored percent(s) of effort reported in the payroll distribution blocks.

***Distribution of Effort Forms (DOE)***

**CHAPTER 11. Lexington Community College DOE / Definitions and Instructions**

The Lexington Community College DOE form starts with the information block.

U N I V E R S I T Y   O F   K E N T U C K Y				
Distribution of Effort Agreement   FY: 20xx/20xx				
Lexington Community College				
=====				
Department No:	Tk:	Vers:	Assignment From:	To:
ID:	Name:		FI:	MI:
HRS Pos Nbr:	Title:		Contract Basis:	
=====				

Fill in the faculty member's Department Number, Track, DOE Version, Assignment Period From and To, Social Security (ID) Number, Last Name, First Initial, Middle Initial, HRS Position Number, Faculty Title, and Contract Base (09,10,11,or 12).

Complete the Areas of Activity on the Distribution of Effort Agreement. There are five sections on the Lexington Community College DOE. Each section is preceded by instructions. This is where you apply the information from your meeting with the faculty member. Use your notes from that meeting and your supporting documentation.

**SECTION I. INSTRUCTION**

**Non-Sponsored Instruction**

**A. Academic Credit Instruction**

Instruction in all 100 and 200 college-level courses that may be applied as credit toward a post-secondary degree in an academic program or field of study.

**B. Developmental Credit Instruction**

Instruction in all courses below the collegiate level which are remedial in nature and are intended to give students the basic knowledge and skills they need in preparation for college-level course work.

**C. CEU Credit Instruction**

Instruction in any structured educational activity (not resulting in academic credit) sponsored by the college for the personal and professional development of individuals. All offerings must be related to the program of the college. The two categories are defined as:

Occupational and professional development programs are planned in response to an identified educational need for a specific target population. Programs may relate to specific

***Distribution of Effort Forms (DOE)***

jobs, professional licensure/certification requirements, economic development activities, etc. Content and instructional methodologies are structured to provide participants the opportunity to develop competencies necessary to meet completion standards. Individuals who meet standards earn individual CEUs.

Personal and community development programs are planned educational experiences for a diversified population (general public). Programs may relate to personal development of individuals or they may explore public issues (social, political, health, economic, educational, or environmental). Institutional CEUs are recorded.

**D. Preparation/Grading and Course/Curriculum Development**

Preparation/grading includes the development of syllabi, lectures, class/laboratory materials and assignments, and critiquing/grading. Course/curriculum development includes planning, development and revision of courses and curriculum.

**Sponsored Instruction**

All separately budgeted and accounted for instructional activities as previously defined. Include instructional activities sponsored by federal and non-federal agencies and organizations. Include effort on a discrete separately budgeted instructional project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing.

NOTE: To be considered as part of a discrete separately budgeted sponsored project, the activity should actually be a part of the effort originally contemplated when the project was described or proposed for funding, or activity unforeseen when the project was initiated but found to be necessary in the course of the project in order to meet project goals. Effort related in a general way to the project, but not an integral part of it and not charged to it or any other separately budgeted project, should be included under one of the instruction functions.

D E T A I L E D   E F F O R T		
	Percent Effort	Hours (Optional)
Section: 1 INSTRUCTION		
NON-SPONSORED INSTRUCTION		
A. NS ACADEMIC CREDIT INSTRUCTION	_____.	_____
B. NS DEVEL CREDIT INSTRUCTION	_____.	_____
C. NS CEU CREDIT INST/PROF,PER,DEV	_____.	_____
D. NS PREP/GRAD & COURSE/CURR DEV	_____.	_____
SPONSORED INSTRUCTION		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
Total Section: 1 INSTRUCTION	_____.	_____

**SECTION II. STUDENT GUIDANCE - ADVISING INSTRUCTIONAL ACTIVITIES**

*Distribution of Effort Forms (DOE)*

Non-Sponsored Advising

A. Assigned Advisees

Advising and career counseling for students who are your assigned advisees. Students may be enrolled in a transfer (pre-baccalaureate) program, a technical program leading to the Associate in Applied Science Degree, or they may be classified as non-degree or undecided.

B. Unassigned Advisees

Out-of-class assistance for students enrolled in your classes.

C. Other

Career-related counseling, testing services, advising noncredit students, and other academic advising which is not included in the above groups.

Sponsored Advising

All separately budgeted and accounted for advising activities as previously defined. Include activities sponsored by federal and non-federal agencies and organizations. Include effort on a discrete separately budgeted project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing.

	Percent Effort	Hours (Optional)
Section: 2 STUDENT GUID - ADVSNG INST ACT		
NON-SPONSORED ADVISING		
A. NS ASSIGNED ADVISEES	_____.	_____
B. NS UNASSIGNED ADVISEES	_____.	_____
C. NS OTHER	_____.	_____
SPONSORED ADVISING		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
Total Section: 2 STUDENT GUID - ADVSNG INST ACT	_____.	_____

*Distribution of Effort Forms (DOE)*

**SECTION III. COMMUNITY SERVICE AS RELATED TO THE PROGRAM OF THE COLLEGE**

**Non-Sponsored Service**

**A. Public/Community Service (External)**

Activities and services provided by the college to the general community or special sectors within the community due to the professional expertise of the faculty member. Examples include consultations, cultural events, science exhibits, career fairs, speakers' bureaus, and economic development assistance. The primary intent of these programs is to provide services beneficial to groups and individuals outside of the institution.

These programs may be of incidental benefit to the faculty member, staff employee, or students, but the primary benefits should accrue to the general public. Instructional activities that generate either individual or institutional CEUs should be included under CEU Credit Instruction in Section I.

**B. Academic Community Service (Internal)**

Activities providing institutional leadership and service for the college, Community College System, or University. Appointed assignments such as serving on standing or ad hoc committees, special project teams, special assignments and sponsorship of student organizations are included. Elected positions such as serving on the college academic council, Community College Senate, or UK Board of Trustees are included.

**Sponsored Community Service**

All sponsored community service projects. Include effort on a discrete separately budgeted sponsored project even if such effort is not charged to the project; e.g., mandatory, committed or voluntary cost sharing matching.

	Percent Effort	Hours (Optional)
Section: 3 COM SER RELATED TO COLL PROG		
NON-SPONSORED SERVICE		
A. NS PUBLIC COMMUNITY SERVICE	_____.	_____
B. NS ACADEMIC COMMUNITY SERVICE	_____.	_____
_____		
_____		
SPONSORED SERVICE		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
Total Section: 3 COM SER RELATED TO COLL PROG	_____.	_____

**SECTION IV. PROFESSIONAL DEVELOPMENT AND EDUCATIONAL LEADERSHIP**

*Distribution of Effort Forms (DOE)*

Non-Sponsored Professional Development and Educational Leadership

A. Professional Development

All activities that relate to the program of the college and that provide opportunities for professional growth and development. Examples of activities include participation in professional organizations, conferences, instructional evaluation, in-service faculty education, professional publications, recitals, sabbatical leave, enrollment in credit and noncredit continuing education, and other scholarly faculty activities. Civic, religious, social, political and other such activities in which the faculty member might participate as a citizen are excluded.

B. Educational Leadership (College, Division, Program, Area, Discipline, or Other Administration)

All activities that provide administrative support and management direction to the instructional and service programs of the college. Academic administration includes division chairpersons; program, area, or discipline coordinators; and other faculty members having administrative responsibilities.

Sponsored Professional Development and Educational Leadership

All sponsored administration. Include effort on a discrete separately budgeted sponsored project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing.

	Percent Effort	Hours (Optional)
Section: 4 PROFESSIONAL DEVELOPMENT		
NON-SPONSORED PROFESSIONAL DEV		
A. NS PROFESSIONAL DEVELOPMENT	_____.	_____
B. NS EDUCATIONAL LEADERSHIP ADM	_____.	_____
_____		
_____		
SPON PRO DEV & ED LEADERSHIP		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
Total Section: 4 PROFESSIONAL DEVELOPMENT	_____.	_____

*Distribution of Effort Forms (DOE)*

**SECTION V. ANNUAL & AVERAGE WEEKLY HOURS OF EFFORT**

Estimate the total and average weekly hours of effort devoted to your assignment. Annual hours are not mandatory. Average weekly hours are mandatory. Round off to whole numbers.

	Annual	Avg Weekly
Section: 5 ANNUAL & AVG WEEKLY HRS OF EFFORT	_____	_____

NOTE: For faculty appointment and promotion, the following four areas of activity are important: (1) teaching; (2) student guidance/advisory activities; (3) continuing education and community service; and (4) professional activities, educational leadership, and service (ARII-5.0-2).



***Distribution of Effort Forms (DOE)***

The charges generated by the use of the “4” partial account symbol will be recorded on the Primary HRS Funding account number(s) reported on the faculty member's HRS 063 screen. The “4” partial must be replaced by a valid sponsored account as soon as the account is established. If the sponsored activity is not funded by a sponsored account, then the effort should be moved to a non-sponsored account by June of the fiscal year.

**“Total % of Effort” Column**

Enter the faculty member’s total percent of annual effort associated with the particular sponsored account number. The percent of effort must be reported to the nearest hundredth (2 spaces).

**“% Effort Charged” Column**

Enter the faculty member’s total percent of annual effort that should be charged to the particular sponsored account number. The percent of effort may be reported to the nearest hundredth (2 spaces).

**“Cost Sharing 1 Account Number Only” Column**

Enter the six (6) digit account number that should receive the cost sharing charges associated with the faculty member’s corresponding sponsored account number. The cost sharing account numbers may be either a non-sponsored account number, a mandatory cost sharing account number or another sponsored (non-federal) account number. For more information concerning cost sharing see E-13-7 Chapter 31 of this manual.

It is rare that another sponsored account number is used in cost sharing. This procedure is only allowed if approved by both sponsors. If a sponsored account is to be used as cost sharing on a distribution of effort form, notify the Sponsored Projects Accounting Office prior to entering the form into the Faculty Effort System. Federal funds may not be used to cost share other federally funded accounts. The percent of effort recorded on the first cost sharing 1 account plus the percentage of effort charged to the account must equal the total percent of effort originally reported.

**“Cost Sharing 2 Account Number Only” Column**

If a portion of the cost sharing is going to be charged to a second account number, enter the six (6) digit account number that should receive the cost sharing (or matching) charges. The cost sharing account numbers may be either a non-sponsored account number, a mandatory cost sharing account number or another sponsored (non-federal) account number. For more information concerning cost sharing see E-13-7 Chapter 31 of this manual.

***Distribution of Effort Forms (DOE)***

It is rare that another sponsored account number is used in cost sharing. This procedure is only allowed if approved by both sponsors. If a sponsored account is to be used as cost sharing on a distribution of effort form, notify the Sponsored Projects Accounting Office prior to entering the form into the Faculty Effort System. Federal funds may not be used to cost share other federally funded accounts. The percentage on the cost sharing 2 account, plus the percentage on the cost sharing 1 account, plus the percentage charged directly to the original account must equal the total percentage originally reported.

**Non-Sponsored Account Number (lines 6 through 9)**

Enter the six (6) digit account number(s) if the faculty member will be engaged in any non-sponsored effort during the fiscal year.

**Non-Sponsored Total % of Effort Column**

Enter the faculty member's total percent of annual effort that relates to the particular non-sponsored account number. The percent of effort must be reported to the nearest hundredth (2 spaces).

**Total % of Effort Column**

The percentage(s) of effort reported in the sponsored and non-sponsored sections of the Total % of Effort column must total 100%.

**FES PROCEDURES**

Once the original DOE form has been completed by the faculty member it should be returned to the appropriate business officer for data entry into FES.

If the original DOE form has been completed and signed by all responsible personnel and if no changes are made in the effort or data entered from the original form, then the original signed form may be attached to the DOE form printed from the FES while at status "40" and sent to the Sponsored Projects Accounting office.

If the original DOE form is received from the faculty member without the proper signatures or changes are made during entry into the FES, then the DOE form printed from the FES at status 40 must be returned to the faculty member for proper signatures before the form is forwarded to the Sponsored Projects Accounting office.

ALL properly signed DOE forms must be in the Sponsored Projects Accounting office by the first week in July in order to be processed on the July monthly payroll. Additional copies of the signed form should be maintained in the department/college office as appropriate. Additional

*Distribution of Effort Forms (DOE)*

versions that are processed during the fiscal year should follow the same procedures listed above and sent to the Sponsored Projects Accounting office by each established cut-off date.

Additional Comments

The percents of effort reported in the individual effort blocks must be completed to the nearest hundredth of a percent (2 spaces).

The total spaces in all effort categories should be completed when applicable. Effort must total 100%.

The total sponsored percent(s) of effort recorded in the individual effort category blocks must equal the total sponsored percent(s) of effort reported in the payroll distribution block.

The total non-sponsored percent(s) of effort recorded in the individual effort category must equal the total non-sponsored percent(s) of effort reported in the payroll distribution blocks.

**Distribution of Effort Forms (DOE)**

**Lexington Community College Library DOE /  
Definitions and Instructions**

The Lexington Community College Library DOE form starts with the information block.

U N I V E R S I T Y   O F   K E N T U C K Y				
D02	Distribution of Effort Agreement			FY: 20xx/20xx
Lexington Community College Libraries				
=====				
Department No:	Tk:	Vers:	Assignment From:	To:
ID:	Name:	FI:	MI:	
HRS Pos Nbr:	Title:	Contract Basis:		
=====				

Fill in the faculty member's Department Number, Track, DOE Version, Assignment Period From and To, Social Security (ID) Number, Last Name, First Initial, Middle Initial, HRS Position Number, Faculty Title, and Contract Base (09,10,11,or 12).

Complete the Areas of Activity on the Distribution of Effort Agreement. There are five sections on the Lexington Community College Library DOE. Each section is preceded by instructions. This is where you apply the information from your meeting with the faculty member. Use your notes from that meeting and your supporting documentation.

**SECTION I. PRIMARY ASSIGNMENT**

**Non-Sponsored Activities**

This section includes all activities that make up the librarian's "professional duties," as described in Part A of the Annual Faculty Activities Report.

**A. Reference/Information Service**

This category encompasses all forms of direct public service, including assistance in the following areas: directional and reference questions, circulation, database search services, distance learning consultations, interlibrary loan, computer hardware/software, etc.

**B. Technical Support**

This category includes support activities such as cataloging, acquisitions, preservation and binding, collection maintenance, systems support, interlibrary loan processing, etc.

**C. Library Instruction**

This category includes public instruction in the use of library collections, facilities, services and computer-based information resources, hardware, and software. Include both design and

*Distribution of Effort Forms (DOE)*

development of instruction programs and their delivery. Do not include credit courses taught on overload or library instruction associated with staff training.

D. Collection Development

This category includes all activities involved in the development of library collections, including liaison with colleges and departments, selection, fund management, etc.

E. Administrative Activities

This category is interpreted broadly to include all activities related to administration of a unit, department, or division of the library. Examples are staff training, internal reports, personnel management, performance reviews, record keeping for the unit, supervision, development, participation in academic department meetings representing the library, etc.

F. Other

This category includes only those primary assignment activities that do not fit into the categories A-E.

Sponsored Activities

This category includes all separately budgeted and accounted for professional librarian activities as previously defined in Section I. Include activities sponsored by federal and non-federal agencies and organizations. Include effort on a discrete separately budgeted project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing.

NOTE: To be considered as part of a discrete separately budgeted sponsored project, the activity should actually be a part of the effort originally contemplated when the project was described or proposed for funding, or activity unforeseen when the project was initiated but found to be necessary in the course of the project in order to meet project goals. Effort related in a general way to the project, but not an integral part of it and not charged to it or any other separately budgeted project, should be included under one of the primary assignment activities.

Distribution of Effort Forms (DOE)

DETAILED EFFORT		
	Percent Effort	Hours (Optional)
Section: 1 PRIMARY ASSIGNMENT		
NON-SPONSORED		
A. REFERENCE/INFORMATION SERVICE	_____.	_____
B. TECHNICAL SUPPORT	_____.	_____
C. LIBRARY INSTRUCTION	_____.	_____
D. COLLECTION DEVELOPMENT	_____.	_____
E. ADMINISTRATIVE ACTIVITIES	_____.	_____
F. OTHER PRIMARY ACTIVITIES	_____.	_____
SPONSORED PRIMARY ASSIGNMENT		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
Total Section: 1 PRIMARY ASSIGNMENT	_____.	_____

SECTION II. RESEARCH

Individual, Non-Sponsored Departmental Research

This category includes all research and development activities, which are not separately budgeted and accounted for as Organized Research. Included are research activities funded from regular departmental accounts or individual scholarships and awards. Individual research efforts, such as those leading to publications and/or presentations, are included here.

Organized Research

This category includes all separately budgeted and accounted for research and development activities such as those sponsored by federal and non-federal agencies and organizations, as well as activities separately budgeted by the institution through an internal allocation of institutional funds, e.g., faculty research grants. Include in-kind participation in funded research activities. Include effort on a discrete separately budgeted research project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing.

Distribution of Effort Forms (DOE)

	Percent Effort	Hours (Optional)
Section: 2 RESEARCH		
NON-SPONSORED DEPARTMENTAL RES	_____.	_____
ORGANIZED RESEARCH		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
Total Section: 2 RESEARCH	_____.	_____

SECTION III. SERVICE

Non-Sponsored Service

A. Public Service

This category is limited to services provided to the community and drawing on the professional expertise of the faculty member. For example, membership in a civic club is not included, whereas volunteer work to organize or advise on a community group's library would be included. Efforts in the area are performed without compensation.

B. Institutional Service

Library Service. This category includes internal library activities which are not part of the primary assignment and which consume a measurable amount of effort. All committees, task forces, etc., which are external to the library should be included in University Service with the exception of participation in departmental faculty meetings when the librarian is representing the library.

University Service. This category includes activities such as University Senate, Senate committees, Area Committees, Ad Hoc University committees or task forces, advising University programs or projects, etc. Participation in academic departmental faculty meetings (as done by many branch or associate librarians) would not be included but could be factored into Section I. Primary Assignment. Include service on regular committees of departments or colleges, other than attendance at faculty meetings representing the library.

C. Professional Service

This category includes activities conducted on behalf of the faculty member's profession. These activities may contribute to the professional development of the faculty member; however, the primary benefit should accrue to one's professional or academic discipline.

**Distribution of Effort Forms (DOE)**

Examples include serving as an officer, journal editing or reviewing, grant proposal reviewing, serving on organizational committees, and so forth.

**Sponsored Public Service**

This category includes all sponsored public service projects. Include effort on a discrete separately budgeted project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing.

	Percent Effort	Hours (Optional)
Section: 3 SERVICE		
NON-SPONSORED SERVICE		
A. PUBLIC SERVICE		
_____	_____.	_____
_____	_____.	_____
B. INSTITUTIONAL SERVICE		
LIBRARY SERVICE		
_____	_____.	_____
_____	_____.	_____
UNIVERSITY SERVICE		
_____	_____.	_____
_____	_____.	_____
C. PROFESSIONAL SERVICE		
_____	_____.	_____
_____	_____.	_____
SPONSORED SERVICE		
ACCOUNT NBR _____	_____.	_____
ACCOUNT NBR _____	_____.	_____
Total Section: 3 SERVICE	_____.	_____

**SECTION IV. PROFESSIONAL DEVELOPMENT**

This category includes those activities that provide faculty members with opportunities for increasing their personal professional growth and development.

**Sabbatical Leave**

Calculate anticipated sabbatical leave as a percent of effort for the assignment period.

**Other Non-sponsored**

Include all other activities that provide opportunities for increasing personal professional growth and development, with the primary benefit going to the individual and then to the University. Examples of such activities include participation in professional organizations

***Distribution of Effort Forms (DOE)***

(other than that accounted for in Section III.C -Professional Service); conference attendance; and continuing education. Excluded are civic, religious, social, political, and other such activities in which the librarian might participate as a citizen.

	Percent Effort	Hours (Optional)
Section: 4 PROFESSIONAL DEVELOPMENT		
PERSONAL PROFESSIONAL DEV		
SABBATICAL LEAVE	_____.	_____
OTHER NON-SPONSORED	_____.	_____
Total Section: 4 PROFESSIONAL DEVELOPMENT	_____.	_____

**SECTION V. ANNUAL & AVERAGE WEEKLY HOURS OF EFFORT**

Estimate the total and average weekly hours of effort devoted to your university assignments. Annual hours are not mandatory. Average weekly hours are mandatory. Round off to whole numbers.

	Annual	Avg Weekly
Section: 5 ANNUAL & AVG WEEKLY HRS OF EFFORT	_____	_____



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The charges generated by the use of the “4” partial account symbol will be recorded on the Primary HRS Funding account number(s) reported on the faculty member's HRS 063 screen. The “4” partial must be replaced by a valid sponsored account as soon as the account is established. If the sponsored activity is not funded by a sponsored account, then the effort should be moved to a non-sponsored account by June of the fiscal year.

"Total % of Effort" Column

Enter the faculty member's total percent of annual effort associated with the particular sponsored account number. The percent of effort must be reported to the nearest hundredth (2 spaces).

“% Effort Charged” Column

Enter the faculty member's total percent of annual effort that should be charged to the particular sponsored account number. The percent of effort may be reported to the nearest hundredth (2 spaces).

“Cost Sharing 1 Account Number Only” Column

Enter the six (6) digit account number that should receive the cost sharing charges associated with the faculty member's corresponding sponsored account number. The cost sharing account numbers may be either a non-sponsored account number, a mandatory cost sharing account number or another sponsored (non-federal) account number. For more information concerning cost sharing see E-13-7 Chapter 31 of this manual.

It is rare that another sponsored account number is used in cost sharing. This procedure is only allowed if approved by both sponsors. If a sponsored account is to be used as cost sharing on a distribution of effort form, notify the Sponsored Projects Accounting Office prior to entering the form into the Faculty Effort System. Federal funds may not be used to cost share or match other federally funded accounts. The percent of effort recorded on the first cost sharing 1 account plus the percentage of effort charged to the account must equal the total percent of effort originally reported.

“Cost Sharing 2 Account Number Only” Column

If a portion of the cost sharing is going to be charged to a second account number, enter the six (6) digit account number that should receive the cost sharing charges. The cost sharing account numbers may be either a non-sponsored account number, a mandatory cost sharing account number or another sponsored (non-federal) account number. For more information concerning cost sharing see E-13-7 Chapter 31 of this manual.

It is rare that another sponsored account number is used in cost sharing. This procedure is only allowed if approved by both sponsors. If a sponsored account is to be used as cost sharing on a

***Distribution of Effort Forms (DOE)***

distribution of effort form, notify the Sponsored Projects Accounting Office prior to entering the form into the Faculty Effort System. Federal funds may not be used to cost share other federally funded accounts. The percentage on the cost sharing 2 account, plus the percentage on the cost sharing 1 account, plus the percentage charged directly to the original account must equal the total percentage originally reported.

**Non-Sponsored Account Number (lines 6 through 9)**

Enter the six (6) digit account number(s) if the faculty member will be engaged in any non-sponsored effort during the fiscal year

**Non-Sponsored Total % of Effort Column**

Enter the faculty member's total percent of annual effort that relates to the particular non-sponsored account number. The percent of effort must be reported to the nearest hundredth (2 spaces).

**Total % of Effort Column**

The percentage(s) of effort reported in the sponsored and non-sponsored sections of the Total % of Effort column must total 100%.

**FES PROCEDURES**

Once the original DOE form has been completed by the faculty member it should be returned to the appropriate business officer for data entry into FES.

If the original DOE form has been completed and signed by all responsible personnel and if no changes are made in the effort or data entered from the original form, then the original signed form may be attached to the DOE form printed from the FES while at status "40" and sent to the Sponsored Projects Accounting office.

If the original DOE form is received from the faculty member without the proper signatures or changes are made during entry into the FES, then the DOE form printed from the FES at status 40 must be returned to the faculty member for proper signatures before the form is forwarded to the Sponsored Projects Accounting office.

ALL properly signed DOE forms must be in the Sponsored Projects Accounting office by the first week in July in order to be processed on the July monthly payroll. Additional copies of the signed form should be maintained in the department/college office as appropriate. Additional versions that are processed during the fiscal year should follow the same procedures listed above and sent to the Sponsored Projects Accounting office by each established cut-off date.

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Additional Comments

The percents of effort reported in the individual effort blocks must be completed to the nearest hundredth of a percent (2 spaces).

The total spaces in all effort categories should be completed when applicable. Effort must total 100%.

The total sponsored percent(s) of effort recorded in the individual effort category blocks must equal the total sponsored percent(s) of effort reported in the payroll distribution block.

The total non-sponsored percent(s) of effort recorded in the individual effort category must equal the total non-sponsored percent(s) of effort reported in the payroll distribution blocks.

*Distribution of Effort Forms (DOE)*

CHAPTER 12. University of Kentucky Medical Center DOE  
Definitions and Instructions

The Faculty Activity Profile form and Medical Center Faculty Database

The Medical Center uses a somewhat different approach to process DOE information whereby the information is transferred electronically from the Medical Center's Faculty Database into FES. The process for gathering Distribution of Effort information begins with a form used by the Medical Center called the "Faculty Activity Profile". This form is the DOE source document for the Medical Center and contains additional information that is tracked within the Faculty Database, but not required by FES.

Each faculty member completes the Faculty Activity Profile form and returns it to the business officer or appropriate person designated within his/her college or department to process DOE information. Detailed instructions for completing the Profile are included with the form. After the completed Profile is received, the business officer then enters the information into the Faculty Database. Screens within the Database were designed around the Profile to allow for ease in data entry. Once all the information has been entered and the percentages have been approved, a final copy of the official DOE form should be printed from the Faculty Database. This is the form that is signed by the faculty member, the Chairperson, and the Dean.

Access to Faculty Database and FES

To obtain access to the Faculty Database, the new user will need to complete the MCIS Application for Computing Services Form. To obtain access to the FES, the new user needs to complete the request for Faculty Effort System (FES) Access form. Please follow procedures for Establishing Faculty Effort System Security.

Printing the Profile from the Faculty Database

Go to the DOE Module and select the PENDING tab.

Select all rows in the pending status by: Clicking 'Select All' button in tool bar or going to the Data Edit menu and Select All

Once faculty members are selected, go to the Functions/Reports menu and select Print Profiles. You will be prompted for two pieces of info:

"Group profiles into one print job?" Click the YES button.

Specify any comments to be printed on the profile, e.g., "DRAFT 1999/2000 or 1999/2000 DOE Worksheet". This will be printed at the top of each profile. Click the Print button.

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Note: In March, on the Faculty Database side, DOEs are automatically created for the new Fiscal Year (copied from current year). During the fiscal year, departments will need to create DOEs for new faculty as needed.

FES Concepts

The FES system permits multiple DOEs to be created for a faculty member within a fiscal year. Each new DOE within a fiscal year is called a “version” and has a Version Number. The version numbers are assigned sequentially. All faculty will have the same sequence of versions as follows:

Versions

00 Default DOE is set to 100% instruction, 100% payroll distributed to the deferred account. This version is created automatically by FES, based on the HRS assignment. (Only Prime Assignments with appropriate job class codes will result in a Version 00 DOE being generated. See Table in Section 13.4) The default DOE insures that the payroll is distributed should the “real” DOE not be entered on time.

01 Initial DOE. This is the new year version of the DOE.

02+ DOE changes. Any changes to payroll or effort throughout the year are accomplished by creating a new version.

Tracks

A DOE track is associated with a faculty member’s position for a fiscal year. The majority of faculty will only require one track for a fiscal year, but if in mid-fiscal year, a faculty member changes departments or changes position numbers within a department, then a new track is automatically generated by FES. This enables new effort and payroll charges to be distributed over the effective period of the track.

DOE Forms

Each University Sector has a slightly different DOE. The definition of the DOE, i.e. what categories of effort are reported, is called a “Form” in FES. These forms determine what the data entry screens are like in FES and the format of the printed DOE.

As stated previously, the Medical Center form definition on FES does not reflect all the detail information that is maintained in the Medical Center Faculty database.

Processing Initial DOEs or DOEs Requiring a Track Change

*Distribution of Effort Forms (DOE)*

Initial DOEs or those DOEs requiring a track change are to be created using the Faculty Database (see first section of Chapter 12 – The Faculty Activity Profile and Medical Center Faculty Database). An example of a track change is when a faculty member changes title series, departments, or colleges. MCIS runs the upload program from the Faculty Database to FES at 4 p.m. each day. If an initial DOE or a track change is added to the faculty database after 4 p.m., it is as if the DOE was entered the next day, and the DOE will not be uploaded until the following day.

Version 01 (Initial) DOEs

Create Version 01 DOEs in the Faculty database

- Enter the detail effort and payroll distribution on the Faculty Database.
- Print the draft profiles and DOEs and obtain faculty and chair approval of drafts.

Set DOE to upload status

- When the DOE is error-free, go to the Functions/Reports menu and select ‘Upload to FES’. This will move the DOE to the Upload tab. Uploads occur nightly at 4 p.m.
- The upload program sends all DOEs set to “Upload” status to FES.
- DOEs will load only if a Version 00 exists in FES for the faculty member. In FES, Version 00 DOEs are created based on HRS assignments. Therefore, if the faculty member does not have an active assignment in HRS, the DOE will not load to FES.
- In March on the FES side, version 00 DOEs are created for new year, based on existing HRS faculty. During the fiscal year, the Pre-alert program creates version 00 DOEs for HRS assignments for the payroll month.
- If the upload fails, the DOE is set to “Return to Dept” status in the Faculty Database and a message will be available on the Database for the user to see.
- If the upload succeeds, the DOE is set to “FES Work” status in the Faculty Database.

TIP: Since DOEs only load once to FES, don't upload until the faculty and chair approve. Otherwise, you will have to make corrections directly in FES.

Corrections or Changes After Upload

If you upload the DOE and then discover there needs to be a change, you have two options:

1. Delete the DOE from FES, make the change in the Faculty Database, and re-upload.
2. Make the change directly in FES, then wait until the next day and adjust the Faculty Database to be in sync with the FES changes.

Either option is acceptable and the option you choose may depend on the extent of the changes that need to be made. For example, Option 2 is best for simple account number changes whereas Option 1 is recommended for significant changes in effort.

Validating Uploaded Information

It is very important for you to validate that the information that transmitted to FES is accurate. Wait until the day following the upload, then go to FES Screen P46.

1. On screen P46, press the ENTER key to cause FES validation of the payroll distribution. (FES validations insure that the account dates cover the effort charged.)
2. If there are any errors in the payroll distributions, corrections must be made.
3. Once the payroll distribution is validated, then press function F11 to create monthly distribution.
4. Optionally, users can enter the estimated annual salary and see the monthly account projections on screen P47.
5. In FES, change the Status to 'Submit for Signature', indicating that the DOE is ready for a final print.
6. Go to screen P48 and change the Status to '40 Submitted for Signature'.
7. Synchronization between FES and the Faculty Database occurs daily around 7 a.m. The "sync" program matches the Faculty Database DOE with FES data using the Track and Version Number.
8. If the FDB effort doesn't match the FES effort or accounts, the DOE is flagged in error. If this occurs, manually adjust the DOE in the Faculty Database to be in sync with FES.
9. To facilitate corrections, the FES effort amounts are displayed on the Faculty Database screens. Also, the FES Comparison Report can be used to identify errors and make corrections. Go to Functions/Report menu and Print FES Comparison Report.
10. Print the Final DOE from the Faculty Database. Note: The FES Status must be "40

*Distribution of Effort Forms (DOE)*

Submitted for Signature and the SyncStatus = 40 in order to print a final DOE.

11. After the faculty member and Chair have signed the DOE, the department sends the paper copy of the DOE to the Dean for signature.
12. In FES, change the Status to "Send to Sponsored Projects Accounting".

Finding the DOE in the Faculty Database

After the upload program runs (at 4 p.m.), the "uploaded" DOEs go into a special status and no longer appear in the Upload Tab. When they're in this special status, you can query for them under the All DOEs tab, but you cannot modify them or set them back to 'Dept'. The morning after the upload occurs, the synchronization program checks to determine what was uploaded to FES. DOEs that loaded are moved by the program to the FES-work tab. Those that did not load are moved to the Return Dept tab.

If you cannot determine which tab a DOE is in, go to the All DOEs tab and run a query. Scroll to the right and look for the Medical Center Status column. This will tell you what status (and, therefore, which tab) the DOE is in on the Medical Center side. The DOEs that are between Upload and FES-work will have a status of "CONF" which stands for "confirm upload". There is no tab that corresponds to this status.

Using the Faculty Database and FES together

The Faculty database approval process, particularly the final printing process, must be coordinated with the FES Status values. A final DOE cannot be printed from the Faculty Database until the DOE is validated in the FES system through Status '40'. In addition, the effort detail information and payroll distribution data must be perfectly synchronized between the two systems before a final DOE is printed. To insure this synchronization with FES, the DOE is uploaded to FES only once, and all further modifications that occur in FES are synchronized back to the Faculty Database. The DOE screens in the Faculty Database enable you to control the upload and synchronization process.

Clinical Departments with faculty who are 8/8 VA need to complete the Faculty Distribution of Effort Agreement for VA eights.

Processing FES/DOE Versions 02 and Above

To generate a DOE Version 2 or above, begin on the FES side and follow the steps below.

Go to FES Screen P40.

- If the faculty member has an active version and does not have a version "in progress", select the faculty member and press the Enter key and continue to screen P41.
- If the faculty member has a version "in progress" and the status is '40' or below, and you would like to continue using this version, select the faculty member, press the Enter key and

*Distribution of Effort Forms (DOE)*

continue on to screens P43 and P46.

Go to screen P41 to add new version of DOE.

- Make a note of the total annual hours and average weekly hours because the system does not retain this information.
- Change version from current version number to the next version number (if currently at 01, change to 02) and press the Enter key.
- Copy the previous DOE by going to the DOE Version box located in the middle of the screen and change Detailed Effort Lines and Payroll Distribution Block to Y for Yes.
- Add total annual hours and average weekly hours. Press Enter to save.

Go to screen P43 to modify effort. Enter the corrections.

- If new activity is being added, go to screen P42 and select the activity. Return to screen P43 to modify the effort.

Go to screen p46 to distribute the funding.

- If the sponsored account was modified or a new sponsored account was entered, be sure to add the effort charged.
- Salary can also be added if the department would like to see how a faculty member's salary is distributed.
- Press Enter to complete the account validations and press F11 to create a monthly breakdown.

Go to screen P48 and set Status to '40'.

FES will be in sync with the Faculty Database (FES WORK tab) the next day around 7 a.m.

- The new effort and accounts will be copied into the Faculty Database from FES. However, detailed information not maintained in the FES form, such as courses, supervision, etc., will be copied from the prior DOE version in the Faculty Database.
- On the first screen of the DOE, please add comments indicating why the version was created. Specifically, what changed is not needed, but why the change was made is useful information. For example: "VA eights changed".

Print a hard copy using the "Print Change DOE" function. If only the funding is changing, the faculty member does not need to sign the DOE. However, if effort changes are being made, then both the faculty and Chair will need to sign. Once the DOE has been signed, forward it to the Dean's Office.

Once the college has reviewed and signed the DOE, the college will change it to Status '60'. A hard copy will be forwarded to the Sponsored Projects Accounting office and to the department.

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The Sponsored Projects Accounting office will review and set the Status to '70' for payroll.

PRE-ALERTS

The Pre-alert Program

The pre-alert job runs every Friday of the month, up to the first payroll trial date. One function of the pre-alert job is to create Version '0' DOEs for new faculty. Departments should create HRS assignments as early in the month as possible so they will exist by the time the first pre-alert job runs. If you miss getting the faculty added to HRS, you will have to wait a week until the pre-alert program is run again.

Pre-alert messages:

Pre-alert messages are available in the Faculty database. College-level users can manage the pre-alerts by setting a flag that the message has been reviewed and by adding comments. Department-level users can view pre-alerts and the notes made by the college.



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**Distribution of Effort Forms (DOE)**

special assignments, etc.) _____ _____		
<b>SPONSORED PUBLIC SERVICE</b>		
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
Total Section: 3 SERVICE	_____	_____

	Percent Effort	Hours (Optional)
Section: 4 ADM. & PROFESSIONAL DEVELOPMENT		
SECTOR, COLLEGE, & DEPARTMENTAL		
Brief description of admin activity _____	_____	_____
PERSONAL PROFESSIONAL DEV		
SABBATICAL LEAVE	_____	_____
OTHER NON-SPONSORED	_____	_____
Total Section: 4 ADM. & PROFESSIONAL DEVELOPMENT	_____	_____

	Annual	Avg Weekly
Section: 5 ANNUAL & AVG WEEKLY HRS OF EFFORT	_____	_____



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B. INSTITUTIONAL SERVICE	_____	_____
LIBRARY SERVICE	_____	_____
UNIVERSITY SERVICE	_____	_____
C. PROFESSIONAL SERVICE	_____	_____
SPONSORED SERVICE	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
Total Section: 3 SERVICE	_____	_____

	Percent Effort	Hours (Optional)
Section: 4 PROFESSIONAL DEVELOPMENT		
PERSONAL PROFESSIONAL DEV	_____	_____
SABBATICAL LEAVE	_____	_____
OTHER NON-SPONSORED	_____	_____
Total Section: 4 PROFESSIONAL DEVELOPMENT	_____	_____

	Annual	Avg Weekly
Section: 5 ANNUAL & AVG WEEKLY HRS OF EFFORT	_____	_____

Distribution of Effort Forms (DOE)

D03	UNIVERSITY OF KENTUCKY				
	Distribution of Effort Agreement		FY20xx/20xx		
	College of Agriculture				
=====					
Department No:	Tk:	Vers:	Assignment From:	FI:	To:
ID:	Name:			MI:	
HRS Pos Nbr:	Title:			Contract Basis:	
=====					

DETAILED EFFORT		
	Percent Effort	Hours (Optional)
Section: 1 INSTRUCTION		
NON-SPONSORED INSTRUCTION		
A. GENERAL ACADEMIC INSTRUCTION		
COURSES 100-299	_____	_____
COURSES 300-599 & 800-899	_____	_____
COURSES 600-799	_____	_____
B. PREPARATION AND CURR DEV		
C. STUDENT GUIDANCE - ACAD ADV		
STUDENT GUID/ADV UNDERGRAD	_____	_____
STUDENT GUID/ADV GRADUATE	_____	_____
SPONSORED INSTRUCTION		
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
Total Section: 1 INSTRUCTION	_____	_____

	Percent Effort	Hours (Optional)
Section: 2 RESEARCH		
NON-SPONSORED DEPARTMENTAL RES		
ORGANIZED RESEARCH		
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
Total Section: 2 RESEARCH	_____	_____

1. Full-time faculty must report 100% of their contract base related effort in the appropriate category of activity e.g. Instruction, Research, etc.

2. Full-time faculty must report related effort directly associated with grants, contracts, and/or general funds based upon budgeted, planned, or assigned work activity.

3. A DOE VERSION should be updated to reflect all effort changes associated with sponsored activity and/or a significant effort change in non-sponsored activity.

4. The people signing the DOE form are certifying the following: "We certify this form reasonably reflects the base salary activity for which the faculty member is compensated by the University."

FACULTY MEMBER \_\_\_\_\_ DATE: \_\_\_\_\_

DEPARTMENT CHAIR \_\_\_\_\_ DATE: \_\_\_\_\_

DEAN \_\_\_\_\_ DATE: \_\_\_\_\_

FES PAYROLL DISTRIBUTION BLOCK

SPONSORED ACCOUNT	TOTAL% EFFORT	%EFFORT CHARGED	*--- COST SHARE 1---*		*---COST SHARE 2---*	
			ACCNT.	EFFRT	ACCNT.	EFFRT
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
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_____	_____	_____	_____	_____	_____	_____
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**E. OFFICE OF THE TREASURER**

*E-13-3*

***Distribution of Effort Forms (DOE)***

ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
<b>B. REGULATORY, DIAG, &amp; OTHER</b>		
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
<b>Total Section: 3 PUBLIC SERVICE</b>	_____	_____

	Percent Effort	Hours
<b>Section: 4 ADMINISTRATION</b>	(Optional)	
SECTOR, COLLEGE, & DEPT ADM	_____	_____
Types of activity _____		
_____		
UNIVERSITY-WIDE ADMINISTRATION	_____	_____
Types of activity _____		
_____		
<b>Total Section: 4 ADMINISTRATION</b>	_____	_____

	Percent Effort	Hours
<b>Section: 5 SABBATICAL LEAVE</b>	(Optional)	_____

	Annual	Avg Weekly
<b>Section: 6 ANNUAL &amp; AVG WEEKLY HRS OF EFFORT</b>	_____	_____

Distribution of Effort Forms (DOE)

D04	UNIVERSITY OF KENTUCKY Distribution of Effort Agreement      FY: 20xx/20xx Lexington Community College				
=====					
Department No:	Tk:	Vers:	Assignment From:	FI:	To:
ID:	Name:			MI:	
HRS Pos Nbr:	Title:			Contract Basis:	
=====					

DETAILED EFFORT		
	Percent Effort	Hours
Section: 1 INSTRUCTION	(Optional)	
NON-SPONSORED INSTRUCTION		
A. NS ACADEMIC CREDIT INSTRUCTION	_____	_____
B. NS DEVEL CREDIT INSTRUCTION	_____	_____
C. NS CEU CREDIT INST/PROF,PER,DEV	_____	_____
D. NS PREP/GRAD & COURSE/CURR DEV	_____	_____
SPONSORED INSTRUCTION		
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
Total Section: 1 INSTRUCTION	_____	_____

	Percent Effort	Hours
Section: 2 STUDENT GUID - ADVSNG INST ACT	(Optional)	
NON-SPONSORED ADVISING		
A. NS ASSIGNED ADVISEES	_____	_____
B. NS UNASSIGNED ADVISEES	_____	_____
C. NS OTHER	_____	_____
SPONSORED ADVISING		
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
Total Section: 2 STUDENT GUID - ADVSNG INST ACT	_____	_____

1. Full-time faculty must report 100% of their contract base related effort in the appropriate category of activity e.g. Instruction, Research, etc.
  2. Full-time faculty must report related effort directly associated with grants, contracts, and/or general funds based upon budgeted, planned, or assigned work activity.
  3. A DOE VERSION should be updated to reflect all effort changes associated with sponsored activity and/or a significant effort change in non-sponsored activity.
  4. The people signing the DOE form are certifying the following: "We certify this form reasonably reflects the base salary activity for which the faculty member is compensated by the University."
- FACULTY MEMBER \_\_\_\_\_ DATE: \_\_\_\_\_
- DIVISION CHAIRPERSON \_\_\_\_\_ DATE: \_\_\_\_\_
- PRESIDENT \_\_\_\_\_ DATE: \_\_\_\_\_

FES PAYROLL DISTRIBUTION BLOCK						
=====						
SPONSORED ACCOUNT	TOTAL% EFFORT	%EFFORT CHARGED	*--- COST SHARE 1---*		*---COST SHARE 2---*	
			ACCNT.	EFFRT	ACCNT.	EFFRT
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**E. OFFICE OF THE TREASURER**

*E-13-3*

***Distribution of Effort Forms (DOE)***

<b>NON-SPONSORED SERVICE</b>		
A. NS PUBLIC COMMUNITY SERVICE	_____	_____
B. NS ACADEMIC COMMUNITY SERVICE	_____	_____
_____	_____	_____
<b>SPONSORED SERVICE</b>		
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
<b>Total Section: 3 COM SER RELATED TO COLL PROG</b>	_____	_____

	<b>Percent Effort</b>	<b>Hours</b>
<b>Section: 4 PROFESSIONAL DEVELOPMENT</b>		
<b>NON-SPONSORED PROFESSIONAL DEV</b>		
A. NS PROFESSIONAL DEVELOPMENT	_____	_____
B. NS EDUCATIONAL LEADERSHIP ADM	_____	_____
_____	_____	_____
<b>SPON PRO DEV &amp; ED LEADERSHIP</b>		
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
<b>Total Section: 4 PROFESSIONAL DEVELOPMENT</b>	_____	_____

	<b>Annual</b>	<b>Avg Weekly</b>
<b>Section: 5 ANNUAL &amp; AVG WEEKLY HRS OF EFFORT</b>	_____	_____

Distribution of Effort Forms (DOE)

D02	UNIVERSITY OF KENTUCKY			
	Distribution of Effort Agreement		FY: 20xx/20xx	
	Lexington Community College Libraries			
=====				
Department No:	Tk:	Vers:	Assignment From:	To:
ID:	Name:		FI:	MI:
HRS Pos Nbr:	Title:		Contract Basis:	
=====				

DETAILED EFFORT		
	Percent Effort	Hours (Optional)
Section: 1 PRIMARY ASSIGNMENT		
NON-SPONSORED		
A. REFERENCE/INFORMATION SERVICE	_____	_____
B. TECHNICAL SUPPORT	_____	_____
C. LIBRARY INSTRUCTION	_____	_____
D. COLLECTION DEVELOPMENT	_____	_____
E. ADMINISTRATIVE ACTIVITIES	_____	_____
F. OTHER PRIMARY ACTIVITIES	_____	_____
SPONSORED PRIMARY ASSIGNMENT		
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
Total Section: 1 PRIMARY ASSIGNMENT	_____	_____

	Percent Effort	Hours (Optional)
Section: 2 RESEARCH		
NON-SPONSORED DEPARTMENTAL RES		
ORGANIZED RESEARCH		
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
Total Section: 2 RESEARCH	_____	_____

1. Full-time faculty must report 100% of their contract base related effort in the appropriate category of activity e.g. Instruction, Research, etc.
2. Full-time faculty must report related effort directly associated with grants, contracts, and/or general funds based upon budgeted, planned, or assigned work activity.
3. A DOE VERSION should be updated to reflect all effort changes associated with sponsored activity and/or a significant effort change in non-sponsored activity.
4. The people signing the DOE form are certifying the following: "We certify this form reasonably reflects the base salary activity for which the faculty member is compensated by the University."

FACULTY MEMBER \_\_\_\_\_ DATE: \_\_\_\_\_

DEPARTMENT HEAD \_\_\_\_\_ DATE: \_\_\_\_\_

ASST. ASSOC.DIRECTOR \_\_\_\_\_ DATE: \_\_\_\_\_

DIRECTOR OF LIBRARY \_\_\_\_\_ DATE: \_\_\_\_\_

FES PAYROLL DISTRIBUTION BLOCK						
=====						
SPONSORED ACCOUNT	TOTAL% EFFORT	%EFFORT CHARGED	*--- COST SHARE 1---*	*---COST SHARE 2---*		
			ACCNT.	EFFRT	ACCNT.	EFFRT
_____	_____	_____	_____	_____	_____	_____
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_____	_____	_____				

**E. OFFICE OF THE TREASURER**

**E-13-3**

**Distribution of Effort Forms (DOE)**

B. INSTITUTIONAL SERVICE	_____	_____
LIBRARY SERVICE	_____	_____
UNIVERSITY SERVICE	_____	_____
C. PROFESSIONAL SERVICE	_____	_____
SPONSORED SERVICE	_____	_____
ACCOUNT NBR _____	_____	_____
ACCOUNT NBR _____	_____	_____
Total Section: 3 SERVICE	_____	_____

	Percent Effort	Hours (Optional)
Section: 4 PROFESSIONAL DEVELOPMENT		
PERSONAL PROFESSIONAL DEV	_____	_____
SABBATICAL LEAVE	_____	_____
OTHER NON-SPONSORED	_____	_____
Total Section: 4 PROFESSIONAL DEVELOPMENT	_____	_____

	Annual	Avg Weekly
Section: 5 ANNUAL & AVG WEEKLY HRS OF EFFORT	_____	_____