Instructions for Distribution of Effort Agreement

Date last maintained: May 23, 2014
Instructions for Distribution of Effort Agreement

These instructions refer to the collection of mission area effort percentages and payroll distribution cost objects and percentages which make up the Distribution of Effort (DOE) Agreement.

Data entry occurs in the Faculty Effort System (FES) client application (FESClient) by department administrative staff. From the FESClient, the DOE Agreement can be printed to paper or PDF document in draft or final form, as needed to support the review and approval process. The “faculty profile” report is optionally used by colleges as a collection instrument for detailed course contact hour information.

For information about DOE entry in the FESClient, contact Sponsored Projects Accounting.

Questions about the content of the DOE Agreement document generated from FESClient should be addressed to the college business officer. For faculty-related questions which cannot be addressed by the college business officer, please contact:

G.T. Lineberry
Associate Provost for Faculty Advancement and Institutional Effectiveness
205 Frazee Hall 0031
(859) 323-6589
gt.lineberry@uky.edu

PAYROLL DISTRIBUTION AND SIGNATURE PAGE

Weeks per Year, Average Weekly Hours, and Annual Hours:

Effective starting in fiscal year 2015, weeks per year, average weekly hours, and annual hours are no longer required and no longer appear on the Distribution of Effort Agreement forms printed from the Faculty Effort System for signature.

Colleges may optionally collect this information for internal reporting purposes. The estimated annual hours may also be used to verify percentages associated with contact hours per course. For more information see the section in this document titled Non-sponsored Instruction, General Academic Instruction. Fields for collection are provided on the Faculty Profile Worksheet, which can be printed from the Faculty Effort System.

If Annual and Average Weekly Hours of Effort are provided, use the following guide:
Estimate the total annual and average weekly hours of effort devoted to University assignments as defined by the activity categories of Instruction, Research, Public Service, Administration, and Professional Development. Round off to whole numbers.
Instructions for Distribution of Effort Agreement

Payroll Distribution Block

The faculty member’s effort is funded from sponsored cost objects (gifts, grants and contracts, cost share cost objects, or College of Agriculture state and federal cost objects) or non-sponsored cost objects (University general fund dollars).

a. Sponsored Cost Object(s)

Enter the appropriate cost object type, cost object number, and cost object name for the faculty member’s sponsored effort during the fiscal year. Enter the total effort associated with the cost object in the total percentage column. If a percentage of the total effort is cost shared, additional lines specifying the cost object(s) to be charged for sharing may be added.

If the faculty member anticipates sponsored effort during the fiscal year but the sponsored grant number has not been established in the University’s accounting system, enter the cost center assigned to the department (103701XXX) to designate expected funding. The expected cost object must be replaced by a valid sponsored cost object, as soon as the cost object is established. If the sponsored activity is not funded by a sponsored cost object, then the effort must be moved to a non-sponsored cost object by June of the fiscal year.

b. Non-Sponsored Cost Object(s)

Enter the cost object type, cost object number, and cost object name, if the faculty member will be engaged in any non-sponsored effort during the fiscal year.

c. Non-Sponsored Total % of Effort Column

Enter the faculty member’s total percent of annual effort that relates to the particular non-sponsored cost object. The percent of effort must be reported to the nearest 100th (2 decimal places).

Signatures

The version 1 DOE form must be signed by the faculty member, department chair or director, and dean. Subsequent changes to the detailed effort require the form be signed by the faculty member, department chair or director, and dean. Per UK policy, subsequent changes made to the payroll distribution require the business officer or department administrator signature. Individual colleges may have additional requirements.
Instructions for Distribution of Effort Agreement

All properly signed DOE forms must be submitted to 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 shall 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.

Additional Comments
The total lines 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.

Detailed Effort

Section I. Instruction

Non-sponsored Instruction

a. General Academic Instruction

This category includes instructional activities for academic credit courses applicable toward a post-secondary degree, certificate, or professional training in an academic program or field of study. The courses are offered through a regular educational unit. The instruction may be within or outside of the faculty member’s primary department.

Courses: This subsection consists of effort devoted to formally scheduled teaching activities such as lecture, laboratory, clinic, studio, discussion, and/or other preparatory/grading activities. Include clinical clerkships. Also include time for associated course committee work. Exclude instructional effort that primarily involves supervision, e.g., clinical and research supervision (reported in section I. b- Instructional Supervision and Advising).

Option I Entry: Enter instruction by the specific course number, with the percentage of effort for each course. Specify the course number, course title, effort percentage and optional additional description.
Instructions for Distribution of Effort Agreement

Option II Entry:
Enter instruction by course level. If the specific course number has not yet been determined, the effort may be recorded in a category as follows:
1) Undergraduate Lower Level Courses: 100-299 courses open to freshmen and/or sophomores;
2) Undergraduate Upper Level courses: 300-499 courses open to juniors; 500-599 courses for which undergraduate or graduate credit may be awarded; 800-999 courses leading to undergraduate professional degrees such as architecture;
3) Graduate Level courses: 600-799 courses for which only graduate credit is awarded;
4) First Professional Level courses: 800-999 courses leading to first professional degrees in colleges of Dentistry, Law, Medicine and Pharmacy.

If using the Faculty Profile Worksheet (instead of the blank or draft Distribution of Effort Agreement) as the collection instrument, optionally enter the following:

Contact hours: (1) Contact hours represent the number of hours of instruction, advising, or supervision in the year, regardless of how many students are present at any time. (2) The contact hours listed on the Activity Profile for each course equal the sum of formally scheduled contact hours with students and other instructional contact hours with students. (3) Preparation and grading hours are those non-contact hours associated with the course in the year, such as development of syllabi, lectures, class materials, and assignments; and critiquing and grading of student work.

Calculations: To calculate the “% of effort due to contact hours”, divide the sum of the two contact hours by the total number of hours worked in the year, then multiply by 100. To calculate the “% of effort due to preparation and grading” divide the hours of preparation and grading by the total number of hours worked in the year, then multiply by 100. The “Total % of effort” is the sum of “% of effort due to contact hours” and the “% of effort due to preparation and grading.”

b. Instructional Supervision and Advising

Directly related to degree instruction

This category includes time spent in meetings to provide both formal and informal guidance and academic advising to (1) students currently enrolled in courses taught by the faculty member, (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.
Instructions for Distribution of Effort Agreement

Include effort devoted to supervisory activities for graduate students working on theses or dissertations and for postdoctoral assignments in the educational/research unit. Include theses and dissertation committee membership. 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 supervision of students registered in courses 748, 749, 768, and 769 and other research supervision. Include only those parts of clinical or research effort that involve instructional supervision, i.e., where it incorporates preparation, grading, teaching, critiquing a dissertation, etc.

Report effort by student level: undergraduate, lower division (freshmen and sophomores); undergraduate, upper division (juniors and seniors); graduate students (master’s level); doctoral students; postdoctoral students and fellows; and interns, residents and other postgraduate clinicians.

Directly related to patient care

This category includes time spent in clinical supervision of interns and other post-graduate clinicians.

Report effort in two groups: 1) Students, e.g., medical, dental, nursing and 2) interns, residents and other postgraduate clinicians.

If using the Faculty Profile Worksheet (instead of a blank or draft Distribution of Effort Agreement) as the collection instrument, Report the number of students on a headcount basis per year. Report contact hours as the number of hours in the entire year.

c. Curriculum Development

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). Include curriculum committee work.

d. Continuing Education

This category includes those instructional activities that are non-credit 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
Instructions for Distribution of Effort Agreement

institutional or individual Continuing Education Units (CEUs). Do not include overload assignments within or outside the University for which the faculty member receives additional compensation.

e. Other Instruction and Education

This category includes only those activities that do not fit into the categories included in Section I., a-d. Examples may include high school student or visiting student summer experience relating to instruction, under the supervision of the faculty member.

Program Director
Program Director – Residency
Course Director (or course coordinator)
Other

f. Libraries – Primary Assignment

This section includes all activities (except administrative duties) that make up the librarian’s “professional duties,” as described in Part A of the Annual Faculty Activities Report.

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

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 courses taught on overload or library instruction associated with staff training.

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

Information Technology
This category covers all computer-related support including desktop computer
Instructions for Distribution of Effort Agreement

software and hardware support, server administration, systems administration, web site design and support, database design, programming, networking support, and digitization-related IT activities.

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

Administration (report in Section IV)
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, and participation in academic department meetings as library representative

Other Primary Activities
This category includes only those primary assignment activities that do not fit into any other category.

Sponsored Instruction

This category includes all instructional activities separately budgeted and accounted for, 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 sponsored 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 effort should be reasonable, allocable, and directly beneficial to the project goal. Effort related in a general way to the project should be included under one of the non-sponsored functions.

Section II. Research

Non-Sponsored 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;
Instructions for Distribution of Effort Agreement

and other forms of research and creative activity. Individual research efforts, such as those leading to publications and/or presentations, are included here.

Internally funded research  Three entry lines are provided to record effort on specific projects funded from regular departmental accounts, individual scholarships, etc. The internal account number may be recorded in the description.

Non-funded research  One entry line is provided to record effort on general or individual research efforts.

Sponsored 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 and competitively awarded by the institution through an internal allocation of institutional funds (such as 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 only those committee activities that directly support the research program. 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).

NOTE: To be considered as part of a discrete, separately budgeted, sponsored project, the effort should be reasonable, allocable, and directly beneficial to the project goal. Effort related in a general way to the project should be included under one of the non-sponsored functions.

Section III. Service

Non-Sponsored Service

a. Service to Public

This category includes activities established and maintained by the institution
Instructions for Distribution of Effort Agreement

to provide services to the general community or special sectors within the community. The primary intent of these programs is to provide services based on the faculty member’s professional expertise to benefit groups and individuals outside of the institution.

While these programs may be of incidental benefit to the faculty, staff, or student body, the primary benefit 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 within or outside the University for which the faculty member receives additional compensation.

b. Service to Profession

This category includes activities conducted on behalf of the faculty member’s academic discipline. While these activities may contribute to the professional development of the faculty member, the primary benefit of the activity should accrue to a professional organization or academic discipline. Examples include holding an office in a national or regional organization, serving as the editor of a journal, editing or reviewing journal articles, reviewing grant proposals, participating on external committees associated with the academic discipline, serving on editorial boards, and NIH study sections.

c. Service to Institution

*College and Department*

Include special assignments benefiting the college or department, such as attending department or college faculty meetings, service on college faculty committees, and elected service to the University Senate or its committees.

*NOTE: Library Service – This category also includes internal library activities which are not part of the primary assignment and which consume a measurable amount of effort. All committees, task forces, and other such activities that 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 Level*

This category includes activities directly in support of instruction, research, and/or public service conducted on behalf of the University, such as service as chair or member of the area committees, service on ad hoc University committees or task forces that have principally an academic orientation to their charge and purpose, service on the SACS Self-study Steering
Instructions for Distribution of Effort Agreement

Committee; and participation in University academic governance activities. However, do not report committee activities that are accounted for under Instruction, Research, Public service, or administration.

d. Patient Care Unrelated to Instruction

Include services to inpatients and outpatients.

- Direct Patient Care and Clinical Service
- Quality Assurance Activities
- Other Clinical Services
- Clinical Contract Work or Other Cash Income
- Hospital Physician Service for all Patients

Sponsored 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).

NOTE: To be considered as part of a discrete, separately budgeted, sponsored project, the effort should be reasonable, allocable, and directly beneficial to the project goal. Effort related in a general way to the project should be included under one of the non-sponsored functions.

NOTE: College of Agriculture - Include committee activities which support the extension, regulatory or diagnostic service programs (such as program development and advisory committees, Extension Area Advisory Committee, College Advisory Committee on Promotion and Tenure).

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.

b. Regulatory, Diagnostic, and Other Service Activities

Time allocated to regulatory, diagnostic, or other programs

Section IV. Administration

Non-Sponsored Administration
Instructions for Distribution of Effort Agreement

This category includes activities in which the faculty member provides significant administrative support and management direction for an administrative unit within the University structure. Include responsibilities such as associate or assistant provost, college dean, associate dean, assistant dean, department chair, division head, or center director, where the center is a significant, functional entity within the University (e.g., Graduate Program Centers, Markey Cancer Center). Do not include activities for elected positions such as Faculty Senate Chair or positions related to committee work reported under Instruction, Research, or Service (Under Section III. c-Service).

This category also includes activities in which the faculty member participates in non-academic committees that do not directly support instruction, research or public service. Include responsibilities such as those listed below. Apart from faculty in roles described in the preceding paragraph, the distribution of effort for this category should rarely exceed 20% effort.

a. College and Department
   Specify effort by these categories:
   
   Chair of academic department
   Vice Chair or equivalent
   Academic Division Director or Chief
   Other position - such associate dean or assistant dean
   Other administrative activities

b. University Level
   For example: Service on parking-ticket committee or building-and-grounds committee.

c. UK Health Care Enterprise
   For example: Service in an administrative position in the hospital.
   Specify effort by these categories:
   
   Clinical Division Director or Chief
   Medical Director
   Other position
   Other administrative activities

d. Fundraising (Private Gift Solicitation)
   Do not include sponsored project solicitations as fundraising.

Sponsored Administration

This category includes all sponsored administration. Include effort on a discrete separately budgeted project even if such effort is not charged to the project (e.g.,
Instructions for Distribution of Effort Agreement

mandatory, committed or voluntary cost sharing).

NOTE: To be considered as part of a discrete separately budgeted sponsored project, the effort should be reasonable, allocable, and directly beneficial to the project goal. Effort related in a general way to the project should be included under one of the non-sponsored functions.

Section V. Professional Development

This category includes those activities that provide the faculty member with opportunities for professional growth and development.

Non-Sponsored Professional Development

a. Sabbatical Leave

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

b. Other Leave or Development

Include all other activities that provide opportunities for 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. b-Service to Profession); conference attendance; in-service faculty education, and retreats; continuing education for both credit and non-credit purposes; armed forces leave, and other scholarly faculty activities not reported as effort under III. c -Service to Institution. Excluded are civic, religious, social, political, and other such activities in which the faculty member might participated as a citizen.

Sponsored Professional Development

This category includes all sponsored professional development. 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 effort should be reasonable, allocable, and directly beneficial to the project goal. Effort related in a general way to the project should be included under one of the non-sponsored functions.