## 2019-2020 DOE CALCULATION WORKSHEET
### INSTRUCTIONS FOR COMPLETION

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity</th>
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<tbody>
<tr>
<td>Mid-April</td>
<td>Faculty, Directors, and Chairs initiate DOE discussions based on Departmental process. These are to be completed in sufficient time for the Chair to prepare and submit electronic DOE documents to the Dean by the May 25 due date.</td>
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<tr>
<td>April 15- May 1</td>
<td>Division Director (? Future Department Chair) meets with faculty member to discuss the proposed DOE. Division Director meets with Associate Dean to review the programmatic needs of the unit and the proposed DOEs.</td>
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<td>May 10</td>
<td>Faculty member contacts Department Administrative Assistant (Gail Kelleher, Kristie Law) to schedule DOE meeting with Chair and/or DD for dates between June 04 – June 15.</td>
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<td>May 10</td>
<td>Final date for Chair to submit electronic Department DOE documents to the Dean, including: 1) summary DOE sheet for each Division/Program; 2) list of DOE items for discussion; 3) DOE worksheets for each faculty member to the Dean. (Samples will be provided)</td>
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<tr>
<td>May 13 – May 17</td>
<td>Chairs and Deans meet to discuss DOEs and any changes required.</td>
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<td>May 20 – May 31</td>
<td>Individual DD/Chair/Faculty DOE meetings conducted; decision about involvement of Directors in process decided at the Department level.</td>
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<tr>
<td>June 03 - June 14</td>
<td>Deans Office staff input final DOE worksheet into Effort Planning System (EPS) for approvals.</td>
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<td>June 03 - June 14</td>
<td>Deans Office staff will send PDF document for faculty to review and fix any errors before the approval process begins.</td>
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<tr>
<td>June 17 - June 21</td>
<td>Division Directors &amp; Department Chairs approve their faculty unit DOEs in EPS.</td>
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<tr>
<td>June 24 – June 28</td>
<td>Faculty member approves their DOE in EPS.</td>
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<tr>
<td>July 1 - July 12</td>
<td>Dean approves college DOEs in EPS.</td>
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<tr>
<td>July 15 - July 19</td>
<td>Office of Faculty Advancement will print final DOE with signatures for standard personnel files and scan to shared drive.</td>
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<tr>
<td>July 22 – July 26</td>
<td>Deans office staff will send faculty member signed DOE.</td>
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<tr>
<td>August 01</td>
<td>Chair submits final summary DOE sheet to Dean’s Office.</td>
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<tr>
<td>August 01</td>
<td>Process completed. Adjustments shall be made throughout the year for any change in DOE assignment exceeding 5%.</td>
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### GENERAL INSTRUCTIONS - PLEASE NOTE THERE ARE SOME SIGNIFICANT CHANGES THIS YEAR – Faculty should be encouraged to start with a new DOE Worksheet Template

- **IMPORTANT!** The Dean’s office does NOT keep electronic copies of DOE worksheets. The Department may keep electronic copies, but they are not obligated to do so. **Note that due to the change in summer session by the University, there is no longer Summer 1 and Summer 2. You will assign DOE time based on a July portion, and then the balance in May/June portion. We recognize that this may involve entering the same course twice but we will aggregate in the Deans office so that the correct data will be entered into the online system.**

- **IMPORTANT!!** Be sure to save your DOE Worksheet to your computer before entering or changing information. Otherwise, it may not be possible to save changes, and that is not fun!

- At any time during the year, notification of DOE adjustments greater than 5% will result in a modification of the DOE (e.g., changes in practice plan, teaching adjustments and/or new grant funding).
• For courses without a designated course number (i.e., iCATS and some other IPE courses), enter effort under OTHER INSTRUCTION.
• If faculty choose to use the 2019-2020 worksheet submitted last spring and make changes/corrections they need to make the adjustments stated above for summer session and be certain they are using a copy with the drop down menu in scholarship. In addition to these things, that should change the dates of the worksheet.
• You may enter information and make changes in content throughout the document EXCEPT for formulas. The formulas should remain locked. Some people have adjusted prior copies that are unlocked. In that case, calculations may not work. Again, using a new template this year would be best, but if using an adapted older version, please be certain the columns are calculating!
• You may add rows to any section to enter more courses or other activities as needed; do this in the same way you add rows to any MS Excel document. You may not add or expand columns.
• Complete each section accurately and completely as instructed and use the comment boxes liberally to explain proposed DOE adjustments or activities not covered by the worksheet.
• Exclude activities that are outside your workload that are not part of your regular assigned work duties (e.g., activities for which you receive overload pay). NOTE: Faculty members applying for overload, should review the process and complete the CHS Overload Form.

Base Commitment
For those areas that are not automatically computed or that do not have standards, you may need to calculate an approximate percent effort. In doing so, consider the information below regarding the number of work weeks with vacations and paid holidays excluded as shown below:
- 9 or 10-month faculty: 37 weeks
- 11-month faculty: 41 weeks
- 12-month faculty: 45 weeks

INSTRUCTION – Note that these are guidelines only, and adjustments may be used as described.

A. General Academic Instruction Assumptions
1. Standard Lecture Courses:
   - 1 credit hour lecture = 16 contact hours/semester
   - 3.8 hours of pre- and post-class preparation per contact hour
   - Variations should be determined based on specifics of class. There may be decreases or increases from the formula and these should be explained in the comments
   - DOE anticipated per 1 credit hour
     - 9 and 10-month = 4.2% of total DOE per credit hour
     - 11-month = 3.7% of total DOE per credit hour
     - 12-month = 3.4% of total DOE per credit hour
   - DOE should be adjusted accordingly for:
     - Excessively high (increase DOE) or low (decrease DOE) enrollment
     - Courses that are team taught (decrease individual DOE)
     - Faculty member serves as a course director, but not as sole instructor (decrease DOE)
     - Extended travel (increase DOE)
     - Delivery mode requiring considerable change in DOE
     - Heavy use of guest lecturers in the course (decrease DOE)
     - Multiple sections of same course (e.g., appropriate reduction in % for additional sections based on reduced preparation time)
2. Separate Laboratory Courses:
   - 1 credit hour of laboratory = 32 contact hours/semester
   - 1.5 hours of pre- and post-class preparation per contact hour
   - Variations must be negotiated on a case-by-case basis.
   - DOE expected per 1 credit hour
     - 9 and 10-month = 4.3% of total DOE per credit hour
     - 11-month = 3.9% of total DOE per credit hour

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12-month = 3.6% of total DOE per credit hour
DOE should be decreased accordingly for:
- Use of laboratory assistants
- Another faculty responsible for lab prep or grading

**NOTE:** Combination Lecture/Lab Courses should be adjusted based on criteria above (e.g., 2 hr lec/1 hr lab = 64 contact hours; 32 for 2 credits lecture and 32 for 1 credit lab).

3. **Clinical Courses**
- Justify percentage of DOE calculated based on actual hours involved.

**Instructions for Completing Form for General Academic Instruction:**

1. Under each semester heading, list each course you expect to teach. If you teach a course more than one semester, list the course each semester.
2. List each course by prefix and number
   - Enter the course title, credit hours, course type*, expected student enrollment, your roles**, and percent of course for which you are responsible in the appropriate columns.
     *Use pull-down menu to indicate course type as follows:
     - LEC=Lecture
     - RSD=Residency
     - CL/ROT=Clerkship & Rotations
     - LAB=Lab
     - PRA=Practicum
     - Other
     - L/L=Lecture & Lab
     - RES=Research
     - SEM=Seminar
     **Use pull-down menu to indicate your primary and, if appropriate, secondary roles in the course as follows:
     - SI=Sole Instructor
     - CD=Course Director
     - Co-I=Co-Instructor
     - GL=Guest Lecturer
     - LD=Lab Director
     - Other
     - LA=Lab Assistant
   - Formal contact hours = actual scheduled class meeting times
   - Other contact hours = instructional time outside formal meeting hours
   - Travel, prep and grading = all course effort excluding contact hours

B. **Instructional Supervision and Academic Advising Assumptions and Instructions**

1. Advising
   - Undergraduate students = 1 hour per semester per advisee
   - Professional degree students = 1 hour per semester per advisee
   - Master’s students
     - Non-thesis = 1 hour per semester per advisee
     - Thesis Chair = 25 hours per year per advisee
     - Thesis Committee = 5 hours per year per advisee
   - Doctoral students (use standard below or negotiate alternative with Chair)
     - Academic Advisor, pre-qualifying exam = 15 hour per semester per advisee
     - Academic Advisory Committee, pre-qualifying exam = 1 hour per semester per advisee
     - Dissertation Committee Chair = 50 hours per year per advisee
     - Dissertation Committee = 5 hours per year per advisee
   2. Exclude advising conducted as part of formally assigned position as DGS or Undergraduate Coordinator, etc. These are credited under Administration.
   3. When completing the worksheet, enter the # of students and total advising contact hours in the columns. For example, 2 master’s students thesis chair @ 25 hours per student = 50 total advising contact hours.

2. Curriculum Development
   - Includes 1) Development of new courses/programs; and 2) Major revision of existing courses/programs
   - Does not include customary updating or revision expected for every course
   - For each entry, indicate whether the activity is for a new course/program or major revision. Describe activity

3. Continuing Education
   - Exclude poster sessions and presentations as part of a professional conference; take credit under Research and Scholarship.
   - Continuing education you deliver – used for non-credit or CEU-generating activities. Include name, CE sponsor, dates, and your role in the CE activity.

4. Other Instruction and Education

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Calculate based on actual hours involved and explain. Sample activities include guest presentations, courses without established course numbers (e.g. iCATS) etc.

For clinical coordination only, include the administrative portion of clinical courses. Instruction for clinical courses should be included under A. General Academic Instruction.

5. Other Sponsored instruction

- Indicate % effort, project title, agency, your role, funding amount, funding period, and account #. Use the pull down menu to indicate your role as follows:
  - PI= Principal Investigator
  - Co-I=Co-Investigator
  - Co-PI = Co Principal Investigator (must be recognized Con/Col=Consultant/Collaborator as such by the funding agency; otherwise, use Co-I)
  - Other

RESEARCH AND SCHOLARSHIP

Assumptions:

1. All regular, special, and research title series faculty should have DOE allocated for research and scholarship. Percent of DOE allotted is based on title series, external funding, program needs, and faculty interests/proposed activities.
2. In all instances, the percent allocation, suitability of activities, and expected products are negotiated between the faculty member and the Chair in consultation with the Division Director.
3. Tenured regular title faculty are expected to have no more than 10% -30% DOE allocation in non-sponsored research and scholarship as follows:
   - 10% for publishing at least one refereed manuscript, a book chapter, or two refereed state, national, or international presentations
   - Faculty who commit to submitting a suitable grant proposal as PI or assume a significant role in preparing a grant proposal for submission as Co-PI may add an additional 5% for a total of no more than 30%
   - Any other DOE allocation is permitted only in consultation with the Chair.
4. Tenured and tenure track junior faculty in the Special Title Series will receive 10 % non-sponsored DOE allocation or more if negotiated with Department Chair.
5. Non-tenured faculty may have additional non-sponsored research and scholarship DOE depending upon title series and expectations for research agreed upon as part of the hiring negotiations. The faculty member is expected to focus upon those research and scholarly activities necessary for making appropriate progress toward promotion and tenure.
6. All sponsored research time will be included on the DOE. Mentoring post-doctoral students is included in this portion of the DOE. If a sponsored research project will be completed during the year, this should be considered during DOE preparation. (For example, a sponsored activity requiring 20% DOE allocation that ends mid-year should be considered at 10% DOE allocation).
7. Exclude reviewing manuscripts or serving as a journal editor or on editorial boards. (Take credit under Professional Service).

Instructions for Completing Form for Research and Scholarship:

1. Non-Sponsored Research, Scholarship and Creative Activities
   - Include a list/description of planned activities and projects and % effort. There are pull-down menus embedded in the excel file that match the Faculty Council Recommendations from May 2017 (Appendix 1).
   - NOTE: Be sure to state whether the activity will be completed in the first half or second half of the year – this is important to the Faculty Performance Review Process.
2. Sponsored Research, Scholarship and Creative Activities
   - For Sponsored Research, indicate % effort, project title, agency, your role, funding amount, funding period (including end date), and account #. Use the pull-down menu to indicate your role.
   - Policy modifications for research and scholarship effort allocations (approved May 2017) can be located at: https://www.uky.edu/chs/sites/chs.uky.edu/files/Non-Sponsored%20Research%20Policy%20Modifications.pdf

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SERVICE

Assumptions:
1. Service (excluding clinical practice) should be approximately 5%-8% and should not exceed 10% (excluding Practice Plan).
2. Service commitments greater than 10% MUST be negotiated with the Division Director and Department Chair.

Instructions for Completing Form for Service:
1. Service to public
   - Include only the service that is related to your professional expertise, e.g., consulting work or serving on a community board related to your expertise.
   - Exclude service due to your status as a community member only, e.g., civic or religious service.
   - Exclude community courses that result in the awarding of CEUs.
2. Service to profession
   - The primary benefit is to your professional organization or academic discipline, not to your own professional development (e.g., manuscript reviewer, service on editorial boards or NIH study sections, leadership office in professional organization).
3. Service to Institution
   - Include committee work, task forces, work groups, and so forth.
   - Exclude service to UK resulting from a formally assigned position, such as that of a department chair, DGS, DUS or Program Director. (Take credit under Administration).
4. Patient Care Unrelated to Instruction
   - Include Practice Plan commitment; clinical service related to UK Health Care contracts, etc.
5. Sponsored service
   - Indicate % effort, project title, agency, your role, funding amount, funding period, and account #. Use the pull down menu to indicate your role.

ADMINISTRATION

Assumptions:
1. Standard percentages of DOE
   - Chair – 30-49% as negotiated based on established parameters and other administrative DOE in unit
   - Program Director – 10-20% based on established parameters and other administrative DOE in unit
   - Director of Graduate Studies - 12%
   - Director of Undergraduate Studies – 20%
   - Other administrative duties - internally negotiated

Instructions for Completing Form for Administration:
1. Include activities that provide administrative support and management direction to instruction, research, and service programs of the University.
2. Include responsibilities associated with positions such as department chairperson, program director, center director, or clinic director. NOTE: Clinic Director is defined as one who oversees a clinical service unit.
3. Exclude activities such as Curriculum Committee Chair or Director of Clinical Education (take credit under Instruction)
4. Exclude activities related to committee work and accounted for under instruction, research or service.
5. Exclude activities for elected positions such as Faculty Senate Chair. (Take credit under Service).
6. For sponsored administration, indicate % effort, project title, agency, your role, funding amount, funding period, and account #. Use the pull down menu to indicate your role.
PROFESSIONAL DEVELOPMENT

Assumptions and Instructions for Completing Form:

1. With the exception of sabbatical leave, professional development should not exceed 2%, unless negotiated with Chair.
2. Include activities that promote faculty development (e.g. attending professional meetings; sabbatical leave).
3. For sabbatical leave, indicate beginning and ending dates.
4. Exclude activities for which credit is claimed in another section (e.g. research presentation).
5. For sponsored professional development, indicate % effort, project title, agency, your role, funding amount, funding period, and account #. Use the pull down menu to indicate your role.