

**2022-2023 DOE CALCULATION WORKSHEET
INSTRUCTIONS FOR COMPLETION**

Date	Activity
May 23-June 17	Faculty and Chairs initiate DOE discussions based on Departmental needs and constraints. These are to be completed in sufficient time for the Chair to prepare and submit electronic DOE documents to the Dean by the due date, so individual consultations should be held during this time.
June 24	Final date for Chair to submit electronic Department DOE documents to the Deans Office via the Chair drive, including: 1) DOE worksheets for each faculty member; 2) summary DOE sheet for each Department/Program; 3) Comments of items for discussion;
June 27-July 8	Chairs and Associate Dean for Faculty Advancement discuss DOE questions/concerns/recommendations. Reviewed with the Dean as indicated. All documents should be saved on the CHS Chair shared drive.
July 11-15	If there are changes from planning meeting , individual Chair/Faculty DOE meetings should be conducted to review final DOE. Otherwise not necessary.
July 18-29	Deans Office staff input final DOE worksheet into Effort Planning System (EPS) for approvals.
August 1-5	Deans Office staff will send PDF document for faculty to review and fix any errors before the approval process begins.
August 8-12	Department Chairs approve their faculty unit DOEs in EPS.
August 15-19	Faculty member approves their DOE in EPS.
August 22-26	Dean approves college DOEs in EPS.
August 29-September 2	Office of Faculty Advancement will print final DOE with signatures for standard personnel files and scan to shared drive.
September 5-16	Deans office staff will send faculty member signed DOE and update final summary sheets for each Department
September 30	Process completed. <u>Adjustments shall be made throughout the year for any change in DOE assignment exceeding 5%.</u>

GENERAL INSTRUCTIONS - PLEASE NOTE: Each faculty member will receive a correctly formatted DOE Worksheet from this past year. Please use this as your template for the coming year. Based on faculty input, decimal places will be automatically rounded in final columns.

- **IMPORTANT!** Recall that 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.
- Be sure to save your Draft 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. Likewise, for GUEST LECTURES in others' courses, enter the contact hours here rather than enter as a full course. Use your judgment for "guest lectures". If 8 or more hours in a single course, that may merit listing the course as a co-instructor.
- 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, please use the template that you are sent. If you use another 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 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 – This includes preparing the content, preparing and grading exams and projects, office hours, conferring with others.
 - 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 of LECTURE.
 - 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
 - Use of a teaching assistant for grading or teaching select lectures (decrease DOE)
 - Courses that are team taught (decrease individual DOE although TOTAL Course DOE will be higher)
 - **Example: 2 faculty team teaching a course – BOTH attend all lectures, but split “lead”**
 - Each faculty takes FULL number of contact hours
 - Each faculty takes prep hours in relation to the number of lecture or lab hours for which s/he is responsible.
 - Faculty member serves as a course director, but not as sole instructor (decrease DOE)
 - **Courses that have been going well and do not need significant revision (decrease prep time on DOE)**
 - Extended travel (increase DOE)
 - Heavy use of guest lecturers in the course (decrease DOE to account for decreased preparation)
 - Multiple sections of same course (e.g. appropriate reduction in % for additional sections based on reduced preparation time)
 - **If some of the hours are lecture and some are lab hours, subtract from the assigned lecture hours and calculate the lab hours as described below.**

2. Separate Laboratory Courses or Laboratory portions WITHIN a lecture course:

- 1 credit hour of laboratory = 32 contact hours/semester
- 1.5 hours of pre- and post-class preparation per contact hour
- **If you repeat the lab for two (or more) smaller sub-groups, you will have double (or more) the contact hours**

but possibly not the full additional pre-post. Explain this in the comment area.

- Example – 3 credit course with 32 lecture hours and 32 lab hours, but labs repeated twice for different groups of students
 - Total contact hours = 96
 - Total pre/post = $(32 \times 3.8) + (32 \times 1.5) + 32 \times 1 = 202$
- TOTAL FOR COURSE IN 11 MONTH = 14.56**

- Small variations are expected but larger variations must be negotiated with the Chair on a case-by-case basis.
 - DOE should be decreased accordingly for:
 - Use of laboratory assistants INSTEAD of primary faculty.
 - Another faculty or staff responsible for lab prep or grading
 - **NOTE:** Combination Lecture/Lab Courses should be adjusted based on criteria and example above
3. **Clinical Courses**
- Justify percentage of DOE calculated based on **actual** hours involved. NOTE: Clinical Coordinators should have time under Other Instruction related to this function.

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	
IND=Independent Study	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
L=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. This does NOT include general office hours, which are part of allowed travel, prep and grading but DOES include planned meetings with students for instructional purposes.
 - Example: As part of your course, the students have a group project. You plan to meet with each group once during the semester to assure milestones – this time would fall into other contact 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 (put numbers only, no need for names)
- Professional degree students = 1 hour per semester per advisee (put numbers only, no need for names)
- Master's students
 - Non-thesis = 1 hour per semester per advisee (put numbers only, no need for names)
 - Thesis Chair = 25 hours per year per advisee (May vary based on thesis) **Include name of student(s)**
 - Thesis Committee = 5 hours per year per advisee **Include name of student(s)**
- Doctoral students (use standard below **or negotiate alternative with Chair**) **Include name(s) of doctoral student(s)**

- Academic Advisor, pre-qualifying exam = 15 hour per semester per advisee
 - Academic Advisory Committee, pre-qualifying exam = 1-3 hours 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 Director of Undergraduate Studies, etc. These are credited under Administration.
 3. **Curriculum Development – This area is in lieu of building that time into the instructional time above, but COUNTS as instruction.**
 - 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 as part of preparation**
 - For each entry, indicate whether the activity is for a new course/program or major revision. Describe activity
 2. **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**
 - 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**, include the coordinating portion of clinical courses, including contracts, preceptor development, and preceptor recruitment.
 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 *sponsored* research time will be included on 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).
2. 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.
3. **In all instances, the percent allocation, suitability of activities, and expected products are negotiated between the faculty member and the Chair.**
 - See Appendix 1 imbedded below
4. 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.
5. 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 – see link).**
- 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>

SERVICE – NOTE – all Service should be discussed with Chair for approval prior to agreeing to serve

NON-CLINICAL

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 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, although it may contribute 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.
 - **Consider Organizational Citizenship as a category to include department meetings/retreats, college meetings, dossier reviews, writing recommendation letters, mandatory compliance, timely submission of DOEs, FPRs, CVs, nominations for committees or awards, etc. (~5% or as negotiated with Chair)**
 - **Other University and College Committees such as Senate, Faculty Council, APT, should be negotiated with Chair**
 - 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. Sponsored service
 - Indicate % effort, project title, agency, your role, funding amount, funding period, and account #. Use the pull down menu to indicate your role.

CLINICAL SERVICE

1. Patient Care Unrelated to Instruction
 - a. Include Practice Plan commitment; clinical service related to UK Health Care contracts, etc.
2. Clinical Scholarship
 - a. This category is restricted to clinical title series faculty and cannot exceed 10% effort. It includes studies, creative activities and scholarly activities funded through the clinical enterprise that do not align with categories under funded research. Examples include clinical case reports and chart

review studies, clinical quality improvement initiatives, investigator initiated (e.g. single-site) clinical trials that are non-sponsored with no plan to seek sponsorship.

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 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. An additional 2-4% will be suggested for new faculty in their first year of assignment
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.