

Effort Planning System (EPS)

Guidelines for Completing Mission Area Effort Categories

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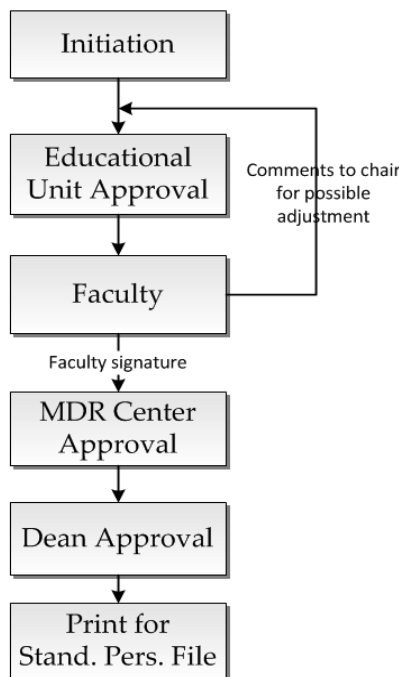
The Effort Planning System (EPS) is a web-based application designed to support dialog between the faculty supervisor (chair, school director, or other academic director) and the faculty member, when completing the annual Distribution of Effort Agreement (DOE). ([A.R. 3.8](#))

This document provides descriptions and examples of the effort to be collected in the mission area categories. Check with your Dean's Office for more detailed guidelines pertaining to specific college activities.

Department and multidisciplinary research center (MDR) administrative staff may assist with data entry in EPS.

The EPS provides a workflow process with electronic signature, and allows for PDF or printed DOE agreement for the faculty employee's Standard Personnel File required under AR 2-1-2 E.4. (Note: PDF form is allowed for an electronic Standard Personnel File.)

The flowsheet below summarizes the workflow process implemented by the EPS. The workflow is configurable for internal college processes, within the high-level framework.



Key features of EPS:

- Web-based from my UK portal, with single sign-on
- Workflow and e-signature replace paper processes and handwritten signatures

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- **The effort distribution is “online” and available to faculty administrators, faculty employees, and business officers**
- **Educational unit administrators (first-line supervisors of the faculty member) may directly update the effort percentages and initiate the workflow**
- **Faculty may return the DOE document to supervisor with comments for possible adjustment, facilitating dialogue**
- **Reporting for administrators is enhanced, permitting ease of tracking average effort per mission, area, department, title series, rank, etc.**

For information about payroll cost distribution entries in the FES Client, contact Research Financial Services at 257-1747.

Questions about the content of the DOE document generated from EPS should be addressed to the college business officer or other college designee. For most operation-related questions that cannot be addressed by the college business officer, please contact:

Megan Lucy
Faculty Systems Coordinator
226 Mandrell Hall- 0651
(859)218-270
Megan.lucy@uky.edu

For most policy-related questions that cannot be addressed by the college business officer, in partnership with the unit administrator, please contact:

Associate Provost for Faculty Advancement
Office for Faculty Advancement
226 Mandrell Hall 0651
(859) 323-6589
gt.lineberry@uky.edu

Effort Planning

Section I. Instruction

a. General Academic Instruction

This category includes instructional activities for academic credit courses

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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, recitations, 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.

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, Public Health and Pharmacy.

Colleges may optionally collect contact hours and preparation and grading hours for each course entered in the EPS system.

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

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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.”

It is important to recognize that teaching workload cannot be measured solely by the number of courses or credit hours taught, although certainly these are prime considerations in that determination. AR 3:8 II. A. provides a good overview of the breadth of activities included in a faculty member’s teaching assignment.

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.

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.

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As indicated by college guidelines, optionally:
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).

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 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.

Program Director – Residency

Director of a post-graduate residency program

Course Director (or course coordinator)

Other

Although not an exhaustive list, Other Instruction and Education may include many activities beyond the formal classroom setting, including the following: engagement in professional development to improve one's own teaching effectiveness, student mentoring, sponsorship of officially sanctioned student organizations, field studies or field trips, small-group tutoring, and participation in high school student or visiting student summer experience related to instruction.

f. Libraries – Primary Assignment

This section includes all activities (except administrative duties) that make up

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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 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.

Section II. Research and Creative Activity

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This category includes research and other creative activities. Included here are all research activities funded from regular departmental accounts; individual scholarships, performances, and exhibitions; research and development activities funded by federal and non-federal agencies and organizations; gifts in support of research missions or initiatives, 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); and other forms of research and creative activity. Individual research efforts, such as those leading to publications and/or presentations, are also included here.

These subcategories provide general indicators of how the research will be supported. (Note that any institutional reporting on faculty salary funding will not use effort percentages from the DOE, but will use exact sources from the SAP business warehouse labor distribution data.)

- a. Internally funded research: effort funded by pilot projects, VPR competitive grants, start-up funds, etc. These are specific cost objects designated for research, having an SAP classification of functional area 0230 “departmental research”, and are provided by UK “internal sources”. This category is not to be used for cost-sharing for externally funded awards (see category d.)
- b. Externally funded research: effort funded by awards from non-UK sources usually identified with the research foundation (excluding federal capacity funds). R&D activities funded by external agencies and organizations. This category includes all separately and accounted for research and development activities, including 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. DO NOT include cost-sharing (mandatory, committed or voluntary), which is recorded under item d.
- c. Federal capacity funded research: Only for College of Agriculture, Food and the Environment. Research effort funded by federal capacity awards, examples include Hatch, Hatch multi-state, McIntyre-Stennis, etc.
- d. Cost sharing: effort funded by cost sharing on externally funded research and federal capacity funds.
- e. Gift and endowment funded research: Research and other scholarly activity funded through approved gifts to the University, including endowed chairs and professorships.
- f. Non-funded research: general departmental or individual research or scholarly activity efforts not supported by specific, designated funds listed above.

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Section III. Service

a. Service to Public

This category includes activities established and maintained by the institution 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.

Included here should be efforts in Community and Civic Engagement, by which there is a collaboration between the University and its larger communities (local, regional/state, national, global) for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity; Outreach, as defined as a focus on the application and provision of institutional resources for community use (non-credit-bearing); and Service Learning, in which there is an integrative experience through which learners engage in thoughtfully organized actions in response to community-identified assets and needs (non-credit-bearing).

Credit-bearing Community-Based Learning Experiences or Service Learning activities should be recorded in Section I. Instruction, but may be included in this section too, but with no additional effort recorded.

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

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College and Department

Include special assignments benefiting the college or department, such as actively participating in department or college faculty meetings, service on college faculty committees. Include curriculum committee work.

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 SACSCOC Self-Study Steering Committee; and participation in University academic governance activities, including elected service to the University Senate. However, do not report committee activities that are accounted for under Instruction, Research, Public Service, or Administration. For example, do not include the following: Service on academic area advisory committees, University Appeals Board, Academic Computing Committee, University IT Coordinating Committee, Research Conflict of Interest Committee, Advisory Committee on Naming University Property, Senate Hearing Panel (Privilege and Tenure), Senate Advisory Faculty Code Committee.

d. Patient Care Unrelated to Instruction

Include services to inpatients and outpatients. Refer to college guidelines for more detailed definitions.

- 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

Section IV. Administration

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

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assistant provost, college dean, associate dean, assistant dean, department chair, division chief, 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, service on Health Care Colleges Council, 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 effort allocation for this category should rarely exceed 20%.

a. College and Department

Specify effort by these categories:

Chair: Academic department chair, school director, or academic graduate center director.

Vice Chair or equivalent (if applicable): Academic department vice chair, associate school director, or associate academic graduate center director.

Academic Division Director or Division Chief (if applicable): A “division” pertains to a sub-unit of an academic unit. Note that effort as academic program director or course coordinator is recorded under Section I Instruction, e., Other Instruction

Other positions: Other appointments including center directors, director of graduate studies/certificate, director of undergraduate studies/certificate, director of doctoral studies/minor/other studied area, associate dean, and other directorships, associate, or assistant.

Rationale for reporting DUS, DGS, etc. under administration: Roles as DUS and DGS are very frequently forerunners to administrative positions such as chairs/directors, associate deans, and deans, and, as part of the administrative “pipeline,” it is important to acknowledge the effort in Administration and not Service.

Other approved administrative activities: (typically short-term, mission-oriented), with or without a title: process/initiative directors, special project; service as interim unit administrator in chair’s absence, etc.

b. University Level

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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.

Section V. Professional Development

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

a. Sabbatical Leave

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

b. Other Approved Leave

Included in this category are Provost-approved Temporary Disability Leave, Leaves with Pay, Leaves Without Pay, Educational Leave, Scholarly Fellowship Leave, and Entrepreneurial Leave, as detailed in GR X. (Note: All leave requests must be approved by the Provost and entered as a Board action.)

c. Other Professional 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; skills and leadership development; professional networking; 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.

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Frequently Asked Questions:

- 1) Should consulting activity be included on the DOE?

No. Consulting activity should be excluded from the DOE, since the individual's primary duties (100% effort) are committed to tasks that advance the institution's mission,

- 2) If a person is less than 1 FTE employment on the main assignment, how should the non-UK effort be reflected on the DOE?

For faculty who are less than full-time (e.g., faculty on phased retirement or non-tenure track between .75 and .99 FTE) when specifying DOE effort in each category, use the percentage that reflects the proportion of overall working time (on the primary assignment) associated with the activity, so that the DOE adds to 100%. There is no area on the DOE to indicate the percentage of non-working time. When composite DOE percentages for a unit are calculated, the FTE of the faculty members will be taken into account.