Effort Planning System

online DOE system

UK faculty **EPS**
effort planning system

Background

o July 2015 - DOE percentages separated from the payroll cost distribution

o A new DOE system is needed to support this separation and implement process improvements

o A workgroup of representative colleges met fall 2015 through fall 2016 to advise UK-ITS development team

o Go-live of new DOE system planned for August 2017

o Go-live preparation activities take place May-July 2017

Key improvements in new system:

o Web-based from myUK portal, with single sign on

o Workflow and e-signature, replacing paper processes and handwritten signatures

o DOEs "online" and available to faculty administrators, faculty and business offices

o Educational unit administrators (chair or equivalent) directly update the effort percentages and initiate the workflow

o Faculty may return DOE to chair with comments for possible adjustment, facilitating dialog

o Reporting for administrators, easily track average effort per mission area, department, title series, etc.

DOE Workflow
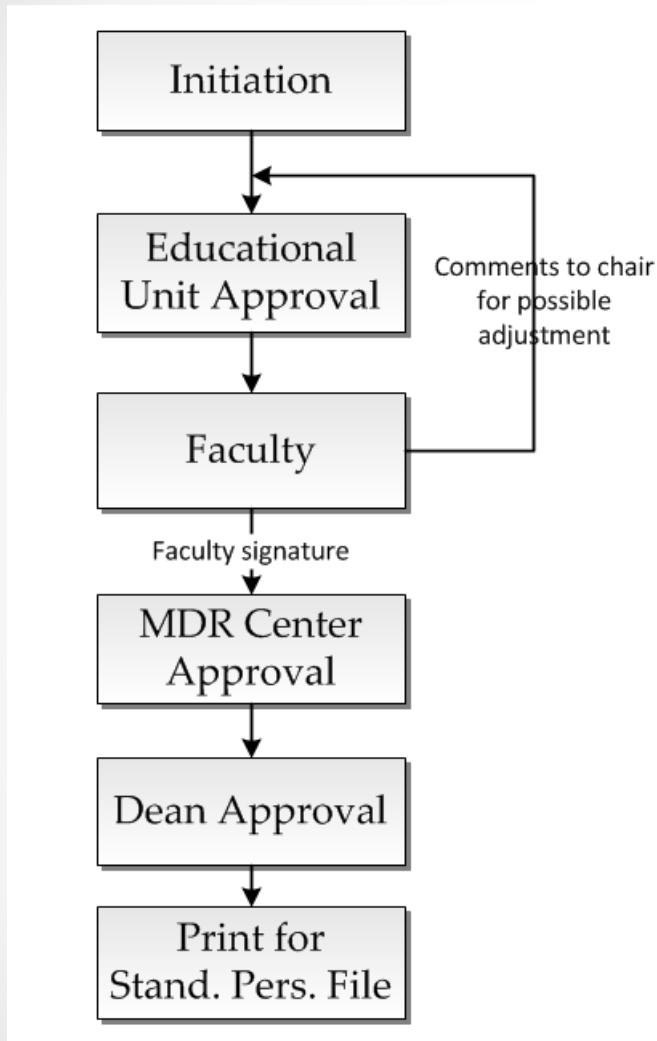
General Features

➤ Workflow participants are assigned:
  - o automatically by admin. appointment
  - o directly by colleges for special roles

➤ Participants approve or return the DOE to the initiation state

➤ Faculty return DOE to Educational Unit Administrator (chair or equivalent) for dialog and possible adjustments

➤ When a DOE is returned to the initiation state, all approvers up to that point are notified via email

➤ Participants make comments, which are visible to all

➤ Delegation is possible for all but faculty signature

DOE Workflow
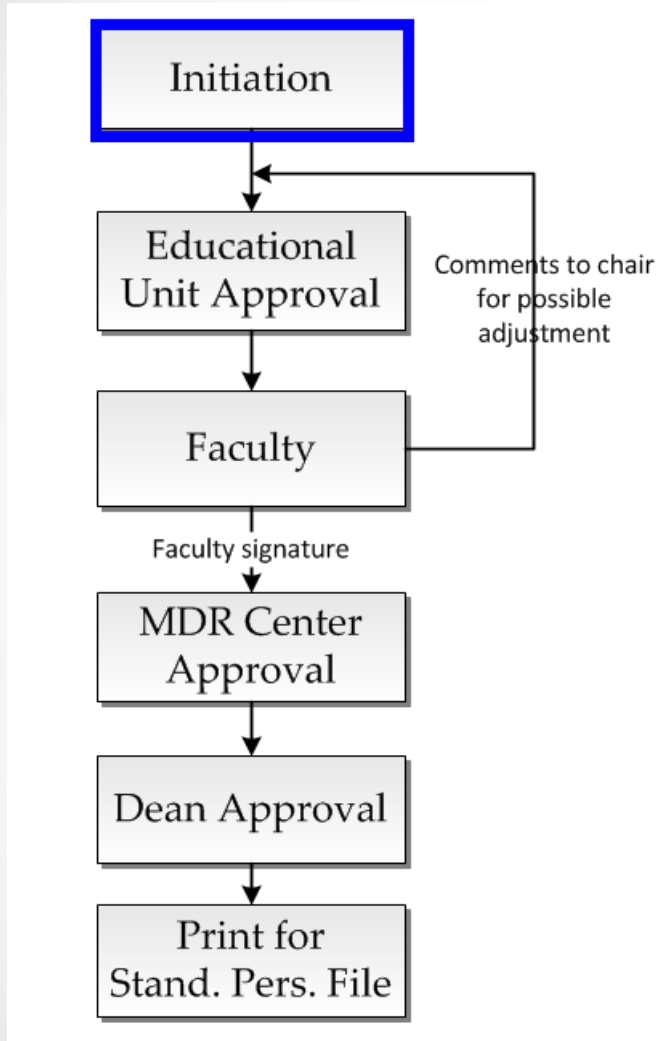
DOE Initiation

➢ New year "Version 1" - copied from prior year

➢ Option to load from spreadsheets

➢ "Version 2+" initiated for changes in status: new administrative assignments, course load change, individual hired into new position/department/title series

➢ Workflow initiated by the unit director or by the business office
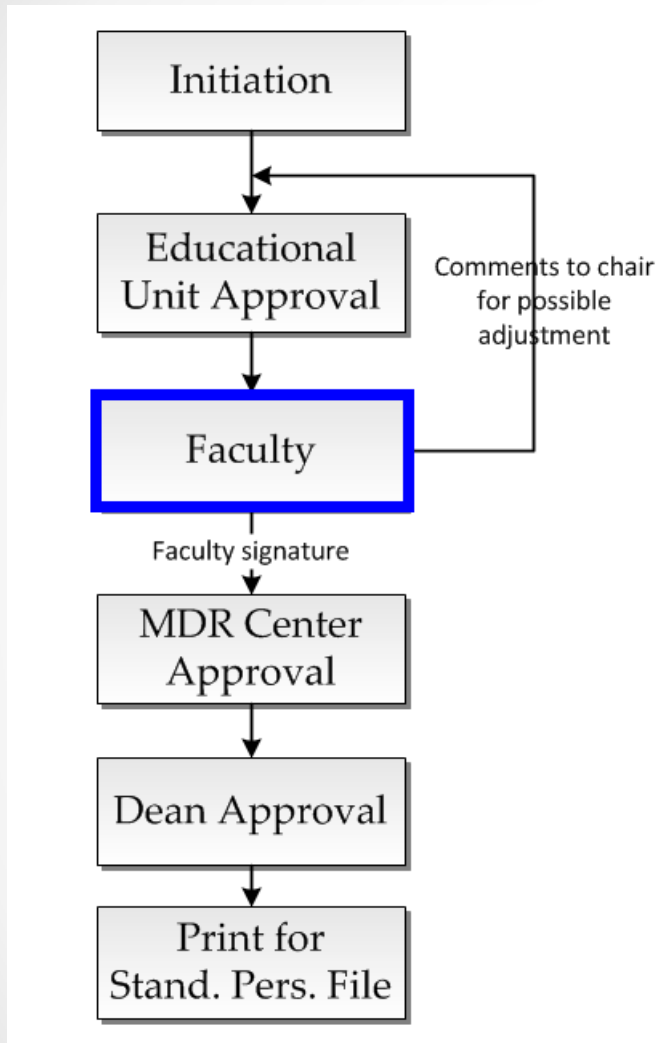
DOE Workflow
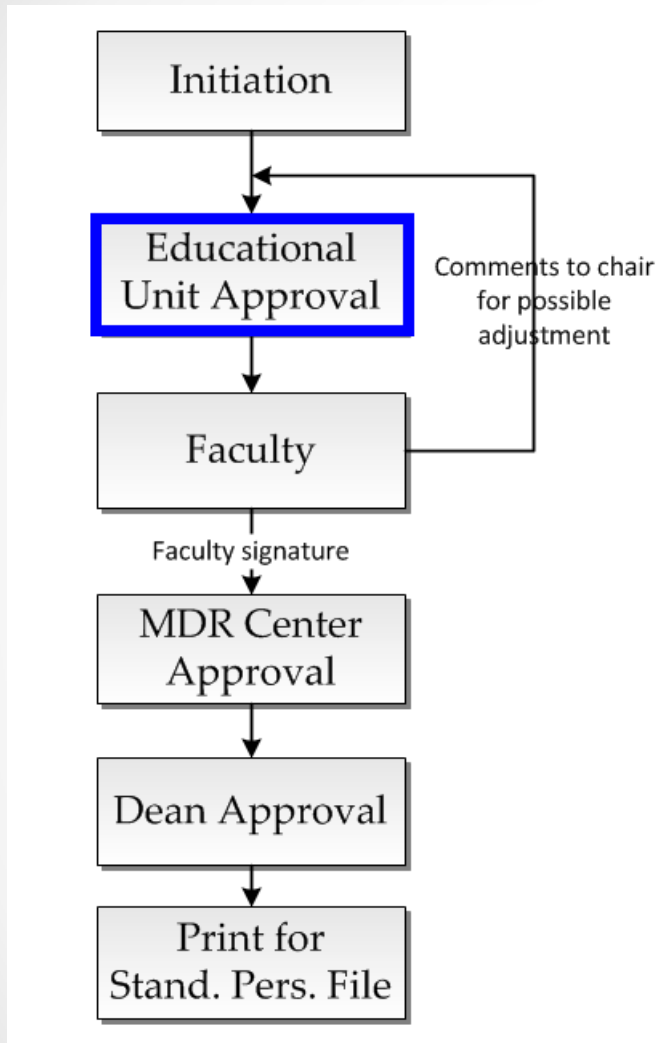
Educational Unit Approval

➢ Chairs and school directors directly update DOE effort and approve

➢ No further changes can be made to effort or description, unless returned to the initiation state by chair or business office

➢ Sub-groups can be defined for educational unit review or approval:
Examples:
  o By undergraduate/graduate faculty (Nursing)
  o By division director within departments (Internal Medicine Divisions)

DOE Workflow

```
┌─────────────────┐
│    Initiation   │
└─────────────────┘
         │
         ▼
┌─────────────────┐     Comments to chair
│   Educational   │       for possible
│  Unit Approval  │        adjustment
└─────────────────┘
         │
         ▼
┌═════════════════┐
║     Faculty     ║
└═════════════════┘
         │  Faculty signature
         ▼
┌─────────────────┐
│   MDR Center    │
│    Approval     │
└─────────────────┘
         │
         ▼
┌─────────────────┐
│  Dean Approval  │
└─────────────────┘
         │
         ▼
┌─────────────────┐
│    Print for    │
│ Stand. Pers. File│
└─────────────────┘
```

Faculty Signature

➢ Faculty may make comments and return DOE to the chair for possible adjustment, or e-sign the DOE to forward to next workflow step

➢ Faculty may not change the DOE effort or description information

➢ Once the DOE is approved at all steps, an annotation feature allows faculty to note activity throughout the year
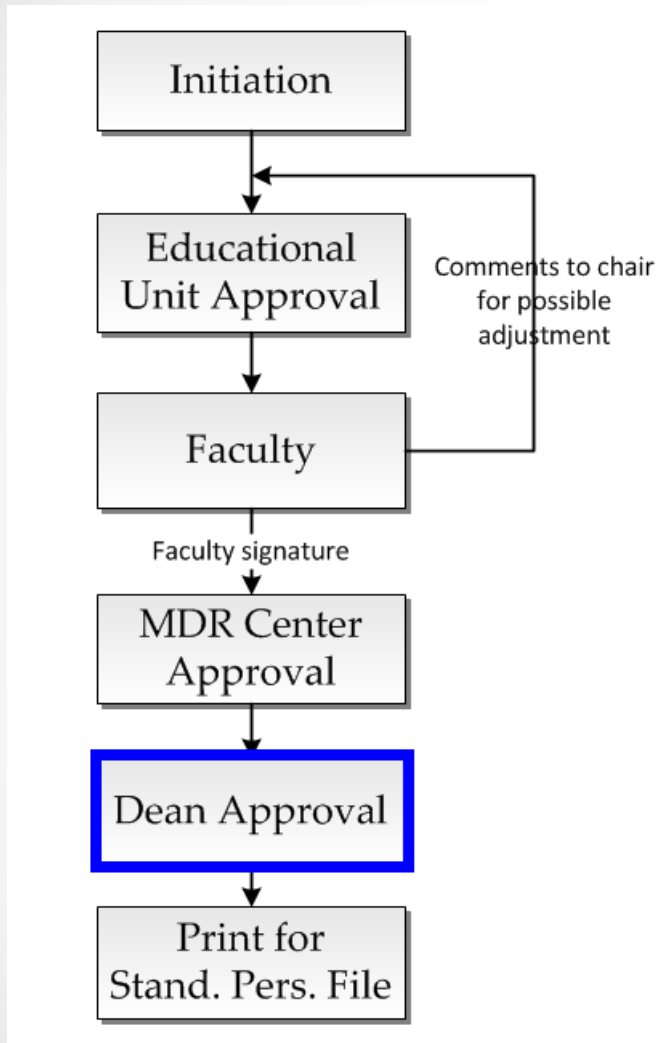
DOE Workflow
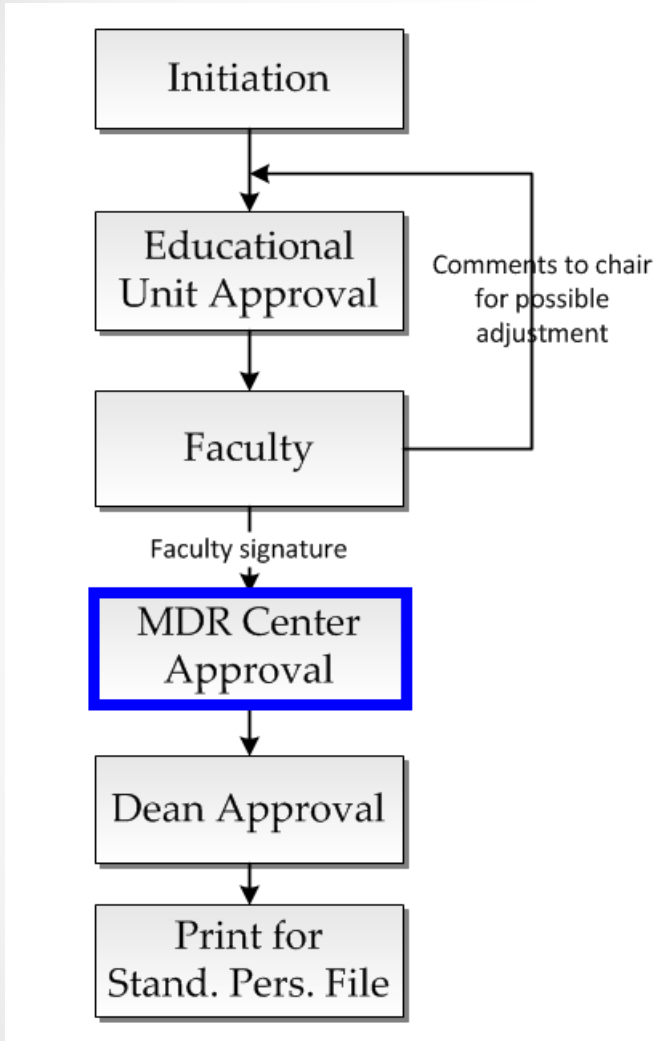
Multidisciplinary Research Centers

➢ MDR centers will approve DOEs for affiliated faculty

➢ HR assignment will identify affiliations

➢ MDR director may return the DOE to the initiation state, with email notification to prior approvers
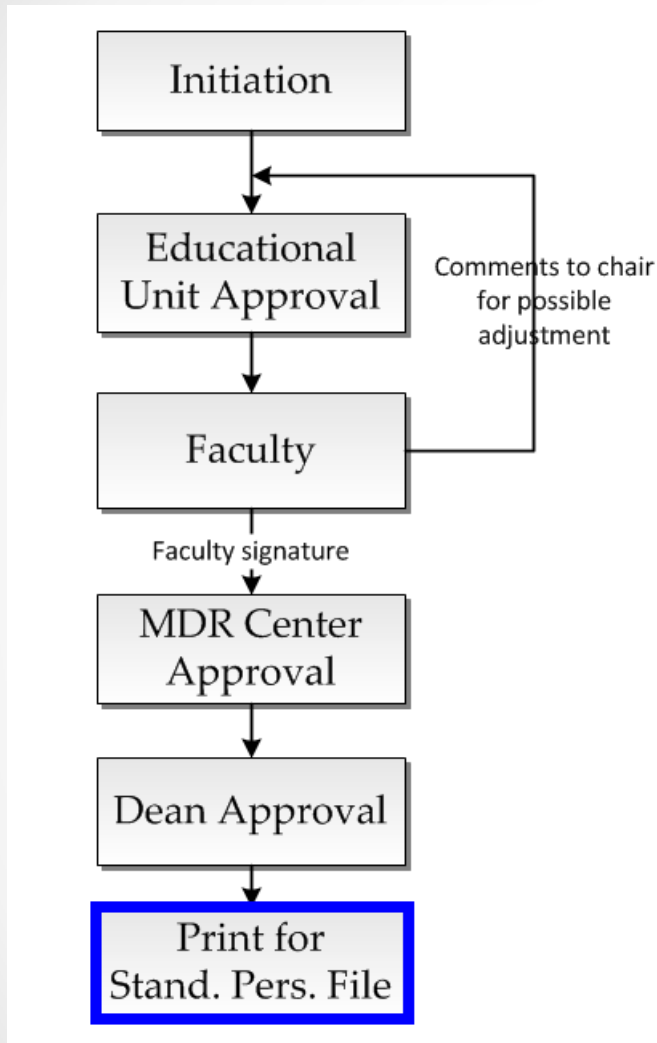
DOE Workflow

Dean Approval

➢ Dean or delegate approves the DOE

➢ The dean may return the DOE to the initiation state, with email notification to prior approvers

➢ Multiple reviewers can be defined as part of the college approval process: Example:
   o Review of clinical, research and instruction effort by associate deans (Medicine)

DOE Workflow

Print for Standard Personnel File

The printed/PDF DOE will show approver user ID, date and time of e-signature

A.R. 2-1-2 (section E.4.) a copy of DOE required in file

PDF form allowed for electronic SPF

http://www.uky.edu/regs/files/ar/ar2-1-2.pdf

Similarities to current system and process

o The DOE form and effort categories will not change

o DOE screen look and feel, and navigation quite similar to existing system, easy transition for staff users

o Business units can continue to assist and perform data entry as needed

o PDF or printed DOE available for Standard Personnel File

Planning for FY18 DOE spring processing

o New system go-live August 1, 2017

o Colleges select option for transition to the new system:

Option 1: In spring, use legacy process w/ handwritten signatures; DOEs loaded to new system as signed, with no e-signature history.

Option 2: In spring, use legacy process, faculty signature only before summer break; e-signatures obtained again in new system.

Option 3: No spring processing, use new system on August 1st

DOE faculty signature timing in prior years

Fiscal Year	Before June		June		July		August & After		Total
	N	%	N	%	N	%	N	%	
2013	886	34%	281	11%	564	22%	877	34%	2,608
2014	731	28%	378	14%	478	18%	1,048	40%	2,635
2015	649	24%	437	16%	505	19%	1,117	41%	2,708
2016	95	3%	238	8%	520	19%	1,955	70%	2,808
2017	850	30%	456	16%	509	18%	985	35%	2,800
Total	3,211	24%	1,790	13%	2,576	19%	5,982	44%	13,559

System go-live, next steps

- Other presentations:

    Deans Council (March 21)

    University Budget Officers (March 22)

    Faculty Senate Council (April 24)

- Colleges choose FY18 DOE spring processing option (1, 2 or 3) by April 11.

- Colleges schedule configuration meetings (May – June)
    - Identify college contact(s) for implementation
    - Meet with implementation team
        - Workflow configuration
        - Training plan
        - User set-up

Questions

DOE Dashboard

Boxes displayed are limited by role: faculty see only My DOEs box.
Colleges can configure which roles have access to dashboard boxes.

DOE Dashboard - continued

Unit Action Items

Action Category	Outstanding Items
Workflow Initiation	16
Ed. Unit Approval	9
MDR Center Approval	0
College Approval	5
Faculty Approval	3

View all

Unit DOEs

FY	Unit	# Tracks	% Completion
2017	AgFE / Animal and Food Sciences	35	100.00

View all

List all DOEs for unit

Check processing status of DOEs

Alert Messages

Alert Message	Outstanding Items
Salary distribution funding change, may need new version	1
Title series change, new track needed	1
Department change, new track needed	3
New versions may be needed	2

View all

Check alerts for changes in faculty status, which may require new DOE

DOE Detail page – header section

Top-most area of page, collapsible to minimize scrolling
Basic identifying information, and navigation to all DOEs for person
Shows comparison of total effort between prior and current DOE Version

DOE Detail page – Effort Areas tab

Where effort is entered and workflow functions requested

Can filter to show all category lines or only categories with effort

Can filter to hide all reviewer comments or show all comments

expand header ⌄

Tabs to navigate to detail data

| Effort Areas | Courses | Header Detail | Workflow History | Cost Distrib. (from SAP) | Fac. Apptmts | Errors 0 |

✏ Update ▶ Initiate Workflow 🖨 Print ▼ Reset Blank Filter 🗩 Hide Comments

Effort area sub-tabs, with percentages displayed

| I. Instruction: 70.00% | II. Research: 0.00% | III. Service: 30.00% | IV. Administration: 0.00% | V. Prof. Development: 0.00% | show all 5 |

	Prior Version Effort %	Current Effort %	# of Students	Contact Hrs	Reviewer Comments: Line Item/Effort
Undergraduate Upper Level Courses	15.00 %	15.00 %			
Undergraduates upper divisions Instructional supervision and advising.	55.00 %	55.00 %			

DOE Detail page – Courses tab

Where course detail information is entered

College configuration allows detailed entry of contact hours (not shown here)

College configuration allows entry by course number or by summary percentages for undergraduate, graduate, professional level, etc.

expand header ▾

| Effort Areas | Courses | Header Detail | Workflow History | Cost Distrib. (from SAP) | Fac. Apptmts | Errors ❶ |

Tip: Add courses to your DOE, as an itemized breakout which will contribute to the "Instruction" section of your overall DOE. The goal is to estimate the total % of effort that will come from each course added. The % effort from each course here adds to your overall DOE totals.

Your Current Courses   **+ add a course**

	▲		Total Effort from Courses	Comments
✏ 👁 🗑	FSC 107	INTRODUCTION TO FOOD SCIENCE	10.00%	
✏ 👁 🗑	FSC 536	ADVANCED FOOD TECHNOLOGY	13.30%	First time teaching

DOE Detail page – Header Detail tab

Where to enter comments as to DOE purpose (for mid-year changes)
Where to enter reviewer comments for overall DOE
Academic appointment and HR employment status info

| Effort Areas | Courses | Header Detail | Workflow History | Cost Distrib. (from SAP) | Fac. Apptmts | Errors ① |

✏ Update

Paul P. Vijayakumar, Ph.D. (DOEID 105121, PersonID 12091240)	
Version Type:	Initial version for year
DOE Version Purpose:	

Reviewer Comments: Overall DOE
There are currently no overall comments for this DOE.

Academic Appointment	
FDBID:	
College:	AG
Department:	30000234 -- Animal and Food Sciences
FDB Contract Period:	12
Assignment From:	01/01/0001 to 01/01/0001
Rank / Title Series	Assistant Professor / Extension Title Series

IRIS-HR FES Assignment	
Assignment:	from 01/12/2015 to 12/31/9999
Position:	50109139 -- Assistant Professor
Job:	40500603 -- Extension Faculty
Org Unit:	30000234 -- Animal and Food Sciences 81070

DOE Detail page – Workflow History tab

History of actions performed, with date, and name of individual performed by

Shows future actions, with name of individual who will perform action

DOE Detail page – Cost Distrib. tab

Comparison of cost distribution information with research categories
to check for reasonable correlation. (Currently no error messages issued.)

DOE Detail page – Fac. Apptmts tab

Reference for administrators and staff, tab lists:

Academic appointments (primary and joint)

Administrative appointments (chair, DUS, DGS, directorships, etc.)

Endowed professor or chair appointments

May add academic appointments for new year (board actions)

May add DOE warning message, if administrator, but no % in appropriate admin category

| Effort Areas | Courses | Header Detail | Workflow History | Cost Distrib. (from SAP) | Fac. Apptmts | Errors 0 |

Current Appointments

Appointment Source	Appointment Type	Title	College	Dept	Effective Period
Academic	Primary	Regular, Professor	Engineering	Computer Science	11/01/1987 to Continuous
Administrative	Director of Graduate Certificate, Informatics	Director of Graduate Certificate, Informatics	Engineering	Computer Science	07/01/2016 to 06/30/2019

Basic reporting on DOE averages
By unit and title series

Comparing DOE Averages by Unit