Overview of Effort Supporting Duke University Health System (ES-DUHS)

General Introduction of ES-DUHS in ECRT:

Faculty members are required to annually certify effort that supports Duke University Health System (DUHS) and is funded from University sources (effort charged to G/L Account 600200). The funding for this effort is reimbursable through the hospital’s Federal cost reports, and it is essential that the effort is appropriately identified and certified. During the effort certification process, Faculty are also required to report the average number of hours per week represented by the DUHS effort percent of the University base salary. The reported hours must represent a reasonable work week. The ECRT system includes this ES-DUHS certification and reporting.

Additionally, Faculty members are required to confirm effort that supports DUHS on a quarterly basis as well.

Overview of the ES-DUHS Process in ECRT:

Quarterly Confirmation

In the ECRT system, DUHS Cost and Reimbursement Accounting requires that Faculty confirm their Effort Supporting DUHS (ES-DUHS) at the end of each quarter of the Duke fiscal year. Faculty members will receive an e-mail notice that they must log into the ECRT system to confirm their effort on the ES-DUHS statement. The quarters for confirming ES-DUHS are outlined as follows:

<table>
<thead>
<tr>
<th>Period of Performance</th>
<th>Confirmation Period**</th>
</tr>
</thead>
<tbody>
<tr>
<td>July 1 – September 30</td>
<td>October 1-15</td>
</tr>
<tr>
<td>October 1 – December 31</td>
<td>January 1-15</td>
</tr>
<tr>
<td>January 1 – March 31</td>
<td>April 1-15</td>
</tr>
<tr>
<td>April 1 – June 30</td>
<td>Auto-confirmed – part of annual review – period communicated via email notification.</td>
</tr>
</tbody>
</table>

**The Effort Coordinator may elect to pre-fill the data for their Faculty ahead of time once the Payroll data is loaded into ECRT. The Effort Coordinator is responsible for coordinating this effort with their Faculty.
Logic Checks

Logic checks are built into ECRT to ensure that average weekly hours committed to effort supporting DUHS (as reported by Faculty) are compatible with Payroll and Total Professional Effort data. The logic check measures the calculated weekly hours worked by the faculty member against an acceptable range of 30 hours to 80 hours. If the calculated hours per week fall outside this range, the Faculty will receive warnings during the quarterly process. The warnings will not stop the Faculty from confirming their quarterly effort, but will generate tasks for the Primary Effort Coordinator to review as each quarterly period is processed.

The calculation formula is as follows:

1. The Average Weekly Hours entered for ES-DUHS is divided by the percentage of time paid from G/L Account 600200.
2. The number of hours derived above is then divided by the percentage of time spent on University TPE.
3. The number of hours derived in the second step above is divided by the FTE (full time equivalent) value for the Faculty.
4. The total number of hours from this calculation must fall within a reasonable range of hours per Duke’s policy.

An example of the calculation for a Faculty is as follows:

Background for Faculty Member:
- Total Average Weekly Hours entered = 8 hours
- Total Percentage of ES-DUHS paid on G/L Account 600200 for time period = 25% (base effort weighted average).
- Total Percentage of TPE for University = 50%
- FTE for Faculty = 1 (40 hrs/week x 52 weeks /yr)

Calculation Example:
1. Divide 8 by .25 (percent ES-DUHS on 600200) = 32
2. Divide 32 by .50 (percent University TPE) = 64
3. Divide 64 by 1 (FTE) = 64
4. Compare 64 hours to acceptable range of hours (35-75) and no warning would be generated (See Table on Next Page).
Overview of ES-DUHS (cont.)

Based on the calculation, hard and soft warnings may be generated per the outlined points and table below:

- A soft warning is generated if the calculated hours fall between 30-35 hours or 71 – 79 hours (see table below).
- A hard warning is generated if the calculated hours are below 30 hours or above 80 hours (see table below).
- This logic check is performed after each quarterly confirmation.
- Faculty can proceed during quarterly confirmation of effort supporting DUHS if either type of warning message is received.
- Faculty can confirm their annual effort if a “soft” warning is present.
- Faculty CANNOT confirm their annual effort supporting DUHS if a “hard” warning is present.
- A check is also performed on the percent of Duke University ES-DUHS, and if the percent in the payroll system is outside of the calculated range which is based on the hours supporting DUHS as reported by the faculty member, the effort statement payroll and/or ES-DUHS hours must be changed.
- See the table below for warning codes and reason:

<table>
<thead>
<tr>
<th>Warning Type</th>
<th>Reason for Warning</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hard Stop – High</td>
<td>Calculated hours &gt; 80 hours</td>
</tr>
<tr>
<td>Soft Stop – High</td>
<td>Calculated hours fall between 71 – 79 hours</td>
</tr>
<tr>
<td>Soft Stop – Low</td>
<td>Calculated hours fall between 30– 35 hours</td>
</tr>
<tr>
<td>Hard Stop - Low</td>
<td>Calculated hours &lt; 30 hours</td>
</tr>
</tbody>
</table>
Overview of ES-DUHS (cont.)

Annual Effort Confirmation

The ECRT system will not allow annual confirmation of ES-DUHS until the Faculty member has completed confirmation of all quarters in which there is payroll effort on G/L Account 600200. The Effort Coordinators for each department are responsible for insuring that this effort is confirmed in a timely manner. Once the annual certification of University effort (Base, Supplemental, and TPE) is fully completed (confirmed and processed), Faculty will receive an email notice (similar to the quarterly process) to confirm their ES-DUHS for the entire year.

The hard warnings per the logic checks on the previous quarters for the ES-DUHS confirmation must be addressed and corrected before the annual ES-DUHS confirmation can be completed.

If a faculty member encounters a hard error, but their data is determined to be correct, the only option for confirmation is for them to sign a paper copy of their ESDUHS card. This should be uploaded to ECRT with a note from the effort coordinator explaining the situation.
Overview of ES-DUHS (cont.)

Steps done by Faculty for the ES-DUHS quarterly certification:

1. Faculty will receive an email notification generated from ECRT with a link to the Effort Supporting Duke Health Systems Effort Statement.

2. Faculty must select on the email link and enter their Net ID and Password when prompted.

In the resulting Effort Supporting Duke Health Systems Effort Statement:

3. At the top, Faculty can review their data, including the name and email address for their Effort Coordinator, the reporting period, and the Status of the ES-DUHS effort statement.
4. In the next section, Faculty will:
   - Enter the average weekly hours for the ES-DUHS for the quarter. This may be pre-populated by Effort Coordinators.
   - Indicate the areas in which the ES-DUHS was expended during the quarter.

   **Note:** The percent of effort must be entered and the calculated Grand Total for the ES-DUHS must equal 100.0%.

5. Faculty may make changes to prior quarter information if ES-DUHS was recorded in those prior quarters. Any changes made should be coordinated with their Effort Coordinator.

   **Note:** Entry of data into quarters in which no payroll was made on G/L Account 600200 will not be allowed by ECRT (that quarter’s column will be grayed out).
6. For each quarterly review, after all the data is entered, the Faculty will select the **Confirm Reporting Period** button (or use the other available buttons if needed). When the **annual certification of ES-DUHS** is ready to be processed, Faculty will use the **Confirm** button.

7. For the annual certification of ES-DUHS, if no warning messages are present, Faculty will read the certification statement (shown above) and select once more on the **Confirm** button to complete the process.

**Note:** If the calculated hours per week fall outside the acceptable ranges per the ECRT logic checks, Faculty will receive warnings during the quarterly process. The warnings will not stop the Faculty from confirming their quarterly effort, but will generate tasks for the Primary Effort Coordinator to review as each quarterly period is processed. See next steps for more details.
Overview of ES-DUHS (cont.)

8. If the ECRT logic check determines that reported hours fall outside of the acceptable ranges, the Faculty will receive a warning message (example shown above) and must select on the **Confirm Reporting Period** button again if the hours and percentages are correct.

   **Note:** Although a warning is issued if this logic check fails, the quarterly process will not be stopped. However, an effort task will be sent to the Primary Effort Coordinator and reports will be available in ECRT to the department’s Effort Coordinator(s). These reports will list Faculty who have incomplete year-to-date data and Faculty who have failed the logic check. These reports will also be available to the SOM Finance Office analysts, who will remind the Effort Coordinators to follow up with Faculty until corrections have been made to the effort or the hours reported for the quarter.

9. Once confirmed, Faculty will return to the ES-DUHS statement. Select the **Do Nothing** to return to the ECRT home screen where they can log out.