Processing the ES-DUHS Statement

To pre-fill the ES-DUHS effort statement for your Faculty:

1. Review the following points about pre-filling the ES-DUHS statement for your Faculty:
   - Effort Coordinators may choose to pre-fill or populate the ES-DUHS statement for their Faculty.
   - Effort Coordinators enter the hours and percentages into the ES-DUHS statement prior to the email going to Certifiers to confirm their quarterly time (the ES-DUHS statement is created as soon as payroll on G/L Account 600200 for a quarter has been loaded).
   - This allows Faculty to review the hours and percentages entered and confirm that the data entered is correct for their ES-DUHS versus having to input the hours and percentage of effort themselves.
   - **Effort Coordinators will need to coordinate this process and communicate with their Faculty to ensure Faculty know when to go to the ES-DUHS Statement and confirm their effort.**
2. To access the Faculty’s ES-DUHS Statement from the **ECRT Home Page** screen, select the **Manage** page and go to **Org. Code Dashboard**.

   **OR**

   Enter the Faculty’s Name or DUID in the search box to directly access the base effort statement.

   *Note:* If using the search box, the effort statement will automatically open if an exact match is found.
Processing the ES-DUHS Statement (cont.)

In the resulting **Org. Code Dashboard** screen:

3. Scroll down to the **Certifiers associated to this Org Code** section and open the folders as needed (such as the Sponsored folder).

4. **Locate the Certifier’s name on the list** for the Effort Statement that needs to be accessed.

5. **In the Statements column** for that Certifier, **select on the current Effort Statement icon** (either ![icon1] if the statement is being built or ![icon2] if the statement is built but not certified) to access the Effort Statement.
Processing the ES-DUHS Statement (cont.)

In the resulting Effort Statement screen for the Certifier chosen:

6. To access the ES-DUHS Effort Statement:
   - Select on the [Icon] link located along the top of the Base Effort statement and select Effort Supporting DUHS Statement.

In the resulting Effort Supporting Duke Health Systems statement for the Certifier chose:

7. Enter the average weekly hours that the Faculty expended for the ES-DUHS for the quarter.

8. Enter the percentage of effort for the average weekly hours entered above in the areas in which the ES-DUHS was expended during the quarter (i.e., Duke Hospital, Duke Regional Hospital, etc.)
9. Scroll down and review the **Grand Total** line to ensure that the percentages entered equal 100% for the quarter entered.

10. Revise the data in other quarters if needed.

   *Note:* Entry of data into quarters in which no payroll was paid on G/L Account 600200 will not be allowed by the ECRT (that quarter’s column will be grayed out).

11. Enter a note or attach a file in the lower section if needed.

12. After all the data is entered, select on the **Save to Complete Later** button (or use the other available buttons if needed).

13. Notify the Faculty that their ES-DUHS statement has been pre-filled and instruct them to access the statement via the email link and confirm their effort.
Processing ES-DUHS Statement (cont.)

To process the ES-DUHS quarterly confirmation:

1. Review the following points for Effort Coordinators about the ES-DUHS quarterly confirmation by Faculty:
   
   - If the Faculty confirms their quarterly ES-DUHS and there are **NO** warnings generated by ECRT logic checks, then the Effort Coordinator does **NOT** need to take any action and **NO** tasks will display in the Manage Effort Tasks.
   
   - If the Faculty confirms their quarterly ES-DUHS and there are **warnings** generated by ECRT logic checks, then the assigned Effort Coordinator for the Faculty will receive a related Effort Task (a “to do “ item) to be reviewed.
   
   - **Hard High and Hard Low** warnings should be carefully reviewed and corrected on a quarterly basis, if needed. The annual confirmation is an average of the weekly hours entered for each quarter. Therefore, a Hard High or Hard Low warning in one quarter may be acceptable if you are aware that the Faculty’s ES-DUHS hours in other quarters are such that the annual average of weekly hours will still be within the range of acceptable hours for the entire year.
   
   - The steps covered in this section outline the steps needed if an Effort Task is generated.

1. To access the Faculty’s ES-DUHS Statement from the ECRT Home Page screen, select the task on the Effort Task Tab.
In the resulting *Effort Supporting Duke Health System* screen:

2. Note that the Period Confirmed icon displays in the DUHS Reporting QTR # column heading to indicate that the Faculty confirmed ES-DUHS for that quarter.

3. Review the Average Weekly Hours entered by the Faculty for ES-DUHS keeping in mind these generated a hard warning message.

4. Review the percentage of effort entered across the areas below for the average hours entered above (ensure Grand Total line equals to 100% for the quarter being reviewed).

5. Take the following action for hard warning messages:
   - Consult with the Faculty to correct the hours reported, the percent of Total Professional Effort (TPE) spent at Duke, and/or the percent of Duke ES-DUHS (corrections are optional for soft warnings).
   - Use the ES-DUHS statement to correct average weekly hours.
   - Use the TPE statement to correct Duke TPE percentages.
   - Use an iForm to correct the G/L Account 600200 percent effort.
6. Scroll to the bottom of the ES-DUHS statement and ensure the Grand Total line equals to 100% for the quarter being reviewed.

7. To enter a note:
   - Select in the Text field to enter comments or instructions for the Faculty prior to processing or sending the ES-DUHS statement back.
   - Once text is entered, select on the Save Note button.

   **Note:** If Faculty member indicates effort in the “Other” category for ES-DUHS, the Faculty should also record a description of the activity in the text box prior to completing the effort statement.

8. Attach a file if needed (see the Basic Guide for Effort Coordinators for detailed instructions).

9. Once you have confirmed accuracy ES-DUHS effort with the Faculty member, select on the Save to Complete Later button whether or not you make changes. This action will validate that the statement is accurate for the quarter.
To process the ES-DUHS annual confirmation:

1. Review the following points for Effort Coordinators about the ES-DUHS annual certification by Faculty:
   - Once the final quarter has been confirmed by the Faculty, reviewed by the department’s Effort Coordinator, then ECRT will calculate the annual average percentages and hours for ES-DUHS.
   - Any quarterly Hard warnings must be addressed prior to the annual confirmation to ensure the annual average weekly hours is within the acceptable range.
   - As a reminder, when the annual confirmation process is opened, Faculty will receive an e-mail notice with a link which takes them to the ES-DUHS statement.
   - Faculty will confirm the calculated annual average hours and percentages by checking the Confirm button.
   - The assigned Effort Coordinator for the Faculty will receive a related Effort Task to be reviewed and accepted.

2. To access the Faculty’s ES-DUHS Statement, on the ECRT Home Page screen, the action will be listed as an Effort Task. Select the hyperlink associated with the Faculty’s name.
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Processing ES-DUHS Statement (cont.)

In the resulting **Review Effort Supporting Duke Health System** screen:

3. Note that the **Period Confirmed** icon displays in the **DUHS Reporting QTR #** column headings to indicate that the Faculty confirmed ES-DUHS for all quarters.

4. Review the **Year End Average** column for the Average Weekly Hours calculated for ES-DUHS and the **percentage of effort** entered across the areas below for the average hours entered above.

5. Review the **percentage of effort** entered across the areas below for the average hours entered above. (ensure Grand Total line equals to 100% for all quarters).

6. Take the following action for hard warning messages:
   - Consult with the Faculty to correct the hours reported, the percent of Total Professional Effort (TPE) spent at Duke, and/or the percent of Duke ES-DUHS (corrections are optional for soft warnings).

   **Note:** If the annual average weekly hours exceeds 75 hours per the calculation and the Faculty member confirms that these calculated hours are correct, then contact the **School of Medicine Management Center at 684-2211** for instructions on completing the confirmation.

   - Use the ES-DUHS statement to correct average weekly hours.
   - Use the TPE statement to correct Duke TPE percentages.
• Use an iForm to correct the G/L Account 600200 percent effort.

Note: Once the corrections have been made in ECRT so that the logic checks are satisfied, the faculty member will be able to open and confirm the ES-DUHS statement.

7. Scroll to the bottom of the ES-DUHS statement and ensure the Grand Total line equals to 100 % for the Year End Average column.

8. To enter a note:
   • Select in the Text field to enter comments or instructions for the Faculty prior to processing or sending the ES-DUHS statement back.
   • Once text is entered, select on the Save Note button.

Note: If Faculty member indicates effort in the “Other” category for ES-DUHS, the Faculty should also record a description of the activity in the text box prior to completing the effort statement.

9. Attach a file if needed (see the Basic Guide for Effort Coordinators for detailed instructions).

10. Once the review is complete and the ES-DUHS statement is acceptable (see next step if not acceptable), select on the Review Accepted button to accept the annual ES-DUHS confirmation and remove this effort task from your list.
11. If the review of the ES-DUHS statement is not acceptable (example, the Faculty changed prior quarter hours at a later point in time and you do not accept those hours), do the following as needed:

- Optional: Select the check box for Re-Open Base Effort? to indicate that you would like to re-open the Base Effort Statement, in order for the Faculty to revise the TPE Effort as needed.

- Select the Review Not Accepted button.

Note: Using the Review Not Accepted button will remove the ES-DUHS statement task from the Effort Coordinator's Manage Effort Tasks page and require the Certifier to confirm their ES-DUHS again.