

# **ECRT**

## **Effort Certification and Reporting Technology**

### **Effort Supporting DUHS (ES-DUHS) Guide for Effort Coordinators**

Revised: 2/22/2017 12:54 PM

# ECRT Guide

## Table of Contents

---

<b>Introduction to ECRT .....</b>	<b>3</b>
<b>Overview of Effort Supporting Duke University Health System (ES-DUHS) .....</b>	<b>4</b>
General Introduction of ES-DUHS in ECRT: .....	4
Overview of the ES-DUHS Process in ECRT: .....	4
<b>Quarterly Confirmation</b> .....	4
<b>Logic Checks</b> .....	5
<b>Annual Effort Confirmation</b> .....	7
Steps done by Faculty for the ES-DUHS quarterly certification: .....	8
<b>Processing the ES-DUHS Statement .....</b>	<b>12</b>
To pre-fill the ES-DUHS effort statement for your Faculty: .....	12
To process the ES-DUHS quarterly confirmation: .....	17
To process the ES-DUHS annual confirmation: .....	20
<b>Reviewing ECRT Reports for ES-DUHS .....</b>	<b>24</b>
To access the ECRT reports: .....	24
To review the Clinical Activity Hours Validation Quarterly Report: .....	26
To review the Clinical Activity Hours Validation Yearly Report: .....	29
To review the Medicare Incomplete Report: .....	32

## Introduction to ECRT

---

The **Effort Certification and Reporting Technology** tool, known as **ECRT**, is used at Duke University to certify, approve, and track/report the effort exerted by Faculty and Monthly Staff who work on externally sponsored projects or otherwise meet the criteria of a “Certifier”. This tool is used by the Certifier to certify how their effort is allocated. This tool is also used by Effort Coordinators to track and approve the effort certification for their responsible areas. This guide is designed specifically for Effort Coordinators who support Certifiers that have effort which supports Duke University Health System. For more information, please see the [ECRT Effort Reporting Basic Guide](#).

# 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:

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

\*\*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.

## Overview of ES-DUHS (cont.)

---

### 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:

<b>Warning Type</b>	<b>Reason for Warning</b>
Hard Stop – High	Calculated hours > 80hours
Soft Stop – High	Calculated hours fall between 71 – 79 hours
Soft Stop – Low	Calculated hours fall between 30– 35 hours
Hard Stop - Low	Calculated hours < 30 hours

## 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

**Effort Supporting DUHS**  
Due Date: 12/02/2016 Past Due

Covered Individual:	CERTIFIER A OBER - 820001	Effort Coordinator:	GWENDOLYN K HALL-OFABIO - 24129
Title:	ACTIVE	Reporting Period:	07/01/2015 to 06/30/2016
Org Code:	9870000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT		
Email:	CERTIFIER.GEER@DUKE.EDU		
Status:	Pending Review		

[Re-send Effort Supporting DUHS Reminder](#)

	Quarter 1 FY2016		Quarter 2 FY2016		Quarter 3 FY2016		Quarter 4 FY2016		Year End Average	
	%	hrs								
<b>Average Weekly Hours for Effort Supporting DUHS</b>										
Residency Supervision and Training		0.0		0.0		0.0		0.0		0.0
- Duke Hospital	100.0	0.0	100.0	0.0	100.0	0.0	100.0	0.0	100.0	0.0
- Duke Regional Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Duke Raleigh Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- LabCo	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Inservice Education and Hospital Allied Health Programs	...	...	...	...	...	...	...	...	...	...

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.

# Overview of ES-DUHS (cont.)

167 No-Serve Effort Supporting DUHS Reporting

	Quarter 1 FY2016		Quarter 2 FY2016		Quarter 3 FY2016		Quarter 4 FY2016		Year End Average	
	%	hrs								
<b>Average Weekly Hours for Effort Supporting DUHS</b>		0.0		0.0		0.0		0.0		0.0
<b>Residency Supervision and Training</b>										0.0
- Duke Hospital	100.0	0.0	100.0	0.0	100.0	0.0	100.0	0.0	100.0	0.0
- Duke Regional Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Duke Raleigh Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- LabCo	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Inservice Education and Hospital Allied Health Programs</b>										0.0
- Duke Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Duke Regional Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Duke Raleigh Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- LabCo	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Committees and Administration</b>										0.0
- Duke Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Duke Regional Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Duke Raleigh Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- LabCo	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- PRMO	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Other</b>										0.0
- Duke Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Duke Regional Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Duke Health Raleigh Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- LabCo	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- PRMO	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Grand Total:</b>		0.0	100.0	0.0	100.0	0.0	100.0	0.0	100.0	0.0

Buttons: Need Assistance, Save to Complete Later, Confirm Reporting Period, Confirm

- 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 %.***

- 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).*

## Overview of ES-DUHS (cont.)

---

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.

### Effort Supporting DUHS

Due Date: 12/02/2016 Past Due

Covered Individual:	CERTIFIER A GEER - 820001	Effort Coordinator:	GWENDOLYN K HALL-DIFABIO - 24129
Title:	ACTIVE	Reporting Period:	07/01/2015 to 06/30/2016
Org Code:	9870000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT		
Email:	CERTIFIER.GEER@DUKE.EDU		
Status:	Not Certified		

I certify that this ESDUHS Card represents a reasonable estimate of my average weekly hours in effort supporting Duke University Health System.

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.)

### Effort Supporting DUHS



Due Date: 12/02/2016 Past Due

Covered Individual:	CERTIFIER A GEER - 820001	Effort Coordinator:	GWENDOLYN K HALL-DIFABIO - 24129
Title:	ACTIVE	Reporting Period:	07/01/2015 to 06/30/2016
Org Code:	9870000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT		
Email:	CERTIFIER.GEER@DUKE.EDU		
Status:	Not Certified		

Based on your planned TPE for the University, the percent of total university effort charged to account 6002 and your average weekly hours for effort supporting DUHS, your calculated weekly hours fall above the level of reasonableness (80 hrs) established by university policy. If you believe your hours to be correct, please click "Confirm Reporting Period". If you believe your hours should be changed, click "Do Nothing" to return to the home page then contact your Effort Coordinator to review your reported hours.

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.

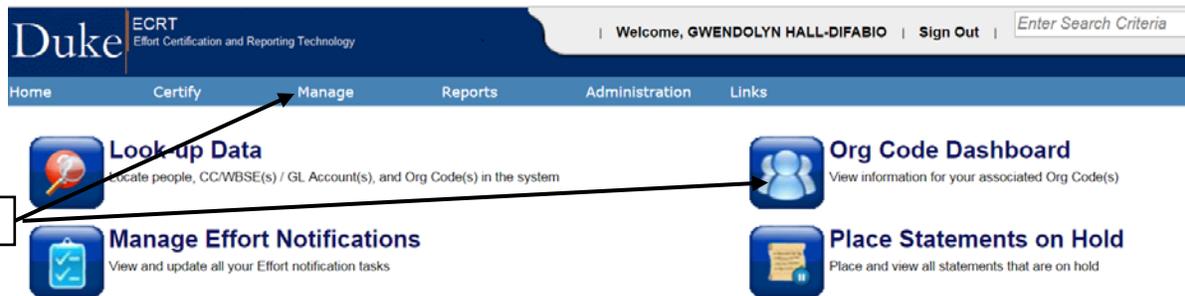
## Processing the ES-DUHS Statement

---

### 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.**

## Processing the ES-DUHS Statement (cont.)



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:

	Name	Alternate Effort Coordinator	Employee Type	Employee ID	Role	Statements	Action
<b>3</b>	Sponsored						
	FOLLEY, CERTIFIER L	COOMBS, KRISTIN A - 622489	Duke Annual	820003	Certifier		
<b>4</b>	GEER, CERTIFIER A		Duke Annual	820001	Certifier		
	GROSSMAN, CERTIFIER A		Duke Annual	800002	Certifier		
	HAMILTON, CERTIFIER W		Duke Annual	820006	Certifier		
<b>5</b>	OWELL, CERTIFIER S		Duke Annual	820002	Certifier		
	STEVENSON, CERTIFIER W		Duke Annual	820004	Certifier		
	WADE, CERTIFIER		Duke Annual	820005	Certifier		
	Non-Sponsored						

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**  **if the statement is being built or**  **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:

**WARNING - You cannot certify this Effort Statement because you only have the right to save other users' Statements.**  
**WARNING - This Effort Statement cannot be certified because there is an open TPE statement.**

6 

GL Accounts [-]	Payroll Dollars	Cost Share Dollars	Weighted Payroll Avg	Weighted Cost Share Avg	Con E
<b>Sponsored</b>					
2031234 ECRT TRAINING GRANT					
2031234-603600 SPONSORED RESEARCH-T	\$18,000.00	\$0.00	35.3%	0.0%	
<i>Award Total:</i>	<i>\$18,000.00</i>	<i>\$0.00</i>	<i>35.3%</i>	<i>0.0%</i>	
3021234 ECRT MEDICAL TRAINING GRANT					
3021234-601300 INSTRUCTION - TENURE	\$18,000.00	\$0.00	35.3%	0.0%	
3021234-603400 COST SHARING - SPONS	\$0.00	\$12,000.00	0.0%	23.5%	
<i>Award Total:</i>	<i>\$18,000.00</i>	<i>\$12,000.00</i>	<i>35.3%</i>	<i>23.5%</i>	

6. To access the ES-DUHS Effort Statement:

- Select on the  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:

**Effort Supporting DUHS** Printer Friendly Version

**Due Date: 12/02/2016 Past Due**

Covered Individual: CERTIFIER A GEER - 020001  
 Title: ACTIVE  
 Org Code: 067000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT  
 Email: CERTIFIER.GEER@DUKE.EDU  
 Status: Not Certified

Effort Coordinator: GINENDOLYN HALL, DPHIBO - 24129  
 Reporting Period: 07/01/2015 to 06/30/2016

This statement can not be confirmed until the base effort for this certification period is processed.

Re-send Effort Supporting DUHS Reminder

Average Weekly Hours for Effort Supporting DUHS	Quarter 1 FY2016		Quarter 2 FY2016		Quarter 3 FY2016		Quarter 4 FY2016		Year End Average	
	%	hrs								
<b>Residency Supervision and Training</b>										
- Duke Hospital	100.0	0.0	100.0	0.0	100.0	0.0	100.0	0.0	100.0	0.0
- Duke Regional Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Duke Raleigh Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- LabCo	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Inservice Education and Hospital Allied Health Programs</b>										
- Duke Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Duke Regional Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Duke Raleigh Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- LabCo	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

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.)

# Processing the ES-DUHS Statement (cont.)

The screenshot shows a reporting interface with a table of effort data. The table has columns for quarters and rows for various departments. A 'Grand Total' line is highlighted. Below the table are buttons for 'Need Assistance', 'Save to Complete Later', 'Confirm Reporting Period', and 'Do Nothing'. A note entry section is also visible, with a 'Save Note' button.

Other	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10
- Duke Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Durham Regional Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Duke Health Raleigh Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- LabCo	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- PRMO	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Grand Total:</b>	<b>100.0</b>	<b>100.0</b>	<b>5.0</b>	<b>100.0</b>	<b>2.0</b>	<b>100.0</b>	<b>10.0</b>	<b>100.0</b>	<b>6.8</b>	

Buttons: **Need Assistance**, **Save to Complete Later**, **Confirm Reporting Period**, **Do Nothing**

Note entry section: **Attach file**, **Attachments: N/A**, **Use the text field below to enter a Effort Supporting DUHS reporting statement note. (4000 character max.)**, **Save Note**, **Note History**

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).

The screenshot shows a warning message: **This statement can not be committed until the base effort for this certification period is processed.** Below the warning is a button: **Re-send Effort Supporting DUHS Reminder**. Below the button is a table showing effort data for Quarter 1 FY2016.

	Quarter 1 FY2016	
	%	hrs
<b>Average Weekly Hours for Effort Supporting DUHS</b>		10.0
<b>Residency Supervision and Training</b>		
- Duke Hospital	100.0	10.0

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:

- 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.

**Work List for GWENDOLYN HALL-DIFABIO**

Welcome to the ecrt effort reporting system. The tabs below list all of the effort certification tasks that require your attention - whether it is certifying statements, processing statements, or following up on outstanding statements. To view and resolve the specific task, select the link in the task description.

Statements Awaiting Certification | **Effort Tasks (6)**

Type	Identifier	Name	Date
<a href="#">Review Quarterly ESDUHS Card</a>	820001	GEER, CERTIFIER	02/15/2017
<a href="#">Process Supplemental Certification Statement</a>	820005	WADE, CERTIFIER	02/14/2017
<a href="#">Process Supplemental Certification Statement</a>	820002	ONEILL, CERTIFIER	02/14/2017
<a href="#">Process Base Certification Statement</a>	820002	ONEILL, CERTIFIER	02/14/2017
<a href="#">Process Base Certification Statement</a>	820004	STEVENSON, CERTIFIER	02/14/2017

- To access the Faculty’s ES-DUHS Statement from the **ECRT Home Page** screen, select the task on the Effort Task Tab.

# Processing ES-DUHS Statement (cont.)

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

**Effort Supporting DUHS**  
 Due Date: 08/31/2017  
 Covered Individual: CERTIFIER A GEER - 820001  
 Org Code: ACTIVE  
 Status: Not Certified  
 Effort Coordinator: GWENDOLYN K HALL, DFRABO - 24129  
 Reporting Period: 07/01/2016 to 06/30/2017

Average Weekly Hours for Effort Supporting DUHS	Quarter 1 FY2017		Quarter 2 FY2017		Quarter 3 FY2017		Quarter 4 FY2017		Year End Average	
	%	hrs								
Residency Supervision and Training		0.0		2.0		0.0		0.0		0.0
- Duke Hospital	100.0	0.0	100.0	0.0	0.0	0.0	0.0	0.0	100.0	1.3
- Duke Regional Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Duke Raleigh Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- LabCo	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Inservice Education and Hospital Allied Health Programs		0.0		0.0		0.0		0.0		0.0
- Duke Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

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.

## Processing ES-DUHS Statement (cont.)

- LABUC	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- PRMO	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Grand Total:</b>	<b>100.0</b>	<b>0.0</b>	<b>100.0</b>	<b>2.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>100.0</b>	<b>1.0</b>

**Need Assistance** | Save to Complete Later | Confirm Reporting Period | Do Nothing

Attach file

Attachments: N/A

Use the text field below to enter a Effort Supporting DUHS reporting statement note. (4000 character max.)

Save Note

Note History  
in History

Effort Supporting DUHS Statement history  
in History

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.

# Processing ES-DUHS Statement (cont.)

## 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**.

### Work List for GWENDOLYN HALL-DIFABIO

Welcome to the ecrt effort reporting system. The tabs below list all of the effort certification tasks that require your attention - whether it is certifying statements, processing statements, or following up on outstanding statements. To view and resolve the specific task, select the link in the task description.



<b>2</b>	Statements Awaiting Certification	Effort Tasks (7)		
Type	Identifier	Name	Date	
Approval Annual ESDUHS Card	820001	GEER, CERTIFIER	02/11/2017 6:01 AM	
Process Supplemental Certification Statement	820002	O'NEILL, CERTIFIER	02/10/2017 4:05 PM	

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.

# Processing ES-DUHS Statement (cont.)

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

**Review Effort Supporting DUHS**  
 Due Date: 12/02/2016 Past Due

Covered Individual: CERTIFIER A GEER - 820001  
 Title: ACTIVE  
 Org Code: 9870000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT  
 Email: CERTIFIER.GEER@DUKE.EDU  
 Status: Pending Review

Effort Coordinator: GWENDOLYN K HALL-DIFABIO - 24129  
 Reporting Period: 07/01/2015 to 06/30/2016

Re-send Effort Supporting DUHS Reminder

	Quarter 1 FY2016		Quarter 2 FY2016		Quarter 3 FY2016		Quarter 4 FY2016		Year End Average	
	%	hrs								
Average Weekly Hours for Effort Supporting DUHS		0.6		0.6		0.6		0.6		0.6
Residency Supervision and Training										
- Duke Hospital	100.0	0.6	100.0	0.6	100.0	0.6	100.0	0.6	100.0	0.6
- Durham Regional Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Duke Health Raleigh Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- LabCo	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Inservice Education and Hospital Allied Health Programs										

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.

## Processing ES-DUHS Statement (cont.)

- 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.*

Other										
- Duke Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Durham Regional Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- Duke Health Raleigh Hospital	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- LabCo	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
- PRMO	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Grand Total:</b>	<b>100.0</b>	<b>0.6</b>								

Buttons: **Need Assistance**, **Review Accepted**, **Review Not Accepted**, **Do Nothing**,  Reopen base effort?

Text input field: Attach file, Attachments: N/A, Use the text field below to enter a Effort Supporting DUHS reporting statement note. (4000 character max.)

Buttons: **Save Note**, [Note History](#)

- Scroll to the bottom of the ES-DUHS statement and ensure the Grand Total line equals to 100 % for the **Year End Average** column.
- 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.*
- Attach a file if needed (see the Basic Guide for Effort Coordinators for detailed instructions).
- 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.

## Processing ES-DUHS Statement (cont.)

---

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:

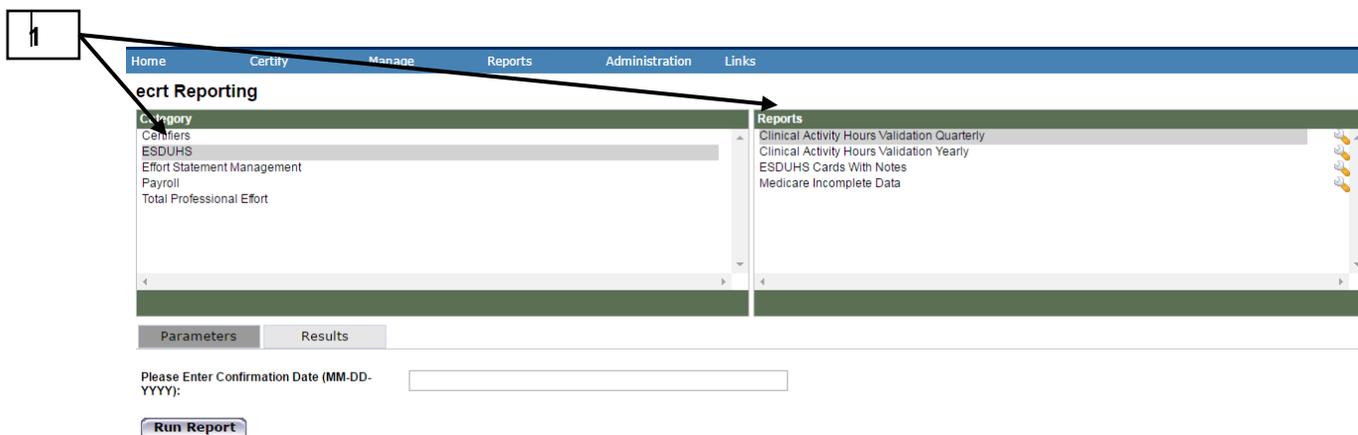
- Optional: Select the **check box** for **Re-Open Base Effort?** to indicate that you would like to re-open the Base Effort Statement, in order for the Faculty to revise the TPE Effort as needed.
- Select the **Review Not Accepted** button.

*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.*

## Reviewing ECRT Reports for ES-DUHS

### To access the ECRT reports:

*Note: The following reports have been created to monitor the activity in the quarterly and annual reporting of ES-DUHS. It is essential that these reports be run so that all Faculty complete the effort reporting in a timely manner and allow Effort Coordinators time to make corrections to the effort and/or hours as needed.*



*Note: As a reminder, the options listed are based on your security roles assigned in ECRT as an Effort Coordinator. Therefore, only the options available for the roles assigned will display. These options are not available to the Certifier.*

1. To access reports, select the **Reports** page. On the **Reports** page, select **ES-DUHS Report** in the Category Section.

## Reviewing Reports for ES-DHUS (cont.)

---

2. Available reports are listed in the **Reports** column. Descriptions of each report display in the **Description** column. Please review the descriptions for the following reports:

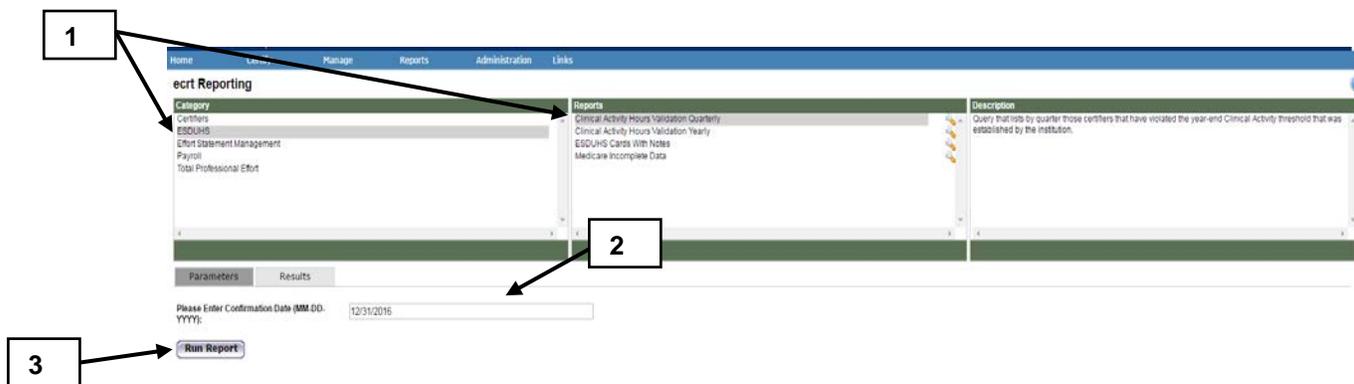
- Clinical Activity Hours Validation Quarterly\*
- Clinical Activity Hours Validation Yearly\*
- ES-DUHS Statement Notes
- Medicare Incomplete Data\*

*Note: The reports above highlighted by an asterisk are demonstrated on the following pages.*

## Reviewing Reports for ES-DHUS (cont.)

### To review the Clinical Activity Hours Validation Quarterly Report:

*Note: Query that lists by quarter those certifiers that have violated the year-end Clinical Activity threshold that was established by the institution. This report captures violations as they happen, but does not delete the violations once data is fixed so is not a real time report.*

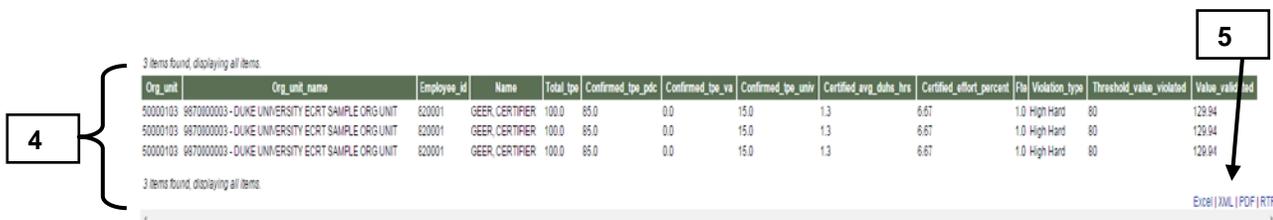


1. On the **Reports** page, choose the **Clinical Activity Hours Validation Quarterly Report** from the **ESDUHS** Category.
2. Enter the **calendar end date for the period being confirmed** in the format indicated (**MM-DD-YYYY**) in the **Confirmation Date** field.
3. Select on the **Run Report** button.

*Note: The Parameters page is automatically opened when reports are selected. After you run the report, the Result page is displayed. To change parameters, select the Parameters page again.*

# Reviewing Reports for ES-DHUS (cont.)

In the resulting report page:



4. Review the columns of data for accuracy as outlined below (use vertical scrollbar and horizontal scrollbar to view all columns):

Column Name	Column Description
Org_unit	Org. Unit (HR) that identifies your Org Unit at Duke
Org_unit_name	Corresponding name for the organizational unit.
Employee_id	The Duke Unique ID (DUID) of the Faculty certifier.
Name	Name of the Faculty certifier.
Total_tpe	Total percent of Total Professional Effort (TPE) entered by the Faculty certifier.
Confirmed_tpe_pdc	Percent of Total Professional Effort (TPE) designated by the Faculty certifier for the PDC.
Confirmed_tpe_va	Percent of Total Professional Effort (TPE) designated by the Faculty certifier for the VA
Confirmed_tpe_univ	Percent of Total Professional Effort (TPE) designated by the Faculty certifier for the University.
Certified_avg_duhs_hrs	Number of average hours for ES-DUHS entered by the Faculty certifier.
Certified_effort_percent	Percent of effort certified for ES-DUHS (percentage on G/L Account 600200).
FTE	Full time equivalent value for the Faculty certifier.
Violation Type	Type of warning (High Hard, Soft Hard, etc.) per the calculation of hours based on Duke’s policy of acceptable hours
Threshold_value_violated	Threshold value exceeded per the type of warning (Hard High > 80 hours for Duke, Hard Low < 30hours, etc.)
Value_validated	Actual calculated average weekly hours for the quarter selected that exceeded the acceptable hours.

## Reviewing Reports for ES-DHUS (cont.)

---

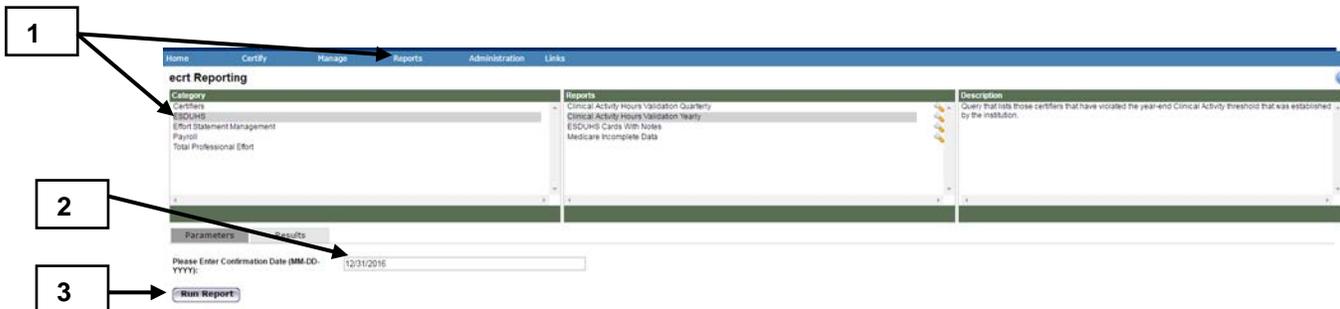
5. If desired, use the buttons at the bottom of the screen to export the data to **Excel**, **XML**, **PDF**, or **RTF** files (use vertical and horizontal scroll bar to view far right bottom corner).
6. To exit the report, select a different report from the top of the page, select a different ECRT page to visit, or **Sign Out**.

## Reviewing Reports for ES-DHUS (cont.)

---

### To review the Clinical Activity Hours Validation Yearly Report:

*Note: Query that lists those certifiers that have violated the year-end Clinical Activity threshold that was established by the institution.*



1. On the **Reports** page, choose the **Clinical Activity Hours Validation Quarterly Report** from the **ESDUHS** Category.
2. Enter the **calendar end date for the period being confirmed** in the format indicated (**MM-DD-YYYY**) in the **Confirmation Date** field.
3. Select on the **Run Report** button.

*Note: The Parameters page is automatically opened when reports are selected. After you run the report, the Result page is displayed. To change parameters, select the Parameters page again.*

# Reviewing Reports for ES-DHUS (cont.)

In the resulting report page:

8 items found, displaying all items.

Org_unit	Org_unit_name	Employee_id	Name	Total_tpe	Confirmed_tpe_pdc	Confirmed_tpe_va	Confirmed_tpe_univ	Certified_avg_duhs_hrs	Certified_effort_percent	Fte	Violation_type	Threshold_value_violated	Value_validated
50000103	9870000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT	820001	GEER, CERTIFIER	100.0	85.0	0.0	15.0	0.6	5.9	1.0	Unknown	0	67.8
50000103	9870000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT	820001	GEER, CERTIFIER	100.0	85.0	0.0	15.0	0.6	5.9	1.0	Unknown	0	67.8
50000103	9870000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT	820001	GEER, CERTIFIER	100.0	85.0	0.0	15.0	0.6	5.9	1.0	Unknown	0	67.8
50000103	9870000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT	820001	GEER, CERTIFIER	100.0	85.0	0.0	15.0	0.6	5.9	1.0	Unknown	0	67.8
50000103	9870000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT	820001	GEER, CERTIFIER	100.0	85.0	0.0	15.0	0.6	5.9	1.0	Unknown	0	67.8

8 items found, displaying all items.

View [XML] [PDF] [RTF]

1. Review the columns of data for accuracy as outlined below (use vertical scrollbar and horizontal scrollbar to view all columns):

Column Name	Column Description
Org_unit	Org. Unit (HR) that identifies your Org Unit at Duke.
Org_unit_name	Corresponding name for the organizational unit.
Employee_id	The Duke Unique ID (DUID) of the Faculty certifier.
Name	Name of the Faculty certifier.
Total_tpe	Total percent of Total Professional Effort (TPE) entered by the Faculty certifier.
Confirmed_tpe_pdc	Percent of Total Professional Effort (TPE) designated by the Faculty certifier for the PDC.
Confirmed_tpe_va	Percent of Total Professional Effort (TPE) designated by the Faculty certifier for the VA
Confirmed_tpe_univ	Percent of Total Professional Effort (TPE) designated by the Faculty certifier for the University.
Certified_avg_duhs_hrs	Number of avg. hours for ES-DUHS entered by the Faculty certifier.
Certified_effort_percent	Percent of effort certified for ES-DUHS (G/L Account 600200).
FTE	Full time equivalent value for the Faculty certifier.
Violation Type	Type of warning (High Hard, Soft Hard, etc.) per the calculation of hours based on Duke’s policy of acceptable hours
Threshold_value_violated	Threshold value exceeded per the type of warning (Hard High > 80hours for Duke, Hard Low < 30 hours, etc.)
Value_validated	Actual calculated average weekly hours for the quarter selected that exceeded the acceptable hours.

## Reviewing Reports for ES-DHUS (cont.)

---

5. If desired, use the buttons at the bottom of the screen to export the data to **Excel**, **XML**, **PDF**, or **RTF** files (use vertical and horizontal scroll bar to view far right bottom corner).
6. To exit the report, select a different report from the top of the page, select a different ECRT page to visit, or **Sign Out**.

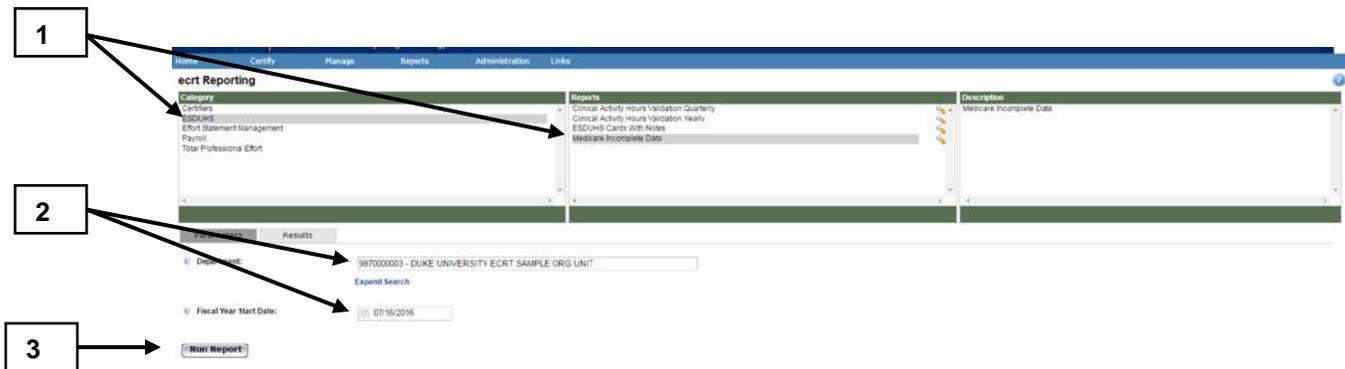
## Reviewing Reports for ES-DHUS (cont.)

---

### To review the Medicare Incomplete Report:

*Note: This report will list faculty members with the status of each quarter as “complete” or “incomplete.” Department effort coordinators are responsible for following up with faculty members until each quarter’s ES-DUHS is complete.*

*Note: It is important to note that this report only includes ES-DUHS cards that are not yet certified. During the annual process faculty who have completed their ES-DUHS confirmation will no longer appear on the report.*



1. Choose the **Medicare Incomplete Report** from the **ESDUHS Category**
2. Enter the **Org. Code (BFR)** in the **Department Number** field and the **Fiscal Year Start Date**.
3. Select on the **Run Report** button.

# Reviewing Reports for ES-DHUS (cont.)

In the resulting report page:

2 items found, displaying all items

Certifier_name	Employee_id	Dept_name	Dept_number	Dept_coordinator	Med_card_period	Q1_confirmed	Q1_payroll	Q2_confirmed	Q2_payroll	Q3_confirmed	Q3_payroll	Q4_confirmed	Q4_payroll	Status
GROSSMAN, CERTIFIER	800003	9870000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT	50000103	HALL OF FABIO, GIVENDOLYN - 24129	07/01/2016 - 06/00/2017	F	YES	F	NO	F	NO	F	NO	Not Certified
GEER, CERTIFIER	820001	9870000003 - DUKE UNIVERSITY ECRT SAMPLE ORG UNIT	50000103	HALL OF FABIO, GIVENDOLYN - 24129	07/01/2016 - 06/00/2017	T	YES	T	YES	F	NO	F	NO	Not Certified

2 items found, displaying all items

Excel | XML | PDF | RTF

4. Review the columns of data for accuracy as outlined below:

Column Name	Column Description
Certifier_name	Last and first name of the Faculty Certifier.
Employee_id	The Duke Unique ID (DUID) of the Faculty certifier.
Dept_name	Name for the organizational unit / department.
Dept_number	Org. Unit (HR) that identifies your Organizational Unit at Duke.
Dept_coordinator	Name of the Primary Effort Coordinator assigned to the Certifier
Med_statement_period	Certification period for the ES-DUHS statement.
Q1_confirmed	Value to indicate if Faculty has confirmed the quarter (T= True/Yes, F= False/No)
Q1_payroll	Value to indicate if the Faculty has payroll for the quarter
Q1_hours	Indicates number of hours recorded for ESDUHS for the quarter
Q2_confirmed	Value to indicate if Faculty has confirmed the quarter (T= True/Yes, F= False/No)
Q2_payroll	Value to indicate if the Faculty has payroll for the quarter
Q2_hours	Indicates number of hours recorded for ESDUHS for the quarter
Q3_confirmed	Value to indicate if Faculty has confirmed the quarter (T= True/Yes, F= False/No)
Q3_payroll	Value to indicate if the Faculty has payroll for the quarter
Q3_hours	Indicates number of hours recorded for ESDUHS for the quarter

## Reviewing Reports for ES-DHUS (cont.)

---

Q4_confirmed	Value to indicate if Faculty has confirmed the quarter (T= True/Yes, F= False/No)
Q4_payroll	Value to indicate if the Faculty has payroll for the quarter
Q4_hours	Indicates number of hours recorded for ESDUHS for the quarter
Status	Indicator of status of ES-DUHS statement

5. If desired, use the buttons at the bottom of the screen to export the data to **Excel, XML, PDF, or RTF** files.
6. To exit the report, select a different report from the top of the page, select a different ECRT page to visit, or **Sign Out**.