ECRT Effort Reporting TPE Guide

ECRT
Effort Certification and Reporting Technology
Total Professional Effort (TPE) Guide for Effort Coordinators
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Reviewing and Approving Total Professional Effort (TPE)

Overview of Total Professional Effort in 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.

The ECRT system contains the Base and Supplemental Effort Statements for Effort Certifiers. In addition, the ECRT system serves as Duke’s official location for recording the distribution of Total Professional Effort (TPE) confirmed by Clinical Faculty, where applicable. The TPE concept applies only to those associated with the School of Medicine (SOM) and School of Nursing (SON). This section covers how the Effort Coordinator will review and approve the TPE data confirmed by Faculty.

Please note the following background information about TPE data in ECRT:

- TPE data is required of all clinical department faculty; requests to exempt individual clinical faculty members from the TPE requirement need to be submitted to Laura Schloss in the School of Medicine Finance office.
- Clinical faculty who are not required to certify their base or supplemental effort statements (i.e., they have no sponsored effort in that fiscal year) must complete their TPE statement before the annual effort certification period begins (August 1). Clinical faculty without sponsored effort will have their effort statements auto-processed by ECRT, and will therefore not be able to access their TPE statement after August 1.
Total Professional Effort (cont.)

PROCESS

- Certifiers subject to this requirement will be asked to confirm their TPE each year, prior to certifying their effort.
  - Faculty will receive an email from the ECRT system address, requesting them to log in to ECRT to complete the annual effort certification process.
  - If TPE is required for an individual faculty member, upon logging in they will be brought directly to their TPE statement. If TPE is not required, this function does not apply to that faculty member.
Total Professional Effort (cont.)

- Faculty will need to confirm their TPE for the current fiscal year before they can proceed to their effort statement. Their TPE distribution must total 100% before they can confirm.

- Faculty can update/change their TPE during the year, and ECRT will keep track of their weighted average data for each fiscal year.

- Effort Coordinators are responsible for approving all changes made by faculty to their TPE data during the year or at the time of annual certification.

- Effort Coordinators can review their Faculty TPE statements while pre-reviewing their effort statements.

BACKGROUND

- TPE includes 3 “buckets”, to describe the allocation of faculty effort among the three recognized entities – Duke University, PDC and the VAMC.

- The percent of effort at the VA must correspond with their appointment type at the VA. For example, a 3/8s appointment represents a 15 hour commitment to the VA; the VA % on their TPE statement should correspond to that amount of effort at the VA when balanced against their other effort (Duke, PDC).

- The percent of effort at the PDC must correspond with their effort reimbursed by the PDC; this “bucket” should not include any clinical time that is assigned to Duke University and paid via a 459xxxx cost center.

- In general, a faculty member’s TPE distribution should be stable throughout the year; changes in distribution are driven by changes in appointment at one of the entities, and are typically accompanied by corresponding changes in salary amount. Examples of appointment changes that would trigger a TPE change include increasing a VA appointment from 3/8s to 5/8s, obtaining a NIH award and lowering clinic hours at the PDC, etc.
Total Professional Effort (cont.)

To confirm Total Professional Effort (TPE)

1. Select any of the hyperlinks from the home page and the TPE statement will open automatically.

   If faculty use the email link to access ECRT, the TPE statement will open first.

   In addition to certifying effort, certifiers who are faculty subject to TPE requirements are asked to confirm their TPE for the year during the annual effort certification process. Consider the following:
   - Faculty will need to confirm their TPE for the current fiscal year before they can proceed to their effort statement. Their TPE distribution must total 100% before they can confirm.
2. On the TPE confirmation screen, faculty will find specific instructions on the actions that can be performed in the tool.

Note: Read these instructions carefully before taking any action. As described, certain actions are used during the annual effort certification period and other actions are used to make changes during the year.

3. When working with TPE, remember the following:

- The percentage of effort across the three entities of PDC, University, and VA should total 100%.
- TPE percentages are changed in the Current Duke Annual % column.
- Historical TPE is for the current fiscal year only.
- TPE Audit displays all changes to TPE
Total Professional Effort (cont.)

During the pre-review stage of the annual effort certification cycle, Effort Coordinators can pre-review their Faculty’s TPE statement while pre-reviewing their standard effort statement(s).

To review the TPE from the Faculty’s Effort Statement:

1. To access the Faculty’s TPE 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.
Total Professional Effort (cont.)

In the resulting Org. Code Dashboard screen:

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

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

4. 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, or a previously certified statement to view a TPE statement from a previous year.

In the resulting Effort Statement screen for the Certifier chosen:

5. **To access the TPE Effort Statement:**

   - **Select on the Icon link** located along the top of the effort statement and select **Total Professional Effort**.
From the Faculty’s Total Professional Effort Statement for the current period:

6. Ensure the correct Fiscal Year is displayed in the title at the top of the screen.

7. In the **View Period** field, ensure the correct Fiscal Year beginning and end dates are displayed (select the **Drop-down** button to select the correct period if needed).

8. Review the **weighted average TPE data** in the **Average** column for reasonableness.

   **Note:** The TPE data may be changed on this page and the steps are covered in the next section of the Guide.
To create or confirm the TPE for absent Faculty:

Note: These steps are used if the Effort Coordinator has to enter TPE data for absent Faculty. Use the previous steps outlined in this section to access the Faculty’s TPE Effort Statement if needed.

From the Faculty’s Total Professional Effort Statement for the current period:

1. Ensure the correct **Fiscal Year** is displayed in the title at the top of the screen and the correct dates are displayed in the **Certification Period** field.

2. Review the outlined input fields in the **Current Duke Annual %** section to enter the following:
   - the **percentage of effort** across the three entities of PDC, University, and VA, Total = 100.0 %
   - the **Effective Start Date**.
3. Click in the **Current Duke Annual %** column and enter the **correct percentages of effort** (in the format shown in the example above) as distributed across the PDC, University, and VA.

4. Ensure the **three percentages total to 100.0 %**, in order to be able to save the data.

5. Use the **Drop-down** button in the **Effective Start Date** and **Effective End Date** fields to select the date from the calendar for this TPE distribution, per the scenarios below:
   - If there was no change in TPE data, the default value should be the first date of the Fiscal Year (7/1/20XX).
   - If you are entering TPE data for a Faculty with no existing TPE data for this Fiscal Year, do **NOT** enter the Effective End Date and it will default to 12/31/9999.

6. Carefully read the instructions provided on the page and select the appropriate button based on the action taken.

7. To exit, select **Close**.
Total Professional Effort (cont.)

To review and approve the TPE for Faculty:

*Note:* These steps are used when Faculty have confirmed TPE statements. The assigned Effort Coordinator for the Faculty will receive a related Effort Task (a “to do” item) for each TPE entry to be reviewed and approved.

1. To access the Faculty’s pending TPE entry from the **ECRT Home Page** screen, select the corresponding item from the **Effort Task** list.
2. Review the TPE data on the statement.

3. If there are NO questions or concerns about the data, then select the **Acknowledge / Approve** button.

4. If there ARE questions or concerns about the data, then select the **Home Page** button and note the following:
   - Contact the Faculty to address the questions or concerns.
   - If needed, request that the Faculty edit their TPE data and resubmit for approval; this will replace the previous entry/task.
   - Return to this screen after the questions and concerns are addressed; and select the **Acknowledge / Approve** button.

Note: After the **Acknowledge/Approve** button is used, the Manage Effort Tasks screen displays so that you can continue reviewing your Effort Tasks.
Reviewing the Total Professional Effort (TPE) Report

To access TPE Reports:

Note: The following reports have been created to monitor the activity in the annual reporting of TPE. 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.

The TPE Report is an alternate way to view the TPE Statement for Faculty. The report allows the Effort Coordinator to view the Faculty’s TPE Statement without first reviewing the Faculty’s standard Effort Statement(s), or to review TPE data for multiple Faculty in one report.

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 Total Professional Effort in the Category Section.
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:

- Faculty Missing TPE*
- Faculty with TPE – Effort Certification not Required Clinical Activity Hours Validation Yearly*

**Note:** This report is helpful in managing TPE for Clinical Faculty who have effort on non-sponsored research. Effort Coordinators must pre-populate TPE no later than July 31 before the statement is auto-processed.

**Note:** TPE cannot be modified on a statement that has been auto-processed so Effort Coordinators must main the statement prior to the end of the pre-review period.

- TPE Report

**Note:** Detailed instructions are listed below for reports highlighted by the asterisk.

**Note:** The additional reports in the Total Professional Effort category are executed by entering Org Code in the Enter Department field and the start of the fiscal year of interest and the reports display as a list which includes employee and department information.
3. On the **Reports** page, choose the **TPE Report** from the **Total Professional Effort** Category.

4. Enter data to execute the report. Hovering over the information icon provides details about the data required for each field.

5. After data is entered, select **Run Report**.
6. **Review the results** that ECRT displays based on the criteria selected in the steps above.

7. **Select the column heading** to sort the results by that column if desired.

8. Select the **Certifier’s name (highlighted in blue)** to view the Total Professional Effort statement for that person.

9. If desired, use the buttons at the bottom of the screen to export the data to **Excel, XML, PDF, or RTF files**.

10. To exit the report, select a different report from the top of the page, select a different ECRT page to visit, or **Sign Out**.