Texas Tech University Health Sciences Center El Paso
Institutional Compliance Procedure

Procedure: Delinquent Notifications for Institutional Compliance Tech Trainings	**Effective Date:** October 4, 2023
	Last Revision Date: December 6, 2023
References: HSCEP OP 52.01, Institutional Compliance Plan	

Procedure Statement

This procedure describes the process for notification to supervisors and employees who have not completed Institutional Compliance trainings by the designated due date.

Scope

This procedure applies to the Office of Institutional Compliance or a designated department employee.

Procedure

Creating Tech Training Reports

1. Log in to the Tech Training application with Texas Tech credentials. The Tech Training application can be found on the TTUHSC El Paso Office of Institutional Compliance webpage or by using the following link https://academic.elpaso.ttuhsc.edu/TechTraining/.

2. Download the User Training Report. This can be found at Reports dropdown > Compliance > User Training Report.

   a. There are four User Training Reports that will be combined into one report.
   b. In the Search Criteria section: Leave Eraider field blank. Select the desired date range. Select one of the following trainings: Ethics and Standard of Conduct, CME HIPAA, Conflict of Interest, and General Compliance. In the Training Status section, keep the **All** radio button checked.
   c. Click the Search button.
   d. Open the selected report via Microsoft Excel.
   e. Repeat steps b. through c. to pull the remaining reports. For each remaining report, select the Copy button and copy the report onto the opened report in Excel.
      i. Delete the first three rows of each remaining report you add to the opened report.

3. Save the report in the following BillCom Server folder:

> BillComFiles$ (\\elpdeptfs02) (T:) ＞ Training ＞ _Mandatory Compliance Training List ＞ 2023 Delinquent Notices

   a. Please note that a folder for each year will need to be created, and
   b. ***SAVE THE SPREADSHEET AFTER EACH STEP.***

Removal of the Names of Individuals not on the Current Human Resources Report

1. Reports from Tech Training are a CSV file; save the file as an Excel Workbook.

2. Highlight Row 1 and bold the text of the headers.

3. Expand the column widths so all data is readily visible.

4. Filter the column, "Termination Date" i.e. remove all entries that have a termination date leaving only the blanks in the column.

5. Insert a column to the left of the column titled "Rnumber."

	A	B	C	D	E	F	G
1	**Id**	**Training**		**Rnumber**	**Eraider**	**Full Name**	**Email**
2	49529	2023 Conflict of Interest					
3	49528	2023 Conflict of Interest					

6. Insert a column to the right of the column titled "Rnumber."

	A	B	C	D	E	F	G
1	**Id**	**Training**		**Rnumber**		**Eraider**	**Full Name**	**Email**
2	49529	2023 Conflict of Interest					
3	49528	2023 Conflict of Interest					
4	49527	2023 Conflict of Interest					

7. Utilizing the current "Employee Report" from the excluded provider check (path is listed below), copy the column with the Rnumbers.

> batman (\\elpfifs01) (S:) ＞ Excluded Provider Check ＞ Employee List ＞ 2023

a. Paste the Rnumbers in column C which is the blank column to the left of the Rnumber column you created.

8. Label the column that you inserted to the right of the column titled "Rnumber" as "VLOOKUP."

9. Perform the VLOOKUP of the delinquent learners in column D against the Rnumbers from the HR report ("ID" column).

10. Add filters to the columns.

11. In the column titled "VLOOKUP", filter out (remove) #N/A.
    a. This step removes individuals not listed on the current HR active employee report.

12. Copy the remaining data to a new worksheet and name the new worksheet, "Active Employees."
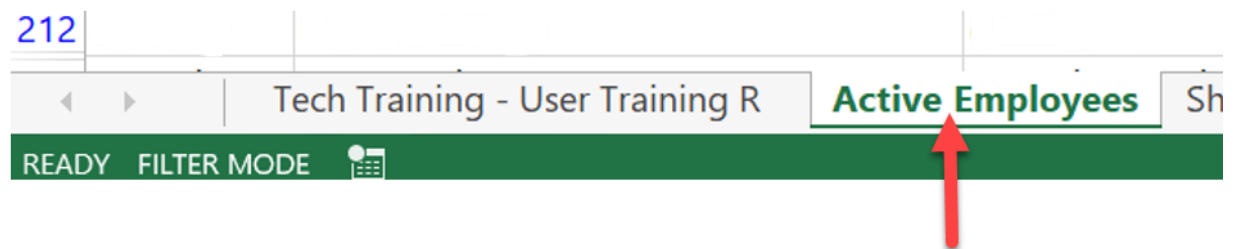
13. Delete the following columns:
    a. Termination Date,
    b. Completed Date,
    c. Course Active,
    d. Credited,
    e. Locked,
    f. Attempts,
    g. Grade, and
    h. College

14. Open the filter in the column titled, "Due Date" and deselect future dates (individuals that are not delinquent).

15. Open the filter in the column titled, "Completed" and deselect "Yes" (individuals that completed the trainings).

16. Copy the remaining data to a new workbook page. Label this worksheet page as "Delinquent Learner Data."
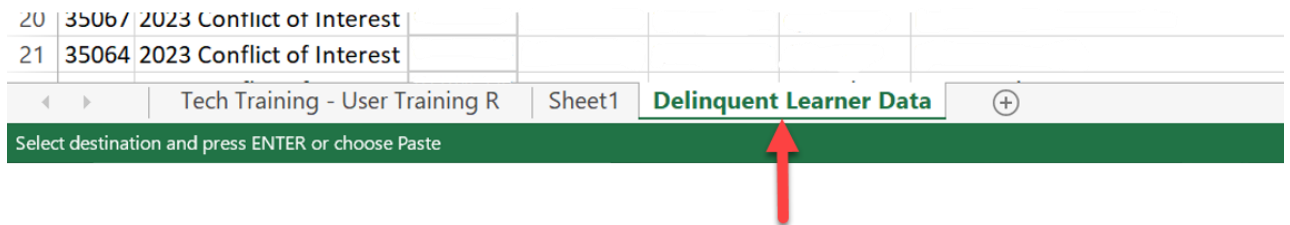
Create the Pivot Table

1. Click on any cell containing data in the "Delinquent Learner Data" worksheet.

2. Open the "Insert" tab, and select "Create Pivot Table."
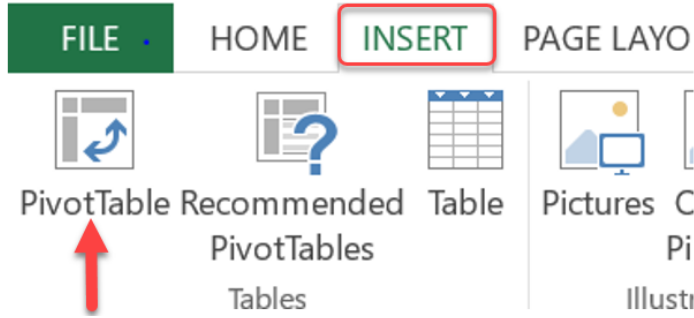
3. Add the following data fields into the "Rows" area:
   a. "Department"
      i. Highlight the departments in yellow.
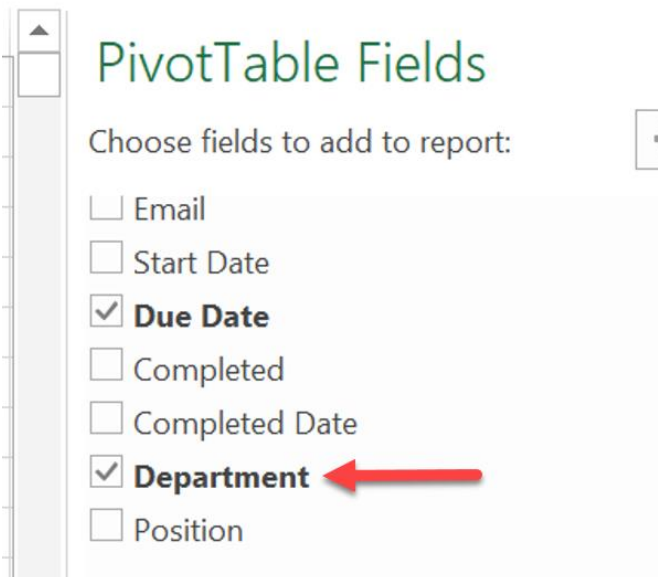   ii. Put borders around each department name.

   b. "Full Name"
   c. "Training"
   d. "Due Date"

4. Right click on the "Department" field in the Pivot Table Fields section.

5. Select, "Add as a Slicer" and the following slicer will appear:

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TEXAS TECH UNIVERSITY
HEALTH SCIENCES CENTER.
EL PASO
Office *of* Institutional Compliance
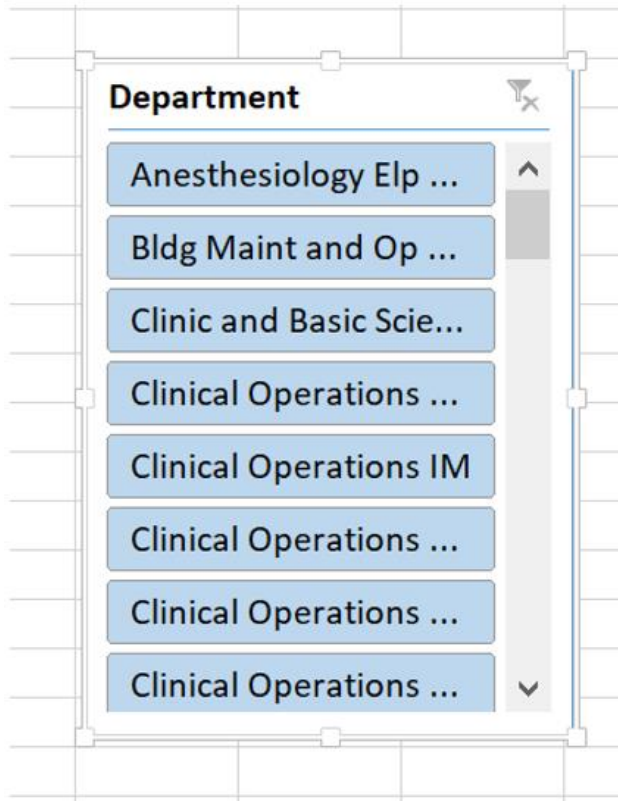
**Creating the Notification to Employees and their Supervisors**

1. Use the Office of Institutional Compliance Directory to search for the name and email of the department supervisors/chair. The directory can be found at Batman folder > _Directory (copy) > TTUHSC Directory_ (Your name) or use the most recent directory.

2. Create an email to notify the supervisors and delinquent employees.
   a. The pivot table is attached to the email,
   b. The email is sent to the delinquent employee,
   c. Copy the employee's supervisor,
   d. Copy Dr. Richard Lange and the ICO on the email.

3. Creating the delinquent employee email list:
   a. Open the worksheet titled, "Delinquent Learner Data",
   b. Add filters to the columns
   c. Click on the letter above the column titled, "Email" to highlight the entire column

d. With the column highlighted, open the filter for this column and deselect (Blanks).

4. Create a new worksheet and title the worksheet, "Email Delinquent Learners."
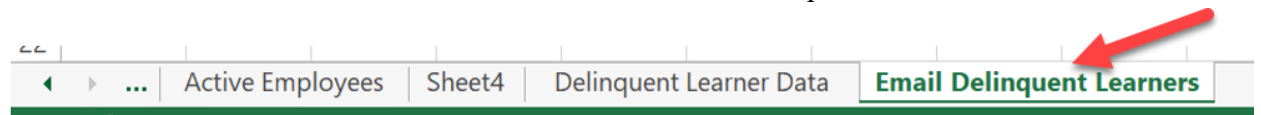
5. Copy the list of emails from step 3 of this section into the "Email Delinquent Learners" worksheet.
   a. Steps 3 through 5 of this section are necessary to remove the blanks from the email column because not all employees have an email listed in Banner.
      i. This is an example of the departments failing to accurately maintain employee data in the Banner system.
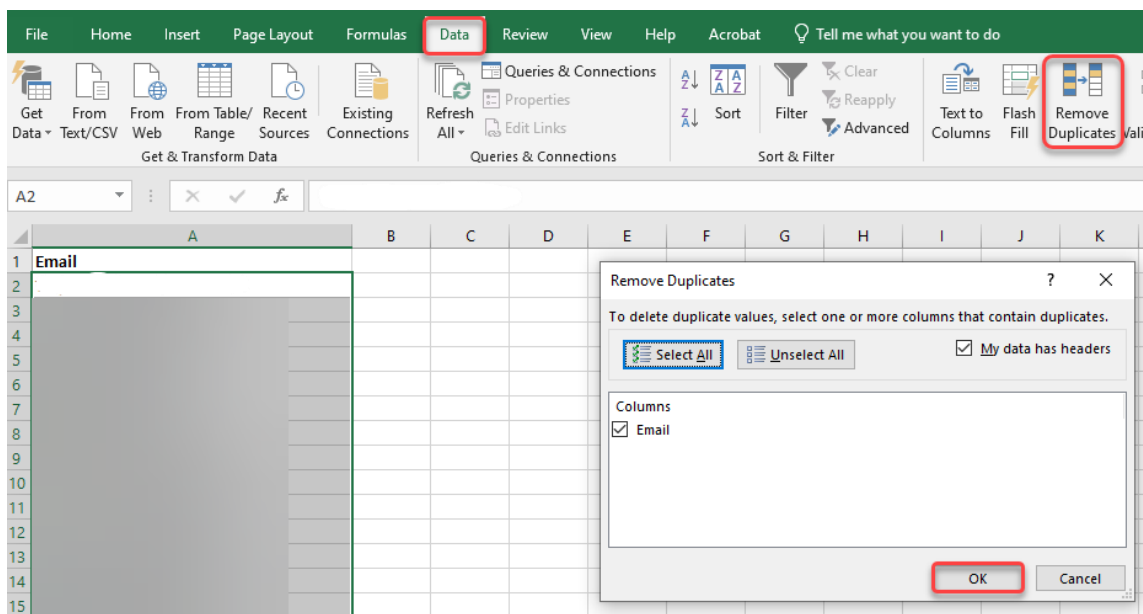6. Once you have copied the emails for the delinquent learners into the "Email Delinquent Learners" worksheet:
   a. Select the entire email column.
   b. Go to the "Data" tab and click on "Remove Duplicates."
   c. Click "OK."
      i. This will delete the duplicate emails and will leave only one email per individual.

C:\Users\geramata\Downloads\Delinquent_Notifications_for_Institutional_Compliance_Tech_Trainings_12-6-2023.docx

7. From August to the end of the calendar year, monthly notifications will be sent to delinquent employees and supervisors.
   a. At least two monthly notifications will be send during November and December.

Frequency of Review

This procedure will be reviewed and revised as Tech Training information is updated and/or process changes.

Review Date: 11/03/2023, 11/22/2023, 12/6/2023

Revision Date: 11/03/2023, 11/22/2023, 12/6/2023