

Texas Tech University Health Sciences Center El Paso Institutional Compliance Procedure

Procedure: Delinquent Notifications for Institutional Compliance Tech Trainings	Procedure #: HSCEP OP 52.01, PRO B
Effective Date: October 4, 2023	Last Revision Date: May 7, 2024
References: HSCEP OP 52.01, Institutional Compliance Plan	
TTUHSC El Paso Institutional Compliance Website: http://elpaso.ttuhscc.edu/compliance/	

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.

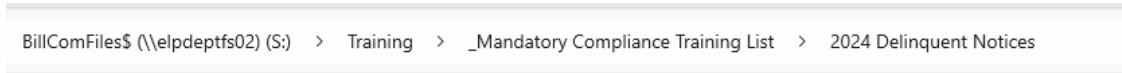
Procedure

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.ttuhscc.edu/TechTraining/>.
2. Download the User Trainings Report. This can be found at **Reports** dropdown > **Compliance** > **User Trainings Report**.
 - a. There are four User Trainings Reports for Compliance that will be combined into one report.
 - b. In the **Search Criteria** section: Leave the **eRaider** field blank. Select the desired date range. Select one of the following trainings: Ethics and Standard of Conduct, 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 d. to pull the remaining reports. For each remaining report, copy and paste the report onto the first report you created in Excel.
 - i. Delete the first row of each remaining report you add to the first report.

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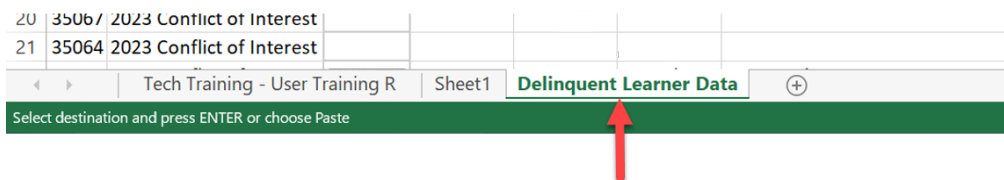
3. Save the report as **YYYY-MM-DD User Training Report** in the following BillCom Server folder:



- a. Reports from Tech Training are a CSV file; save the file as an Excel Workbook.
 - b. Bold and add filters to the first row in the combined report.
 - c. Please note that a folder for each year will need to be created using the following format: **YYYY Delinquent Notices**.
 - d. **REMEMBER TO SAVE THE SPREADSHEET AFTER EACH STEP.**
4. Once you have combined the reports, filter the combined report as follows:
 - a. Highlight Row 1 and bold the text of the headers.
 - b. Filter the **Termination Date** column, i.e. remove all entries that have a termination date leaving only the blanks in the column.
 - c. Filter the **Training Due Date** column, i.e. deselect future dates. This will remove individuals who are not delinquent.
 - d. Filter in the **Training Completed** column, i.e. deselect **Yes**. This will remove individuals who have completed the trainings.
 - e. Copy and paste 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.



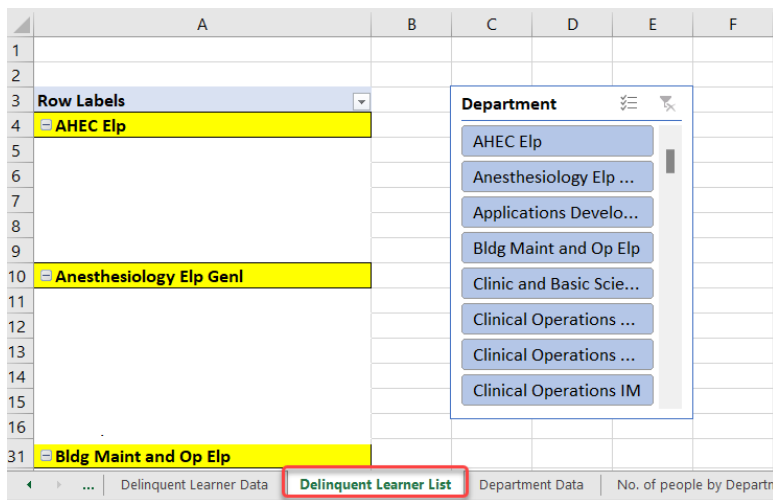
2. Open the **Insert** tab, and select **Create Pivot Table**.

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3. Create a pivot table with the department field and the delinquent learner names.
 - a. First add the department to the pivot table.
 - i. Highlight the department names so they will be easily discernable.
 - b. Add the learner field under the department field.

4. Name the worksheet as **Delinquent Learner List**. This list is going to be sent to supervisors and delinquent learners.
 - a. Add a department slicer.



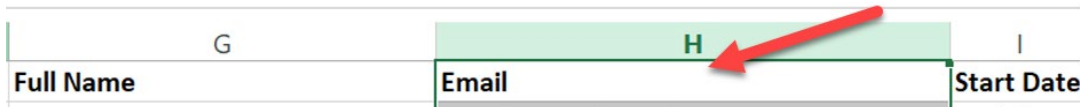
Creating the Notification to Employees and their Supervisors

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 **Delinquent Learners List** is attached to the email,

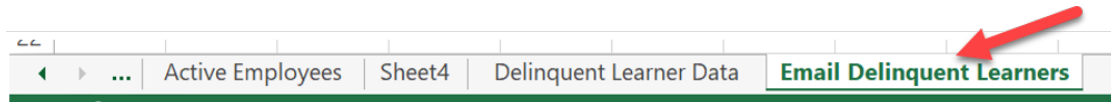
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- b. The email is sent to the delinquent employee,
 - c. Copy the employee's supervisor,
 - d. Copy Dr. Richard Lange, Megan Graham, and ICO on the email.
3. Creating the delinquent employee email list:
- a. Open the worksheet titled, **Delinquent Learner Data**,
 - b. Click on the letter above the column titled, **Email** to highlight the entire column.



G	H	I
Full Name	Email	Start Date

- c. 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**.

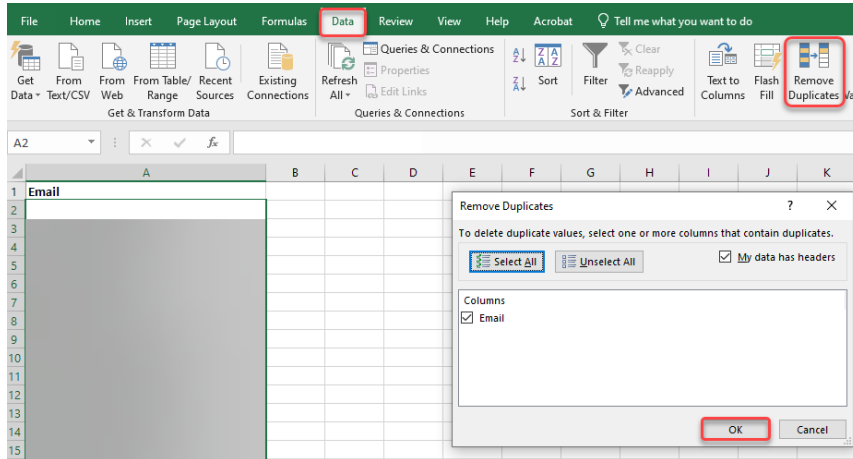


5. Copy the list of emails from step 3 of this section into the **Email Delinquent Learners** worksheet.
- a. Steps 3 through 5 of this section are necessary to remove the blanks from the email column because not all employees have an email listed in Banner.

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.

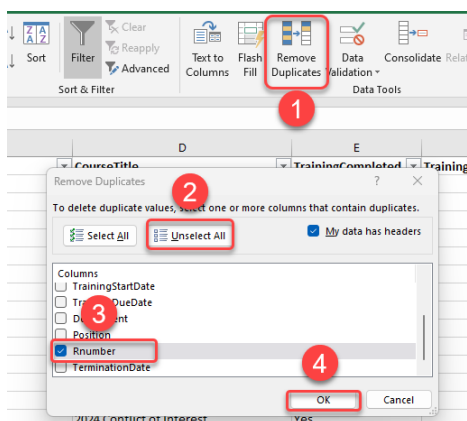
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7. From June to the end of the calendar year, monthly notifications will be sent to delinquent employees and supervisors.
 - a. At least two monthly notifications will be sent during November and December.

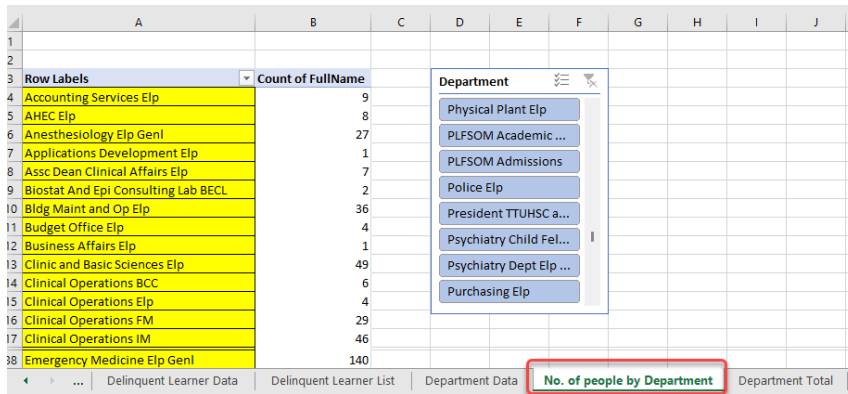
Department Count Reports

1. Using the **Combined Tech Training Report** in step 2 from the [Creating Tech Training Reports](#) section, create two pivot tables. The first table will demonstrate the number of individuals per department and the second table will demonstrate the department's total completions and completion percentage.
 - a. Clear the filters on the **Training Completed** column, i.e. keep selected the Yes and No options. This will give you a count of all the individuals in the department.
 - b. Copy the data to a new worksheet. Name this worksheet as **Department Data**.
 - c. Select the entire data and go to the **Data** tab. Click on **Remove Duplicates**. **Unselect All** and leave the Rnumber option checked. Click **OK**.

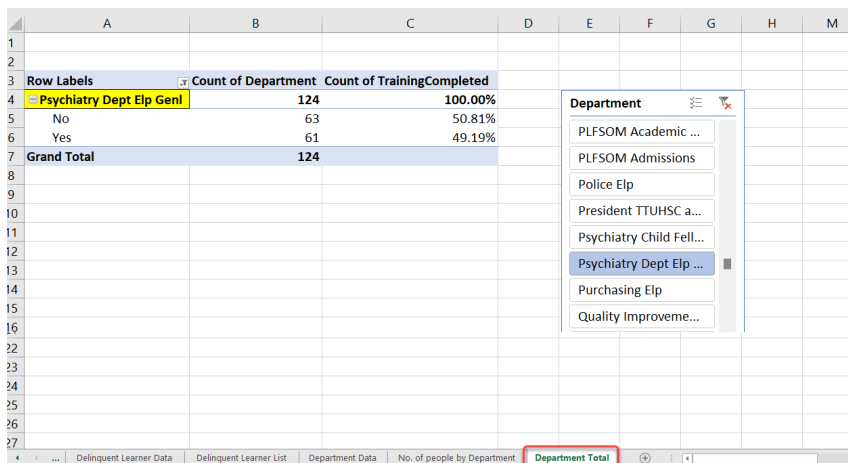


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- d. Using the **Department Data**, create the 2 pivot tables. The first pivot table needs to be named **No. of people by Department** and the second pivot table will be named **Department Total**.
- e. Add a department slicer to both pivot tables.



Row Labels	Count of FullName
Accounting Services Elp	9
AHEC Elp	8
Anesthesiology Elp Genl	27
Applications Development Elp	1
Assc Dean Clinical Affairs Elp	7
Biostat And Epi Consulting Lab BECL	2
Bldg Maint and Op Elp	36
Budget Office Elp	4
Business Affairs Elp	1
Clinic and Basic Sciences Elp	49
Clinical Operations BCC	6
Clinical Operations Elp	4
Clinical Operations FM	29
Clinical Operations IM	46
Emergency Medicine Elp Genl	140



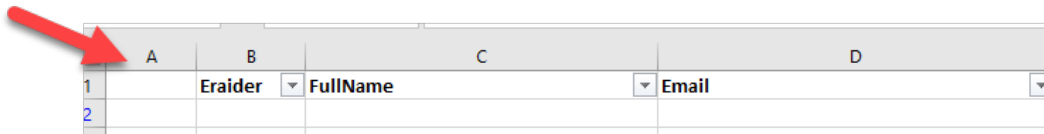
Row Labels	Count of Department	Count of TrainingCompleted
Psychiatry Dept Elp Genl	124	100.00%
No	63	50.81%
Yes	61	49.19%
Grand Total	124	

Delinquent Reports for the Past 2 Years

1. This report will reflect and compare 2 years of completion of trainings.
2. Create two reports, one for the current year and one for the year before. Follow steps 1 – 4 in the [Creating Tech Trainings Reports](#) section to create the reports.
 - a. Name the current year report worksheet as **“Year” Delinquent**. For example, **2024 Delinquent**.
 - b. Name the report for the year before worksheet as **“Year” Delinquent**. For example, **2023 Delinquent**.

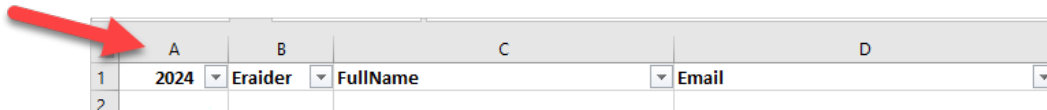
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3. Highlight Row 1 and bold the text of the headers.
4. Add filters to the columns.
5. Expand the column widths so all data is readily visible.
6. Insert a column to the left of the column titled **Eraider**.



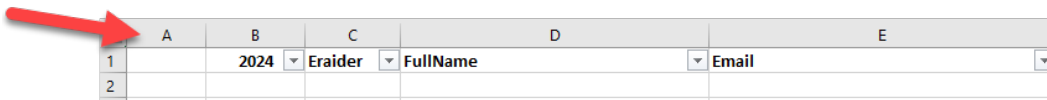
	A	B	C	D
1		Eraider	FullName	Email
2				

- a. Cut the **Rnumber** column and paste it in column A which is the blank column to the left of the **Eraider** column. Name the column with the current year.



	A	B	C	D
1	2024	Eraider	FullName	Email
2				

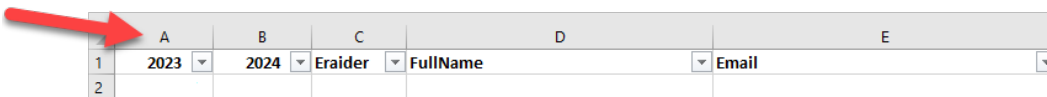
7. Insert a column to the left of the column with the current year.



	A	B	C	D	E
1		2024	Eraider	FullName	Email
2					


8. Utilizing the report for the previous year, copy the column with the **Rnumbers**.

- a. Paste the Rnumbers in column A which is the blank column to the left of the current year column you created. Name the column with the previous year.



	A	B	C	D	E
1	2023	2024	Eraider	FullName	Email
2					

9. Insert a column to the right of the column with the current year and name it **VLOOKUP**.



	A	B	C	D	E	F
1	2023	2024	VLOOKUP	Eraider	FullName	Email
2						

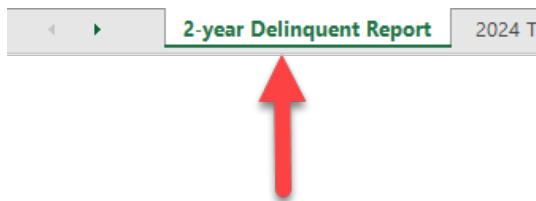
10. Perform the VLOOKUP of the delinquent learners in column B against the Rnumbers from the previous year (column A).

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11. In the column titled **VLOOKUP**, filter out (remove) #N/A.
 - a. This step removes individuals who are not active.

12. Filter the report as follows:
 - a. In the column titled **Trainings Completed**, filter out (remove) Yes.
 - b. In the column titled **Termination Date**, leave only the (Blanks) option.
 - c. In the column titled Training **Due Date**, filter out (remove) future dates. This will remove the individuals who are not delinquent.

13. Copy the remaining data to a new worksheet and name the new worksheet, **2-year Delinquent Report**.



14. Delete the following columns:
 - a. Termination Date,
 - b. Training Start Date,
 - c. Training Due Date,
 - d. Completed Date,
 - e. Training is Due,
 - f. Training Attempts,
 - g. Training Grade, and
 - h. College

Frequency of Review

This procedure will be reviewed in collaboration with HSCEP OP 52.01, Institutional Compliance Plan (July of every year), or if the process changes by the designated Compliance personnel.

Review Date: 11/03/2023, 11/22/2023, 12/6/2023, 5/7/2024

Revision Date: 11/03/2023, 11/22/2023, 12/6/2023, 5/7/2024