

## Texas Tech University Health Sciences Center El Paso Institutional Compliance Procedure

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| <b>Procedure:</b> Delinquent Notifications for Institutional Compliance Tech Trainings  | <b>Procedure #:</b> HSCEP OP 52.01, PRO B   |
| <b>Effective Date:</b> October 4, 2023  | <b>Last Revision Date:</b> January 14, 2025 |
| <b>References:</b> HSCEP OP 52.01, Institutional Compliance Plan  |   |
| <b>TTUHSC El Paso Institutional Compliance Website:</b> <a href="http://elpaso.ttuhsoc.edu/compliance/">http://elpaso.ttuhsoc.edu/compliance/</a> |   |

### 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.ttuhsoc.edu/TechTraining/>.
2. Download the **Compliance Special Report**. This can be found at **Reports** dropdown > **Compliance** > **Compliance Special Report**.
  - a. There are four trainings for Compliance that will be needed: Ethics and Standard of Conduct, HIPAA, Conflict of Interest, and General Compliance.
  - b. In the **Search Criteria** section: Leave the **eRaider** field blank. Select the desired date range. Leave the **Training** dropdown as **Select a course**. In the **Training Status** section, keep the **All** radio button checked.
  - c. Click the **Search** button.
  - d. Open the selected report via Microsoft Excel.
3. Save the report as **YYYY-MM-DD Combined Report** in the following BillCom Server folder:

BillComFiles\$ (\pdeptfs02) (S:) > Training > \_Mandatory Compliance Training List > 2024 Delinquent Notices

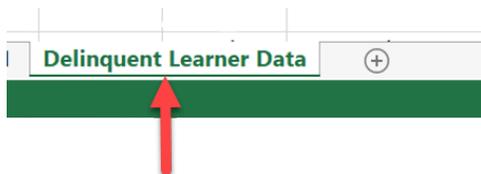
- a. Reports from Tech Training are a CSV file; save the file as an Excel Workbook.

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- b. Please note that a folder for each year will need to be created using the following format: **YYYY Delinquent Notices**.
  - c. **REMEMBER TO SAVE THE SPREADSHEET AFTER EACH STEP.**
4. Once you open the combined report, filter as follows:
- a. Highlight Row 1 and bold the text of the headers.
  - b. Add filters to the columns.
  - c. Filter the **Course Title** column, i.e. leave only the Compliance reports (Ethics and Standard of Conduct, HIPAA, Conflict of Interest, and General Compliance).
  - d. Filter the **Training Due Date** column, i.e., deselect future dates. This will remove individuals who are not delinquent.
  - e. Filter the **Training Completed** column, i.e. deselect **Yes**. This will remove individuals who have completed the trainings.
  - f. Filter the **User Type** column, i.e. deselect **Student**. This will remove students from the delinquent data.
  - g. Copy and paste the remaining data to a new worksheet 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.

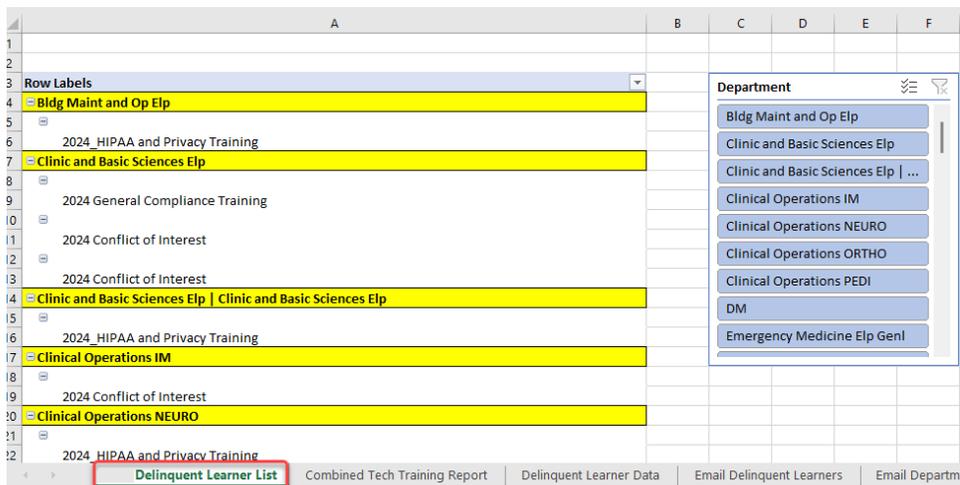


2. Open the **Insert** tab, and select **Create Pivot Table**.



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3. Create a pivot table with the department, the delinquent learner names, and the course name.
  - a. First add the department to the pivot table.
    - i. Highlight and add all borders to the department names so they will be easily discernable.
  - b. Add the learner name field under the department field.
  - c. Add the course name field under the learner name field.
  - d. Add a department slicer.
  
4. Name the worksheet as **Delinquent Learner List**. This list is going to be sent to supervisors and delinquent learners.



### Creating the Notification to Employees and their Supervisors

1. Create an email to notify the supervisors and delinquent employees.
  - a. The **Delinquent Learners List** 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, Megan Graham, and ICO on the email.
  
2. 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.

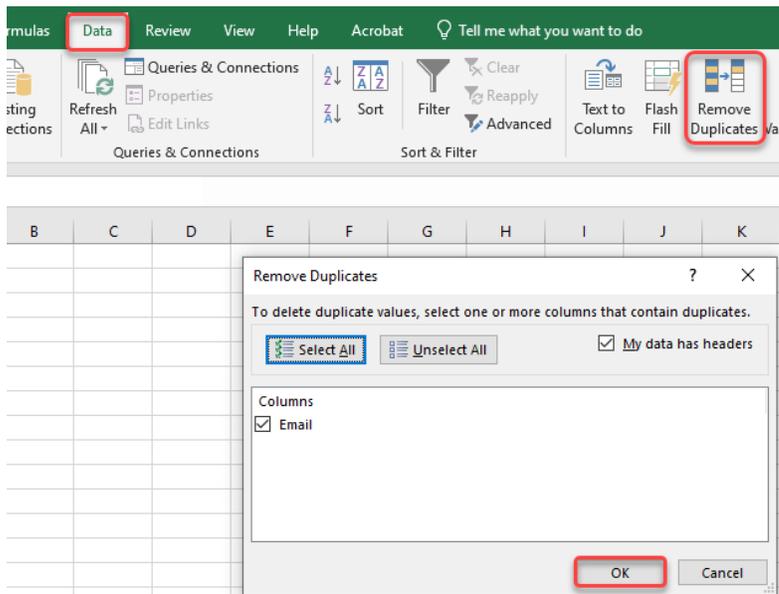
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|------------------|--------------|-------------------|
| <b>Full Name</b> | <b>Email</b> | <b>Start Date</b> |

3. Create a new worksheet and title the worksheet, **Email Delinquent Learners**.



4. Copy the list of emails from step 3 of this section into the **Email Delinquent Learners** worksheet.
5. 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.



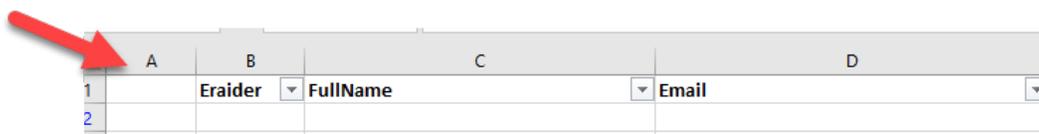
6. Use the Department Contact List to search for the name and email of the department chair and/or administrator. The document can be found in BillCom folder > Training > \_Mandatory Compliance Training List > Department Contacts List.
  - a. Verify the accuracy of all individuals on the list. If any are incorrect, locate the current department chair and/or administrator.

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- b. Create a new worksheet in the Combined Report and title the worksheet **Email Departments**.
  - c. Copy and paste the emails from the Department Contact list to the **Email Departments** worksheet. Then, follow steps 5a through 5c to remove the duplicate emails.
7. A notification will be sent to delinquent employees and supervisors in June and December.

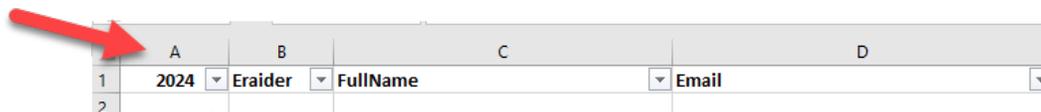
### Delinquent Reports for the Past 2 Years

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**.
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** in the current year report.



|   | A | B       | C        | D     |
|---|---|---------|----------|-------|
| 1 |   | Eraider | FullName | Email |
| 2 |   |         |          |       |

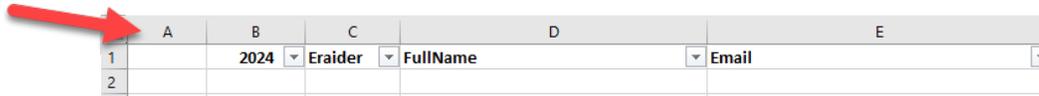
- a. Cut the **Rnumber** column and paste it in column A which is the blank column to the left of the **Eraider** column. Name the column with the current year.



|   | A    | B       | C        | D     |
|---|------|---------|----------|-------|
| 1 | 2024 | Eraider | FullName | Email |
| 2 |      |         |          |       |

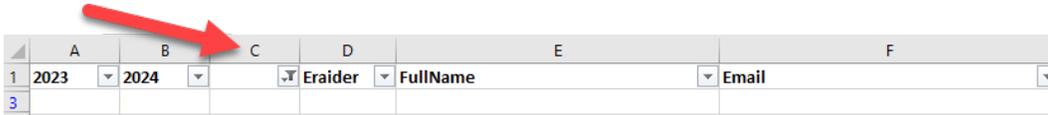
7. Insert a column to the left of the column with the current year.

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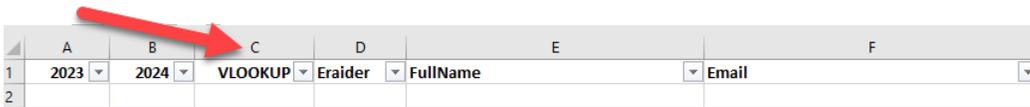
|   | A | B    | C       | D        | E     |
|---|---|------|---------|----------|-------|
| 1 |   | 2024 | Eraider | FullName | Email |
| 2 |   |      |         |          |       |

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     | F |
|---|------|------|---------|----------|-------|---|
| 1 | 2023 | 2024 | Eraider | FullName | Email |   |
| 3 |      |      |         |          |       |   |

9. Name the blank column to the right of the column with the current year as **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).
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 **Course Title**, leave only the compliance trainings.
  - b. In the column titled **Trainings Completed**, filter out (remove) Yes.
  - 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**.



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|  <span style="border: 1px solid black; padding: 2px;">2-year Delinquent Report</span> <span style="border: 1px solid black; padding: 2px;">2024 T</span> |
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### 14. Delete the following columns:

- a. Training Active,
- b. Training Locked,
- c. Training Credit,
- d. Training Start Date,
- e. Training Due Date,
- f. Training is Due,
- g. Training Attempts,
- h. Training Grade,
- i. Completed Date,
- j. Benefit Category,
- k. And ECLS

### **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.

**Review Date:** 11/03/2023, 11/22/2023, 12/6/2023, 5/7/2024, 6/26/2024, 1/14/2025

**Revision Date:** 11/03/2023, 11/22/2023, 12/6/2023, 5/7/2024, 6/26/2024, 1/14/2025