



The Texas A&M University System
Texas A&M Engineering Extension Service

Standard Administrative Procedure

21.99.99.N0.01 Delivery Records Procedures

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Summary

The purpose of this document is to provide the policies for the creation, reconciliation, and retention of delivery records for TEEX events.

Definitions

Delivery records: Participant, class, and revenue records associated with the delivery of a TEEX event.

Independent reviewer: An individual assigned by programs and/or divisions to review class delivery records. This individual cannot be involved in the original processing of the delivery record documents.

Technical Assistance: A service that TEEX delivers in which technical knowledge and/or skills are provided primarily to external customers through a broad range of service-related activities. Technical assistance activities often support a customer's development need or solves a customer's problem to promote increased capacity, efficiency, productivity, safety, security, and/or value for the customer. Technical assistance is often one-on-one consultation or group facilitation.

Training: A well-defined, repeatable unit of instruction which consists of terminal and enabling objectives, evaluation and assessment strategies, and published course. Training is the primary service provided by TEEX to customers.

Reconciliation Process: The process of matching a participant's class training records, training outcome, and financial transactions in the Student Management Systems (SMS) and Financial Information Systems (FIS).

Student Management System (SMS): TEEX systems that are used for the entry and storage of participant and class information (Course Class Maintenance [CCM], TEEXApps).

SMS Administrator: The designated position within TEEX Headquarters responsible for assisting with SMS-related issues and serving as the liaison between division customer service representatives and the agency's Network and Information Services (NIS).

Financial information systems (FIS): TEEX systems that are used for the entry and storage of financial information (e.g. Masterpiece, Cashnet).

TEEX event: TEEX conducts training or provides technical assistance.

Requirements

1. General

- 1.1. Training and technical assistance events (held or cancelled) provided by TEEX must be entered accurately into the SMS.
- 1.2. The purpose of creating and reconciling the contents of delivery records is to ensure that all participant information and all revenues entitled to the agency are accounted for and are accurately recorded into the TEEX SMS and FIS.

2. Event Creation

- 2.1. TEEX programs are responsible for entering training and technical assistance events into SMS and the creation and maintenance of associated delivery records (hard copy and/or electronic).
- 2.2. Entry of events into the TEEX SMS must follow the instructional guidelines provided by the SMS Administrator.

3. Record Requirements

- 3.1. Class delivery records are to be submitted to program administrative support personnel within seven (7) business days following the last day of the event.
- 3.2. The delivery record documentation found in *Chart of Required Documentation for Delivery Records* are the **minimum** TEEX required records to be retained.

4. Reconciliation Process

- 4.1. The reconciliation process (*Delivery Records Reconciliation Process Checklist*) must be performed by administrative support personnel for all events within 14 business days of the last day of the event as part of the close out process.
- 4.2. Delivery record documentation must be uploaded to TEEXApps within 14 business days of the event marked held.

- 4.3. Classes may be reopened by the SMS Administrator only under extenuating circumstances with supporting documentation. Supporting documentation must be uploaded to the delivery folder in TEEXApps and noted on the delivery checklist.

5. Independent Review Process

- 5.1. Programs and/or divisions will assign independent reviewers to review five percent of class folders (cancelled and held classes) each month; not to exceed 50 classes.
- 5.2. Classes to be reviewed are randomly selected from events that were marked held or cancelled in the previous month, trying to capture a representative selection from each program area.
- 5.3. The independent reviewer may utilize the *Delivery Records Independent Review Log (SES-48)* as a tool to help organize the review; however, the *Independent Review Checklist (SES 47)* is required to be completed and uploaded into the TEEXApps system to document the review.
- 5.4. All events that have been reviewed by an independent reviewer must be flagged in TEEXApps at the time of audit.
- 5.5. Identified discrepancies must be corrected within 5 business days.
- 5.6. If more than 10% of the folders reviewed for a program area have findings, additional records are to be reviewed. The *Independent Review Checklist (SES 47)* is required to be completed and uploaded into the TEEXApps system to document the additional reviews.

6. Storage and Retention

6.1. Security of Records

- 6.1.1. All electronic records must be stored in accordance with *TEEX SAP 29.01.03.NO.01 Information Security Program*.
- 6.1.2. Hard copies of delivery records must be stored in locked cabinets or drawers while processing.
- 6.1.3. Hard copies of delivery records may be destroyed following verification of successful upload into TEEXApps to store as digital records.

6.2. Retention

- 6.2.1. Delivery records (hard copy and electronic) will be retained for a minimum of seven (7) years in accordance with TAMUS record retention schedule.

Quality Assurance Measures

1. The SMS Administrator, or designee, in the TEEEX Strategic and Education Services (SES) department will monitor delivery records in accordance with the *Delivery Records Monitoring Procedures and Checklist*. If more than 10% of reviewed records contain significant discrepancies, additional records may be inspected and/or that program's records may be inspected on a monthly basis. In addition, the program will receive additional training and will be required to implement a corrective action plan. Continued noncompliance will result in loss of SMS access privileges.
2. SES will provide a quarterly report to the Operations Committee that includes a summary of data from the prior quarter for courses not marked as held, a count of classes reopened by SMS Administrator, a summary of SES delivery records monitoring for the quarter, a summary of the independent review counts and a Financial Services correction notice summary.

Related Statutes, Policies, or Requirements

TEEX SAP 11.99.99.N0.03 Participant Registration
TEEX SAP 61.01.02.01.2 SMS Access and Privilege
TEEX SAP 61.99.01.99.01 Record Retention
TEEX SAP 29.01.03.N0.01 Information Security Program

Participant Information Form (PIF)
FS-6 Invoice
SES-7 Delivery Records Checklist
SES-11 Technical Assistance Delivery Report
SES-15 Student Sign-in Sheet
SES-16 Training Delivery Report
SES-39 Transfer of Credit verification
SES-41 TEEEX Consent of Medical Treatment of a Minor
SES-42 Participant Attestation of High School Graduation
SES-47 Delivery Records Independent Review Checklist
SES-48 Delivery Records Independent Review Log
SES-49 Delivery Records Monitoring Log
Delivery Records Reconciliation Process Checklist
Chart of Required Documentation for Delivery Records
Delivery Records Monitoring Procedure and Checklist

IACET 8.4, 8.5
ACCET II.D.2, II.D.3, II.D.4, II.D.5

Office of Responsibility

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