

**Approval Date: November 2, 2004**

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**Parent Policy: [Policy Development Framework](#)**

## UAPPOL Document Load Procedure

<b>Office of Administrative Responsibility:</b>	Vice-President (Finance and Administration)
<b>Approver:</b>	Vice-President (Finance and Administration)
<b>Scope:</b>	Compliance with University procedure extends to all members of the University community.

### Overview

University of Alberta Policy and Procedure On-line (UAPPOL) allows for loading the following document types: policy, procedure, appendix, information document or form. The load process automatically links procedures and appendices to their parent policy. Further, the UAPPOL web-enabled environment allows for links between any series or combination of document types as is appropriate to the topic being communicated.

### Purpose

To ensure developed and approved UAPPOL documents, whether an initial or succeeding version, are loaded consistently and by way of a process that preserves system integrity and supports governance audit related activities.

This procedure does not address document development related activities (i.e. vetting or approval). For this refer to the University's *Policy Development Framework*. Although the framework speaks to policy development, the development principles are transferable to other document types as well.

## PROCEDURE

### 1. SYSTEM ACCESS AND IDENTIFYING CONTENT MANAGERS

Only certain individuals, known as content managers, are given system access and the rights to load UAPPOL content. Each portfolio sponsors at least one of these positions. A content manager can normally be determined by looking at a document's Office of Accountability. The content manager will be from that office's home portfolio. Offices of Accountability are noted in the header on policy documents. Although not noted on other document types (procedures, appendices or forms), the applicable Office of Accountability is that of the respective parent policy. Information documents are most often in some way also connected to a policy and/or procedure, thus the content manager can also be discerned in the same way. If need be, contact the UAPPOL system administrator to identify a document's content manager. In cases where a policy document has two Offices of Accountability, the content manager associated with the last office cited in **workflow** is to load the document.

### 2. UAPPOL DOCUMENT DEVELOPMENT AND PUBLICATION FORM

A fully completed *UAPPOL Document Development and Publication Form* is required to load documents onto UAPPOL. The *UAPPOL Document Development and Publication Form* is organized into the following sections:

- a. Document Information – includes document type, search title, subject area(s), key words, and parent document. All UAPPOL search results are presented alphabetically by search title. Well thought out sort titles and key words can be very effective in clustering search results for the benefit of UAPPOL users.
- b. Workflow – the UAPPOL system administrator must sign-off to acknowledge system compliance and approve workflow.

- c. Development Information – includes development lead sign-off to acknowledge accountability for development and vetting, UAPPOL development liaison sign-off to confirm compliance with the *Policy Development Framework*, Office of Accountability and its sign-off to acknowledge accountability, and Office of Administrative Responsibility and its sign-off to acknowledge administrative responsibility.
- d. Approval – includes approver, approval date, effective date, and approver sign-off.
- e. Document Load – to be completed by the content manager after approval and includes content manager sign-off and UAPPOL content ID, which is assigned at publication.
- f. Summary of Due Diligence (vetting and approval activities) – list the **stakeholders** involved as well as their role in development. The account summary can be readily shared with any interested party, especially those involved in the approval protocol charged with ensuring due diligence was conducted. Also, this is a valuable summary of the entire process for future reference to re-development activities.

### 3. LOADING DOCUMENTS – INITIAL VS. NEXT LOADS

Initial loads are first time loads meaning there isn't a previous version of the document in UAPPOL. For initial loads, the contributor must provide the appropriate content manager with an electronic version of the approved document to be loaded and a fully completed and signed-off UAPPOL Document Development and Publication Form in hard copy.

Next version loads replace documents already in UAPPOL. For next loads, it is important to work forward from the most recent UAPPOL version. To accomplish this, the unit leading the re-development activity is to contact the document's content manager to obtain a download of the UAPPOL version. From here, changed revisions are to be tracked while editing, creating what is often called a redline version. This readily identifies proposed changes for discussion and vetting purposes. This continues until a fully vetted and approved final version is achieved. Then, as with initial loads, a content manager requires an electronic version of the approved revised document and a completed *UAPPOL Document Development and Publication Form* to load the next version.

For next loads, if the workflow and offices of Accountability and Administrative Responsibility have not changed from the most recent prior load, then the workflow and respective appointment and acceptance sign-offs on the UAPPOL Document Development and Publication Form are not required. All other signatures and sign-offs are required.

### 4. FRIENDLY EDIT LOADS

Friendly edits cannot change a document in a material way. Friendly edits include:

- a. name changes (i.e. portfolio, administrative unit, ancillary, faculty/school, department, etc.),
- b. legislation, regulation or manual titles cited in UAPPOL content,
- c. UAPPOL template revision driven changes, and
- d. grammar, spelling/typo corrections.

A document's Office of Administrative Responsibility normally drives friendly edits. This office is to provide the content manager with an electronic version of the edited document and a completed and signed-off *Friendly Edit UAPPOL Document Development and Due Diligence Form* in hard copy. Attaching a printout of e-mail from an appropriate authority approving the friendly edit can suffice for an approval signature.

When loading the friendly edit, the content manager is responsible to key in a brief summary of the edits made in the 'comments' field of the load panel.

### 5. RECORDS RETENTION

Content managers are responsible to fulfill the records retention required associate with UAPPOL loads (initial or next). For details see *UAPPOL Records Retention Procedure*.

## 6. DOCUMENT REVISION HISTORY

Contact the respective Office of Administrative Responsibility for a document's revision history.

### **DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [[▲Top](#)]

<b>Workflow</b>	Workflow is the electronic approval process that is attached to all policies, and may also be attached to procedures as necessary. Workflow is attached after all of the approvals have occurred preventing future changes without the approving bodies of each document being aware of and agreeing to the changes.
<b>Stakeholders</b>	All groups or units for whom this policy has an operational impact or whose activities will be impacted by the policy.

### **FORMS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [[▲Top](#)]

Contact the Office of Administrative Responsibility to request edits.

### **RELATED LINKS**

Should a link fail, please contact [uappol@ualberta.ca](mailto:uappol@ualberta.ca). [[▲Top](#)]

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