

Approval Date: November 2, 2004

Parent Policy: [Policy Development Framework](#)

## UAPPOL Records Retention Requirements 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

The following procedure pertains to the records/documentation to be retained to backup the UAPPOL document load process. It does not address requirements related to University policy and procedure development activity.

### Purpose

To ensure content managers are aware of their role and responsibilities specific to document load records retention and governance audit related activities.

## **PROCEDURE**

The filing area allocated to UAPPOL is to be divided into three sections labeled as follows: Policy/Procedure/Appendix (as one section), Forms, and Information Documents.

All documents loaded in UAPPOL must have a UAPPOL Document Development and Publication Form. This form must have original signatures and cannot be a photocopy. UAPPOL Document Development and Publication Forms, with the supporting documents attached, are to be filed alphabetically by search title within the appropriate document type section. Note: Procedure and Appendix documents are filed alphabetically by search title behind their respective parent Policy.

The following is required supporting documentation of UAPPOL Document Development and Publication Forms:

- Hard copy of the version of the document loaded
- In lieu of an approval signature, an excerpt of the minutes of the approving committee
- In lieu of an approver's signature, a hardcopy of an email from that approver

UAPPOL Document Information Update or Friendly Edit Request Forms are also to be filed with the respective original document.

Files within each section are labeled by document title. Procedure and appendix document files are to have two titles; the procedure or appendix title first, followed by parent policy in parenthesis in a smaller font.

Note that in cases where a policy document has two Offices of Accountability, the content manager associated with the last office cited in **workflow** would have loaded the document and thus also be responsible for the record retention related issues.

In the event of a change in content manager, the respective UAPPOL filing system, in its entirety, is to transfer to the newly appointed content manager who then assumes responsibility for the system. A content manager is required to be able to produce the supporting documentation for any document in the system.

With respect to the archival of UAPPOL files, files can only be archived seven years following the rescission of a document. Thus, selected files can be archived but never the system in its entirety at a given date.

Content managers must reconcile their filling systems to actual UAPPOL document loads. To do this, run in the content management system 'Office of Accountability' query for the portfolio you support. Then ensure you have the respective UAPPOL Document Development and Publication Form and backup documentation for each load.

## **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.
-----------------	--

## **FORMS**

There are no forms for this Procedure. [\[▲Top\]](#)

## **RELATED LINKS**

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

[UAPPOL Content Managers & System Administrator Listing](#) (University of Alberta)

[UAPPOL Vision, Principles and Definitions](#) (University of Alberta)