

OVC Record Retention Requirements

Version Date: 31-Oct-17

Appendix B

Service Area	Business Function	Most Responsible Personnel	Subject Matter Experts	Requisitioned by	Transaction Purpose	Record Format/Form	How Processed	Primary Req # in Use	Copy Retained by Requisitioner	Copy Retained by Dept or Manager	Copy Retained by Area of Most Responsibility	Active Current Year	Active Immediate Prior Year	Dormant - Preceding 6 Years	Batched with	Filed/boxed
Procurement Services	Low Value Procurement	Service Manager	Finance Clerks	SAS Client	Requisition	U of G LVPO	Footprints	Footprints Ticket	Yes	In the ticket	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, Order, Packing Slip, Invoice	FY by Vendor by Fiscal Month
Procurement Services	Low Value Procurement	Service Manager	Finance Clerks	Footprints	LVPO < \$5,000	U of G LVPO	E-mailed to vendor	LVPO # (assigned)	No	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, Order, Packing Slip, Invoice	FY by Vendor by Fiscal Month
Procurement Services	Low Value Procurement	Service Manager	Finance Clerks	Vendor	Vendor Confirmation	From Vendor	Footprints	Footprints Ticket	No	in the ticket	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, Order, Packing Slip, Invoice	FY by Vendor by Fiscal Month
Procurement Services	Supply Managed Contract Procurement	Service Manager	Finance Clerks	SAS Client	Requisition (will need quote if > \$5,000)	U of G LVPO	Footprints	Footprints Ticket	Yes	in the ticket	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, Order, Invoice	FY by Vendor by Fiscal Month
Procurement Services	High Value Procurement	Service Manager	Finance Clerks	SAS Client	Requisition > \$5,000	U of G LVPO	Footprints	Footprints Ticket	Yes	in the ticket	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, Quotes, Single Source, Order, Packing Slip, Invoice	Vendor by Fiscal Month by FY
Procurement Services	High Value Procurement	Service Manager	Finance Clerks	Vendor	1 Quote (\$5k - \$10k); 2 Quotes (\$10k - \$25k); 3 Quotes (\$25k - \$100k)	From Vendors	Footprints	Footprints Ticket	Yes	in the ticket	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, Quotes, Single Source, Order, Packing Slip, Invoice	Vendor by Fiscal Month by FY
Procurement Services	High Value Procurement	Service Manager	Finance Clerks	SAS Client	Single Source	From Adm Mgr	Footprints	Footprints Ticket	No	in the ticket	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, Quotes, Single Source, Order, Packing Slip, Invoice	Vendor by Fiscal Month by FY
Procurement Services	High Value Procurement	Service Manager	Finance Clerks	SAS Client	HVPO	U of G HVPO	iProcure	HVPO # (assigned)	No	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, Quotes, Single Source, Order, Packing Slip, Invoice	Vendor by Fiscal Month by FY
Procurement Services	P-Card - card-holder is purchasing for business use	Card-holder	Card-holder	Card-holder	Purchase items using a credit c	Receipts and proof of purchase	US Bank point of service	Transaction # plus Initials of cardholder	Yes	Yes	Yes	In Open Files (req Dept)	Closed Files (Dept/Off)	Store Room	All original invoices, receipts and proof of purchase must be attached to the activity report for record retention.	FY by Fiscal Month by statement
Procurement Services	P-Card - SAS Finance is purchasing as an agent for SAS Clients	Service Manager	Finance Clerk	SAS Client	Purchase items on-line	Receipts and proof of purchase	US Bank point of service	Transaction # plus Initials of cardholder	Yes	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	All original invoices, receipts and proof of purchase must be attached to the activity report for record retention.	FY by Fiscal Month by statement
Payment Services	Pay a Non-SMC Invoice	Service Manager	Finance Clerks	Non SMC Vendor	Packing Slip	From Vendor	Manual (from package)	n/a	No	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, (Quotes, Single Source), Order, Packing Slip, Invoice	FY by Vendor by Fiscal Month
Payment Services	Pay a Non-SMC Invoice	Service Manager	Finance Clerks	U of G Payment Services	Non SMC Invoice	From Vendor	ImageNow	Invoice #	No	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, (Quotes, Single Source), Order, Packing Slip, Invoice	FY by Vendor by Fiscal Month
Payment Services	Pay a SMC Invoice	Service Manager	Finance Clerks	SMC Vendor	SMC Invoice	From Vendor	Campus Accounts Payable (print copy for OVC file from FRS) ** pending QuickBooks	Invoice #	No	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, Order, Invoice	FY by Vendor by Fiscal Month
Payment Services	Reimbursement	Service Manager	Finance Clerks	SAS Client	Petty Cash	Petty Cash Voucher	Footprints	Footprints Ticket	Yes	Yes	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req and PCV	FY Client (dept) by Fiscal Month
Payment Services	Reimbursement	Service Manager	Finance Clerks	U of G Treasury	Petty Cash	Replenish Cash	Manual	N/a	No	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Monthly file	FY by Petty Cash Station by Month
Payment Services	Reimbursement	Service Manager	Finance Clerks	SAS Client	Expense Claim	ECS	ECS	n/a	Yes	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Claim, receipts (originals are with main campus)	FY by dept, Last name, by claim #
Payment Services	Send a payment to a student	Service Manager	Finance Clerks	SAS Client	Cheque Requisition	Footprints (or mail)	Send to A/P	Footprints Ticket	Yes	In the ticket	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, cheque req form	FY by dept, fiscal month
Payment Services	Send a payment (external)	Service Manager	Finance Clerks	SAS Client	Cheque Requisition	Invoice or expense reimbursement	Send to A/P	n/a	Yes	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, cheque req form	FY by dept, fiscal month
Payment Services	Send a payment (wire transfer)	Service Manager	Finance Clerks	SAS Client	Cheque Requisition	Invoice or expense reimbursement	Send to A/P (By wire)	n/a	Yes	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, cheque req form (wire receipt kept by A/P)	FY by dept, fiscal month
Billing Services (Receivables)	Billing for sale of services or products	Service Manager	Finance Clerk	SAS Client	Requisition	SAS Billing, Req Template	Footprints	Footprints Ticket	Yes	In the ticket	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, Service Log, Invoice, JE or RRV and copy of cheque	FY, Client (Dept/Service) by Fiscal Month
Billing Services (Receivables)	Billing for sale of services or products	Service Manager	Department service tech person	SAS Client	Service log (non-Tri-Council)	Service log copy (source document)	Copied and sent via Footprints	Footprints Ticket	Yes	in the ticket	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, Service Log, Invoice, JE or RRV and copy of cheque	FY, Client (Dept/Service) by Fiscal Month
Billing Services (Receivables)	Billing for sale of services or products	Service Manager	Finance Clerk	SAS Client	Service log (Tri-Council)	Service log copy (source document) with authorization	Copied and sent via Footprints	Footprints Ticket	Yes	In the ticket	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, Service Log, Invoice, JE or RRV and copy of cheque	FY, Client (Dept/Service) by Fiscal Month
Billing Services (Receivables)	Billing for sale of services or products	Service Manager	Finance Clerk	Internal	OVC Invoice	QuickBooks	QuickBooks	QuickBooks (Assigned)	No	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, Service Log, Invoice, JE or RRV and copy of cheque	FY, Client (Dept/Service) by Fiscal Month
Billing Services (Receivables)	Internal Recovery (via ADI)	Service Manager	Finance Clerk	Internal	Payment of internal invoice by journal entry	Journal Entry ADI	U of G ADI	ADI journal # (Assigned)	No	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, Service Log, Invoice, JE or RRV and copy of cheque	FY, Client (Dept/Service) by Fiscal Month
Treasury	Deposit Payment	Service Manager	Finance Clerk	OVC Client (external)	Remit Revenue	U of G RRV	Manual (to Campus Treasury)	QuickBooks (Assigned)	No	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Req, Invoice, JE or RRV and copy of cheque	FY, Client (Dept/Service) by Fiscal Month
Accounting Services	Administer/Reconcile 300 and 301 Grants	Service Manager	Admin Asst, Research Accounting	SAS Client (grant holder)	Open a Grant	Contract	From Office of Research	Grant #	Yes	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Contract, authorization forms, journal entries, attestations, correspondence	FY, Dept, Grant (CLOSED)
Accounting Services	Administer/Reconcile 300 and 301 Grants	Service Manager	Admin Asst, Research Accounting	SAS Client (grant holder)	Tri-Council Authorizations	Tri-Council form	From Office of Research	Grant #	No	Yes	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Contract, authorization forms, journal entries, attestations, correspondence	FY, Dept, Grant
Accounting Services	Administer/Reconcile 300 and 301 Grants	Service Manager	Admin Asst, Research Accounting	SAS Client (grant holder)	Salary Attestation	FRS statement	FRS	Grant #	No	Yes	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Contract, authorization forms, journal entries, attestations, correspondence	FY, Dept, Grant
Accounting Services	Administer/Reconcile 300 and 301 Grants	Service Manager	Admin Asst, Research Accounting	SAS Client (grant holder)	Correct coding	Journal Log	U of G ADI	ADI journal # (Assigned)	No	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Contract, authorization forms, journal entries, attestations, correspondence	FY, Dept, Grant

Service Area	Business Function	Most Responsible Personnel	Subject Matter Experts	Requisitioned by	Transaction Purpose	Record Format/Form	How Processed	Primary Req # in Use	Copy Retained by Requisitioner	Copy Retained by Dept or Manager	Copy Retained by Area of Most Responsibility	Active Current Year	Active Immediate Prior Year	Dormant - Preceding 6 Years	Batched with	Filed/boxed
Accounting Services	Administer/Reconcile 300 and 301 Grants	Service Manager	Admin Asst, Research Accounting	SAS Client (grant holder)	Transfer costs	Journal Log	U of G ADI	ADI journal # (Assigned)	No	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Contract, authorization forms, journal entries, attestations, correspondence	FY, Dept, Grant
Internal Campus Business	Health Sciences Centre internal invoices	Operations Manager	Operations Managers	Faculty	Use of veterinary services and	Invoice and Journal Entries	by HSC through ADI	n/a	No	Yes	Yes	In Open Files (req Dept)	Closed Files (SAS)	Store Room	Quarterly (q1 is May, June, July)	FY, Dept, Fiscal Month
Internal Campus Business	Animal Health internal invoices	Operations Manager	Operations Managers	Department	Diagnostic services performed	Invoice and Journal Entries	by AHL through ADI	n/a	No	Yes	Yes	In Open Files (req Dept)	Closed Files (SAS)	Store Room	Quarterly (q1 is May, June, July)	FY, Dept, Fiscal Month
Internal Campus Business	Campus telephone	Operations Manager	Operations Managers	Department	Monthly Report	Sent by email to Dept Contact	by CCS through ADI	n/a	No	Yes	Yes	In Open Files (req Dept)	Closed Files (SAS)	Store Room	Quarterly (q1 is May, June, July)	FY, Dept, Fiscal Month
Internal Campus Business	CCS charges	Operations Manager	Operations Managers	Department	Monthly Report ?	Sent by email to Dept Contact	by CCS through ADI	n/a	No	Yes	Yes	In Open Files (req Dept)	Closed Files (SAS)	Store Room	Quarterly (q1 is May, June, July)	FY, Dept, Fiscal Month
Internal Campus Business	Hospitality	Operations Manager	Operations Managers	Department	Invoices	Invoice copies	by Hospitality through ADI	n/a	No	Yes	Yes	In Open Files (req Dept)	Closed Files (SAS)	Store Room	Quarterly (q1 is May, June, July)	FY, Dept, Fiscal Month
Internal Campus Business	Work Orders	Operations Manager	Operations Managers	Department	Monthly Report	Monthly report	by Physical Resources through ADI	n/a	No	Yes	Yes	In Open Files (req Dept)	Closed Files (SAS)	Store Room	Quarterly (q1 is May, June, July)	FY, Dept, Fiscal Month
Resource, Planning & Analysis	Transfer funds between accounts	CFO	CFO	CAO, Admin Managers	Transfer funds via ADI	Funding Request Form / Log	U of G ADI	FR #, Log # / ADI Journal	Yes	Yes	Yes	In Open Files (RPA)	Closed Files (RPA)	Store Room	FR #, Analysis, Back-up docs, Journal Entry	FY by Dept by Fiscal Month
Resource, Planning & Analysis	Process correcting journal entries	CFO	CFO	CAO, Admin Managers	Correct coding via ADI	Journal Log	U of G ADI	ADI journal # (Assigned)	No	Yes	Yes	In Open Files (RPA)	Closed Files (RPA)	Store Room	Analysis, Back-up docs, Journal Entry	FY by Dept by Fiscal Month
Resource, Planning & Analysis	Process changes to budget lines	CFO	CFO	CAO, Admin Managers	Submit budget change to Budget	Budget Entry Log	Budget Template (submit by email)	Log #, Budget Entry # FR	No	Yes	Yes	In Open Files (RPA)	Closed Files (RPA)	Store Room	Analysis, Back-up docs, Budget Entry	FY by Dept by Fiscal Month
Payroll Services	OSCAR Time sheets	Service Manager	Human Resources Assistant	OSCAR	Time sheet submission	OSCAR Time sheet	H RTE (via upload file from OSCAR)	n/a	Yes	Yes	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Control Report, OSCAR Reports, Footprints Docs	FY by Dept by Pay Period
Payroll Services	Non OSCAR Time Reporting	Service Manager	Human Resources Assistant	Footprints	Time sheet submission	Footprints of SAS Time sheet	H RTE (manual entry)	n/a	Yes	Yes	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Control Report, OSCAR Reports, Footprints Docs	FY by Dept by Pay Period
Payroll Services	Control Reports	Service Manager	Human Resources Assistant	HRER	Pay period report	Client Reports - Control Report	Manual	n/a	No	Yes	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Control Report, OSCAR Reports, Footprints Docs	Dept by Pay Period by FY
Payroll Services	Missing Supervisory Approval	Service Manager	Human Resources Assistant	OSCAR	Pay period report	Time Sheet Approval History	OSCAR Report	n/a	No	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Control Report, OSCAR Reports, Footprints Docs	Dept by Pay Period by FY
Payroll Services	Amended Time Sheets	Service Manager	Human Resources Assistant	OSCAR	Pay period report	Amended Time Sheets - Amenders	H RTE (manual entry)	n/a	Yes	No	Yes	In Open Files (SAS)	Closed Files (SAS)	Store Room	Control Report, OSCAR Reports, Footprints Docs	Dept by Pay Period by FY