

**DIRECTIVE ON THE MANAGEMENT OF ELEMENTARY, SECONDARY AND ADULT  
EDUCATION STUDENT RECORDS**

<b>Department responsible:</b> General Administration	<b>Approved by:</b>  _____ Director General
<b>Effective date:</b> December 7, 2020	<b>Amended by:</b>
<b>References:</b>	

## 1. STUDENT FILES

Kativik Ilisarniliriniq (KI) recognizes the use of three distinct types of records, based on the nature of information contained in the student record: academic record, special needs record and professional record. KI is the owner of each of these files. This directive aims to facilitate the management of student records.

- 1.1 [the school record](#) It contains all the information collected and recorder for administrative and pedagogical purposes related the student's admission, registration, attendance and academic results.
- 1.2 [the special needs record](#) This record is created for students with temporary or persistent difficulties in their academic progress. The information collected and recorded relates to:
- Interventions and internal and external evaluations;
  - The objectives and recommendations made by the education community.
- 1.3 [the professional record](#) It contains all the information collected and recorded for school purposes by the professional concerned from Complementary Services (psychologist, speech therapist, psycho-educator, guidance counsellor) at KI working with the students.
- 1.4 [Record retention and disposal schedules](#)
- **Active record:** Status of a record as soon as its created, necessary for the day-to-day operations.
  - **Semi-active record:** Status of a record that is used and consulted occasionally and may be used for legal or administrative reasons.



- **Inactive record:** Status of a record that has no administrative, financial or legal value and can be destroyed by shredding after the retention period.

## 2. THE STUDENT'S ACADEMIC RECORD

2.1 [definition](#) It contains all the information of an administrative or pedagogical nature collected and recorded relating to the student's admission, registration, attendance and academic results.

2.2 [student concerned](#) Any student enrolled in a KI educational establishment at the primary or secondary level or in adult education.

2.3 [opening](#) For every student registered, an academic record must be opened and must display the following information:

- Last name;
- First name;
- Record number.

This record is the property of KI.

A rating is also assigned in accordance with the Document Classification Plan.

When registering a new student, the school must:

- Open an academic record in the name of the student if the student has never attended KI or if it has been more than 3 years since the student has left KI;

OR

- Obtain the student's academic record from the last school attended within KI territory if less than three years ago;

OR

- Obtain a copy of the student's academic record from outside KI territory.

2.4 [content](#) The academic record includes three types of information.

### 1) Identity of student

Documents that can attest to the student's identity, such as the student's first and last name, date of birth, gender, place of birth, first and last name of the mother and father.



Frequently used documents:

- Certified copy, by the administration or secretariat of the establishment, of the birth certificate:
  - Certified copy of the long-form birth certificate (including the names of the parents) issued by the *Directeur de l'état civil* (for a student born in Quebec);
  - Certified copy of the birth certificate that includes the names of both parents (for a student born elsewhere in Canada);
  - Certified copy of documents issued by Immigration and Citizenship Canada and by the *Ministère de l'Immigration et des Communautés culturelles du Québec* for the student and his/her parents (for a student born outside Canada);
  - Certified copy of the certificate of Canadian citizenship if applicable.
- Student information sheet (may be kept in the student's file or in another medium);
- Health record<sup>1</sup>;
- Certified copy, by the administration or the secretariat of the school. Legal documents related to:
  - Child custody (if applicable);
  - The child's name change (if applicable);
  - Other legal documents (e.g., judgment, order, etc.).

**2) School attendance (student presence)**

Documents showing the student's presence on September 30 or school attendance before or after this date, such as the attendance register or notice of departure.

Frequently used documents:

- Annual registration;
- Request for choice of school;
- Choice of courses;
- Absence or exemption notes from parents;
- Attendance register (computerized or absence card);
- Derogation from basic school regulation (if applicable);

---

<sup>1</sup>The health record may be kept on a yearly basis in a centralized binder. If the student leaves the school, the health record must be reclassified to the school record.



- Notice of transfer (if applicable) (may be kept in the student's file or in another medium);
- Notice of departure (if applicable);
- Language proficiency.

*Note: Documents related to the annual September 30 declaration of enrolments (group or individual attestation) are kept in a file at the school.*

### **3) Students' academic performance**

These documents record the results at the end of the year and at different cycles of elementary and secondary cycles.

Frequently used documents:

- Preschool report card issued by KI (annual review);
- Elementary school report cards issued by KI from the first to last year completed and, if applicable, the partial report card for the last year of attendance;
- Secondary school report cards issued by KI from the first to last year completed.
- Adult Education report cards issued by KI.

2.5 [responsibilities](#) The school administration (the principal of the school) is responsible for opening and managing the student's academic record. All staff members, in the course of their duties, must apply the procedures set out in this directive with respect to the maintenance and management of information contained in the academic record.

The school administration ensures the protection of personal information and documents.

Academic records must be kept in a secure location to preserve the confidential nature of the information contained in them.

2.6 [accessibility](#) The academic record is accessible to the following persons\* if expressly required as part of their duties:

- School administration, Complementary Services personnel, teachers and IT personnel;
- Any other person at KI in the exercise of their duties, specifically personnel of other departments:
  - Educational Resources;
  - General Secretariat and General Administration;
  - School Organization;
- External auditors.



It is recommended that academic records be consulted on site, but if this is not possible, make sure to complete the sign-out sheet. It is preferable that the academic record remain at school at all times. It is important to limit the number of photocopies of documents contained in the academic record to avoid circulation.

**\*Each of these persons must respect the confidentiality of the personal information contained in this type of record.**

- 2.7 [access request](#) The academic record may be accessed by the student aged 14 or over or by the person who has parental authority, by submitting a request, preferably in writing, to the school administration.

In general, a period of 20 days from the date of receipt is prescribed for responding to the request. It is necessary to verify the identity of applicant.

However, no information that could identify a third party (e.g., telephone number, address, email, etc.) should be transmitted.

For any questions related to access requests, contact the Associate Secretary General.

- 2.8 [Transmission](#) The transmission of the academic record within KI:

- 1) The original record in its entirety is sent to the requesting school of the same level of education.
- 2) When moving from elementary to secondary school, the following original documents on record from the elementary school are sent:
  - Birth certificate;
  - Cycle 1 report card (summary);
  - Cycle 2 report card (summary);
  - Cycle 3 report card (summary);
  - Legal documents;
  - Request for derogation from basic school regulation (if applicable).

The other documents are kept at the last school attended by the elementary student according to the retention schedule.

Transferring the academic record outside of KI:

The academic record is sent to the school of another school board or to another agency upon receipt of written authorization of the person with parental control or of the student 14 or over.

The school attended at KI will send an extract, copy or summary of the academic record. The original record will be kept by the school concerned in the KI territory.



2.9 [closing](#) A record is closed if the student leaves KI. the record is kept in accordance with the retention schedule by the school concerned in KI territory.

2.10 [destruction](#) No documents containing personal information should end up in a recycling bin or garbage can. Documents contained in the academic record must be destroyed **by shredding** after the retention period.

### 3. SPECIAL NEEDS RECORD OF STUDENT

3.1 [definition](#) It contains all the information collected and recorded related to:

- Interventions and findings of internal and external evaluations;
- Objectives set and recommendations made by the education community.

This record is created for students with temporary or persistent difficulties in their academic progress.

3.2 [student concerned](#) Any student who is likely to experience temporary difficulties can have a special needs record associated or not with the implementation of an action plan.

Any student with a social maladjustment or learning disability must have a special needs record.

3.3 [opening](#) A special needs file is opened when a student's observed need is identified and requires information sharing between individuals designated by the school administration or KI.

The special needs record is identified with the following information:

- Last name;
- First name;
- Record number.

This record is the property of KI.

This information helps, among other things, to better understand and respond to the student's needs and ensure effective coordination of interventions.

*Note: Opening a special needs record must be indicated in the academic record.*



3.4 [content](#) The special needs record contain information related to the needs, characteristics and services offered to the student.

It may contain the following documents:

- Follow-up sheet for documents on file;
- SHSMLD reference sheet;
- Action plan;
- Needs assessments;
- Reports and summaries of observations and evaluations recorded by teachers and complementary educational services.

Including:

- Teacher's observations of learning strategies or accommodations that facilitate the student's learning;
- Report from resource teacher;
- Report from special education technician;
- Summary of interventions, classroom behaviour observation sheet;
- Conclusions of assessments or interventions conducted by external partners or KI professionals;
- Individual education plan;
- Letters and summary of calls to parents;
- Authorization form to communicate information recorded in the school record and in the special needs file to external parties
- Event report for a restrictive measure;
- Escalation plan for inappropriate behaviour;
- Reports to the Director of Youth Protection (DYP).

3.5 [accessibility](#) The special needs file is accessible to the following people\* if it is required in the exercise of their duties:

- School administration, complementary educational services personnel, teachers;
- Any KI employee in the exercise of their duties, specifically staff from various departments:
  - Educational Resources department;
  - General Secretariat and General Administration departments

It is recommended that special needs file be consulted on site, but if this is not possible, make sure to complete the sign-out sheet. It is preferable that the special needs file remain at school at all times. It is important to limit the number of photocopies of documents contained in the academic record to avoid circulation.

**\* Each of these persons must respect the confidentiality of the personal information contained in this type of record.**



- 3.6 [access request](#) The special needs file may be accessed by the student aged 14 or over or by the person who has parental authority, by submitting a request, preferably in writing, to the school administration.

In general, a period of 20 days from the date of receipt of the request is prescribed for responding to the request. It is necessary to verify the identity of applicant.

However, no information that could identify a third party (e.g., telephone number, address, email, etc.) should be transmitted.

For any questions related to access requests, contact the Associate Secretary General.

- 3.7 [transmission](#) **Transferring a special needs file within KI:**

- 1) An active special needs file is sent to the requesting school of the same level of education.
- 2) When moving from elementary to secondary school, the school administration at the elementary level must send the active special needs file at the end of the year to the school administration at the secondary level.

In both cases, parental authorization is not required.

**Transferring a special needs file outside of KI**

The special needs file is forwarded to an institution of another school board or to another organization following written authorization from the person with parental authority or from the student aged 14 or over.

The school attended at KI may forward one of the following documents: an extract, a copy or a summary of the special needs file.

The original file will be kept by school concerned in KI territory according to the retention schedule.

- 3.8 [closing](#) The closing of a special needs file occurs in one of the following situations:

- The student leaves KI;
- The student no longer requires an individual education plan;
- The student is no longer experiencing temporary difficulties in her/her academic progress.

The school administration then records the closing of the file.

The file is then kept in accordance with the retention schedule.





3.9 [destruction](#) No documents containing personal information should end up in a recycling bin or garbage can. Documents contained in the academic record must be destroyed **by shredding** after the retention period.

#### 4. PROFESSIONAL STUDENT FILE

4.1 [definition](#) It contains all the information collected and recorded for education purposes by complementary services (psychology, speech therapy, psychoeducation, school counselling) at KI working with the student.

4.2 [student concerned](#) Any student with a handicap, social maladjustment or learning difficulty (SHSMLD) as well any student who is likely to experience temporary or persistent difficulties who has been referred to a professional personnel in the course of their duties at KI.

Any student with needs relating to guidance counselling services.

4.3 [opening](#) A professional file is opened after receive a request from the administration and obtaining the signed consent of the student aged 14 and over or the person who has parental authority (for the form, refer to the *Directive sur l'organisation des services pour les élèves handicapés ou en difficulté d'adaptation ou d'apprentissage*). It is identified with the following data:

- Type of professional file (psychology, speech therapy, psychoeducation, educational guidance);
- surname;
- name;
- date of birth.

4.4 [contents](#) Each professional file may contain (depending on the type of file) a record of the information collected by:

- 1) KI's professional staff working with a student:
  - Request Form from the administration;
  - Consent Form for Professional Services and Release of Information signed by the student who is 14 years of age or older or by the person having parental authority;
  - Evaluation protocol (inserted in an envelope provided for this exclusive use and duly identified);
  - Evaluation reports and progress notes;
  - Summary report: recommendations and summary of annual interventions;



- Copy of the validation form for students with disabilities or severe behavioural difficulties;
- Note or report closing the professional file;
- Student's specific:
  - Copy of documents in the assistance file
  - Copy of the intervention plan,
  - Copies of the conclusions of assessments or interventions made by professionals included in the specific assistance file.

2) Professional staff external to KI:

- Consent Form for Release or Receipt of Information to a Third Party Outside KI;
- Assessment reports and progress notes from external partners;
- report: recommendations and summary of annual interventions.

4.5 [responsibilities](#) The professional is responsible for opening and managing the student's professional file.

He or she ensures that the relevant information is transferred to the specific assistance file.

The school administration and professional staff must ensure that the student's professional file is kept in a secure location in order to preserve the confidentiality of the information it contains.

4.6 [accessibility](#) The student's professional file is accessible only to the professional staff\* of the same KI department.

However, the information contained in the professional file may be shared with the multidisciplinary team for consultation purposes.

**\* Each of these persons must respect the confidentiality of the personal information contained in this type of file.**

4.7 [access request](#) A copy, summary or excerpt of the professional file can be accessed by the student aged 14 or over or by the person having parental authority, by sending a written request to the professional staff concerned or to the person responsible for access to information. In general, a period of 20 days following the date of receipt of the request is prescribed for responding to the request. However, no information that could identify a third party (e.g. telephone, address, e-mail, etc.) shall be provided.



Access to the professional file may be denied if consultation of the file would be detrimental to the student or if there is a risk of compromising the methodological value of a test.

Following a request for access, the professional file is accessible without parental authorization in the following case:

- A professional order for inspection purposes.

Following a request for access, the professional file is accessible with parental authorization in the following case:

- To any other person concerned with the student (e.g., social worker, child psychiatrist, psychologist, etc.) with the written consent of the student concerned who is 14 years of age or older or of the holder of parental authority.

However, no information that could identify a person other than the student or the person with parental authority (e.g., telephone, address, e-mail, etc.) must be provided.

For any question related to requests for access, you can refer to the Associate Secretary General.

#### 4.8 [transmission](#) **Professional file transfer within KI**

- 1) The professional file is transmitted to a professional in the same department belonging to the institution of the same teaching order, without written authorization.
- 2) When a student transfers from elementary to secondary school, the professional file of the elementary school is transferred to the professional of the same department at the secondary school, without written authorization.

#### **Professional file transfer outside of KI**

The professional file is transferred to the professional in the same department belonging to an institution of another school board or another organization following written authorization from the holder of parental authority or the student aged 14 or over. Documents produced by a third party may not be transmitted. Only documents produced by KI are transferable.

If necessary, the professional will send a copy, excerpt or summary of the professional file. The original file will be kept in accordance with the retention procedures in effect.

- 4.9 [closing](#) The professional file is closed, in an active state, when the professional, in consultation with the principal and the multidisciplinary team, if necessary, agrees that the student no longer requires services or when the student leaves KI.



- 4.10 [destruction](#) No documents containing personal information should end up in a recycling or garbage bin. Documents contained in the professional file must be destroyed **by shredding** after the retention period.

## 5. THE LEGAL FRAMEWORK

The legislative context surrounding privacy issues gives rise to the following obligations, which must govern any collection or disclosure of information about an individual:

- a general duty of discretion;
- a duty to protect personal information held by a public body.

It should be noted that the Youth Protection Act (RLRQ, c. P-34.1) makes reporting mandatory in cases where a person has reasonable grounds to believe that a student's safety or development is in jeopardy. School stakeholders may therefore be called upon to collaborate with the Direction de la protection de la jeunesse. The exchange of information will then be done in accordance with the rules relating to the student's privacy.

- 5.1 [a general duty of discretion](#) This duty refers to the recognition, by the *Quebec Charter of Rights and Freedoms* and the *Canadian Charter of Rights and Freedoms*, of the right of every person to respect for his or her private life. This recognition therefore imposes a duty of discretion, regardless of whether or not the person is bound by professional secrecy. The precautionary principle must govern the practices of all KI staff in the use and sharing of personal information about students.

- 5.2 [a duty to protect personal information held by a public body](#) Like any public body, KI is required by the Act respecting access to documents held by public bodies and the protection of personal information to protect the confidentiality of the information it holds and to prevent its disclosure unless it has obtained prior authorization from the person concerned or unless the legislation explicitly consents to such disclosure.

In addition, the management of information contained in student files by the school's staff must be carried out in accordance with the following principles.

- 5.3 [the basic principles to respect](#) a) The necessity test must be applied to any collection of information. All KI staff members must take the necessary steps to collect, communicate or record information about a student, and must exercise vigilance with their words and actions. They must also be careful not to overstep the mandate related to the performance of their duties.



- b) The circulation of information must be limited as much as possible to prevent the multiplication of data or files related to personal information.

Each person affected by the handling and management of personal information contained in various student record must follow these principles. In fact, the more information that circulates, the greater the risk of communicating information that is not necessary. Procedures are set out in this directive to prevent such risks.

For example, one of the reasons for creating three distinct files is to prevent the improper circulation of student information.

- c) Access must only be given to persons whose duties require it.

This principle is the basis of the procedures and practices stemming from the protection of personal information. In the context of the need to share information to adequately meet the needs of a student, it is necessary to limit the sharing of information only to people involved with the student, depending on the nature of their work..

#### 5.4 the principle of free and informed consent

Before engaging in the collection or transmission of information, or intervention required in the performance of duties at KI, every staff member must first ensure that consent from the person legally authorized to give such consent has been obtained.

It is necessary to establish, before engaging in the collection of information, a trusting relationship with the person concerned or the person with parental authority, for the purpose of achieving free and informed consent following an explanation on the reasons why this information will be collected. It is essential to take the time, with the student or the student's parents, to explain the importance of collecting this information and the intended purpose of the information and intervention. Make sure they understand at every step.

Consent must be free, informed and given for specific purposes. It is strongly recommended that consent be obtained in writing.

- a) Parental consent.

The father and mother exercise parental authority jointly and equally, regardless of marital status.

Consequently, where the father or the mother performs alone any act of authority concerning their child, he or she, with regard to third persons in good faith, presumed to be acting with the consent of the other parent.



Where the custody of a child is decided by judgment, the tutorship continues to be exercised by the father and mother, unless the court, for grave reasons, decides otherwise<sup>2</sup>. Only the court can deprive a parent of parental authority.

The parent who alone issues this act of authority must therefore inform the other parent with parental authority of his or her authorization to carry out procedures, interventions or assessments on his or her child.

In cases where the parents are separated and there is shared custody, or where one of the parents is absent when the consent is signed, a pragmatic approach may be considered in order to facilitate the management of the consents to be obtained. Thus, the professional, a third party in good faith, who obtains the authorization of one of the two parents to intervene with the child, could be justified in presuming the agreement of the other parent. Obviously, as much as possible, the consent of both parents should be sought (if there is a verbal agreement, it is important to record it in the professional file).

b) Consent of a minor 14 years of age or older.

The consent to the intervention or transmission of information regarding an underage student is given by the holder of parental authority or by the tutor. An underage student of 14 years of age or older may, however, consent alone.

c) Withdrawal of Consent.

The agreement given by the student aged 14 or older or by the parental authority can be withdrawn at any time. Students may then apply to withdraw their consent, ideally in writing, to the school administration or the professional concerned. In all cases, a note is kept in the file.

---

<sup>2</sup> This nuance is particularly important for students in youth centers. With few exceptions, parental authority continues to be assumed by the father and mother and not by the workers in the foster families or in the rehabilitation center units.



d) Denial of consent by parents or student aged 14 or over.

It may happen that, despite all efforts to clarify the nature and scope of the professional intervention, the parents or the student may still oppose it. In such a situation, we have an obligation to respect this decision. The professional cannot conduct an assessment without the written consent of the student aged 14 years or older or of the person having parental authority. The degree of urgency and necessity of the intervention should be assessed and waived, at least temporarily, if it is not absolutely necessary. On the other hand, if the situation appears serious, i.e., likely to threaten the development or safety of the student, the case may be reported to the Director of Youth Protection for evaluation and possibly obtain an order to proceed with the planned intervention.

Consent to professional services.

With respect to consent to professional services, the professional must ensure that the person authorized by law to give consent fully understands the following elements:

- The nature and scope of his or her field of intervention;
- The objective to be pursued and how it will be achieved;
- The nature of the professional services he or she can provide, as well as the benefits and alternatives available to him or her;
- The limits and constraints characterizing the professional service context;
- How the information collected is used;
- The consequences of accepting or refusing professional services;
- The consequences of sharing information with third parties, where applicable.

During the course of professional services, the professional must ensure that consent remains free and informed.



## 6. RESPECT FOR THE CONFIDENTIALITY AND SHARING OF INFORMATION WITHIN A MULTI-DISCIPLINARY TEAM

It is essential to maintain the confidentiality of information contained in the various student records. However, depending on the difficulties of the student, it may become necessary to solicit the participation of other stakeholders. The school administration may solicit one or more members of the complementary education services to provide the student, parents and all personnel concerned with their expertise in their respective field of practice, in order to find solutions and interventions adapted to the situation.

KI staff members often collaborate with stakeholders from the health and social services networks, youth centres and other community partners. It is in this context that a true multidisciplinary team made up of many stakeholders is created around certain students. It then becomes necessary, even essential, to develop mechanisms that promote exchanges and sharing of necessary information to ensure a fair and systemic understanding of the student's needs in order to plan concerted action and measures to be taken for the student's well-being and optimal development.

6.1 [respect for principles and laws in exchanges of information](#) Like any public body, KI is governed by the Act respecting access to documents held by public bodies and the protection of personal information (CQLR, c. A-2.1) to protect the confidentiality of information in its possession and to prevent its disclosure unless prior authorization was obtained from the person concerned or unless legislation explicitly consents to it.

Moreover, the management of information contained in student records by the school personnel must be carried out in accordance with certain principles.

6.2 [information that can be shared](#) The test of necessity must apply. Information must be shared with a member of the multidisciplinary team involved with the student to the extent that the communication of this information will support the student's development, whereas a team member not known this information could cause harm to the student.

6.3 [the planning and organization of information exchanges](#) This procedure will be included in the intervention plan and sometimes, a broader procedure if an individualized education plan is necessary to harmonize all the services offered to the student. The information to be shared with members of the education community will be included in the special needs file to ensure better access to the parties involved.





## 7. APPLICATION OF THIS DIRECTIVE

7.1 [previous provisions](#) This directive replaces any other directive of the school board regarding the same subject, in accordance with the policies adopted by the Council of Commissioners, if applicable. If such policies are adopted, the provisions of these policies are integrated in this directive for the benefit of the reader.

7.2 [responsibility](#) Every person mentioned in this directive must comply with all of the provisions and all managers of the school board are responsible for ensuring that all the provisions of this directive are applied and respected.

The executives of the concerned departments are responsible for providing support with respect to the interpretation of this directive and ensure that it updated when necessary.



Request No.: .....

### ACADEMIC RECORDS REQUEST FORM

#### IDENTIFICATION OF STUDENT

Last name: ..... First name: .....  
Date of birth: ..... Permanent code: .....  
Complete address: .....  
.....  
Tel.(home): ..... Tel.(work): .....  
Fax: .....  
Email: .....

#### IDENTIFICATION OF REQUESTOR (OTHER THAN STUDENT)

Last name: ..... First name: .....  
Relationship with child: Father/Mother Other: .....  
Tel.(home): ..... Tel.(work): .....  
Fax: .....  
Email: .....

#### INFORMATION ON THE STUDENT'S SCHOOLING

Last school attended: .....  
Grade: ..... Last year of attendance: .....  
Mother's name: ..... Father's name: .....

#### INFORMATION REQUESTED

Report card	Transcript	Other
Comments: .....		
.....		
.....		

#### PROCESSING A REQUEST

<b>Reception</b>	<b>Transmission</b>
Date: .....	Return on-site
Clerk initials: .....	Send by mail
Localisation : .....	Transmit by fax
.....	Date: .....

#### AUTHORIZATION

.....  
Signature of student, parents of minor student or the person authorized Date



## FILE SIGN OUT SHEET

### IDENTIFICATION OF REQUESTOR

Last name: ..... First name: .....  
Relationship with student:    Father/Mother    Other: .....  
Tel.(home): ..... Tel.(work): .....  
Email address: ..... Fax: .....

### SIGN OUT DATE

### DATE OF FILE HAND OVER

