

POLICY ON DOCUMENTS MANAGEMENT

Department responsible: General Administration	Approved by: _____ Director General
Effective date: March 16, 2021	Amended by:
References: Archives Act (CQLR, c. A-21.1) Act respecting access to documents held by public bodies and the protection of personal information (CQLR, c. A-2.1) Act to establish a legal framework for information technology (CQLR, c. C-1.1).	

1. PURPOSE

- 1.1 [purpose](#) In accordance with the Archives Act (CQLR, c. A-21.1), this policy defines the framework related to the management of KI's active, semi-active and inactive documents.

2. OBJECTIVES OF THE POLICY

- 2.1 [objectives of the policy](#) The objective of this policy is to:
- Specify the normative framework for the management and preservation of administrative documents and archives;
 - Allow managers and staff to easily locate the information needed for decision making using reliable and up-to-date information;
 - Ensure the authenticity, reliability, integrity, usability and sustainability of documents and records
 - Reduce the number of copies;
 - Manage information in a structured and coordinated manner, throughout its lifecycle, in order to improve the services provided to KI's clients and to support operations in the most efficient and effective way;
 - Ensure KI's transparency by giving the public access to information in an efficient manner, in accordance with legislation in effect;



- Specify the roles, responsibilities and obligations of stakeholders involved in the management and preservation of KI's administrative documents and archives;
- Ensure that KI meets the requirements of the legal framework with respect to access to information and the protection of personal information.
- Ensure the conservation of essential documents and the institutional memory for business resumption in case of an emergency (disaster).

3. FIELDS OF APPLICATION

- 3.1 [fields of application](#) This policy is intended for all KI personnel and applies to all active, semi-active and inactive documents held by KI's departments and institutions, regardless of their nature (administrative, financial, legal and other documents) or the medium used (paper, technology-based, audiovisual and other).

It excludes the management of reference documents not derived from KI activities (volume, periodicals, etc.).

4. DEFINITION

- 4.1 [definition](#) In this policy, the following expressions mean:

Retention schedule: A document that determines the periods of use and medium of retention of its active and semi-active documents and indicates which inactive documents are to be preserved permanently, and which are to be disposed of.

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Preservation: Control procedure implemented to ensure that relevant data, documents, records and files are preserved for a sufficient period of time and in a form appropriate to the needs.

Semi-active and inactive document repository: Space where semi-active and inactive documents are kept at a lower cost and according to appropriate methods (boxes, shelves, plan supports, etc.).



Document: Information inscribed on a medium and likely to be used as evidence.

Active document: A document in current use for administrative or legal purposes and generally kept in office spaces.

Inactive document: A document that is no longer used for administrative or legal purposes and can be destroyed or transferred to an archive because of its historic, heritage and/or archival value, according to the rules set out in the retention schedule.

Semi-active document: A document in occasional use for administrative or legal purposes and which, because of its reduced frequency of consultation, is generally kept at the semi-active document repository. Semi-active documents remain the property of the administrative unit who deposited them; only employees of that unit have access to them.

Technology-based document: The *Act respecting the legal framework for information technology* defines it, in section 4, as follows:

“A technology-based document, even when the information it contains is fragmented and dispersed in one or more media at one or more locations, is considered to form a whole if its logical structuring elements allow the fragments to be connected, directly or by reference, and if such elements ensure both the integrity of each fragment and the integrity of the document reconstituted as it existed prior to its fragmentation and dispersal. Conversely, separate technology-based documents, even when combined into a single document for transmission or retention purposes, do not lose their distinct nature, if logical structuring elements ensure both the integrity of the combined document and the integrity of each separate reconstituted document.”

Record: A collection of documents that contain information related to the same topic, placed in one or more containers.



Master record: A copy of a record that contains the most complete information on a given topic. This is KI's 'official' record. The holder of the master record is usually the authorized administrative unit.

Secondary record: A copy of a record that contains a part of the information contained in the main record or a copy of all the information contained in the latter. The secondary record is used as a working tool and is then discarded when it is no longer useful for monitoring activities.

Classification plan: Hierarchical and logical structure for the classification, filing and identification of documents and files. Each heading in the classification plan is accompanied by a rating that allows for quicker visual identification.

Storage medium: Physical form in which the information is recorded (paper, microfiche, disk, magnetic tape, CD-ROM, USB key, etc.).

5. PRINCIPLES

- 5.1 [document ownership](#) KI owns all the documents produced or received by its employees in the course of their duties. Thus, when an employee leaves KI or changes positions within KI, the employee must leave all documents produced or received in his or her role to KI, in accordance with the provisions of the Archives Act. A document produced by an employee in the course of his or her functions belongs to KI according to copyright law.

Even if KI is the owner of documents, the accessibility and transmission of a student record must comply with the rules set out for this purpose.

- 5.2 [handling of documents](#) Documents produced or received are organized by file and classified based on their subject and the type of activity with which they relate to. It is imperative that the holder of the master copy of a document ensures that it is identified upon its creation using the classification plan established and adopted and that it is kept in accordance with KI's retention rules in effect. The secondary copy of a record may be kept on



file by a person with the authority to access it for the duration of the corporate needs.

This policy must be applied in accordance with the rules included in KI's other internal normative documents, such as student records (academic record, special education record, professional record).

5.3 [filing documents](#) Documents must be filed in a way that allows them to be easily located, shared and protected. As such, KI must establish and maintain a classification plan.

5.4 [access to documents and dissemination](#) In accordance with applicable legislation, KI must ensure the protection of personal information during the holding, use and retention and disposal of documents in its possession. Digital documents are treated with the same level of confidentiality as analog documents.

Access to documents containing personal information (student records, personnel files, etc.) must be limited to only those persons directly concerned by this information and to those who need to know the information in the performance of their duties.

If there is any doubt, KI's Associate Secretary General shall determine if the transmission of information is permitted.



5.5 [retention and destruction](#) Active documents are kept by the management of the administrative unit responsible for them. In order to ensure the best management of its space, KI calls for the destruction of multiple copies (secondary copies that are not useful), the transfer of semi-active and inactive document to repositories, and the destruction of obsolete documents.

The retention period (active and semi-active) and the final disposal (inactive) of all KI documents, in analog or technology-based form, are recorded in a retention schedule and are maintained according to the needs of the organization. This schedule and its updates are adopted by competent authorities at KI and are transmitted to the *Bibliothèque et Archives nationales du Québec* (BANQ) for approval.

To reduce the need to keep multiple copies, KI also promotes the sharing of technology-based documents while defining access rights.

5.6 [records keeping](#) KI takes appropriate measures to ensure that its records are complete and up to date, which is essential to the efficient management of its operations and to harmonious relations with its employees, clients and partners.

5.7 [protection of information and security](#) KI puts the necessary measures in place to:

- Ensure the authenticity, reliability, integrity, usability and sustainability of documents and records;
- Protect personal information contained in certain documents or records;
- Protect other sensitive or confidential information;
- Protect documents and records critical to the functioning of the organization.

The whole, in accordance with the requirements of applicable legislation.

5.8 [recording, exploiting and managing documents](#) Documents created or received in analog or technology-based form are described using metadata and are recorded in the integrated document management system (DMS) which ensures their retrieval and corporate and sectoral usability, according to the access rights defined by KI, and supports the rigorous and functional application of the classification plan and retention schedule.



- 5.9 [economic management](#) Documents and records must be managed with concern for the costs associated with their creation or receipt, retention, retrieval and handling. KI encourages the optimal use of appropriate technology-based solutions and any other means to reduce the costs related to document management and to increase its productivity and the quality of its internal management.
- 5.10 [transfer of medium](#) KI identifies, if necessary, documentary series kept in analog format and assesses the need to transfer them to another medium by digitizing them. KI ensures compliance with the provisions of sections 2837 to 2842 of the *Civil Code of Québec* and the *Act to establish a legal framework for information technology* (particularly section 17 to 22) that are applicable to the organization. KI documents its transfer processes and take appropriate measures to ensure the authenticity, reliability, integrity and usability of its technology-based documents.
- 5.11 [guarantee of integrity and durability](#) Physical or logical preventative and protective measures are taken to ensure the authenticity, reliability, integrity, usability and sustainability of information contained in KI's documents and records throughout their life cycle. The measures applied to technology-based documents must meet the requirements of the Act to establish a legal framework for information technology that applies to the organization.
- 5.12 [monitoring and evaluation of system](#) KI designs and implements means and procedures to audit its internal document and records management practices and tools, to evaluate the achievement of its records management objectives, and to report on these evaluations to the Executive Committee.

6. RESPONSIBILITIES

- 6.1 [responsibility](#) The Director General ensures the application of this policy across all of KI's administrative units. Subject to the roles and responsibilities provided for in various applicable laws, the Director General defines the responsibilities of each person in Appendix A.

7. EFFECTIVE DATE

- 7.1 [effective date](#) This policy is effective on the date of its adoption by the Council of Commissioners and remains in effect until it is rescinded.



APPENDIX A: RESPONSIBILITIES

Associate Secretary General

- Develop, update and disseminate the following documents:
 - Classification plan
 - Retention schedule (with the approval of the *Bibliothèque et Archives nationales du Québec*)
 - Policies, procedures and other document management documentation
- Develop a document management training and information program for administrative unit personnel
- Proceed with the selection of a DMS technology-based solution

Material Resources

- Physical organization of repositories for semi-active and inactive records to promote a rational and cost-efficient use of the space and equipment (in collaboration with the Associate General Secretary)
- Coordinate and plan document transfer and retrieval operations and access to documents held in these repositories

IT

- Provide technical support to administrative units, on request, including security, network and server access, availability of disk space, etc.
- Provide technical support to administrative units, on request, for the preparation of extractions from databases when not automated
- Coordinate and plan medium transfer operations across all administrative units (scanning, database transfer, etc.)
- Support the Associate Secretary General in the selection and/or development, configuration, deployment of tools or processes related to IT support
- Ensure the secure management of computer back-up copies

Administrative unit managers

- Ensure the classification plan is applied consistently within their administrative unit
- Retain, destroy or transfer their documents in accordance with the standards set out in the retention schedule and in other records management documents
- Protect personal information in accordance with applicable regulations
- Ensure that their personnel have received the necessary training and information to apply this policy

Users

- Use and application of the following documents:
 - Classification plan
 - Retention schedule
 - Policies, procedures and other document management documentation

